

DOCUMENT RESUME

ED 028 614

EF 002 765

By-Sax, Richard M.

The Planning Process for Social and Physical Planning and the Need for an Environmental Design. Monograph No. 2.

Contra Costa County Dept. of Education, Pleasant Hill, Calif.

Report No-PUB-102

Pub Date Nov 65

Note-40p.

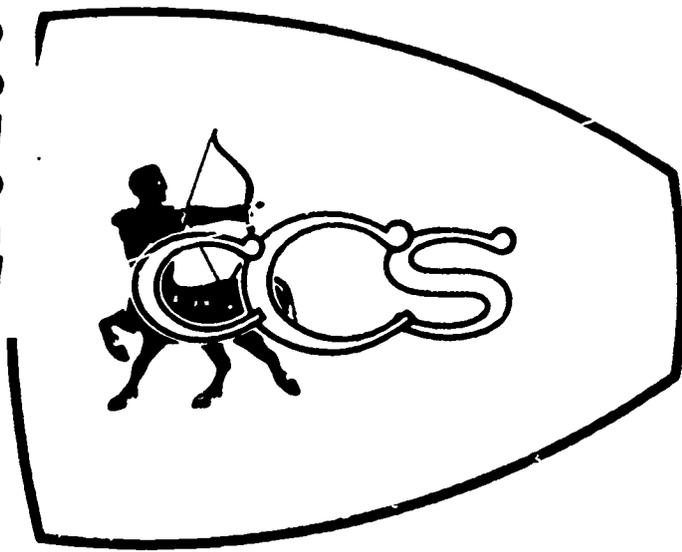
Available from-Contra Costa Council of Community Services, 2717 N. Main Street, Suite 9, Walnut Creek, California 94596 (\$1.00)

EDRS Price MF-\$0.25 HC-\$2.10

Descriptors-City Planning, Community Planning, *Environment, Environmental Influences, *Physical Environment, *Planning, Program Planning, *Social Factors, *Social Planning

The dichotomy that exists between social and physical planning continues to be a major community problem. A comparison and examination is made between the basic concepts of social and physical planning with the purpose of recommending the creation of a working model that can be adaptable for environmental design. Consideration is given to the description of the problem between social and physical planning. The following topics are discussed--(1) concepts of the planning process from the physical viewpoint, (2) concepts of the planning process from the social viewpoint, and (3) relationship between social and physical planning and development of a model for environmental planning. A bibliography is also included. (RH)

ED028614



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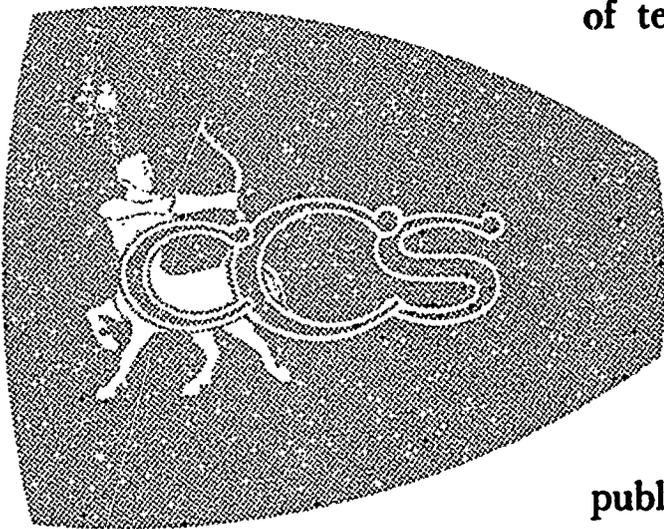
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NUMBER TWO OF A SERIES

of technical monographs



published by

contra costa council of community services
2717 north main street, suite 9
walnut creek, california 94596

november, 1965

price: one dollar

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Richard M. Sax was born in Wheeling, West Virginia in 1929. He received his MSW degree from the University of Pittsburgh in 1952 and has done additional graduate work at School of Criminology and Department of Environmental Design, University of California, Berkeley. He has served in the Medical Service Corps as a Social-Work Officer; as Assistant Executive Director, San Bernardino Council of Community Services; as Associate Director of the Arrowhead United Fund and currently as Executive Director of the Contra Costa Council of Community Services, the position he has had since 1961. The Council has developed since then from three separate organizations into a single county-wide planning body and has expanded from a staff of four to the current staff of forty-eight, with an annual budget of approximately a half-million dollars.

He also presently serves as Principal investigator for the Richmond Community Development Demonstration Project (OEO); Realizing the Potential of Underprivileged Youth (NIMH); Vocational Rehabilitation Services in a Concerted Services Area (OVR) and Coordinating Council for the Mentally Retarded (SMH).

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INTRODUCTION

The dichotomy that exists between social and physical planning continues to be a major community problem in spite of some attempts to develop a closer relationship between the two disciplines. A comparison and examination will be made of the basic concepts as developed for social and physical planners with the purpose of recommending the creation of a working model that can be adaptable for an environmental design. To do this, consideration will be given to the Description of the Problem between Social and Physical Planning; Concepts of the Planning Process from the Physical Viewpoint; Concepts of the Planning Process from the Social Viewpoint; Relationship between Social and Physical Planning and the Development of a Model for Environmental Planning.

This author defines planning as being a process for determining appropriate future action through a sequence of choices, which are:

- 1) the selection of ends and criteria;
- 2) identification of a set of alternatives consistent with the general prescriptives;
- 3) guidance of action toward determined ends.

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The Concise Oxford Dictionary defines the verb "to plan" as "to design, to scheme, to arrange beforehand . . ." Seeley describes the planning process as he has experienced from six different communities: (1)

- 1) A process in which policy, decided by a completely separate political process, is translated into a set of operational orders for execution of the policy decided. (Stockholm)
- 2) A process that renders utterly obsolete the historic political and economic processes, that is, a process that substitutes for both. Decisions are no longer to be made on a one-man one-vote or one-dollar one-vote basis, or any mixture of these, but by the planner, representing by his profession, ex cathedra, the volonte' generale. Nonplanners are "involved", as "appropriate", (by the planner's judgment) in a sort of community organization process (the planner doing the organizing) so that some conformity of plan to popular desire and of popular desire to plan, is built in. (Paris)
- 3) "The process in which the planner feeds more information (especially information usually overlooked as relevant) into the decision-making process." (London)
- 4) A process - that neither requires nor ever eventuates in a "plan" - in which all the devices of community organization, of political power, of persuasion, of economic reward and sanction, are used to bring into being a "program", defined and redefined as the operation proceeds, always in only very general terms, mostly in the mind of the planner alone - or in his mind and those of

a limited number of colleagues whose support or nonintervention is required. (Washington)

- 5) "The process that gives effect to the wishes of the community."
(Indianapolis)
- 6) A process in which a community is organized to recognize its needs, and to institute means for their satisfaction. (Toronto)

I. DESCRIPTION OF THE PROBLEM
BETWEEN SOCIAL AND
PHYSICAL PLANNING

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CHAPTER I.

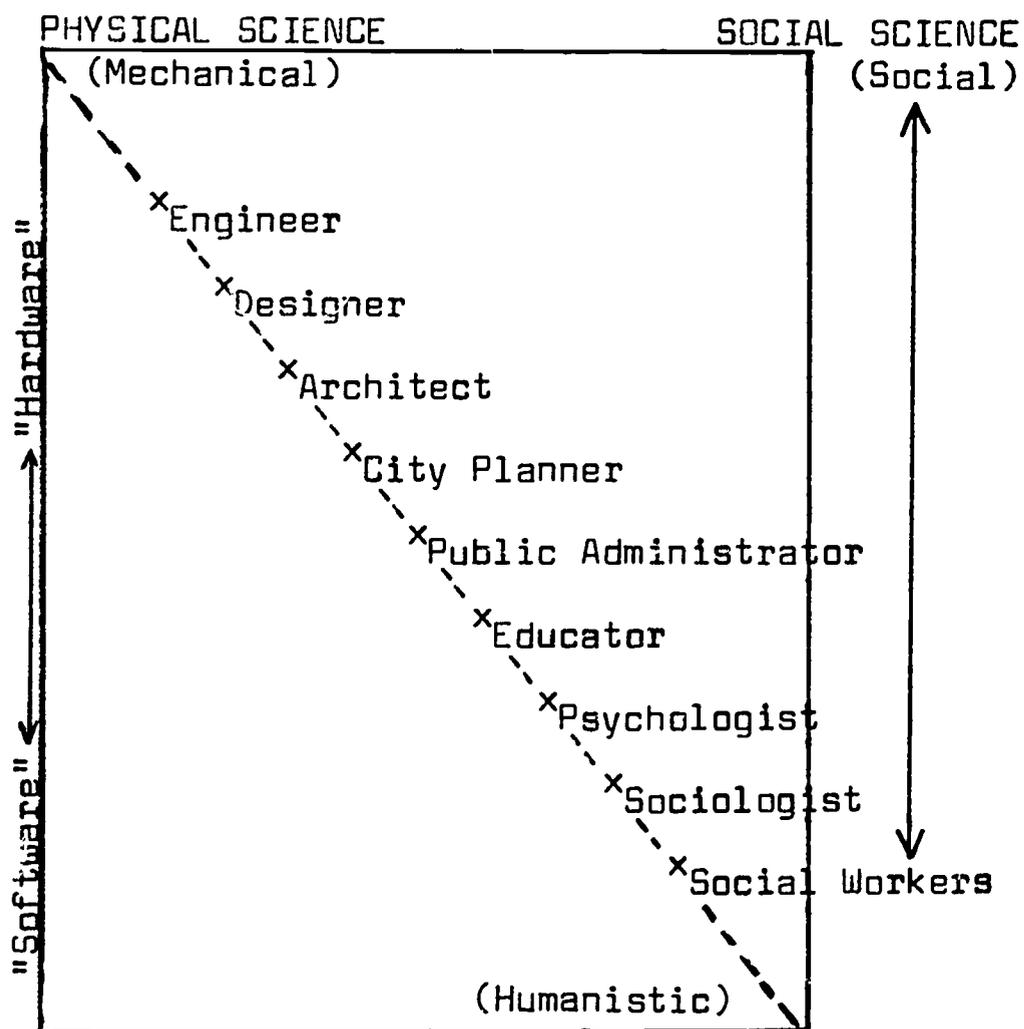
The dichotomy that exists between physical and social planning seems to have gained the greatest impact at the first National Conference on City Planning in 1909 in New York City. The conference was convened to consider the plight of the great immigration and the effects on urban life. The cities were having major social problems pertaining to blight. The new immigrants having language barriers, no employment skills, would create their own ghetto causing increased congestion in the hub cities. The blight became of grave concern to the architects, the landscape engineers and other professional groups who had previously left the problems of humanity primarily to the social welfare workers. The social workers were not involved to any major degree at this 1909 conference and apparently decided to resolve these common social problems in their own traditional approach. As important as this, however, was the development of the basic concept pertaining to planning. Webber describes this: (2)

"For generations it had been generally understood that the physical environment was a major determinant of social behavior and a direct contributor to individuals' welfare. Having accepted professional responsibility for the physical environment, the city planner was thus accorded a key role as agent of human welfare: the clearly prescribed therapy for the various social pathologies was improvement of the physical setting. If only well-designed and well-sited houses, playgrounds, and community facilities could be substituted for the crowded and dilapidated housing and neighborhoods of the city's

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slums, then the incidence of crime delinquency, narcotics addiction, alcoholism, broken homes, and mental illness would tumble. Acculturation of ethnic, racial, and other minority groups to the American, middle-class, urban ways-of-life but awaited their introduction to the American, middle-class, physical environment."

Unfortunately the concept of "improved physical environment automatically will proportionately improve social behavior" still has an impact on a large number of physical and social planners. The following graphic illustration might better describe the relationship between social and physical planners.



Thus, it has become apparent to me personally, that due to the necessity for the survival of the independent social and physical planning disciplines, the dichotomy was created and there continues to exist bureaucratic departments of physical and social planning that need to see this split continued. The bureaucracy is in practice (field) as well as in the educational approach (schools). Is this not the time for change? For the basic problem of improving the physical environment is only contingent upon the enactment of social involvement, understanding, and acceptance. Physical planners whose basic concern is land use patterns or spatial distribution must become concerned about the involvement of the person effected, and social planners whose basic concern is in understanding humanistic problems must become concerned about the direction of spatial distribution. It is apparent to me that one is dependent upon the other. But to explore this further it is important that we look at the basic concepts involved.

II. CONCEPTS OF THE PLANNING PROCESS FROM THE PHYSICAL VIEWPOINT

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CHAPTER II.

Physical planners have been identified with having basic concern pertaining to land use patterns or spatial distribution. Planning is seen as a means of reducing waste or producing the greatest return from employment of resources. Paul Davidoff and Thomas A. Reiner describe the physical planning process as having Value Formulation, Means Identification and Effectuation. (3)

a) Value Formulation

Analysis of the value-formulation process and of the planner's responsibilities in dealing with values has as its basis the philosophical distinction between fact and value.

A fact is a descriptive statement involving definitions and postulates, and a relationship. It is an assertion of the truth of the relationship. "X is Y" is one characteristic form of a factual statement. Consider some of the ways in which fact and value may be related:

- (1) Factual statements and their analysis invariably reflect the values of their makers; if only in the importance attached to them or the sequence in which they are studied.
- (2) Personal experiences show that our values are colored by our understanding of facts.
- (3) We can make factual assertions about values: for example, their distribution in a given group. Conversely, one can make value assertions about facts, as does the city planner who desires to counter the fact of public apathy about a public program.

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The many goals within a system of values can be viewed in terms of their interrelations, although we can at times conveniently focus on individual goals. Considering an individual goal as a part, rather than as the entirety, of a system of ends, has important analytic consequences. One goal may appear as superior to an alternative goal when both are measured against a higher value; however, the alternative may appear as a better means of satisfying a system-wide set of ends. This suggests that goals can be compared in terms of both their intrinsic and their instrumental worth. Values exist in a hierarchy. The hierarchical relation of values provides a means for whatever testing of values is possible. A value may be tested, that is, understood and its reasonableness assessed, by specifying values of a lower-level it subsumes and by comparing it with other lower-level values as a means to achieve values of a higher level. We emphasize that a given value may be viewed both as a means and an end.

The planner, as an agent of his clients, has the task of assisting them in understanding the range of the possible in the future and of revealing open choices. He does this in two ways - one involving facts and the other, values. The planner deals with facts to predict the nature of the future. Such predictions permit comparison with conditions that are desired. Knowledge of gaps between desired and predicted conditions may suggest the nature of further controls needed.

The planner deals with values to discover which future conditions are presently desired and which may be desired by future clients. The environment desired for the future is, in the first instance, purely a matter of values. There is nothing in the factual side of the planner's work which, in the first instance, can reveal to him the desired nature of the future. But once a particular set of

values concerning the future is posited, knowledge of facts is needed to determine the relative weight of a particular value.

b) Means Identification

In the next stage of the planning process, ends are converted into means. The crucial question is: how to proceed by nonarbitrary steps from a general objective to a specific program? We stress that the hierarchy of means be deduced logically from ends.

The process of means identification commences once an attempt is made to identify an instrument to a stated end. It terminates when all the alternative means have been appraised in terms of their costs and benefits (as calculated by criteria referring to all relevant goals) and in certain cases where the power is delegated, a particular implementing means is chosen to be the desired alternative to achieve the stated purpose. The identification of a best alternative implies a need for operational criteria for such choices.

The most general end and the most specific means represent extreme points along a continuum. The task of deducing from a value the tools for its implementation is not a one-step operation. A particular program may serve either as a means or as an end, depending on the perspectives of the relevant individuals.

Methods for the identification of means conveniently fall into two categories. The first is the identification of a universe of alternate means consistent with the value. The alternatives identified would be those which were conditions sufficient for achievement of the goal. This is the deductive element of the model, a task which may take the form of identifying all the feasible alternatives, or a finite number, or possibly only one for comparison with existing conditions.

The choice depends on the planner's skills, technical as well as creative. At this point, we are not familiar with any rigorous techniques, either in the natural or the social sciences or in philosophy, which would enable us to identify the full set of possible alternatives to the achievement of an end.

Certain steps might be taken to reduce the number of alternatives to be considered, such as the aggregation, into a few representative alternatives of all the alternatives constituting a continuum or series of continua. Where alternatives refer to policies in a short-range perspective, a useful approach is review and evaluation of the set of programs currently in use at several levels of operation and in various combinations.

The second task in means identification is the weighing of alternatives identified in the first step. Two types of weights are involved. One refers to the degree to which a given means satisfied the end sought. The other is a probability score: an estimate of the likelihood that the end will be associated with the means employed. At this point, the planner must pay close heed to the subtleties and complexities of causal producer-product and correlation relationships. Using criteria developed in the value formulation stage, such weights are attached to each alternative. One alternative may then be identified as superior to others: that is, optimal by preestablished criteria. However, this last step should be taken only if an explicit delegation of power has been made. In all cases there is a clear responsibility to reveal to the decision-maker the grounds for selecting the particular alternative.

Legal procedures adopted in our society reject the thesis that ends justify any means; furthermore, means vary in their effects on different client groups. Hence, the process of means identification is political-

ly charged and must be resolved without arbitrariness. The technician has an important role to play in assessing the impact of alternative means. However, the tasks of adopting criteria for evaluation (during the value-formulation stage) and determining finally the appropriate alternatives are not his, unless these functions have been expressly delegated.

The technician should make explicit to the clients all the information he can muster as to hypothetical consequences resulting from adoption of each of the means considered. Two classes of verifiable, nonarbitrary planning techniques are relevant in this regard. These may be labeled "optimizing" studies, and "comparative impact" analyses. The former would select the best solution out of all possible courses of action, given a criterion of "best" and given explicit constraints. The optimizing study itself would identify all alternatives; these do not have to be determined beforehand. Linear programming is such a technique.

Comparative impact analyses have a more modest aim: weighing already identified alternatives subject to some criteria. The simplest form is comparison between the effects of a single improvement, as against maintenance of the status quo. An input-output study is an example, provided a rule is added which allows assessment of the merits of the consequent states. Other examples are comparative cost and cost-benefit studies.

At the moment, our means-identification skills are limited. Nevertheless, we can state standards for such endeavors whether conducted in contemporary handicraft manner or using more sophisticated techniques which may develop.

(1) Seek to identify a set of means so related to the given purpose as to include

the one that is "best". Thus, the set of alternatives identified by a means-identification effort must not omit one (identified by some other method than that used) clearly superior to the one selected.

(2) The alternatives identified must possess certain features of measurability. There must be "success indicators", which at a later stage make it possible to assess the effectiveness of means programs.

(3) Means identification should be consistent. That is, alternatives selected as optimal in the pursuit of a goal should be consistent with the alternatives employed in pursuit of another goal, or least inconsistent with achievement of other goals.

(4) Finally, seek to develop means identification methods that are manageable, ones that do not burden us with irrelevant and excessive alternatives. Analysis must be possible and also productive to actors constrained by time.

c) Effectuation

In effectuation, the third step in the planning process, the planner guides previously selected means toward attainment of goals adopted in the first stage. Effectuation is concerned with administration of programs and with control; it has been discussed at great length and from various points of view in administration theory.

There is some question whether concern with effectuation belongs in a theory of planning for it can be held that planning ceases with identification of means and is not concerned with their application. This position implies a cleavage separating policy and administration. Such separation assumes that once commitments are secured to accomplish intended objectives, policy making terminates and administrators carry out the programs. Contemporary administrative thought

has strongly undercut this distinction between policy and administration by showing, for example, how administration of a program can lead to unwanted results. Thus, the planner is in the role of an overseer, one who aids policy makers by observing the direction programs are given and by suggesting means for redirecting these toward their intended goals. If circumstances are unusual and significant and unanticipated consequences are likely to occur, the planner will suggest immediate reconsideration of goals or means. There are several reasons why the undesired and unanticipated may arise:

(1) Administrators consciously or unconsciously redirect programs. This is not surprising where, typically, several bureaucratic levels are involved in implementing an objective. Each of these levels may involve a separate set of actors with unique interpretations of facts, ends, and personal responsibilities.

(2) Programmatic means are general and in their application to specific areas or individuals may cause injustice. A whole program may be jeopardized where such injustice is sufficiently grave. Variance procedures, for example, represent explicit recognition of the need to apply equity in certain specific circumstances, yet variances may cumulatively thwart program ends.

(3) Not every consequence can be predicted. If (previously) unanticipated events do arise (or are later predicted) they may have significant impact. In some cases the impact will lead to pressures sufficient to alter goals or to introduce new controls.

The planner should establish for his clients' consideration alternative criteria in reference to controls. One set of criteria might deal with the location and character of controls and of the planning function. Such a set would resolve for a particular institution the question of whether

controls and planning functions should be centralized or decentralized. Still another set of criteria might deal with relations between controller and controlled. Thus, for example, where individual freedom was highly valued the criterion might be: the control employed should be one which achieves the desired end with the least restriction of the prevailing rights of individuals.

III. CONCEPTS OF THE PLANNING
PROCESS FROM THE
SOCIAL VIEWPOINT

CHAPTER III.

Traditionally, social planners have been concerned with problems in the fields of health, welfare and recreation. The responsibility of community planning is to involve appropriate and competent people in a systematic social improvement process that both responds to and creates social change. This six-step social process is described by Carter. (4)

1. Defining and describing current social conditions and problems in a given community, originally through alert individual observation and preliminary study, and later through systematic analysis or research.

2. Formulating, promoting, and adopting higher goals and standards of social well-being appropriate to the logical next level of development for the community.

3. Developing community and organizational policies and strategies that translate these goals and standards into stated operational responsibilities and designed programs with feasible auspices.

4. Concerted action that results in assembling or producing, focusing, and activating the necessary human, material, and monetary resources required to implement the goals, standards, and policies, and authorizing their engagement in an organized and administered program at an appropriate time and place for designated users.

5. Assessing and re-assessing the program and its consequences in the community and cultural context at later times, followed by program modification, revocation, or other change in an orderly way.

6. Developing community leaders and officials, voluntary and professional, through participation in community problem-solving

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affairs, so that they can perform with increasing effectiveness, especially as collaborating citizens, to match the requirements and aspirations for social change and social advance and thus achieve incremental and developmental social advantages for the community, the nation, and the society. Ross simplifies the social planning process as follows: (5)

(1) The community identifies its needs and objectives (Problem).

(2) The community orders and ranks those needs (Priority).

(3) The community finds the resources to meet the needs (Organization).

(4) The community takes appropriate action in respect to those needs by community acceptance (Implementation).

Thus, the process of community planning occurs with more orderliness and effectiveness when it is staffed by professionals who both understand the varied interrelationships between the various elements of the planning process and act upon them.

IV. RELATIONSHIP BETWEEN SOCIAL AND PHYSICAL PLANNING

CHAPTER IV.

We see that planning is a set of procedures. The stem to achieve this procedure or process is essentially the same between social and physical planning. The professional jargon differs but the essential elements pertaining to planning are quite similar. The following principal concepts are consistent for both social and physical planning and will be the basis for the development of the comprehensive planning model. Stumpf discusses some of these concepts from a social planning approach which the author has attempted to make more generic. (6)

1. The concept that a community is a living, changeable, dynamic system, with interrelated series of smaller systems

2. The concept that the community of concern may be defined either geographically or functionally in nature, i.e. a geographical community may be an incorporated city, a functional community composed of people who hold common values, interests and goals.

3. The concept that a community, similar to an individual, not only can change but can develop the motivation to effect community change, i.e. a community's attitude toward civil rights activities

4. The concept that conscious planning and action requires some organizing instrumentality

5. The concept that in a democracy a given plan has value, meaning and possibility for success if it is internally accepted by the people it is to affect

6. The concept that values and conscious goals are the primary guides to the whole process of community planning and that values and goals do change and must change

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with the reassessment of new experience and knowledge and their ethical consequences

7. The concept that social power (political) is associated in a way, if not inherent in community planning

8. The concept that human problems do not just occur but are created and therefore interrelated with other forces in the community

9. The concept that both social and physical problems are not strictly related to specific geographical boundaries but extend beyond

The essential difference between social and physical appears to be this lack of integrating concepts and goals. Perloff discusses this in his just completed article, Common Goals and the Linking of Physical and Social Planning. (7) He suggests a physical-social approach to the solution of urban problems and gives three examples:

1. A decent home and suitable environment

An attack on inadequate housing at least as broadly conceived as the current attack on the poverty problem is needed. Alvin H. Schoor has pointed out evidence that makes it clear that housing effects perception of one's self, contributes to or relieves stress, and influences health and illness. In myriad ways, housing effects ability to improve one's circumstances. (8)

2. The goal of a job for everyone willing and able to work and a minimum family income

Jobs and minimum income are at the very center of the concern of the new war on poverty. A realistic approach pertaining to cybernetics must be examined. New jobs must be created. A new attitude toward employment should be understood, where the person who is

not employed is not regarded as a "drag" on the community

3. Adequacy and equality in public services and facilities

We know that the quantity and quality of public services and facilities in a community play an important role in its capacity to advance all the other major community goals, but the author believes we are falling far short of achieving what is possible because we are not bringing the physical and human resources consideration to bear in an optimum fashion.

Thus, Perloff and others feel that the basic need to bring physical and social planning closer together is the development of integrating concepts, while still approaching the problem from the two separate professional disciplines. It is felt this approach does not go far enough and is discussed further in the following chapter. It is important, however, to examine the elements in a planning and development framework. Perloff and Wingo, in their article "Planning and Development in Metropolitan Affairs" have developed such a framework. (9)

Elements in a Planning and Development Framework

1. Human Resources

Suprametropolitan: Quality of the labor force and "consumer power" of the region as factors in growth and development of the metropolis. Role of labor migration.

Metropolitan: Regional manpower budget and spatial patterns of household activities.

Intrametropolitan: Importance of working and living environments and interaction of economic, social and physical factors.

2. Private Capital

Suprametropolitan: Interregional capital flows, industrial location and technology in regional economic expansion and incomes.

Metropolitan: Flow of investment into productive facilities as basic region building process; external economies as region shapers.

Intrametropolitan: Roles of markets and land use policies in meeting locational and service needs of economic activities.

3. Natural Resources

Suprametropolitan: Material resources and amenity resources in growth of metropolitan economy.

Metropolitan: Environmental resources - land, air, water, landscape - and viability of the metropolis.

Intrametropolitan: Conservation and development of landscape resources at the

neighborhood and community scale in livability of the region.

4. Public Capital

Suprametropolitan: Interregional transportation and resource development as links to the world at large.

Metropolitan: Centralized, interdependent service systems as crucial skeletal elements.

Intrametropolitan: "Incremental" services and distribution of the impacts of costs and benefits.

5. Organization

Suprametropolitan: Institutionalized information flows and response of region to national changes.

Metropolitan: Institutional arrangements as integrators for metropolitan development.

Intrametropolitan: Neighborhood and community organization to evaluate service levels and assert local needs.

The model focuses on the great development assets of the region and on the way in which they relate the metropolis to the world and to the citizen. The vital issues of an urban individual civilization fall into place and the issues which really matter to the citizen, the nation and the future are embraced with all of their interconnectors of purpose, policy and predictability.

**V. DEVELOPMENT OF A MODEL FOR
ENVIRONMENTAL PLANNING**

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CHAPTER V.

Planning conducted by separate social and separate physical planning departments are not providing the kind of environmental programming necessary to meet the needs of a modern, dynamic, growing community that we are presently witnessing. There appears to be a reluctance to develop an all-encompassing model, almost a defeatist attitude. That the independent "competitive" planning approach has advantages over a unified, single approach. Dykman in his discussion pertaining to short and long-range planning in a metropolitan system states: (10)

"The gulf between the long-range planner and the development planner is, however, more than a matter of years. Long-range planners identified with a "Humanistic" tradition of the seeker after ideal states. They are more concerned with where we are going than with how to get there, for they see as their task the reshaping of the image of the future in the present. Development planners, they feel, are bureaucrats preoccupied with means at the expense of ends."

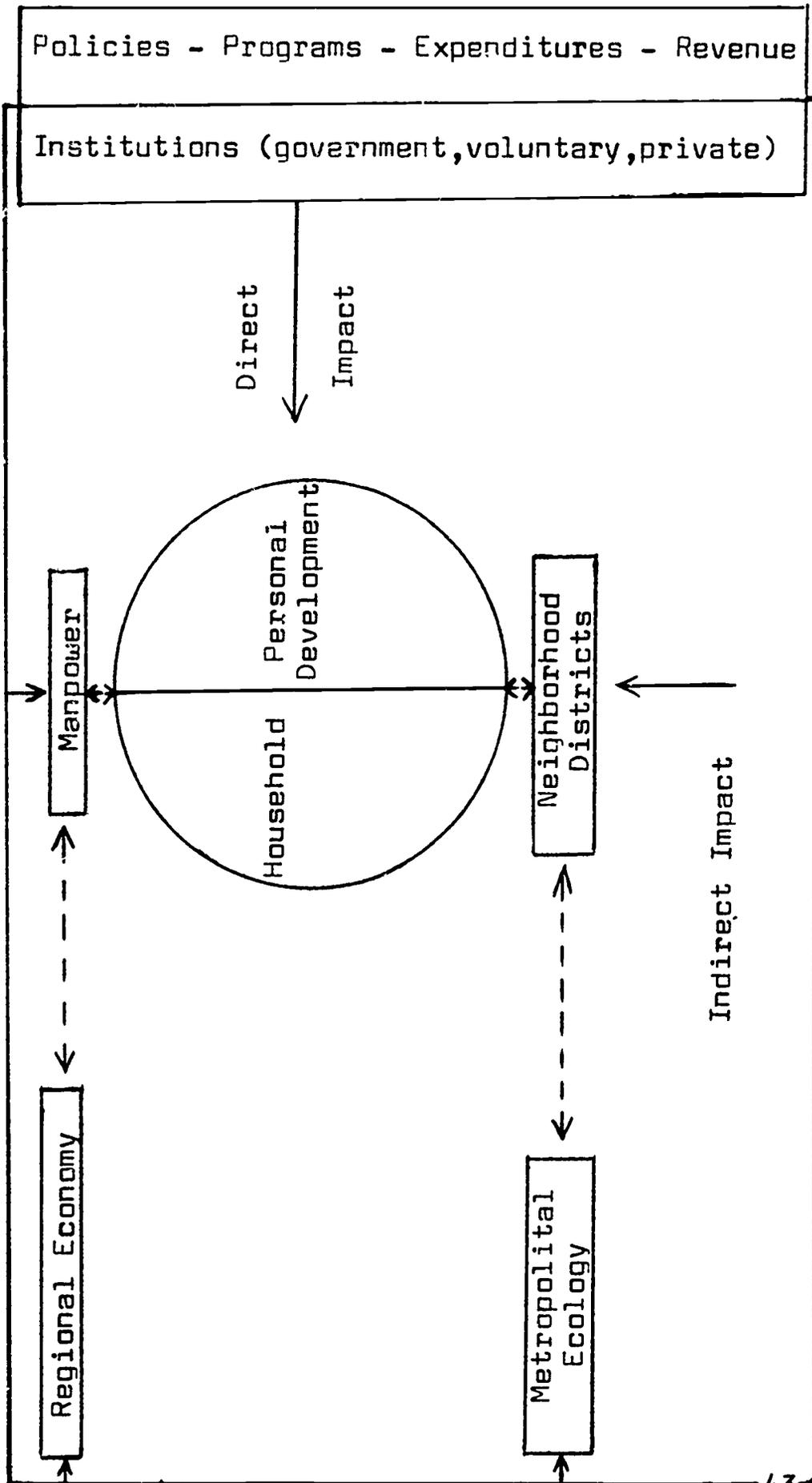
The development of a model for social planning has been attempted by Perloff and it is felt could be adaptable with variation to encompass physical planning. He is concerned about the different elements in these models.

1. Those reflecting directly the communities objectives.
2. Those reflecting socio-economic forces or arrangements which influence the achievement of the objectives.

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3. The policy and program requirements to influence the various forces in desired directions to achieve the objectives more directly.

Perloff's model is as follows: (11)



The central core of the model is the household which serves as the basic unit. The Personal Development refers to the necessary data essential to carry out service programs. The group and institutional support are those influences which affects the development of the individual. The Manpower Component refers to the labor market and its influence on the individual. The Regional Economy provides the background for the employment or manpower component. The Locational and Ecological Focus involves the physical environment. Policies and Program would reflect the basic analysis of information gathered from the various services of the model. This would be the area where change could and should occur.

Perloff's social planning model offers an opportunity for us to develop a comprehensive planning program.

RECOMMENDATION

The need for comprehensive planning seems to be generally accepted. However, the term "comprehensive" subjectively applies to an improvement over the current operation or program and in turn may not be comprehensive at all. The author suggests further development of a planning model, possibly incorporating Perloff's approach, that would deal with the total environment, an all encompassing design that would not maintain the separateness of physical and social planning; in a sense, advocating the creation of a Department of Environmental Planning and Design where the practitioners would have a generic orientation and approach to planning. He might be concerned about land use patterns; the development of a new school; and the unemployment problems of school drop-outs, all in the same day. He would be assigned to a particular geographical or functional area. His assignment would be interrelated with his neighboring co-workers who would be responsible to the Regional Director; whose job would be to coordinate staff activities.

A Natural geographical planning region could consist of the nine Bay Area Counties. They would be responsible for such areas as the control of the San Francisco Bay; Air and Water Pollution; Rapid Transit; and so forth. It would be recommended that the organizational structure for the Department of Environmental Planning and Design be a quasi-governmental organization. It is imperative that political and governmental structures be involved, but not in control of the Department. The development of such a program so that piece-meal planning could be reduced or eliminated would then allow environmental planning to be achieved for the total community.

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