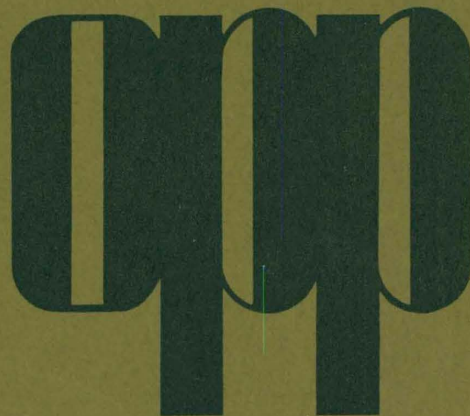


Office for Planning
and Programming
State Capitol
Des Moines, Iowa



Prepared by the
Office for Planning and Programming
for Consideration by the
Subcommittee on Governmental Reorganization
of the
Budget and Financial Control Committee

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INTRODUCTION AND SUMMARY

The growing demands on state government are well known. The multitude of federal programs and their impact on our state are also causing increasing concern. Across the nation states are looking for methods of effectively dealing with these new pressures. Comprehensive state planning and programming is being called on to provide governors, legislators, and local governments with planning coordination, informational services, and assistance in overall policy development.

In 1966, Iowa responded to the need for improved state planning by the creation of the Office for Planning and Programming. The Office was established by executive order. At this time, the legislature should consider the merits of providing the state planning program with a statutory base.

This report describes the operations of the present planning program and summarizes the proposed state planning legislation prepared by the staff of the Office for Planning and Programming.

In general, the proposed legislation expresses in statutory form the work which OPP is now undertaking through executive order. This Bill would:

1. Institutionalize the planning and programming process in state government.
2. Provide top level policy direction by keeping the responsibility for state planning in the Office of the Governor.
3. Enumerate 18 planning and programming responsibilities covering the following four functional areas: state planning and coordination, program analysis and development, technical service, and research and information.
4. Prescribe certain planning and programming requirements to be observed by state agencies.

Proposed duties, by functional responsibility, are set forth in Table 1. Table 2 shows projects undertaken by OPP during 1967 and 1968 in each of these functional areas.

TABLE 2

Programs and Projects Undertaken*
by OPP during 1967 and 1968

STATE PLANNING AND COORDINATION	PROGRAM ANALYSIS AND DEVELOPMENT
1. Higher Education Policy	1. Biennial Development Program for the Department of Social Services
2. Statewide Transportation Policy	**2. Program Directory of the Executive Branch
**3. Regional Delineation	**3. Analysis of Planning and Programming Activities of the Iowa Conservation Commission
4. State Plan for Highway Traffic Safety	4. Manual for Agency Planning and Programming
5. Cooperative Area Manpower Planning System	5. State Agency Planning Training Program
6. Local Government Organization	6. Federal Program Analysis and Review
7. Regional Program Planning	7. State Crime Control Program
8. Model Cities Coordination	8. State Housing Program
9. State and Local Governmental Manpower Study	
TECHNICAL SERVICE	RESEARCH AND INFORMATION
**1. Evaluation of Comprehensive Recreation Plan (3 phases)	1. Catalog of state services to local communities
**2. Organization for Social Services Administration	**2. Design of Statewide Information System (Macro-Design)
**3. All-Iowa Crime Alert	**3. Major Data Collection Programs of Iowa State Agencies
**4. Miscellaneous	**4. Federal Information Exchange System Design and Pilot
a) Governor's Crisis Conferences	**5. Office for Planning and Programming Newsletter
b) Testimony before legislative sub-committees	**6. Iowa Trends - Actual and Projected 1960-1980 (preliminary population and economic projections)
c) Intergovernmental Relations meetings.	7. Annual Economic Report

* A description of these projects is given in the appendix.

** Programs and projects which have been completed to date.

A BRIEF LOOK AT OPP

Generally

Upon recommendation of the 1966 state government organization study, the Office for Planning and Programming was established in November, 1966, by Executive Order Six (subsequently modified by Executive Order Eight) to "direct, advise, consult, coordinate and harmonize the planning and programming activities within the state government and to promote more coordinated and effective planning at all levels of government within the state." The Office is located within the Office of the Governor.

Responsibilities set forth in the Executive Orders are as follows:

1. Provide leadership in the development and institutionalization of planning and programming in Iowa state government and provide budgetary assistance to the Office of the Comptroller.
2. Assemble and evaluate existing data and perform necessary basic research on population and economic factors in order to provide a common data base for all state planning.
3. Assist government decision-makers in the articulation of state development objectives.
4. Identify state problems and opportunities.
5. Propose and test alternative approaches to solving problems and realizing opportunities.
6. Assist in resolving conflicts which may develop between plans and programs of the various agencies and advise the Governor and others on plans which conflict with overall state objectives.
7. Review all federal applications for purpose of coordination at the highest level, and provide technical assistance to applicant agencies.
8. Recommend and assist in the submission, by affected state agencies, of federal applications to develop state programs.

Further delegation of authority has been made by the Governor as follows:

1. Cooperative Area Manpower Planning Systems -- Director is state chairman.

2. State-Local Relations
 - a. provide a central location within the executive branch of state government to assist local officials on community problems;
 - b. work with local officials and other state agencies in coordinating the state's role in Traffic Safety, Health, Housing, Planning, etc.;
 - c. identify the problems facing local government in Iowa and recommend solutions to them;
 - d. counsel with local government officials in drafting recommendations for proposed federal legislation and proposed program guidelines;
 - e. serve as an information center for local governments needing federal program information and assistance.

3. Model Cities Coordination
 - a. advise the Governor as to the state's role in this program;
 - b. coordinate the involvement of state agencies and departments in this program; and
 - c. assemble and disseminate information pertaining to the Model Cities Program to state agencies and local communities.

Funding

The 62nd General Assembly appropriated \$70,000 each year of the biennium for state planning. Additional funding includes:

U.S. Department of Housing and Urban Development	
Planning	\$422,773
Urban Technical Assistance	\$ 20,500
U.S. Department of Transportation	\$ 67,000
U.S. Department of Health, Education & Welfare	\$ 15,000
U.S. Office of Economic Opportunity	\$ 29,951

Future Work

The Office's 1967 and 1968 work programs have been outlined in Table 2. We are now preparing the work program for next year. Many of the work items will be continuations of past efforts. However, there are a number of tentatively scheduled projects which will bring us into new areas.

1. Statewide Air Transportation Plan -- the purpose of this study is to develop a comprehensive plan for aviation for the state.

2. Statewide Urban Area Policy -- this study will evaluate present state-urban relations within Iowa and will formulate a state-urban area policy which will articulate the state's role in the planning and development of its urban areas.

3. Economic Development Policy -- this work item is designed to formulate a comprehensive state economic development policy to serve as a base for the future economic growth and development of the state.
4. State Lands Inventory -- this item will comprehensively inventory state-owned real property to enhance state public policy making with regard to land resources.
5. Development of a State-Local Clearinghouse for Planning and Related Information -- an intergovernmental library and information exchange.

In addition to these projects, the Governor has recently assigned responsibility for the State's Crime Control Program to the Office for Planning and Programming.

1970-1971 Biennium Budget Request

In order to maintain the momentum of the planning program and the quality of work performed during the first two years of operation, it is anticipated that the Office for Planning and Programming will request an appropriation of approximately \$140,000 in state funds for each year of the biennium from the General Assembly.

Present Staffing

In keeping with the planning philosophy and policies outlined in the legislation, the Office for Planning and Programming staff is a policy-oriented group; not drawn from the traditional planning backgrounds (i.e., school of architecture, landscaping, urban design, etc.). The staff members exhibit a variety of backgrounds -- law, public administration, business administration, political science, journalism, and economics. Six of the present eight staff members hold graduate or professional degrees.

C. Thomas Rice -- Acting Director

Five years' experience in local government -- most recently as assistant to the City Manager of Ames, Iowa; holds a law degree and a master's in public administration; native of Illinois.

John J. Wolfe, Jr. -- Senior State Planner

A lawyer with five years' experience as a budget analyst with the federal government; private law practice; formerly with the Manpower Development Council; native of Lost Nation, Iowa.

Richard F. Sale -- Senior State Planner

Four years' experience in state and regional planning; holds a master's degree in city planning; native of Ohio.

Edward Y. Long -- Associate State Planner

Three years' experience in state and regional economic planning; holds bachelor's and master's degrees in economics; native of Taiwan, China.

Darrel L. Grice -- Associate State Planner

3½ years' experience with federal government; 2 years' experience with Extension Service at Iowa State University; master's degree in public administration; native of Laurens, Iowa (Highway Traffic Safety Planner)

J. Robert Krebill -- Assistant State Planner

Graduate of Harvard; bachelor's degree; government major -- versed in PPBS; presently working toward master's in political science; native of Keokuk, Iowa.

Suzanne C. Jenks -- Junior State Planner

Graduate of Drake University, School of Journalism; presently working toward master's in political science; former experience in public relations; native of Des Moines.

Thomas D. McMillen -- Junior State Planner

Graduate of Drake Law School, soon to be admitted to Iowa Bar; prepared major portions of the 1968 Iowa Crime Commission Report; native of Syracuse, New York.

APPENDIX

State Planning and Coordination

1. Higher Education Policy

A study is now underway to determine how Iowa can best use available private and public higher education facilities to educate our youth. To be completed by December 1.

2. Statewide Transportation Policy

Study of present transportation systems in the state and development of policy alternatives with regard to future planning and programming of highway commission. To be completed within next month.

3. Regional Delineation

Development of regionalization concept which delineates 16 multi-county regions and 16 area cities in the state for the planning, programming and administration of state agency services.

4. State Plan for Highway Traffic Safety

OPP is responsible for the development of statewide planning for highway traffic safety which includes outlining the programs which have to be undertaken in order to reach compliance with the Highway Safety Act of 1966, which states that "each state shall have a highway safety program approved by the Secretary, designed to reduce traffic accidents and deaths, injuries, and property damage resulting therefrom. Such programs shall be in accordance with uniform standards promulgated by the Secretary..." A continuing program.

5. Cooperative Area Manpower Planning System

OPP is providing leadership for interagency planning on an area basis for the services provided to Iowa citizens by the Employment Service, Division of Rehabilitation Education Services, Vocational Education (area vocational schools), Office of Economic Opportunity/ Manpower Development Council, and the Department of Social Services. A grant of \$32,847 from the Federal Office of Economic Opportunity has been given to the Office for Planning and Programming for planning of this special project by the State Office of Economic Opportunity. Plan to be completed in August.

6. Local Government Organization

An in-depth study of local governments interaction in the eight-county area surrounding Cedar Rapids.

7. Regional Program Planning

A study of plans submitted by agencies for implementation of regionalization concept and a regional program analysis. In development stage.

8. Model Cities Coordination

In initial fulfillment of responsibility for Model Cities coordination responsibility delegated to OPP by the Governor, staff has attended regional meetings DHUD is conducting for involved federal/state/local agencies. Staff also attends local Model Cities meetings. Program in development stage.

9. State and Local Governmental Manpower Study

An assessment of present and future needs of government professional personnel including upgrading present employees. To be completed in June, 1969.

Program Analysis and Development

1. Biennial Development Program for the Department of Social Services

Pilot study of Planning, Programming and Budgeting systems incorporated into a new Social Services Department. Work includes program definition, evaluation, program objectives and cost-benefit analysis. Weekly seminars have been held over a period of four months to teach the PPB system tools and techniques to staff of OPP and Comptroller's staff. To be completed by November 1.

2. Program Directory of the Executive Branch

A detailed definition of each state agency's programs and policies in conducting state government business.

3. Analysis of Planning and Programming Activities of the Iowa Conservation Commission

OPP staff has completed this analysis and has made recommendations to the Conservation Commission for Commission review.

4. Manual for Agency Planning and Programming

Manual will be used by department heads to incorporate planning activities into their program plans. Ready by January 1, 1969.

5. State Agency Planning Training Program

OPP is developing a study program for agency department heads and planning and budgeting staffs, which includes a presentation of planning and programming techniques useful in agency operations. Training is scheduled for next spring.

6. Federal Program Analysis and Review
(Federal Funds Coordination)

In line with provisions of Executive Order Eight, OPP reviews and analyzes selected state applications for federal funds. This insures coordination of programs, eliminates waste and duplication, and provides for orderly development of comprehensive statewide program.

OPP has also cooperated in the study conducted by the Legislative Fiscal Director wherein a survey of state agency federal program involvement has been completed. Legislative Fiscal Director will present a report to Subcommittee on Governmental Reorganization summarizing survey results.

7. State Crime Control Program

In development stage. A continuing program.

8. State Housing Program

In development stage. To be completed by October 1 if HUD approval is received.

Technical Service

1. Evaluation of the Comprehensive Recreation Plan

A three-phase review was made of the Comprehensive Outdoor Recreation Plan, which included recommendations to the Commission.

2. Organization for Social Services Administration

HEW/SRS granted the Office for Planning and Programming \$15,000 to complete an in-depth study of all units of the Board of Control, Board of Parole and Department of Social Welfare, for reorganization of the Department of Social Services (S.F. 739) as prescribed by the 62nd General Assembly.

3. All-Iowa Crime Alert

OPP staff participated in gathering information for the Governor's All-Iowa Crime Alert program.

4. Miscellaneous

OPP has participated in:
Governor's Crisis Conferences
Testimony before legislative subcommittees
Intergovernmental relations meetings.

Research and Information

1. Catalog of State Services to Local Communities

Soon to be published, the catalog will aid local officials in the use of state services available to their community. To be completed by October 1.

2. Design of Statewide Information System (Macro-Design)
(Information and Coordination of Federal-State-Regional-Local Programs)

Provide general design criteria for establishing a comprehensive information system to serve as a connecting link between all state agencies.

3. Major Data Collection Programs for Iowa State Agencies

A catalog of 30 state agencies' major data collection programs has been compiled and published for internal management use in state government.

4. Federal Information Exchange System Design and Pilot

A team from Stanford Research Institute has been in Iowa working with OPP staff to develop a system for Iowa participation in FIX. Result will be a quarterly report on state expenditures in each county and each major city by state program. State and federal government will feed input into FIX system where information will be readily available on state and federal funds expended by program within the state.

5. Office for Planning and Programming Newsletter

Preliminary outline for subject matter content, design, format and scope has been completed. Objective is to promote greater understanding of OPP operation within state government. Distribution will include state agencies, boards and commissions, and members of the General Assembly. First edition due within next month.

6. Iowa Trends, Actual and Projected 1960-1980
(Preliminary population and economic data)

Results of study published in "Iowa Trends, Actual and Projected 1960-1980," to provide common base of population and economic data

to be used for all agency planning including budgeting for upcoming biennium. Final report due later this summer.

7. Annual Economic Report

OPP is now doing preliminary work for the first Annual Economic Report from the Governor to the people and the General Assembly, appraising the economic situation of the state. The Report shall contain (1) information concerning economic change and development in the state (current and prospective); (2) analysis and interpretation of information within existing state economic policies; and (3) other analysis and review. To be completed by November 1.

A BILL FOR AN ACT TO PROVIDE FOR THE EFFECTIVE COORDINATION OF PLANNING AND PROGRAMMING ACTIVITIES OF STATE GOVERNMENT; TO PROVIDE THAT THE GOVERNOR SHALL BE THE STATE PLANNING OFFICER; AND TO PROVIDE FOR THE ESTABLISHMENT OF THE OFFICE FOR PLANNING AND PROGRAMMING AS AN INTEGRAL PART OF THE OFFICE OF THE GOVERNOR.

WHEREAS, it is the public policy of this state that a continuous and coordinated planning and programming process be established for purposes of insuring the most efficient delivery of necessary public services to the people of the state; NOW, THEREFORE,

Be it enacted by the General Assembly of the State of Iowa:

SECTION 1. This Act shall be known as the "Iowa State Planning Act."

SECTION 2. When used in this Act,

1. "Planning" means the continuing process of making decisions in a systematic manner and with the best knowledge of accomplishment; organizing in a systematic manner the efforts needed to carry out these decisions and measuring the results against the expectations through organized and systematic feedback.

2. "Programming" means the process of translating planned objectives and selected courses of action into specific directives and work programs.

3. "Functional Planning" means the preparation of plans with limited objectives; such as, air transportation, outdoor recreation, mental health, water pollution control, and manpower development. Such planning may involve the programs of several agencies.

SECTION 3. The Governor shall serve as State Planning Officer, and as such, shall encourage continuous and coordinated planning and programming of the affairs of state government to assure orderly and harmonious development.

SECTION 4. The Governor, as State Planning Officer, shall perform the following functions:

1. Prepare comprehensive recommendations for the orderly growth of the state, including, but not necessarily limited to, recommendations on long and short-range functional plans in such areas of state concern as human, economic and cultural development, and submit such recommendations to the General Assembly.

2. Prepare and submit to the people and General Assembly of this state an annual economic report appraising the economic situation of the state, reviewing the extent to which economic change and development has provided employment and income, and such other economic factors and indicators as are appropriate. This report shall contain information concerning economic change and development in the state, both current and prospective, an analysis and interpretation of such information in the light of existing state economic policies, and an appraisal of the various programs and activities of the state in effectuating these policies. Such report shall be related to and developed in close conjunction with the biennial development program, as provided for in Subsection 3 of this Section.

3. Prepare and submit to the General Assembly a biennial development program for the consideration and review of the General Assembly. The biennial development program shall be submitted along with the biennial

budget document to aid the General Assembly in their review of that document by pointing out specific departmental program objectives and resources necessary to accomplish them.

4. Study the structure, operations and financing of local government and those state activities that involve significant relations with local units of government, and recommend to the General Assembly such changes in these provisions and activities as will strengthen local government operations.

5. Carry out continuing studies and analyses of problems facing communities within the State and develop recommendations for administrative or legislative action.

6. Cooperate with and provide technical assistance to state agencies, local units of government, regional planning commissions, and other organizations or agencies having authority for regional planning, community development groups, community action agencies and other public and private bodies within the state, in the development of their planning and programming process.

7. Contract with state agencies, local levels of government and other public and private bodies within the state in the development of functional and comprehensive plans.

8. Design, establish and maintain a state center to serve as a clearinghouse for information, data, and other materials which will assist state agencies, local governments, and other public bodies in the discharge of their responsibilities.

9. Analyze the quality and quantity of services required for the orderly growth of the state, taking into consideration the relationship of activities, capabilities and future plans of local units of government, private enterprise, the state, the federal government and regional units established pursuant to any state or federal legislation, and make recommendations for the improvement of such services to the General Assembly.

10. Work to harmonize the planning activities of all state agencies, local units of government, and other public and private bodies within the state.

11. Coordinate activities of state agencies having an impact on the solution of community problems and the implementation of community plans.

12. Encourage and assist the efforts of local governments to develop cooperative solutions to common problems.

13. Work with agencies of state government, in cooperation with the Comptroller, to study and review plans and programs filed with the federal government by state departments, agencies or institutions relative to any existing, new, expanded or amended federal aid program.

14. With the assistance of the Comptroller, survey, review and appraise the accomplishments of state government in achieving the goals and objectives set forth in the biennial development program.

15. With the assistance of state agencies, submit to the General Assembly progress reports and recommendations on the total state planning and programming process.

16. Provide assistance to the General Assembly on request and be available to assist its committees with any needed information or material.

17. Apply for, receive, administer and utilize any federal or other funds that may be made available for achieving the purposes of this Act.

18. In keeping with the purposes of this Act, the Governor shall inquire into the methods of planning and program development in the conduct of the affairs of state government; he shall prescribe adequate systems of records for planning and programming purposes; shall prescribe the institution and uses of standards for effective planning and programming; and shall exercise all other powers necessary and proper for the discharge of duties as provided for in this Act.

SECTION 5. The biennial development program shall cover, at a minimum, the forthcoming four (4) years and shall consist of, but not be limited to, the following:

1. The specific objectives to be accomplished in the following four (4) years along with a projection of needs which the agencies, through their programs, plan to satisfy. The projections should be specific enough to facilitate detailed program planning.

2. A comparison of the current programs with the needs projected for the following four (4) years to identify additional efforts needed to satisfy projected program needs.

3. A comprehensive analysis of major policy issues and major program alternatives which may significantly affect the direction and scope of the program area in the next four (4) years.

4. Specific programs planned in the next four (4) years to meet the established objectives. This should identify continuation of current program levels, necessary program expansions, changes in program direction,

new programs to be implemented, new legislation necessary to accomplish the planned program and the fiscal, capital facilities and personnel resources needed to carry out the planned program.

5. Priorities among the needs of the program area and among the various programs and program levels planned for the following four (4) years.

6. A four (4) year schedule of proposed capital improvements, such schedule to be compiled from a four (4) year schedule of proposed capital improvements submitted by each agency, board and commission of the state government upon the request of the Governor.

SECTION 6. To assist the Governor in carrying out the provisions of this Act, each state department, agency and institution shall have the following duties and responsibilities:

1. The director of each state agency shall be the chief planning officer of that agency, and as such, shall be responsible for the planning and coordination of the activities of such agency. The chief planning officer or his designee shall coordinate program plans prepared for each area of program responsibility within his agency. The Governor may require each state agency having planning programs to regularly file copies thereof with him for review.

2. To assist in the development of plans and programs of state government, the Governor may require that whenever any state agency makes application, enters into a contract or agreement or submits state plans for participation in and for grants of federal funds under any federal laws to file copies thereof with him for review, coordination and approval.

3. As soon as practicable after the enactment of this legislation, copies of existing programs and program plans prepared by state government for any federal agency in conjunction with any existing or proposed federal aid program involving the State of Iowa shall be filed as requested with the State Planning Officer.

4. All state agencies shall cooperate with the State Planning Officer in the exercise of the powers and duties conferred upon him by provisions of this Act. Such agencies shall also furnish to the State Planning Officer such information, data, and reports as he may from time to time request.

SECTION 7. To assist the Governor in carrying out the provisions of this Act, there shall be a State Planning Director, who shall be appointed by the Governor to serve at his pleasure. The State Planning Director shall be professionally competent in the fields of public administration and planning and shall possess demonstrated ability, based upon experience and past performance, to perform the duties of State Planning Director.

SECTION 8. There shall be established an Office for Planning and Programming within the Office of the Governor and under the control and supervision of the Governor for the purpose of implementing the provisions of this Act. The State Planning Director shall serve as the administrative head of the Office for Planning and Programming. The State Planning Director shall appoint a Deputy Planning Director who shall be professionally competent in the fields of public administration and planning. The State Planning Director is hereby authorized and directed to employ qualified professional, technical and clerical personnel as required to carry out the duties prescribed in this Act. The employees of the Office for Planning

and Programming with the exception of the State Planning Director and Deputy Planning Director, shall be governed by the rules and regulations of the State Merit Board as may now or hereinafter be established under the Merit Employment Act or any amendments thereof.

SECTION 9. Section twenty-eight point ten (28.10) of the Code is hereby amended by striking therefrom all of subsections one (1), two (2) and four (4).

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