

# THE INFLUENCE ON RURAL COMMUNITIES OF INTERURBAN TRANSPORTATION SYSTEMS

## VOLUME II

### TRANSPORTATION AND COMMUNITY DEVELOPMENT: A MANUAL FOR SMALL COMMUNITIES

#### CHAPTER III: Goals and Objectives

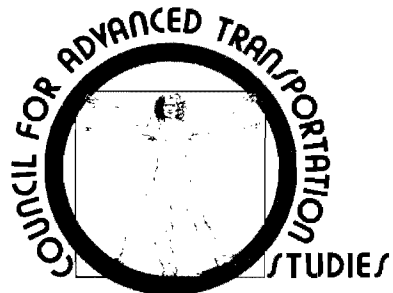
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## PREFACE

### BACKGROUND

This document is one in a series developed as an outgrowth of research sponsored by the U. S. Department of Transportation, Office of University Research, through the Council for Advanced Transportation Studies, The University of Texas at Austin. The topic of this research project, "The Influence on Rural Communities of Interurban Transportation Systems," was one of five conducted under the general title, "Transportation to Fulfill Human Needs in a Rural/Urban Environment." The overall objective of this project was to investigate the nature of interurban transportation influence on small "rural" communities (below 25,000 in population) and to assess the relationship between changes in the interurban system and the potential for growth and development of small communities.

The project consisted of four basic stages:

- (1) a review and analysis of transportation impact studies leading to the identification and investigation of areas deemed important to rural communities and intercity transportation systems,
- (2) an investigation of high probability areas of impact to ascertain data availability and appropriateness of various methodological concepts in studying transportation impacts on rural communities,
- (3) a detailed case study of selected rural communities in terms of their response, real and perceived, to changes in their intercity transportation systems and accessibility, and
- (4) the development and field testing of a set of transportation planning guides designed for use by the layperson in the rural community and the regional planner.

The research is documented in two volumes:

- Volume I: The Influence on Rural Communities of Interurban Transportation Systems, and
- Volume II: Transportation and Community Development: A Manual for Small Communities.

The first volume is the description of the study process and the findings of the various research phases during the project. This document would be of interest to professional planners in regional governments having small, rural communities within their jurisdiction. The report may aid in facilitating their interactions with representatives of smaller cities and enhance their appreciation of the uniqueness of those areas as reflected in their needs and issues.

The set of planning guides contained in Volume II would be of interest to the community representatives. The guides are designed for the layperson and are written in non-technical language. The purpose of the manual is twofold:

- (1) to promote a more informed participation in the national state, and regional decision-making process as it relates to transportation and
- (2) to provide the basis for initiating and continuing comprehensive local planning for small urban places (cities and towns with a population of 25,000 or less).

The MANUAL is divided into an executive summary and seven chapters, each individually bound and designed for use separately or in conjunction with others. The seven chapters are:

- Chapter I. The Transportation Planning Process,
- Chapter II. Transportation Impact,
- Chapter III. Goals and Objectives,
- Chapter IV. Community Inventory,
- Chapter V. Development of Alternatives and Preliminary Assessment,
- Chapter VI. Evaluation, and
- Chapter VII. Glossary and Bibliography.

This document contains the third chapter of Volume II. Its purpose is to describe the first step in a sound community planning procedure - the development of goals and objectives. Developing goals and objectives is a process which allows the community to determine its own future path and sets the standards for measuring progress along that path. The procedures described in this chapter are oriented towards broad community participation in the planning process. Used in conjunction with the succeeding chapters, it should help the community identify major problem areas and set in motion the steps necessary for developing a comprehensive set of programs.



## CHAPTER III. GOALS AND OBJECTIVES

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#### Appendix. Community Goals and Public Policy

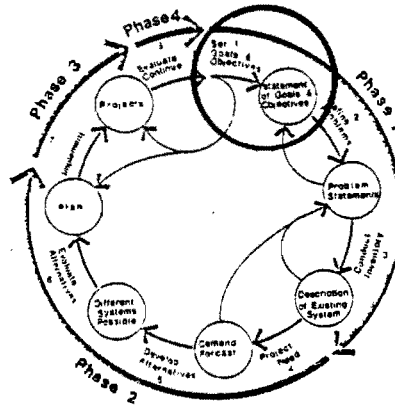
# CHAPTER III

## GOALS AND OBJECTIVES

### THE NATURE OF GOALS AND OBJECTIVES

3.1 The first step in a sound planning procedure involves the formulation of goals and objectives. A goal is an abstract conception of what ought to be, not an object to be achieved. An objective, on the other hand, is concrete and measurable. It is a specific aim, a point to be reached within some period of time.

DEFINITION 5



3.2 Objectives may be thought of as steps taken toward the realization of goals. A particular goal may involve several objectives, any one or all of which ~~being~~ necessary to attain the desired end.

RELATION-  
SHIP OF  
GOALS AND  
OBJECTIVES

For example, a community might establish as one of its goals an increase in community income. To achieve this, its plan might include such particular objectives as the acquisition of land for an industrial park, a petition for a more frequent level of freight service, and a program for new housing units.

Although goals may change, they usually represent underlying and lasting values. Thus, it is more likely that new objectives will be developed for the attainment of goals than it is that the goals themselves will change. (See Appendix, "Community Goals and Public Policy")

VALUES,  
GOALS AND  
OBJECTIVES

3.3 Values are the attitudes which guide and shape human behavior. Whenever we make judgments or choices, we reveal our values. Values may be expressed as moral statements or as preference statements. A moral statement takes the form "X ought to Y": "People ought to help their neighbors," or "People ought to have decent housing." A preference statement takes the form "X is preferable to Y": "I prefer living in a small town rather than in a big city," or "New streets are preferable to new parks." As the last example shows, our preferences often indicate choices between two things which are both desirable, but only one of which can be achieved for some reason (lack of money, etc.).

Value statements can be transformed into goals statements and objective statements. Goals statements take the form "X is the end state desired." Objective statements take the form "X units of Y are required."

Value Statement: Everyone ought to have decent housing.

Goal Statement: We want everyone in town to have a decent place to live.

Objective: We need twenty-five new "affordable" housing units each year for the next five years.

While goals and objectives are implicit in all of the activities undertaken by humans, the community planning process requires a clear and explicit statement of goals and objectives and an understanding of their relationship to community values.

3.4 The relationships among values, goals, and objectives can be seen by arranging them within a formal hierarchy,

*THE HIER-  
ARCHY OF  
VALUES,  
GOALS, AND  
OBJECTIVES*

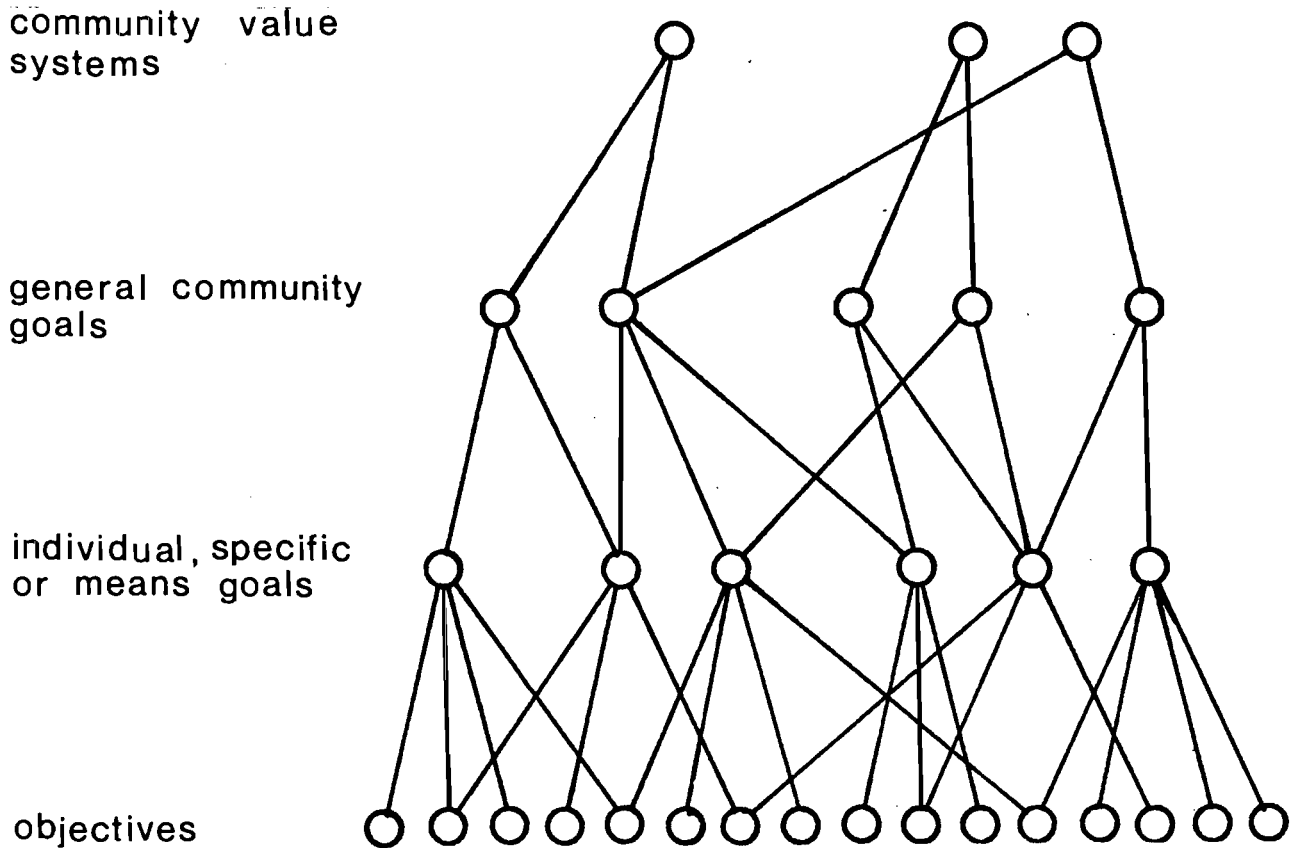


Figure 3.1

At the top of the hierarchy are a community's basic moral and preference standards - its systems of value. The second level consists of the general goals which translate the community's values into broad purposes. At the third level is a variety of goals which are more specific forms of general goals or which serve as means for attaining the ideals embodied in general goals. Finally, the lowest level is comprised of concrete objectives.

The hierarchical arrangement of values, goals, and objectives enables us to 1) evaluate the relative importance of different

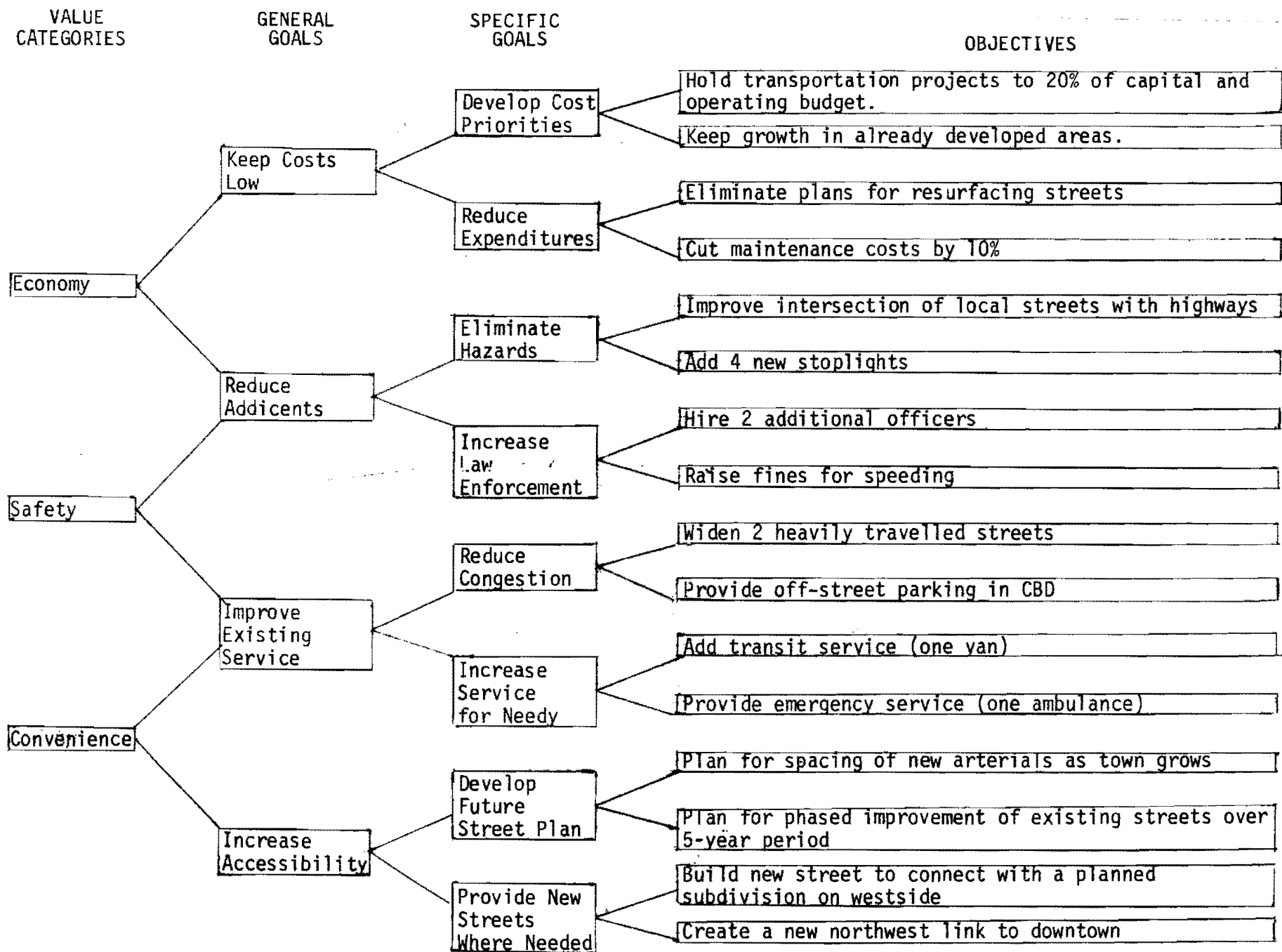


Figure 3.2

goals, and 2) determine the form of the goal which best suits our values.

Let us say, for example, that a community wants to increase its level of income. This goal is not an end in itself-it serves the basic democratic ideal of developing a higher quality of life for everyone. Understood in terms of values, then, this becomes the general goal, "We want a decent standard of living for all citizens." In looking at specific problems, we might find that there are too few jobs for those in the labor pool and that many elderly persons live in substandard housing. We might then translate our general goal into the community-specific goals, "We want to develop more jobs for the unemployed," and "We want to provide better housing for the elderly." Note that these specific goals are also means to achieving the general goal. Our intention in providing more jobs and better housing is to raise the standard of living for those who need it the most.

Figure 3.2 illustrates a specific hierarchy of goals and objectives, in this case for a hypothetical community's transportation program. Safety, convenience, and economy are the traditional values associated with a good system of transportation. The general and specific goals are translations of those values within the context of the community's particular problems, while the objectives are the measurable steps which the community can take toward achieving its goals. Taken together, they constitute the city's transportation program.

The branching lines in Figures 3.1 and 3.2 represent the fact that there are alternative or complementary choices as one searches for specific ways and means to achieve goals. (Obviously there are often more than two ways to achieve a desirable end.) A community may set a

limited number of general goals, but there will be a great many specific goals and objectives to choose from.

One final point needs to be made about the hierarchy represented in Figures 3.1 and 3.2. As the diagrams show, some groups of goals and objectives may serve more than one value system. At the same time, another set of goals and objectives will serve only one system of values and may therefore conflict with the goals serving a different value system.

For example, suppose that a community wishes to preserve its own unique character and at the same time promote the democratic values of improving the quality of life for all its citizens. Although some goals may serve both ends, eventually some will conflict with or limit each other. Raising the standard of living may involve actions that, on one hand, help preserve the community and, on the other hand, change its character. Bringing in new industry, for example, may not only provide jobs for local residents, but also change the local environment and alter the size and character of the town. Eventually, the community may have to face the conflict between different value systems and different groups of goals and objectives.

(See Section 3.8 for a fuller discussion of the relations between different sets of goals.)

In the next section we will discuss the process of formulating goals. Keep in mind the relationships between goals and values, general and specific goals, means and ends goals, and goals and objectives. The community's main task in formulating its goals will be to develop a logical and consistent program for its future.

## FORMULATING GOALS

3.5 Formulating explicit goals and objectives statements makes it *THE PROCESS  
OF GOAL  
FORMULATION*  
easier

1. To see the relationship between goals;
2. to choose among alternative courses of action; and
3. to evaluate progress.

A community might begin the process of setting its goals at the top of the ladder, beginning with an identification of community values and moving down through general goals to specific goals and concrete objectives. Getting people to articulate their values is a difficult process, however, and establishing general goals without reference to the particular needs and desires of a community will often result in a set of statements which everyone can agree to, but no one can translate into specific terms. The process advocated in this manual assumes that as many citizens in the community will be involved in setting the goals as is possible. The procedure involves beginning with an activity most people can relate to: the identification of the needs and desires of individual citizens and groups of citizens. Once this phase is accomplished, the community's values and the general goals needed to meet its citizens' requirements will become apparent.

For several reasons, it is important to get representatives of the diverse interest groups from the entire community involved in the process. In the first place, the values of our democratic society require that citizens participate in making the decisions which affect their lives. Secondly, the greater the degree of citizen



participation, the greater the likelihood will be that the final goals will have community support. Moreover, encouraging citizen participation in creating goals can help reduce dissatisfactions and develop community spirit. The process is one of mutual education and cooperation between leaders and citizens.

The process involves five separate steps:

- 1) ESTABLISH THE ISSUES OF CONCERN TO THE COMMUNITY
- 2) SET PRELIMINARY GOALS
- 3) EXAMINE THE RELATION AMONG GOALS
- 4) EVALUATE THE RELATIVE IMPORTANCE OF DIFFERENT GOALS
- 5) MAKE FORMAL GOALS STATEMENTS

*STEP 1:  
ESTABLISH  
THE ISSUES*

3.6 Issues are topics of concern to a group of people. They express the collective problems, needs and desires which people think they can do something about. (An individual's problems or needs do not become issues until they become the concern of a group.)

We say, for example, that "the economy" is an issue because economic problems beset us all and because there are identifiable problems and concerns which we hope can be addressed.

In any community, there will be a variety of issues of general

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<sup>1</sup>Adapted from R. C. Young, "Goals and Goal-Setting," American Institute of Planners Journal, XXXII (March 1966), 76-85.

concern to all citizens and others which are peculiar to particular segments of the community. Some issues will be fairly apparent, while others will emerge only as citizens are brought together for the express purpose of defining their concerns.

Let us assume that community officials or other groups have embarked on the process of developing a set of goals and objectives. The initial task will be to get the citizens of the community intensely involved in the process of identifying issues.

A group of citizens (including city officials) who will take prime responsibility for the planning process needs to be established at the outset. The first task of this group will be to schedule a series of public meetings. (Several will be necessary in order to elicit a sufficiently wide range of issues.) General meetings should be held at times convenient for people in the particular area and at a central location. Some meetings may be held in conjunction with the gathering of church groups, service clubs, and other community organizations. (Often, these groups will provide workers to help contact people in the community at large.)

At the meetings, people may be simply asked to list the town's problems and needs or to state what they want the town to be. There are, however, a variety of ways to spark interest and increase involvement.

In one community people were given cameras and film and told to take pictures of things which they disliked or liked about their

town. At the subsequent meetings, slides were shown to the whole group, making the variety of problems visible to all. Other techniques include asking the participants to collaborate on drawing a map of the town or a neighborhood, role playing ("What would you do if you were on the city council?"), and writing "scenarios" (likely descriptions of the future).

(See Worksheet 3.1 on development of community issues.)

In addition to public meetings, other information techniques may be required, including survey forms and personal interviews.

Surveys and interviews often involve sophisticated methods of administration and interpretation, though simplified forms may be used at this stage of the process.<sup>2</sup>

Whatever techniques are used, the results will often be a long list of "gripes" and vaguely defined "hopes." The next task is to translate these into issues under common areas of concern. Let us take some random complaints and expressions of approval from one community's list:

#### Dislikes

- 1) not enough for teenagers to do;
- 2) poor streets in my neighborhood;
- 3) not enough jobs for young adults in town;
- 4) taxes are too high;
- 5) old people must travel too far for medical care;
- 6) not enough parking downtown;

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<sup>2</sup>Charles H. Backstrom and Gerald Hursh, Survey Research, Evanston, Illinois, 1963.

- 7) my children have to cross the highway to get to school,  
and there are no traffic signals;
- 8) there are too many old buildings and houses which are  
dangerous or unsightly.

#### Likes

- 1) being able to know most of the people in town;
- 2) quiet neighborhood streets;
- 3) being close to members of my family;
- 4) it's easy to go fishing and hunting;
- 5) good schools
- 6) people will help you if you're in need;
- 7) the town has a sense of history.

The above represents an arbitrary listing of some of the likes and dislikes gathered in one town. Some may be shared by a large number of citizens, while others may be unique to particular groups and individuals. Behind this list lies a fairly complex set of community issues. Determining what these issues are will require that the basic set of complaints and expressions of approval be sorted into categories. Since this task will be time-consuming, it is suggested that an issue committee be formed, composed of people in the community who are knowledgeable and who can represent different community interests (the young, the elderly, minority groups, etc.).

The following is a list of issue categories which will help in translating the specific statements about the community into statements of issues.

### Issue Categories

- 1) Economic
- 2) Fiscal (i.e., public financing)
- 3) Health and safety
- 4) Local government
- 5) Social
- 6) Cultural

Depending on the particular circumstances of a community, the likes and dislikes of its citizens will fall into different categories. In one community, for example, the existence of poor streets may be an economic issue because the town does not have a sufficient tax base to support a maintenance program. In another, it may be a local government issue because officials have simply been unaware of the problem. In some cases, an item on the original list may suggest several issues. For example, behind the complaint that teenagers do not have enough to do may be the issues of inadequate employment opportunity, the breakdown of social ties, the need to provide broader cultural activities (library services, etc.), and the lack of awareness on the part of local officials. At the same time, one issue may cover several different sources of complaint. The need for a higher level of community income, for example, may be responsible for the complaints about health care, taxes, and traffic safety.

The issues need to be stated in terms of needs to be addressed or desires which may be fulfilled. Below is one possible arrangement

of the issues suggested in the previous listing of likes and dislikes.

## CATEGORIES AND ISSUES

### Economic

1. Unemployment for certain population categories
2. Insufficient tax base to finance improvements to streets and other municipal facilities
3. Not enough community income to finance adequate housing

### Fiscal

1. Unfair or outmoded taxation procedures
2. Doubt about who should pay for improvements (private enterprise; local government, federal or state funding sources; etc.)

### Health and Safety

1. Inadequate provision of health care
2. Unsanitary or unsafe living conditions
3. Need to improve traffic safety

### Local Government

1. Lack of knowledge by local officials of some community problems
2. Lack of authority to set community standards in housing, etc.

### Social

1. Problems of meeting the needs of the elderly
2. Breakdown of traditional social ties
3. Increase in leisure time
4. Preservation of community and family ties

### Cultural

1. Need to provide broader cultural activities in a society of leisure and mass communication

2. Enhance the aesthetic quality of the community
3. Preserve the historical character of the town

The above is a set of issues which might be at the basis of the likes and dislikes listed previously. In an actual case, it will probably require several meetings between the community's leaders and other citizens to determine the range of possible issues.

Once this is accomplished, a basis will exist for developing goals which reflect community problems and community values.

*STEP 2:*  
*SET*  
*PRELIMINARY*  
*GOALS*

3.7 In determining issues, a community has to identify the needs and desires of a broad spectrum of its citizens. As this task is accomplished, the second phase, the process of setting preliminary goals, will likely have already started. (Discussion of needs and desires naturally leads to discussion of possible actions.) Hopefully, the general values of the community will become apparent as issues are discussed, and a wide range of choices will be suggested by the citizens themselves.

Let us assume, for example, that one of the primary areas of concern to a given community is economic growth. In order to establish the range of choices, the community has identified several issues relating to the economy. Among these are:

1. the need for greater employment opportunity for the unemployed or under-employed;
2. the need to be competitive with other communities for the regional market in retail goods and services;
3. the need for a higher level of both local and outside investment in the community;
4. the need to expand city services to encourage growth.

Each of these issues might be used to establish a preliminary set of goals:

1. Seek to expand the employment mix in the local economy ("employment mix" refers to the range of job types available rather than the number of jobs).
2. Encourage the state transportation agency to improve vehicular access to the community from the outlying area in the region.
3. Make the town more attractive to industry through development of an industrial park.
4. Develop a Capital Improvements Program to provide such facilities as new streets, sewer lines, etc.

The same set of issues could be met through other, alternative goals.

1. Increase the level of basic employment ("basic" refers to economic activities which bring a surplus of income to the community).
2. Encourage local merchants to enlarge their inventories and price their goods competitively.
3. Change tax structure to make investment more attractive.
4. Provide private developers with incentives (refunds, etc.) in order to encourage development.

At this stage of the process, it is useful to generate as many alternative goals as is possible, expanding the range of issues if necessary. Information on community conditions will perhaps be required in order to sharpen the issues or give specific definition to the needs addressed in the goals. (See Chapter IV, "Community Inventory.")

At some point, however, it becomes necessary to structure the community's list of goals in a formal way.

3.8 The relation of goals, values, and objectives has been discussed in sections 3.3 and 3.4. Once a preliminary set of goals has been created, based on the wants and needs of the community,

*STEP 3:  
ESTABLISH THE  
RELATIONSHIPS  
AMONG GOALS*



there are four basic questions to ask in determining their relationships.

- 1) Are any goals mutually exclusive?
- 2) Are some goals means to achieving other goals?
- 3) Do some goals impose limitations on other goals?
- 4) Are the goals stated in a way that is consistent with community values?

Examining the goals outlined in the previous section, we can see that some may be mutually exclusive. For example, changing the tax structure to make the town more attractive for industry may eliminate the possibility of financing a capital improvements program.

Other goals are clearly means goals. Creating an industrial park, changing the tax structure, and providing developers with incentives are all goals which will help accomplish the higher goal of increasing basic employment. This goal, in itself, may be the means to create a greater employment mix.

Next we can see that the whole set of goals identified under "community growth" would limit other goals. If, for example, preserving the present character of the town were important to the community, growth would necessarily have to be restricted to a slow pace.

Finally, it is important to make sure that goals are stated in a way that is consistent with community values. Combining the desire to encourage economic growth with the desire to preserve the community character might lead to a goal statement

such as the following: "We want to provide a broad and diversified economy which will increase the per capita income of local residents and strengthen the present community ties rather than fragment them."

3.9 Once preliminary goals have been established, an evaluation of their relative importance to the community is necessary. If the planning is being conducted by a specific group, such as a planning committee, a preliminary set of goals should be offered to the community for evaluation through a second set of meetings. The responsible group (planning committee, goals committee, city officials, etc.) can explain at this point the potential conflicts between goals, the rationale for determining the issues on which the goals are based, and any problems the community will have in meeting certain goals.

*STEP 4:  
EVALUATE  
THE  
RELATIVE  
IMPORTANCE  
OF GOALS*

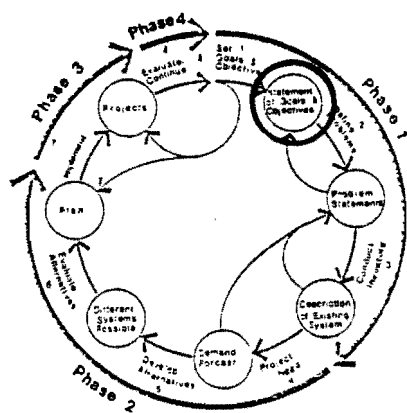
The simplest evaluation procedure involves a ranking of goals in order of importance. Since at this point, conflicts may arise between different groups, it may be necessary to mediate between one group and another. The results of these two procedures will provide a set of priorities to use in developing the formal goals statement in the community plan.

3.10 The last phase of the goals formulation process is the formal goals statement. This should not be an arbitrary listing of goals, but rather a careful explanation of the ideals which the community has established for itself. The following is a brief outline of the conditions which the final statement should meet:

*STEP 5:  
MAKE  
FORMAL  
GOALS  
STATEMENTS*

- 1) Identify the community's general goals in order of priority.
- 2) Identify the specific goal alternatives for each general goal.
- 3) Indicate which goals were considered and dropped in the course of developing the final goals statement.

It is desirable to have the final set of goals adopted by the community at large, either through public meetings or a formal referendum.



Once the community has given its approval to the final goals statement, the first major phase in the planning process is complete. The community knows where it wants to go and why it wants to get there. The next step is to translate the community's goals into concrete objectives.

### FORMULATING OBJECTIVES

#### THE PROCESS OF FORMULATING OBJECTIVES

3.11 After the formal goals statement has been made (Worksheet 3.6), appropriate objectives for each set of goals should be determined. For each goal, a set of objectives will be needed in order to move the community in the direction of the goal. (As discussed in section 3.2, goals are abstract ideals, and objectives are concrete and measurable aims to be reached within some period of time.) Because of the need to measure objectives, each objective statement must include some type of performance measure. Performance measures are used in almost every facet of life to assess achievement. A grade received in school is a performance

measure which evaluates a student's ability to complete the required work in a prescribed manner. Income that a person receives is often used as a measure of accomplishment (or performance) in a particular profession. The Environmental Protection Agency has performance standards for auto exhaust emissions that are used to evaluate the amount of emissions relative to the objective of keeping certain emissions at a specific level. A performance measure is the desired unit of change or state of accomplishment in a given time period.

The process of formulating objectives involves five sequential steps.

- Step 1. Determine the specific goal being addressed.
- Step 2. Define the objective category relating to the specific goal.
- Step 3. Determine an appropriate unit for measuring the objective category.
- Step 4. Establish performance measures for evaluating progress towards the specific goal.
- Step 5. Make an objective statement relating to the specific goal by combining steps 2 and 4.

The product of these steps for the program of isolation from employment opportunities might be:

General Goal . . . . .	"Increase Local Economic Activity"
Specific Goal . . . . .	"Increase Access to Employment Opportunities Available to Local Residents"
Objective Criteria . . . . .	"Access to Employment"
Unit of Measure . . . . .	"Number of Jobs"
Performance Measure . . . . .	"10% Increase by 1988 in the Number of Jobs Within 30 Minutes Driving Time"

*STEP 1  
DETERMINE  
SPECIFIC  
GOAL*

Each of the goals adopted by the community will encompass a number of specific problems. For each specific problem a specific goal should be determined. The specific goal will address one issue or problem covered by the general goal.

For example, the general goal might be "Increase Local Economic Activity." One of the many possible specific goals might be "Increase Access to Employment Opportunities Available to Local Residents."

It is quite possible that many specific goals will already be developed through the goal setting process discussed earlier. The specific goals can be "means" goals or any other statement that relates to improvements desired.

*STEP 2  
DETERMINE  
OBJECTIVE  
CATEGORY*

Once the specific goal has been determined, the appropriate objective category should be selected. The objective category is determined by the specific goal. The part of the specific goal that is measurable becomes the objective category.

The objective category for the specific goal "Increase Access to Employment Opportunities Available to Local Residents" would be "Access to Employment."

*STEP 3  
ESTABLISH  
UNIT OF  
MEASUREMENT*

The third step is to establish a unit of measurement for the objective category. The unit of measurement should be capable of measuring changes in the objective category and be available from existing information. The unit of measurement should come as close to

measuring actual movement towards the specific goal as possible.

Remember the values and goals that preceeded the establishment of the goals.

In the example above an appropriate unit of measurement would be the "Number of Jobs." Other units of measurement are possible, but they would not be as informative or reliable as the number of jobs.

After determining an appropriate unit of measurement for the objective category a performance measure can be determined. The performance measure is the desired unit of change or state of accomplishment in a given period of time. For illustrative purposes, the performance measures listed on the charts following have been generalized somewhat by dropping out the specific performance and time period desired. In order to be useful a performance measure must include:

STEP 4  
DETERMINE  
PERFORMANCE  
MEASURE

- 1) the unit of measurement,
- 2) the desired change (expressed as a number or percent) or state of accomplishment (expressed in nonquantifiable terms), and
- 3) a specified time period.

On the first chart, the first performance measure reads, "Change in number of jobs within a specified distance (say 30 minutes)." To make it fully satisfy the criteria above it should read "A 10% increase by 1988 of the number of jobs within 30 minutes driving time of our town."

*STEP 5 :* Once the performance measure has been established the final step  
*SET*  
*OBJECTIVE* in determining objectives is quite easy. The objective statement is obtained by combining the objective category with the appropriate performance measure.

In our example, the final objective statement would read "Increase access to the number of jobs within 20 minutes driving time to 10%, before 1988."

The final objective should state what accomplishment is intended and the performance measure appropriate to assess that accomplishment.

It may be very useful to begin the community inventory discussed in Chapter IV at the same time. An investigation of the community characteristics will help to define the nature of objectives and performance measures needed before the assessment of alternatives and determination of need for further studies, can be determined.  
(Chapter V)

GOAL    CATEGORY <u>ECONOMIC ACTIVITY</u>			
Objective Category	Unit of Measure	Performance Measure	Method of Calculation
1. Access to employment	Number of jobs	Change in number of jobs within a specified distance (say 30 minutes).	Count employees and job vacancies in area.
2. Employment opportunity.	Number of jobs.	Number of jobs available (by type) compared with available labor force (by type).	Employment by type = $\frac{\text{available jobs}}{\text{labor force}}$
3. Economic base (a)	Dollars per 1000 population.	Change in the dollar value of retail sales per 1000 population.	$\frac{\text{retail sales}}{\text{city population}} \times 1000$
4. Residents' income	Dollars per capita.	Change in per capita income	$\frac{\text{community income}}{\text{total population}}$
	Dollars per household.	Change in household income	$\frac{\text{community income}}{\text{total number households}}$
5. Unemployment (b)	People (by skill type).	Change in number people of people without jobs	$100 - \frac{\text{number employed}}{\text{labor force}}$

#### References

- (a) Lyndon B. Johnson School of Public Affairs, An Introductory Set of Community Indicators, Austin: University of Texas, Spring 1973.
- (b) Schaenman, P. S., and Muller, T., "Land Development: Measuring Impacts" in Scott, R. W., et al., Management and Control of Growth, Washington, D.C.: Urban Land Institute, 1975, Volume II, p. 494.



**GOAL CATEGORY** HEALTH AND SAFETY

Objective Category	Unit of Measure	Performance Measure	Method of Calculation
1. Access to emergency medical facilities	Miles, minutes	Amount of time/distance to nearest emergency medical facility	Make trial run to the nearest facility
2. Highway design	Number of accidents by type	Number and type of accidents occurring at a particular location in a specified time period	Count number of accidents in last year at a particular location
3. Public transportation	Number of accidents by type/time	Number of accidents (by type) on a particular mode in a specified time period	Number of accidents in last year.
4. Pollution a) air	1. Amount of noxious gas in the air (particulates per million) 2. Frequency of lung cancer 3. Number of eye ailments	1. Change in the amount of noxious gas 2. Change in frequency of lung cancer 3. Change in number of eye ailments	

**GOAL CATEGORY** HEALTH AND SAFETY

Objective Category	Unit of Measure	Performance Measure	Method of Calculation
4. Pollution (continued) a) water  b) water  c) noise/vibration	1) BOD 2) suspended solids 3) amounts of chemical waste  decibel (db)	1) change in capability of water to support plant/animal life 2) change in clarity of water 3) change in odors perceived  change in db level	
5. Communicable disease index (a)	Number of cases reported of VD, TB, Hepatitis per 100 population	Change in cases reported, percent change	$\% = \frac{\# \text{ cases previous yr.}}{\# \text{ cases this yr.}}$
6. Infant mortality (a)	Number of deaths of children under 1 year per 100 births	Change in number of deaths per 100 births	$\frac{\# \text{ deaths}}{\# \text{ births}} \times 100$

(a)

GOAL CATEGORY PUBLIC FINANCE

Objective Category	Unit of Measure	Performance Measure	Method of Calculation
1. Government fiscal flow (b)	Local revenues (dollars) Local expenditures (dollars)	Net change in flow of revenues and expenditures	(revenues) - (operating expenses and capital costs amortized) = net flow
2. Property value	Assessed property value (dollars)	Change in assessed property value (%) from last year to present	% change = $\frac{\text{property value last year}}{\text{property value this year}}$

(b)

GOAL CATEGORY <u>LOCAL GOVERNMENT</u>			
Objective Category	Unit of Measure	Performance Measure	Method of Calculation
I. Sense of community a) participation in voting (a)	Percentage of eligible voters participating in local election	Percentage of local voters participating compared with percentage of voter participation in state/national election	$\frac{\text{registered voters}}{\text{voter turnout}} = \%$
	b) satisfaction with local government	Percentage of voters against incumbents	$\frac{\text{votes for}}{\text{number of voters}} = \%$ for
	c) involvement with local decision-making	Number of people attending public meetings	$\frac{\# \text{ people last meeting}}{\# \text{ people this meeting}}$

(a)

GOAL CATEGORY <u>SOCIAL</u>				
Objective Category	Unit of Measure	Performance Measure	Method of Calculation	
1. Participation in activities a) among neighbors	Number of people conversing, playing, eating together.	Change in number of people interacting in a specified time and place	Count number of interactions - compare two time periods	
	b) in community activities	Number of people attending community functions, i.e., baseball games, picnics, fund raising, etc.	Change in number of people participating from one time period to another	Count number of participants at two different occasions - compare.
2. Housing conditions a) vacancy rate (a)	Number of houses unoccupied at a particular time	Change in number of unoccupied houses	$\frac{\# \text{ vacant \& abandoned units}}{\text{total \# of housing units}}$	
	b) median assessed value (a)	assessed value (dollars)	Change in median assessed value	$\frac{\text{total single family home value}}{\text{number of units}}$
	c) supply relative to demand (b)	Number and type of housing units in various price classes	Change in number and type of housing units relative to the demand, i.e., income class of community residents	By price/income category: $\frac{\text{Number houses costing } \geq 2.5 \times \text{income level}}{\text{Number people in income class}}$

(a)

(b)

**GOAL CATEGORY** SOCIAL

Objective Category	Unit of Measure	Performance Measure	Method of Calculation
3. Education level a) expenditures	Dollars per pupil	Comparison of dollar expenditure per pupil with state average and other communities	$\frac{\text{school budget (dollars)}}{\text{total pupils}}$
b) high school graduates	Number with high school diploma	Percentage of high school graduates compared with state average	$\frac{\text{Number of high school graduates}}{\text{total population over 18}}$

GOAL CATEGORY CULTURAL

Objective Category	Unit of Measure	Performance Measure	Method of Calculation
1. Access to cultural events	Number of cultural events	Change in number of events occurring within 30 min. of community, by type.	Count number of events per year/month.
2. Attendance at cultural events	Number of people attending	Number of people attending as a percentage of capacity crowd	$\% = \frac{\# \text{ attending}}{\text{capacity (\#)}}$

WORKSHEET 3.1  
COMMUNITY LIKES AND DISLIKES

This worksheet has two categories (Likes and Dislikes) that you can use to organize specific feelings you have about your community. In the likes category should go all the aspects of your community that you would like to preserve. In the dislikes category, list all of the aspects of your community that you would like to see changed.

Likes

Dislikes

Name of interest group or individual \_\_\_\_\_



## WORKSHEET 3.2

### CATEGORIZATION OF COMMUNITY ISSUES

Group the various issues (disregard the "likes" and "dislikes" categorization for now) under some list of issue categories. These categories might be the following:

Economic issues:

Fiscal issues:

Health and Safety issues:

Local government issues:

Social issues:

Cultural issues:

Transportation issues:

## WORKSHEET 3.3

### SET PRELIMINARY GOALS

For each issue category set preliminary goals that might remedy the problem or enhance the community characteristic you wish to preserve (Chapter IV, Section 21, has some **s**uggestions concerning the development of alternatives.

Economic issues:

Fiscal issues:

Health and Safety issues:

Local government issues:

Social issues:

Cultural issues:

Transportation issues:

## WORKSHEET 3.4

### EXAMINE THE RELATIONSHIP AMONG GOALS

This time ignore the issue categories and try to answer the questions posed on pages 3-16. This step should narrow the number of feasible goals - somewhat.

- 1) Are any goals mutually exclusive? Is there a way that these goals may be restated so that they complement each other?
  
  
  
  
  
  
  
  
  
  
- 2) Are some goals means to achieving other goals? (these goals may be used as objectives later) State the end goals.
  
  
  
  
  
  
  
  
  
  
- 3) Do some goals impose limitations on other goals? What are the limitations? Should the limitations be observed or disregarded?
  
  
  
  
  
  
  
  
  
  
- 4) Are the goals stated in a way that is consistent with community values? If not, can they be restated?

## WORKSHEET 3.5

### RANKING PRELIMINARY GOALS

Rank the goals in order of their importance to the community.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

## WORKSHEET 3.6

### FINAL GOALS STATEMENT

The final goals statement should include all the goals that the community desires that appear to be feasible relative to each other. These goals may be organized in categories as before or set up in a priority hierarchy.

Worksheet 3.7  
Establishing Objectives

GOAL CATEGORY _____			
Objective Category	Unit of Measure	Performance Measure	Method of Calculation

Worksheet 3.7  
Establishing Objectives

GOAL CATEGORY _____			
Objective Category	Unit of Measure	Performance Measure	Method of Calculation

CHAPTER III. APPENDIX  
COMMUNITY GOALS AND PUBLIC POLICY



## APPENDIX

### COMMUNITY GOALS AND PUBLIC POLICY

#### INTRODUCTION

Public policy set at higher levels of government often determines which alternatives for achieving community goals are feasible. Small towns may depend heavily on outside funding for local projects. Public policy as voiced through legislative acts and agency regulations affects the availability of funds for local projects. Local officials, then, should be knowledgeable about public policy and its effects on the funding of local projects.

This appendix identifies some federal programs which can help small towns achieve their goals by providing funds for local projects; the appendix also discusses some general requirements of federal programs. The appendix follows the outline below.

- I. Federal Programs (discussed by areas of community goals)
  - A. Economic Development
  - B. Recreational Development
  - C. Community Development
- II. Program Requirements
  - A. Funding Arrangements
    - 1. Grants
      - a. Revenue Sharing
      - b. Matching Funds
    - 2. Loans
      - a. Government Loans
      - b. Loan Guarantees

- B. Agreement of Local Projects and Regional Goals
  - 1. Regional Planning Councils
  - 2. A-95 Review
  - 3. Regionalization of Facilities
- C. Environmental Protection
  - 1. Environmental Impact Assessment
  - 2. Environmental Quality and Growth Policy

Further information on federal programs can be obtained from the Catalogue of Federal Domestic Assistance published by the Government Printing Office. It describes Federal programs, presents eligibility criteria, and lists program requirements. Throughout the appendix, CFDA (Section No.) will be used to reference full descriptions of programs mentioned in this text.

## FEDERAL PROGRAMS

### Economic Development

The federal government has shown an interest in the economic problems of rural areas. Under provisions of the Public Works and Economic Development Act of 1965 the federal government has identified areas throughout the nation with lagging economic development. These areas have been designated Economic Development Areas. Communities in these areas are eligible for economic development assistance. Among the programs authorized under this Act are:

- 1. Grants and loans for the construction of community facilities (CFDA, 11.300)
- 2. Loans for business development (CFDA, 11.301)
- 3. Planning grants (CFDA, 11.302)
- 4. Technical assistance (CFDA, 11.303)

These programs are administered by the Economic Development Administration of the Department of Commerce.

In addition, the Rural Development Act of 1972 provides for economic development assistance to communities in rural areas throughout the United States. Among programs authorized under this Act are:

1. Loans for the construction of community facilities (CFDA, 10.423);
2. Grants for industrial development (CFDA, 10.424); and,
3. Loans for business and industrial development (CFDA, 10.422).

These programs are administered by the Farmers Home Administration of the Department of Agriculture.

Small communities may want to form Community Development Organizations to coordinate economic development efforts. Grants for these organizations are available through the Community Services Administration. (See Community Economic Development Project, CFDA, 49.011.)

#### RECREATIONAL DEVELOPMENT

Residents of many small towns may wish to develop nearby recreational facilities to increase recreational and tourist activity in their areas. Improved recreational potential may also make many towns more attractive to new residents and to industry.

Several federal programs provide assistance to local communities for the development of recreational facilities. The Land and Water Conservation Fund Act of 1965 established a fund for the planning and construction of outdoor recreation facilities. Local governments may apply through a designated State Outdoor Recreation Planning Agency

(usually a branch of the State Parks Department) for grants from the Bureau of Outdoor Recreation of the Department of the Interior.

These grants from the established fund under the 1965 Act can provide up to 50% of the total costs of approved projects. (CFDA, 15.400)

The Rural Development Act of 1972 provides for recreational facility loans to farm and ranch owners. This program is administered by the Farmers' Home Administration, Department of Agriculture. (CFDA, 10.413)

Recreational facilities may be developed as part of broader programs of resource conservation or flood prevention. The Soil Conservation Service, Department of Agriculture, provides grants to local governments and authorized agencies for recreational development in conjunction with watershed protection and flood prevention (CFDA, 10.904). The Farmers' Home Administration provides loans to local governments or agencies for resource conservation and development. Recreational development is included as an allowed use for these funds (CFDA, 10.414). In addition, Bureau of Reclamation and the U. S. Army Corps reservoir projects usually include the development of recreational facilities.

Recreational development is a permitted use of surplus federal land sold, leased, or transferred to local governments and agencies. The General Services Administration (CFDA, 39.002) and the Bureau of Land Management, Department of the Interior (CFDA, 15.202) operate programs which oversee transfers of surplus lands.

## COMMUNITY DEVELOPMENT

The quality of public services is vital for the well-being of small communities. Small towns may wish to improve housing, health care, education, local streets and roads, utility systems, or water and sewer systems as a major component in an overall program to raise the quality of life in their communities. This has the dual benefit of making life better for present residents and making the town more attractive to new residents and businesses.

There are several federal programs which provide assistance to local communities in their efforts to improve community services:

1. Grants and loans for the construction of community facilities, including transportation and traffic control facilities (CFDA, 11.300).
2. Loans for the construction of community facilities (CFDA, 10.423).

The table below summarizes other federal programs providing community development assistance.

COMMUNITY SERVICE	TYPE OF ASSISTANCE	ADMINISTERING AGENCY	CFDA REFERENCE
Housing	Loans/Loan Guarantees for repair & construction	FHA (Dept. of Agriculture -and- Dept. of Housing & Urban Development)	10.407, 10.410, 10.411, 10.415, 10.417, 10.420, 14.108, 14.121, 14.143, 14.144
Water/waste waster systems	Grants/Loans	FHA	10.418
Emergency Medical Services	Grants	Health Services Administration Dept. of Health, Education & Welfare	13.284
Fire Protection			10.662

## PROGRAM REQUIREMENTS

Federal grants under some programs impose an extensive set of specific requirements which local projects must satisfy. Federal agencies are not likely to approve the grant applications of cities which might not be able to fulfill requirements.

## FUNDING ARRANGEMENTS

### Grants

Revenue Sharing. Revenue sharing was conceived as a program to ease federal regulations on funds distributed to states and local governments. Under general revenue sharing the federal government returns a percentage of tax revenues to local governments to spend as the local governments see fit. Under special revenue sharing the monies are turned back to be spent for a specified purpose. There are fewer requirements for these funds than for grants to local governments under non-revenue sharing programs.

Matching Funds. Other programs will require state and/or local governments to bear a share of the project cost. These programs require matching funds. Sometimes a local share required under one federal program may be provided by grants from a state program or another federal program.

### Loans

Some programs require repayment of the funds provided to local governments or individuals. In some programs a government agency will loan money to the local borrower and repayment will be made to

the agency. These loans are known as government loans. In other programs the funds will be provided by and repayment made to a private lender, but a government agency will insure repayment. These programs involve loan guarantees.

## AGREEMENT OF LOCAL PROJECTS AND REGIONAL GOALS

### Regional Planning Council

One aspect of federal programs which will have a major influence on small communities is the requirement that local projects advance regional goals. In the Housing and Urban Development Act of 1965, Congress authorized states to establish regional planning councils and provided federal funds to finance regional planning. Each state is divided into many regions with a centrally located regional council for each area. These councils develop plans for their regions and guide local projects (many of which are federally funded) toward attainment of regional goals.

### A-95 Review

OMB circular A-95, issued by the Office of Management and the Budget, sets up a review and comment procedure for regional councils to evaluate local grant applications. Regional councils review local applications and send comments to the federal agency as to each project's conformance with regional plans; the comments are part of the application and are evaluated by the federal agency along with all other relevant factors in approving or disapproving a funding request.

In practice, favorable comment by a regional council is helpful to a local government in acquiring approval by federal agencies for funding requests. The review and comment function can be expanded to include co-operative planning. Local governments might seek the advice of a regional council prior to the actual filing of an application to insure favorable comments.

Within the framework of present regional planning, local communities will likely have to cooperate with each other. Working within a regional planning council, they can establish regional goals to insure that every community's needs are given full consideration within a regional context.

Cooperation between local governments and regional councils has occasionally been difficult, however. The councils are made up of elected officials from local governments within a region, and the views of these officials may differ as to what would be a region's goals. This is especially true if the communities within a region are quite varied (such as in a region based on one urban community with several much smaller surrounding communities). There may be substantial differences between concerns of individual communities and the best interests of the region.

#### Regionalization of Facilities

An out-growth of this emphasis on regional goals has been a federal policy to encourage regional facilities in such areas as health care and water and sewage treatment. Regional councils generally support this policy in their A-95 review and comment functions. This new direction in federal policy means that funds will not be readily



available for small scale projects serving only one community. A small town will be more successful in obtaining federal funds for hospital construction if it cooperates with other communities in its region with the same need. A regional facility at a central location which serves the residents of several communities will more likely be approved for federal funding than one facility serving only one community.

#### Environmental Protection

The National Environmental Protection Act of 1968 requires an environmental impact assessment of projects involving federal funds. In addition, some states have passed similar legislation concerning projects involving state funds. For example, a local project involving federal funds in the construction of a highway interchange will require an Environmental Impact Statement addressing issues of environmental impact such as:

1. What will be the effect of an interchange on local drainage patterns both during construction and upon completion?
2. How much will the interchange increase traffic volumes and noise levels in the vicinity?
3. Will construction of the interchange affect the visual quality of the area through the destruction of trees or other natural features?

4. Will construction of the interchange affect the social fabric of the area through the destruction of historic landmarks, the destruction of home and business sites, or creation of undesirable land use changes?

#### Environmental Protection and Growth Policy

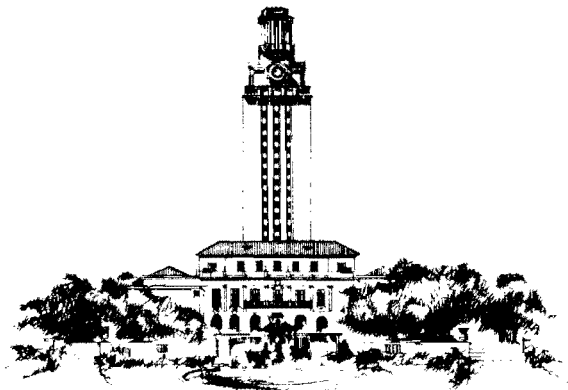
Federal efforts to protect the environment have also resulted in proposed guidelines by the Environmental Protection Agency to redirect growth away from areas with present pollution problems. As a result, a community will need to examine pollution levels in its own area to determine whether it can absorb pollution from further industrial development and still stay within the federal guidelines. Some small communities may find these policies a boost to their economic development because industries may have to move away from "dirty" cities to "clean" rural areas.

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