

Barry Cullingworth and Roger W. Caves

planning in the usa

policies, issues, and processes

fourth edition



PLANNING IN THE USA

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Barry Cullingworth and Roger W. Caves

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PLANNING IN THE USA

This extensively revised and updated fourth edition of *Planning in the USA* continues to provide a comprehensive introduction to the policies, theory, and practice of planning. Outlining land use, urban planning, and environmental protection policies, this fully illustrated book explains the nature of the planning process and the way in which policy issues are identified, defined, and approached.

This full color edition incorporates new planning legislation and regulations at the state and federal layers of government, updated discussion on current economic issues, and examples of local ordinances in

- a new chapter on planning and sustainability;
- a new discussion on the role of foundations and giving to communities;
- a discussion regarding the aftermath of Katrina in New Orleans;
- a discussion on deindustrialization and shrinking cities;
- a discussion on digital billboards;
- a discussion on recent comprehensive planning efforts;
- a discussion on land banking;
- a discussion on unfunded mandates;
- a discussion on community character;
- a companion website with multiple choice questions, and downloadable tables and figures from the book.

This book gives a detailed account of urbanization in the United States and reveals the problematic nature and limitations of the planning process, the fallibility of experts, and the difficulties facing policy-makers in their search for solutions. *Planning in the USA* is an essential book for students, planners, and all who are concerned with the nature of contemporary urban and environmental problems.

Barry Cullingworth was Emeritus Professor of Urban Affairs and Public Policy at the University of Delaware, and held posts at the universities of Manchester, Durham, Glasgow, Birmingham, Toronto, and Cambridge.

Roger W. Caves is a Professor of City Planning at San Diego State University (SDSU).

"This updated edition improves upon an already great planning textbook. Cullingworth and Caves, once again, provide a thorough, unbiased and high-quality overview of the most important debates in the field with sufficient depth and detailed information to give students entree to the actual practice of planning. The newly added sections on the impacts of Hurricane Katrina, shrinking cities, and sustainability expand the appeal and utility of this text in a variety of classroom settings."

Harley F. Etienne, *Assistant Professor of Urban and Regional Planning, Taubman College of Architecture and Urban Planning, University of Michigan.*

This excellent and comprehensive text serves as an introduction to the field and practice of urban planning. It is exceedingly useful in public administration courses that focus on the complexities of managing urban environments. Like previous editions, authors Cullingworth and Caves address contemporary topics, policy advancements and new challenges of the profession in an understandable and insightful discussion. Topic themes are clearly presented and make this book a great choice for teaching undergraduate students."

Marie R. Wong, Ph.D., *Associate Professor, Institute of Public Service, Seattle University, USA.*



A range of further resources for this book are available on the Companion Website: www.routledge.com/cw/cullingworth.

To Betty Cullingworth and Carol Caves

Our work would not have been possible without their love and support

Preface

This book has two objectives. First, it is intended to give an outline of policies relating to land use, urban planning, and environmental protection. Second, it aims to provide an introduction to the policy-making process in these fields. The central concern is with the way in which policy issues are identified, defined, and approached. The coverage of the book is wide: it includes the nature and limitations of planning and governance, land use regulation, the quality of the environment, growth management, transportation, housing, and community development, as well as an extensive discussion of current environmental issues. The focus is on the problems facing policy-makers in their search for solutions (though the term 'resolutions' is preferred). It also discusses the difficulties of separating facts and values. This is particularly clear with environmental issues where even 'experts' are protesting that their expertise is limited, and that questions of 'risk' have no scientific answers. It is now widely accepted among scientists that determining acceptable degrees of risk is a matter for public policy, not for science. Such professional modesty is increasingly apparent in the professions dealing with environmental hazards, but it is also growing in the professions concerned with urban and land use planning issues. It is against this background, together with an associated mistrust of government that public involvement in the planning process takes on a new meaning.

The first edition of *Planning in the USA* was written while Barry was at the Department of Land Economy at the University of Cambridge, England. This

deprived him of the direct help of numerous American colleagues. Some helped him to overcome the problems of distance by sending contemporary materials and even by commenting on draft chapters. Federal and state officials were particularly helpful in responding to the constant barrage of transatlantic letters. All this direct assistance has been supplemented by many who have unknowingly helped him through their writings: the wide coverage of this book implies a huge debt of gratitude.

Barry passed away on February 6, 2005. He leaves a legacy of great works in planning and public policy. As an academic and government consultant, Barry offered everyone a clear understanding of complex issues. The education of planners and public officials continues to be greatly influenced by Barry's writing. He had a unique way of synthesizing a lot of material and discussing it in a clear and understandable fashion. I was honored when he asked me to help him update *Planning in the USA, second edition*. I hope I have continued his legacy in the later editions and that he would like this new, fourth edition.

I would also like to thank Marisa Mangan, Gabriela Fernandez, Aubrey Smith, Michael Viglione, and Afshin Atapour for their research on sustainability, formulating questions, and gathering helpful website information used for all of the chapters.

Roger W. Caves
Professor of City Planning
San Diego State University

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Acronyms and abbreviations

Though acronyms abound in the planning and (even more so) environmental fields, they have been largely avoided in this book: they are confusing and frequently difficult to remember. Nevertheless, they are useful on occasion and, in any case, readers who follow up the references will soon find themselves immersed in them. Hence the following list may be helpful.

ACHP	Advisory Council on Historic Preservation	CARB	California Air Resources Board
ACIR	Advisory Commission on Intergovernmental Relations	CCC	California Coastal Commission
ACSC	area of critical state concern (Florida)	CDBG	Community Development Block Grant
ADU	accessory dwelling unit	CDC	community development corporation
AICP	American Institute of Certified Planners	CEQ	Council on Environmental Quality
APA	American Planning Association	CEQA	California Environmental Quality Act
ARM	adjustable rate mortgage	CERCLA	Comprehensive Environmental Response, Compensation and Liability Act 1980 (Superfund)
ARRA	American Recovery and Reinvestment Act of 2009	CFCs	chlorofluorocarbons
ATIS	Advanced Traveler Information System	ChemSTEER	Chemical Screening Tool for Exposures and Environmental Releases
BART	Bay Area Rapid Transit	CLG	Certified Local Government
BRAC	Base Realignment and Closure Commission	CLUG	Community Land Use Game
BRIDGE	Bay Area Residential Investment and Development Group (San Francisco)	COAH	Council on Affordable Housing
CAA	Clean Air Act	COG	Council of Government
CAC	citizen advisory committee (Oregon)	CZMA	Coastal Zone Management Act
CAD	computer-aided design	DenverGIS	Denver Geographic Information Systems
CAP	citizens' alternative plan (Seattle)	DDT	dichloro-diphenyl-trichloroethane
		DOT	Department of Transportation
		DRI	developments of regional impact (Florida)
		DSS	Decision Support System
		DTI	debt-to-income ratio
		EA	environmental assessment
		EC	enterprise community
		EDF	Environmental Defense Fund
		EHLP	Emergency Homeowner's Loan Program

EIR	Environmental Impact Report (California)	MEPAS	Multimedia Environmental Pollutant Assessment System
EIS	environmental impact statement (NEPA)	MPDU	moderately priced dwelling unit
EPA	Environmental Protection Agency	MPO	Metropolitan Planning Organization
ESA	Endangered Species Act	MULTIMED	Multimedia Exposure Assessment Model
ESG	Emergency Shelter Grant	NCCED	National Congress for Community Economic Development
EZ	enterprise zone/empowerment zone	NCCP	Natural Community Conservation Planning (California)
FBC	form-based codes	NEJAC	National Environmental Justice Advisory Council
FHA	Federal Housing Administration	NEPA	National Environmental Policy Act
FHWA	Federal Highway Administration	NH GRANIT	New Hampshire Geographically Referenced Analysis and Information Transfer System
FONSI	finding of no significant impact (NEPA)	NHPA	National Historic Preservation Act
FTA	Federal Transit Administration	NIMBY	'not in my backyard'
GAO	General Accounting Office	NIMTOO	'not in my term of office'
GIS	geographic information system	NPDES	National Pollution Discharge Elimination System
GHG	greenhouse gas	NPL	National Priority List (hazardous waste sites)
GPO	Government Printing Office	NRC	National Research Council
GSE	Government-Sponsored Enterprise	NRHP	National Register of Historic Places
HAMP	Home Affordable Modification Program	NTHP	National Trust for Historic Preservation
HARP	Home Affordable Refinance Program	OTA	Office of Technology Assessment
HCFCs	hydrochlorofluorocarbons	PAB	Planning Accreditation Board
HCP	Habitat Conservation Plan	PBF	public benefit features (Washington)
HOPE	Homeownership and Opportunity for People Everywhere	PCBs	polychlorinated biphenyls
HOPWA	Housing Opportunities for Persons with AIDS	pH	[measure of acidity]
HOV	high occupancy vehicles	PRP	potentially responsible party (hazardous waste)
HTF	housing trust fund	PUD	planned unit development
HUD	Department of Housing and Urban Development	RC	Renewal Community
ISTEA	Intermodal Surface Transportation Efficiency Act	RCA	regional contribution agreement
ITP	incidental take permit	RCRA	Resources Conservation and Recovery Act
ITS	Intelligent Transportation System	REAP	Rural Economic Area Partnership
LESA	land evaluation and site assessment	SANDAG	San Diego Association of Governments
LIHTC	Low Income Housing Tax Credit	SanGIS	Sán Diego Geographic Information Source
LOS	level of service standards (Florida)		
LUBA	Land Use Board of Appeals (Oregon)		
LULUs	locally unwanted land uses		
MEGIS	Maine Office of Geographic Information System		

SAUS	<i>Statistical Abstract of the United States</i>	TIF	Tax Increment Financing
SCPEA	Standard City Planning Enabling Act	TIP	transportation improvement program
SCS	Sustainable Communities Strategy	TMA	transportation management area
SHPO	State Historic Preservation Office	TOD	transit-oriented development
SIP	state implementation plan (clean air)	TRI	Toxics Release Inventory
SMSA	standard metropolitan statistical area	TSCA	Toxic Substances Control Act
SOV	single occupancy vehicle	TSD	treatment, storage and disposal facility
SSZEA	Standard State Zoning Enabling Act	UDAG	Urban Development Action Grant
TDC	transfer of development credits	UGB	Urban Growth Boundary (Oregon)
TDM	transport demand management	USGS	United States Geological Survey
TDR	transfer of development rights	VOC	volatile organic compound
TEA-21	Transportation Equity Act for the Twenty-First Century	YIMBY	'yes in my backyard'
		ZBA	Zoning Board of Appeals

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