

A PROCESS FOR DEFINING
THE REGIONAL ROLE IN THE
PORTLAND METROPOLITAN AREA

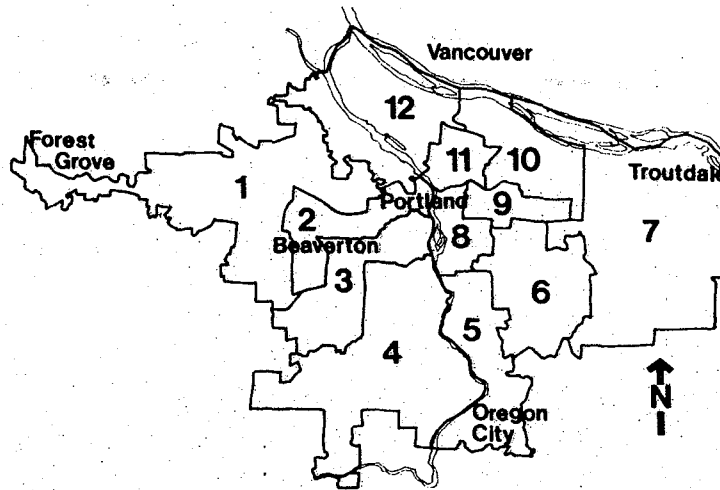
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I. INTRODUCTION AND SUMMARY

This paper has been prepared to provide a process for defining and clarifying the regional role in the Portland metropolitan area. Each level of government has exclusive or shared responsibility for providing a variety of public services. However, the sorting of functions has been an ongoing source of anxiety. The issue of proper local and regional roles has been in dispute since the first regional councils were formed. The question of proper local and regional roles is especially timely, with the consolidation of the Columbia Region Association of Governments (CRAG) and the Metropolitan Service District (MSD), creating a new governmental structure at the regional level.

Exploration of the issue was initiated toward solving several unsatisfactory conditions. First, the CRAG Board has shaped the regional role through responding to its mandates and considering issues on a case-by-case basis. This incremental approach has resulted in lack of a clear agency mission and a piecemeal evolution of regional responsibilities. Second, lack of clear roles has led in some instances to a climate of distrust and misunderstanding between special districts, local jurisdictions and CRAG. Third, without a concise statement of responsibilities, expectations of the regional agency are often unrealistic.

In recognition of the need to sort local and regional responsibilities, the CRAG staff initiated research on alternative approaches to delineating roles in April, 1978. Based on this research a discussion paper titled "A Process for Defining the Regional Role in the Portland Metropolitan Area" was prepared. The paper outlines a process for evaluating existing and potential functions to determine what is dealt with most appropriately at the regional level.

The process was discussed with local planners and presented to the CRAG Board in July, 1978. To further refine the process and test its applicability, a small working group of local planners was convened. The group met several times to fine-tune and simplify the approach to defining the regional role. The product of this six month effort, including modifications suggested by the local planners involved, is a process for sorting local and regional functions. The revised and simplified process was approved by the CRAG Board in November, 1978 to be used for the following purposes:

1. To evaluate existing regional responsibilities.
2. To determine appropriate regional involvement in proposed programs and policies.
3. To delineate local and regional responsibilities for formulating work programs and budgets.
4. To meet requirements of Chapter 665, Oregon Laws 1977 Section 18 to "define and apply a planning procedure which identifies and designates areas and activities having significant impact upon the orderly and responsible development of the metropolitan area."

It is anticipated that through use of the approved process the intentions of the regional agency can be made known to local jurisdictions, so that local expectations may become more realistic and more easily satisfied. The delineation of responsibilities should also provide a method for identifying regional issues and establishing regional policies. Hopefully, the sorting of functions in areas of concern will ultimately translate into a regional decision making focus and clear statement of the regional agency mission while providing for greater efficiency and effectiveness.

This paper is arranged in four major sections. First, the historical debate of what is regional is examined along with the reasons and need for defining the regional role.

Second, the influences and constraints in the process are outlined. These can be distinguished as legal mechanisms and political, economic, social and technological factors. Legal mechanisms include federal rules and regulations, LCDC rules and orders and court decisions. Influencing political, economic, social and technological considerations range from administrative capacity and economies of scale to tradition and expectations.

Third, the paper describes the Portland metropolitan area setting. Relevant legislation, the reorganized MSD and the working relationships between the regional and federal, state and local bodies are discussed.

Fourth, the CRAG Board approved process for the complex task of defining the regional role is outlined. The analysis would include the following steps:

1. Determine the function(s) to be evaluated.
2. Measure the function against the regional criteria checklist.
3. Prepare findings to include the following information:
 - a. Mandates, requirements and limitations imposed by each level of government.
 - b. Influencing social, economic, political and technological factors.
 - c. Assumptions on which decisions will be based.
 - d. Other information regarding performance levels and fiscal capacity.
4. Based on the criteria and findings, outline logical and appropriate choices for regional involvement.
5. Considering the criteria, findings and viable options, describe the most appropriate level of regional involvement.
6. Establish an implementation strategy.

While each step is detailed in the text, the criteria against which functions and their aspects are measured are a critical factor in the process. These are designed specifically to identify regional functions. The following list has not be prioritized.

A function would be considered as a potential regional responsibility if and when:

1. The benefits of the function extend beyond one jurisdiction.
2. Impacts of the function extend beyond one jurisdiction.
3. Performance at the regional level is required by the state or federal level.
4. Performance at the regional level is required for regional or local funding eligibility.
5. Efficiency can be gained through economies of scale.
6. It is in the region's interest for allocating scarce resources.
7. It is in the region's interest for protecting unique resources.
8. The geographic extent of the function requires an areawide basis for effective performance.
9. The function is an integral part of other regional plans, programs and policies.
10. Citizen participation can be maximized at the regional level.
11. A regional agency's legal, administrative, technical or technological capacities are needed to perform the function adequately.
12. A regional agency's fiscal capacity is needed to adequately perform the function.
13. There is a need for standards on an areawide basis.
14. There is a need for uniformity on an areawide basis.
15. There is a need to resolve conflicts between jurisdictions.
16. Timing of a function may adversely impact another activity.
17. The function is inter-regional in nature.
18. An areawide perspective is needed to monitor and cope with cumulative or long-range impacts.

Once determined, the statement of responsibilities will more clearly define the regional role. This statement will provide a basis for formulation of the regional work program and policies and serve as a guide to the new MSD Council as to appropriate areas of regional involvement. In the long run, this effort should result in a more effective local/regional partnership in the Portland metropolitan area.

II. AN HISTORICAL PERSPECTIVE ON DEFINING THE REGIONAL ROLE

Although several papers and books on regionalism appeared throughout the first half of this century, serious discussion of the regional role emerged in the early sixties as the need for regional cooperation was recognized. The emergence of areawide problems and the need for a method of dealing with them raised the need for a distinction between regional and local functions. An important part of the academic-practitioner dialogue regarding the need for metropolitan government focused on the appropriate functions of such agencies. Various commissions and studies throughout the country attempted to examine and report on regional issues. This resulted in a flurry of reports but none of a comprehensive or conclusive nature in terms of specific solutions to determining the local/areawide split (See 4, 11, 12, 13, 18, 26). This analysis of the need for and scope of regional councils in the sixties has been followed by a more specific attack on the issue in the seventies.

Efforts now focus almost exclusively on the detailed aspects of regional functions to the exclusion of the broader perspective of the overall regional role (See 3, 8, 14, 15). This shift in emphasis can be traced to the changing status of areawide planning organizations. In the context of the sixties, when the question was approached from a broader, more philosophical perspective, the need for such bodies was only beginning to be recognized. Those agencies in operation were of an advisory nature which considerably influenced the definition of regional in the sixties. As more COG's have been formed and accepted as a valid solution to areawide problems, attention has been diverted to the mechanics of operation.

Recently, the overall regional role has been less of an issue while the extent of regional regulation on a case-by-case basis has been debated. The approaches to identifying what is regional are numerous. One mechanism has been to define projects of regional scope which are then subject to regional review (See 6, 14). Another approach has been to identify "areas and activities of regional significance" (See 3, 21). Both approaches usually describe, in quantifiable terms, the extent of the regional interest. The primary difference is that the designation of areas and activities provides more opportunity for agency initiative while the review function is a responsive system.

In addition to use of the regional review function and designation of areas and activities of regional significance, attempts at defining the regional role have also been made through analysis of the provision of urban services. Through the application of criteria, weighting factors and a range of considerations, various studies have proposed alternatives for handling urban services, requiring a change from the existing patterns of local government. These reports are particularly useful in outlining criteria and factors for consideration in determining areawide versus local services, for example water supply or fire protection (See 13, 20, 22, 26). Their shortcoming is in neglecting the critical step of further refinement to delineate regional and local responsibilities for each service.

CRAG Consideration in the Past

As with other regional councils, CRAG has been plagued by the area-wide/local dilemma since its inception. Aside from limited direction provided by state legislation, definition of the regional role has been articulated through CRAG Board action and staff research in primarily four areas. First, adoption of Goals and Objectives in 1976 served as a broad policy statement of the regional interest in 10 subject areas. Second, the LCDC approved compliance schedule and annual work program serve as indicators of the agency's intended scope of work. Third, the regional role and interest is continuously articulated through Board policy actions. Fourth, under its authority to designate areas and activities of regional concern, the Board has adopted rules defining those issues which may be considered under that authority. Previous staff research on regional areas and activities has been extensive toward identifying the regional interest in concrete terms. This paper, however, proposes an agencywide evaluation and reconsideration of regional issues and the regional role.

MSD Consideration in the Past

In March, 1974, the Metropolitan Service District Board established an Ad Hoc Direction Committee to provide recommendations concerning a variety of subjects. Two of the committee's responsibilities were to propose a policy statement for defining the regional role and to identify metropolitan services to be performed by the agency. This was accomplished by analyzing a range of potential services against a set of criteria. The conclusions of the committee were categorized into three groups. Group One was defined as those services which should be assumed by MSD in the near future, including the zoo and regional parks and recreation. Group Two was those services that should be added in the future such as jails and libraries. Group Three services were not recommended as potential MSD functions. These included cable television, ambulance services, public housing, and regional planning (6:11-12).

Impact of MSD Reorganization

Voter approval of the reorganized MSD will strongly influence consideration of the regional role and responsibilities of the new agency. The consolidation of CRAG and MSD will bring a new governmental structure. A directly elected council will replace the current boards of local officials to build a greater public accountability. This will install a new leadership with a regional perspective which is directly accountable to the voters.

With its expanded authority the scope of the agency will be broadened. To perform effectively a regional government must carry enough responsibilities to provide a forum for balancing needs and conflicts. Depending on the functions accepted by the new council,

the agency will be quite comprehensive in nature. Beyond those activities directly by law, activities may be added with voter approval. Voter control of regional functions interjects an added dimension to defining the regional role.

Another factor influencing the regional role is expectations and perceptions. Changes in the structure and powers at the regional level will most likely bring higher expectations. In addition, wording of the revised legislation actually emphasizes the issue of the proper regional role. The statute is liberally sprinkled with reference to the new agency's responsibilities in the "metropolitan" and "local" aspects of various tasks. Finally, while the legislation is more specific in assigning regional functions, the reasons and need for defining what is regional and establishing the regional role remain.

III. CONSTRAINTS AND INFLUENCING FACTORS

Operating in the context of all other governmental agencies, the role of regional bodies is shaped, to a large degree, by actions and policies at the state and federal levels as well as through the courts. In addition, numerous political, economic, social and technological influences operate to mold the extent and type of regional involvement in various functions.

External Constraints

The influence of federal and state policies and court actions on the regional role can be very strong. Usually these forces are outside of the control of the regional agency.

Federal Direction

The federal government has been instrumental in the growth of COG's throughout the nation. Many of the incentives for the assignment and expansion of functions on an areawide basis have been through federal grant programs.

As federal areawide programs have grown in number and significance they have spawned a network of regional agencies across the country. About one-third of the various federal areawide programs are federally mandated. Optional programs usually include a financial incentive. For optional programs, the states frequently play an important role in determining regional participation. In many cases, the governor must designate an areawide agency or hold veto power over the application of a regional council for federal funding. One outgrowth of the federal approach to regionalism is the inclination of areawide agencies to focus the purpose of the agency to the packaging of federal grants. This can result in an intentional objective to get federal funds to accomplish local objectives or the unintentional building of a direct extension of the federal government into regional programs.

Aside from the direct implications to program formulation and establishment of the regional role, federal programming has sparked broader issues. The variety of geographical and organizational requirements of federal programs produce competition between regional organizations rather than coordination in seeking to qualify. Even more serious are rising expectations for regional strength. With the passage of each new federal areawide program and assignment of responsibilities to specific regional agencies, a gap grows between what is expected by local jurisdictions and what can be delivered.

State

Beyond assignment of responsibilities for various federal programs the state's part in shaping the regional role has been limited but is potentially far-reaching. The primary determinant of a regional agency's form and operation are described through legislation.

ORS 268 sets forth the duties and powers of the reorganized MSD. While in many cases it is more specific than the repealed sections of ORS 197, there is much latitude and flexibility in the new agency's authority. Should it prove necessary, it would certainly be within the legislature's power to further change or clarify the MSD's role.

Another opportunity for state involvement in the definition of what is regional is through LCDC appeals and rules. Though minor clarification of regional responsibilities has been and can be made through LCDC's rule making authority, the greatest potential for a definition of what is regional is through the appeals process. Already in the case of Sherwood vs. 1000 Friends, LCDC has determined that responsibility for establishment of an urban growth boundary rests with CRAG as the regional planning agency. Depending on appeals made, the potential exists for further state level determination of regional responsibilities.

Courts

The definition of the regional role could also be specified through court decisions. Several factors contribute to the limited potential of this as a constraint. First, most agencies avoid a court battle thus reducing the possibility of court action. Second, the type of suit which might be brought could vary widely. Last, usually the courts attempt to be narrow in the scope of decision. Unless, a case were specifically stated to question the regional role or authority in a broad sense, the decision would not likely be broadly applicable.

Influencing Political, Economic, Social and Technological Factors

In addition to the various legal and policy channels through which the definition of what is regional is set, there are a whole array of factors which contribute to shaping and forming the regional role. The weight of each consideration varies greatly from region to region but all are of some significance in influencing the ultimate determination. For discussion purposes these have been categorized as political, economic, social and technological factors.

Political Factors

Many political factors can be determinants of what is regional. Governmental structure can weigh heavily on the ability of a regional agency to assume functions and/or responsibilities. Throughout the United States, the advisory nature of most COG's is a severe limitation to the acceptable or effective assumption of certain tasks. Voluntary membership or lack of enforcement powers confine regional involvement to only the broadest issues. In the Portland area, the reorganized MSD will not have these limitations. In any areawide planning organization, the types of members plays a large

part in determining relevant issues. Whether locally elected, regionally elected or appointed, the various interests represented are strongly reflected in the role set by these decision makers. Accordingly, accountability and leadership are dependent on the governmental structure and types of members.

The jurisdiction or geographic extent of the agency determines the agency's ability to deal with certain issues. For example, boundaries bisecting watersheds and drainage basins do not enhance the feasibility of areawide pollution control or water supply planning. The strengths and weaknesses of the new MSD boundaries have not been fully assessed. A similar consideration is in the scope of the agency (12:54). The comprehensiveness of the agency and the breadth of its constituency contribute greatly to the ability to assume and effectively perform areawide tasks. Therefore, to be effective, a regional organization must carry enough responsibilities to provide a forum for balancing needs and conflicts. Thus, allocation of functions and the definition of what is regional is confined by the variety and types of functions already assumed by the agency.

Administrative capacity is another ingredient in the delineation of the regional role. The necessary imagination, skills and professional leadership must be present before undertaking a new or expanded function.

The impacts of a function are instrumental in determining its proper assignment. Where multi-jurisdictional impacts are involved, areawide governance is often logical. The same thought follows for control of those activities that may adversely impact sensitive areas or scarce resources.

This is similar to another point, that of the context of a program or issue. Regional responsibility for a function may be logical, appropriate, and/or necessary due to an interdependence with other regional programs, plans, or policies.

The degree of uniformity of standardization needed for effective performance of a function also serves as an indicator of which level should be responsible.

Economic Factors

Economic incentives and disincentives heavily influence what constitutes a regional issue. Economies of scale to be achieved can serve as a factor in identifying what level should assume responsibility. Lower unit cost with increased output encourages aggregation of common functions. The related factors of efficiency and cost effectiveness are also considerations.

As with the consideration of adequate jurisdiction or geographical scope, a function should be assigned to that agency which will enable the benefits from that function to be consumed primarily by its constituents. In other words, the area of administration of a function must be large enough to limit "spillover" benefits to other areas.

Fiscal Capacity, the ability to raise adequate revenues in an equitable manner can be a major determinant of which agency will carry a function. Again the aim is to work through the agency most ready and able to accept costs while reducing the disparities between who pays and who benefits.

Funding sources can also provide incentives or dictate which functions are dealt with at the regional level. For example, preparation of a Housing Opportunity Plan (HOP) is strictly an areawide agency responsibility due to HUD requirements. As the designated A-95 and "701" agency, only CRAG can receive funding to prepare a HOP for the Portland metropolitan area. Once adopted, the HOP enhances the funding eligibility of local jurisdictions for Section 8 monies. The benefit of increased funding opportunities can be influential in determining responsibilities.

Social Factors

Accessibility and controllability are considerations in assigning functions. Opportunities for citizen involvement and the responsiveness of government to its beneficiaries are necessary balancing influences in determining responsibilities. The influence of these factors has been emphasized in several studies (See 1:56-60, 11, 12, 27). Surprisingly, while popular sentiment seems to favor smaller units of government as "closer to the people," the size of a government has been found to have little relationship to the amount of citizen control (1).

It has been suggested that the degree of social consensus or conflict surrounding an issue can distinguish a metropolitan from a local issue (26:21). Though this approach has been criticized, it may merit further examination in light of the past preference of COG's for noncontroversial activities (26:106). The age of an activity can establish tradition and cause inertia against shifting responsibilities. Thus, to a certain extent, tradition and experimentation can sway the future distribution of activities. Naturally, the values of all participants, especially the decision makers are a dominant force.

One nebulous force in the delineation of roles is the external expectations of the regional agency. It is difficult to alter a role that contradicts preconceived perceptions. The new MSD legislation provides that additional functions may be assumed with voter approval. This provision may enhance the influence of these social factors to determining the regional role in the future.

Technological Factors

Depending on the function under consideration, technological capacity and technical capability may serve as controls to its delegation (11:140). Technological capacity is usually of concern in cases involving hardware and engineering where efficiency, economies

of scale and cost effectiveness are paramount. Technical capability as with administrative capacity serves as an indicator of professionalism and ability to effectively cope with an issue. These factors are especially important in considering service delivery.

IV. THE PORTLAND METROPOLITAN AREA SETTING

The public arena of the Portland metropolitan area is very complex. Constant interaction of the federal, state, regional and local levels is required for the provision of governmental services. Each level brings certain powers and interests to the process which when considered together describe the regional setting.

Ballot Measure #6

Passage of Ballot Measure #6 brings one era of governmental relationships to a close and sets the stage for new opportunities.

The approval of Measure #6 on May 23, 1978, was the culmination of work begun in 1976 by the Tri-County Local Government Commission. This study commission received \$100,000 from the National Academy of Public Administrators under a HUD grant which was matched by \$50,000 in local public and private agency funds. The purpose of the study was to explore and propose solutions to the complexities of government in the Portland metropolitan area. The Commission concluded that there was a need for legislative changes to provide for a more accountable decision making body, broadened powers and responsibilities, and taxing authority. To achieve this, the Commission recommended HB 2070, which was passed with some revisions by the 1977 legislature and referred to the voters for approval.

Voter support for this measure reflects the traditional concern in the Portland metropolitan area for sound solutions to areawide problems. Its passage provides for consolidation of CRAG and MSD to be accomplished through abolishing CRAG and incorporating its functions under a reorganized MSD. This will take effect January 1, 1979.

The Columbia Region Association of Governments

CRAG had its beginnings in the Metropolitan Planning Commission established in 1959. The Commission's purpose was to provide regional information and long-range planning studies to local jurisdictions. Following a governmental reorganization study conducted by a legislated study commission, CRAG was organized into a voluntary association of governments in 1966. At a minimum, the association's planning efforts provided a more coherent guide to the region's growth and development and served to keep local governments in the metropolitan area eligible for federal grants. In the early seventies the agency's progress and experience were evaluated by the Portland City Club and the Action and Direction Committee of CRAG. Both concluded that state legislation to bolster CRAG's role was necessary. Since the passage of such legislation in 1973, CRAG has served as the regional planning and coordination agency for the three county Portland area.

Currently, the CRAG Board is composed of elected representatives of local general purpose governments from Clackamas, Multnomah and Washington Counties, cities in those counties, as well as associate members representing Clark County, Vancouver, the Port of Portland, Tri-Met, the State of Oregon and the State of Washington.

Briefly, ORS 197.755, approved in 1973, mandates that CRAG shall:

- (1) Adopt by rule regional land use planning goals and objectives;
- (2) Prepare a plan for the region in accordance with the goals and objectives;
- (3) Designate areas and activities having significant impact upon the orderly and responsible development of the region and establish rules and regulations for their development, use and control;
- (4) Review the comprehensive land use plans adopted by members and recommend or require changes in any such plan to assure that the plan conforms to the goals and objectives;
- (5) Coordinate the land use planning activities of its members and associate members;
- (6) In the discretion of the Board review the zoning, subdivision and other similar ordinances and regulations of its members and all related actions to assure conformity with the goals and objectives; and
- (7) Coordinate its activities and the related activities of its members with the land use planning and development activities of the federal government, other local governmental bodies and any state agency.

CRAG has initiated efforts under this legislation through adoption of Goals and Objectives and the Land Use Framework Element of the Regional Plan in 1976. Additional planning elements for transportation, public facilities, housing, parks and recreation, and economic development have been scheduled for adoption by mid-1980.

Although authority exists for designation of areas and activities of regional significance, no such action has been initiated to date. The CRAG Board has adopted rules and procedures for the implementation of this authority.

Another set of responsibilities exists through designation as the LCDC coordination agency. The primary assignment is to coordinate and review local plans to ensure conformance with state goals. Satisfactory progress reviews and comments on local requests for LCDC planning assistance monies are also required.

Metropolitan Service District

Established through state legislation in 1969, the Metropolitan Service District has the authority to provide services on a regional basis. MSD's jurisdiction is smaller than CRAG's, focusing primarily on the existing urban area and excluding Vancouver. The governing body is composed of local elected officials representing the cities and counties of the district.

ORS 268.310 authorizes MSD to do any of the following:

1. Acquire, construct, alter, maintain and operate interceptor, trunk and outfall sewers and pumping stations and facilities for treatment and disposal of sewage.
2. Dispose of and provide facilities for disposal of solid and liquid wastes.
3. Control the flow and provide for the drainage of surface waters, by means of dams, ditches, dikes, canals and similar necessary improvements.
4. Provide public transportation and terminal facilities for public transportation.
5. Operate and maintain zoo facilities.

In addition to these outright powers, MSD may provide local aspects of any public service and take over facilities and functions of another public corporation, city or county by agreement. The District has been given broad powers for providing public transportation and may at any time order transfer of the transit system under Tri-Met to the MSD.

To date, MSD has been concerned mainly with zoo operations, permitted by the 1975 legislature, and solid waste disposal. A transfer and milling station has been approved for construction in Oregon City and the District has been designated the areawide solid waste planning agency by EPA. MSD has also assumed operation of Portland's zoo and received voter approval for a serial levy.

Studies of the Johnson Creek Basin have been conducted under the agency's drainage control authority. Public apathy and lack of funding have hindered solution of that area's flooding problems. The issue has received renewed interest in recent months.

The Federal Level

Besides the duties and powers outlined by the state Legislature, MSD and CRAG have assumed a major role in meeting the functional and areawide planning requirements of various federal programs as follows:

Metropolitan Planning Organization (MPO), CRAG has been designated by the governors of Oregon and Washington to be responsible for cooperative transportation planning in the Portland-Vancouver SMSA. CRAG also reviews and evaluates projects to implement these plans.

Areawide "208" Waste Treatment Management Planning Agency, designated by EPA in 1974 as the planning and coordinating agency for waste treatment and water quality management for Clackamas, Multnomah and Washington Counties.

Areawide Planning Organization (APO), recognized by HUD since 1967 as recipient of HUD "701" planning assistance monies, CRAG is responsible for housing planning and review of community development block grants for the Oregon three-county area plus Clark County in Washington.

CRAG is the LEAA regional planning unit promoting long-range planning. CRAG reviews and prioritizes LEAA grant applications for approval by the Oregon Law Enforcement Council.

A-95 Clearinghouse since 1967, designated by OMB for Clackamas, Multnomah, Washington and Columbia Counties in Oregon and Clark County in Washington. CRAG is responsible for review and coordination of federal grants.

Areawide Solid Waste Planning Agency, MSD has been designated by EPA.

CRAG has sponsored the Corps of Engineers' Urban Studies Program and joined the Corps in water supply and drainage control planning.

CRAG has been designated as the regionwide Air Quality planning organization (lead agency).

Continuation of these designations and associated activities on an interim basis by the new MSD is being pursued. Formal designations are anticipated in September or October, 1979 to coincide with the federal fiscal year.

New directions at the federal level could play an important part in the region's future role in federal programs. For example, a merger of FHWA and UMTA has been discussed. Such an action would likely increase MSD's involvement in transit related issues.

Consolidation of grant processing for water quality, solid waste and air quality has been considered by EPA. This streamlining would serve to enhance the regional role in these functions and enhance coordination of these programs.

The Carter Administration's urban strategy was announced in March, 1978. The strategy focuses on ten basic policies accompanied by 36 strategies intended to concentrate federal and state resources on the neediest communities and provide for better coordination of federal programs. Since the emphasis of the national urban policy is on formulation of a local approach, the reorganized MSD will be in a central position to serve as a catalyst in the development and implementation of urban strategies.

The State Level

Though CRAG and MSD carry responsibility for many federal areawide programs, the agencies have also developed close working relationships with the state. Regional transportation planning is coordinated with ODOT with roles specifically outlined in an annual Unified Work Program. CRAG's involvement in highway funding programs varies but does include responsibility for prioritizing FAU projects. ODOT is represented on CRAG's Transportation Technical Advisory Committee (TTAC) and the agency head sits on the CRAG Board representing the state of Oregon.

DEQ and CRAG have closely coordinated the development of the "208" plan as it will eventually be integrated into the state "208" plan. Also, DEQ has responsibility for non-point source and agricultural run-off planning in the region. A representative of the agency participates in CRAG's Water Resources Task Force. Air Quality planning requires an even closer cooperative planning effort and data sharing. While CRAG will analyze data for impacts and prepare and implement an emission control plan, DEQ will tend to monitoring enforcement.

MSD and DEQ work together on solid waste matters. MSD's solid waste management plan has been integrated with the statewide plan. In implementation of the plan, MSD must comply with minimum state standards. DEQ representatives serve as advisors on MSD's solid waste committee.

LCDC goals and policies are a major consideration in the regional planning program. In addition to performing the coordination function, CRAG has adopted a schedule and work program outlining steps toward LCDC state goal compliance by mid-1980.

Oregon's State Housing Division is directly involved in the preparation of CRAG's housing element through representation on the Housing Task Force. The agency has prepared criteria against which to measure housing plans for conformance with statewide goals. While CRAG will prepare a Housing Opportunity Plan (HOP) for the Portland metropolitan area, the Housing Division will do the HOP for non-metropolitan areas. Future areas of coordination may include setting up programs for the distribution of housing related grants.

Other Regional Agencies

In addition to CRAG's and MSD's functions, four other regional agencies currently serve the Portland metropolitan area.

Port of Portland

The Port of Portland was established to serve as the port authority and to enhance the economic development opportunities of the region. Governed by a commission, appointed by the Governor, the agency serves all of Clackamas, Multnomah and Washington Counties.

The Port has responsibility for aviation and marine trade operations and owns and maintains the Portland International Airport, the Swan Island Ship Repair Yard, and five major marine terminals.

Tri-Met

The Tri-County Metropolitan Transit District (Tri-Met) is charged with the provision of public transportation throughout the three-county area. In 1969 the legislature passed enabling legislation for transit districts. Tri-Met was soon formed under the leadership of an appointed Board. As an operations and services oriented agency, Tri-Met is mainly involved in routing, special projects and short-term planning. Through a Unified Work Program prepared jointly with CRAG and ODOT, Tri-Met's planning duties are outlined and role established. As authorized in previous legislation, the reorganized MSD will maintain the power to assume Tri-Met's functions.

Boundary Commission

Also created by the 1969 Legislature, the Portland Metropolitan Area Local Government Boundary Commission, consists of eleven appointed citizens. The Commission is charged with guiding the growth of cities and special districts in Clackamas, Multnomah, Washington and Columbia Counties, and reducing the number of governmental units. This is accomplished through power over all boundary changes of cities and most special districts. The Commission also makes decisions on the creation, dissolution, and unification of cities and special districts. The Commission is a state agency with three-fourths of the budget appropriated from the state's general fund.

Northwest Oregon Health Systems

NOHS is a single purpose agency, recognized as the designated health planning agency for six northwest Oregon counties. Through an agreement with CRAG, NOHS provides review and comment on funding applications pertaining to health services and facilities. The CRAG Board acts on these recommendations as part of the A-95 process.

Cities, Counties and Special Districts

In Oregon, all cities and counties are required to prepare comprehensive land use plans to comply with LCDC statewide planning goals. Beyond plan adoption, the jurisdictions have the authority to enforce zoning and to regulate subdivisions and partitioning of land. Many areas also have design review ordinances. Plans are further implemented through local service provision. Each city is required to provide at least four basic services in order to receive revenue sharing monies. Therefore, all cities provide services either directly, or indirectly through contracts and agreements. The potential range of services includes sanitary sewer, water, fire, police, storm drainage, parks and recreation, planning, and streets.

Counties and numerous special districts are also in the service business. It has been estimated that nearly 200 single purpose service districts are operating in the region.

The Reorganized Metropolitan Service District

On January 1, 1979 legislation creating the first directly elected regional government in the nation will take effect. One of the major purposes of the new legislation is to provide for accountability at the regional level. The reorganized body will be headed by a directly elected 12-member council and executive director. Councilors will be elected on a non-partisan part-time basis from single member districts for four-year terms. The executive director will be elected at-large and serve on a full-time basis. For the first time, voters will have a direct voice at the regional level.

The District will be smaller than the existing CRAG boundaries, including mainly the urbanized portion of the region. The District will continue those functions assigned to MSD under earlier legislation and may assume some additional responsibilities. Beyond those powers authorized by the previous law, the MSD may:

1. Acquire, develop, alter and operate water supply and distribution systems;
2. Plan, coordinate and evaluate the provision of human services including programs for aging, health care, manpower, mental health and children and youth;
3. Acquire, develop and operate parks, open space, and recreational facilities;
4. Acquire, develop and operate multipurpose sports/convention/entertainment complexes;
5. Provide programs for adult and juvenile justice and facilities for adult and juvenile detention;
6. Provide support activities such as book acquisition and technical assistance to local libraries.

The reorganized agency may assume local "aspects" of functions with agreement of affected local governments. New functions can be assumed on voter approval. MSD still may, at any time, order transfer of the transit system to their control. The revised legislation also provides for absorption of all functions of the Portland Metropolitan Area Boundary Commission into the MSD following voter approval.

MSD will assume CRAG's mandate to prepare goals and objectives, provide coordination and conduct plan reviews. Functional plans are to be prepared for air quality, water quality and transportation plus any other factors having significant impact on metropolitan development.

Financial support for the agency is to be provided by an income tax levied against individuals and/or corporations. Limited to one percent, the tax must be approved by a vote of the district's residents.

The new MSD is unique and provides many advantages over councils of government in other parts of the country. Regional councils generally have only planning and grant management responsibilities. MSD has areawide service delivery authority providing the opportunity to link planning and program implementation. While many regional governments are advisory in nature, MSD will have strong planning and review powers. Also, the Portland area has relatively few regional agencies, at least one less with the consolidation, so there is not the problem of competition between numerous separate regional planning organizations.

In summary, the new MSD will have a functional planning program, regional decision making capability, broad review and coordination powers, the authority to provide a wide range of services and taxing power.

V. A PROCESS FOR DEFINING THE REGIONAL ROLE

Every level of government has exclusive or shared responsibility for providing a variety of services. However, the actual sorting of roles and functional tasks among different levels and types of government is an ongoing source of tension and uncertainty.

A process is needed by which appropriate roles can be differentiated. A methodical approach for determining local and regional responsibilities is outlined here which calls for an analysis and sorting of functions and tasks. The consolidation of CRAG and MSD provides a timely opportunity to conduct a full-scale analysis of all of these regional functions and potential functions.

Clear articulation of what is regional would create a decision making focus, provide for better coordination, and establish more realistic expectations. Other benefits might include improved service levels, cost savings, and more fair cost sharing.

The myriad of mechanisms and factors influencing the process of role definition make a comprehensive analysis of functional responsibility a complex undertaking. One policy tool to aid in such an effort would be a set of criteria on which to judge what is appropriately regional. Such a mechanism could be used to decipher which functions are best handled at the regional level from those which should be left to state or local agencies.

The notion of utilizing a set of criteria to determine the regional role is not new (See 3, 8, 13). However, the scope of this approach has previously been limited to the analysis of specific functions of a particular agency. Criteria have been proposed for sorting out the optimum regional/local service delivery split. They have been used by most major COG's to determine what activities or actions should be reviewed at the regional level. There have also been limited attempts to use criteria in identifying areas and activities of regional significance. However, to our knowledge no regional body has yet established a process or conducted a comprehensive, systematic analysis for all areas of involvement toward sorting responsibilities and defining the regional role.

It might be argued that such criteria do not unequivocally point to local, regional, or state performance of a function. Many functions are shared responsibilities. Further, political considerations and other influencing factors weigh heavily in the final determination of roles. The establishment of "comprehensive" criteria does, however, provide a general guide as to which functions can best be performed at the regional level.

To accomplish this, a step-by-step process has been approved by the CRAG Board which requires evaluation against a set of criteria, identification of constraints and influencing factors, and statement

of assumptions. The criteria and findings must be considered and options for involvement examined. Once appropriate areas of responsibility are determined, implementation strategies are to be formulated. The following steps have been detailed to describe this process.

1. The Function. Determine the function(s) and aspect(s) of the function(s) to be evaluated. A function is a general program area or service delivery activity, while an aspect is a specific task comprising only a facet of a function. For example, housing planning is a function and preparation of a Housing Opportunity Plan is an aspect. This process can be utilized to conduct a comprehensive analysis of all functions or to determine appropriate regional involvement in one issue. It can be used to evaluate both planning and operations activities.

Table 1 provides examples of functions considered to be of regional concern compiled from 15 sources. This list could be contracted or expanded to include: noise control, energy conservation, vector control, animal control, community action programs, aging, civil defense, power supply, the arts, uniform codes and standards, etc.

2. Criteria. Eighteen criteria have been listed which are intended to serve as indicators of regional functions (see page ___). These have been arranged in a checklist according to the type of regional role they suggest. They include direct regional responsibility (policy making, service provision), standards and framework setting, coordination, and monitoring. Other possible regional roles that are not suggested by specific criteria are technical assistance, reviewing and data gathering. The function should be measured against each criteria.

Clearly all criteria cannot be met simultaneously. Economic efficiency demands often conflict with political accountability. At the same time, criteria may complement one another. For example, economies of scale and geographic adequacy are mutually compatible. Therefore, decision-makers must determine the relative weights and values of each criterion and decide trade-offs. Generally, those functions requiring maximum choices for citizens and close political accountability should be under local control. Redistributive activities or those needing economies of scale or a large geographic area should be assigned to the regional level. Where a function has both local and areawide dimensions, extensive coordination will be needed to establish primary and support activities or the sequencing of shifting responsibilities. In sum, the criteria describe general principles to be considered in determining appropriate regional responsibilities.

Table 1

Issues/Problems of Regional Dimension (24:11)

(See attached reference to numerical coding)

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Air pollution	X			X	X	X	X	X	X	X	X	X		X	X
Airports			X	X							X	X		X	
Citizen involvement				X	X						X				
Communications: cable TV	X			X											
Communications: elec. data processing	X	X		X											
Communications: emergency 911				X					X		X				
Cultural facilities		X		X	X						X				
Drain control			X	X	X							X	X		X
Economic devel.				X	X		X			X	X				
Education				X	X	X	X			X	X		X	X	X
Energy resources		X			X										
Employment				X				X						X	X
Health services				X	X		X	X		X	X		X	X	X
Health: emergency		X									X				
Health: facilities		X	X			X					X	X			
Housing	X	X		X	X	X	X	X		X	X	X	X	X	X
Land use	X	X	X	X	X						X	X		X	X
Libraries		X			X										
Planning	X	X	X	X	X	X					X	X	X	X	X
Public safety (courts)				X	X	X	X	X	X	X	X		X		X
Public safety (detention)		X									X				
Public safety (fire)		X													
Public safety (police)	X							X			X			X	X
Purchasing	X	X				X			X						
Racial depolarization					X									X	
Recreation		X	X	X	X	X	X	X		X	X	X	X	X	X
Sewage disposal		X	X	X	X	X	X	X	X	X		X	X	X	X
Solid waste disposal	X	X		X	X	X		X	X		X	X	X	X	X
Transportation	X	X	X	X	X	X	X	X		X	X	X	X	X	X
Water supply		X	X	X	X	X						X		X	X
Welfare services				X	X	X				X	X		X	X	X
Zoning					X						X		X		X

Agencies/Projects Covered by Numerical Code
in "Issues/Problems of Regional Dimension" Table

1. Recommendations from Metropolitan Fund, Inc., Board of Trustees over past 11 years.
2. Areas defined in Colorado legislation as possible concerns of a Denver regional service authority.
3. Areas defined by Georgia legislature as "included, but not limited to," in responsibilities of Atlanta Regional Commission.
4. Current activities of the Metropolitan Council of Minneapolis/St. Paul region.
5. Issues identified by membership of Regional Citizens organization.
6. Areas of regional concern specified by "Committee of 100" local officials in proposing formation of a council of governments for Southeast Michigan.
7. Areas identified by the Regional Planning Council of Baltimore.
8. Areas identified during a citizen participation project conducted by the Dane County Regional Planning Commission (Madison, Wisconsin).
9. Activities suggested in study by Ohio Department of Urban Affairs, relative to councils of government in Ohio.
10. Regional goals established in a Goals for Texas program conducted by Governor's office.
11. Concerns identified by "Dimensions for Charlotte-Mecklenburg" citizen goals program.
12. Current activities of the Greater Vancouver Regional District.
13. Activities identified in Reform of Metropolitan Governments, published by Resources for the Future, Inc.
14. Concerns identified in survey of local officials, conducted by Institute of Governmental Studies, Berkeley, California.
15. Concerns identified in Committee for Economic Development's report, Reshaping Government in Metropolitan Areas.

3. Findings. Findings should be prepared to provide relevant information for decision making. This step can be as detailed and thorough as desired, but must include several basic considerations. An inventory of mandates, requirements and limitations imposed by each level of government is necessary. This will aid in providing a picture of the constraints in the process.

The importance of political, economic, social and technological factors should also be taken into account. These influences could range from the perspectives of the elected officials or program funding sources to the degree of consensus on an issue or the regional technical capability. These important factors are more fully described in Section III. In addition to constraints and influencing factors, all assumptions should be clearly stated.

Finally, supporting information should be presented in the findings. For example, data may be needed to judge the legal, administrative or fiscal capacities at the regional and local levels.

4. Options for Regional Involvement. Based on the criteria and findings, logical and appropriate choices for regional involvement should be outlined.
5. Conclusions. Considering the criteria, findings and viable options, conclusions should be stated describing the most appropriate level of regional involvement.
6. Implementation Strategy. In most cases, the authority will already exist for implementation. Where additional authority is needed, several implementation tools could be utilized. Procedural mechanisms such as intergovernmental agreements, voter approval or Council policy should be explored first. Where procedural changes are not adequate, more far-reaching structural changes may be necessary, such as new legislation.

This process was approved by the CRAG Board in November, 1978 to be used for the following purposes:

1. To evaluate existing regional responsibilities.
2. To determine appropriate regional involvement in proposed programs and policies.
3. To meet statutory planning requirements.
4. To delineate local and regional responsibilities for formulating work programs and budgets.

CRITERIA FOR IDENTIFYING REGIONAL FUNCTIONS

These criteria are arranged according to the type of regional role indicated by the criteria.

Direct Regional Responsibility (Policy Making and/or Service Provision)

	YES	NO
1. Are the benefits of the function consumed primarily by the citizens of the region rather than one jurisdiction?	_____	_____
2. Do the long term impacts of the function extend beyond one jurisdiction? Degree.	_____	_____
3. Is performance of the function at the regional level required by state or federal legislation, rules or regulations?	_____	_____
4. Is regional assumption of a function required for regional or local funding eligibility?	_____	_____
5. Will efficiency resulting in lower costs be gained through economies of scale at the regional level?	_____	_____
6. Is regional involvement in the best interest of the region as a whole for allocating or securing scarce resources (e.g., LCDC Grant monies)?	_____	_____
7. Is regional involvement in the best interests of the region as a whole for protecting unique resources (e.g., geothermal sites)?	_____	_____
8. Does the geographic extent of the function require an areawide basis for effective performance?	_____	_____
9. Is the function an integral part of other regional programs, plans and policies?	_____	_____
10. Will performance of the function at the regional level best achieve the conditions and opportunities for citizen participation?	_____	_____
11. Are a regional agency's legal, administrative, technological and technical capacities required to perform the function adequately?	_____	_____

12. Is the fiscal capacity of the regional agency required to perform the function adequately? _____

Standards/Framework Setting

13. Is regional involvement needed for setting standards? _____

14. Is regional involvement needed for providing uniformity for the region? _____

Coordination

15. Is regional involvement needed to resolve conflict between jurisdictions in the region? _____

16. Is regional involvement necessary to resolve conflicts in the timing, phasing, and/or sequencing of one function which may adversely impact another activity? _____

17. Is the function of an inter-regional nature? _____

Monitoring

18. Is an areawide, long-range perspective needed to monitor and cope with cumulative and/or long-range impacts (e.g., where issues may not become apparent unless examined in the context of the whole)? _____

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