

CFS NOTEBOOK

Conference for
Federal Studies



Winter 1974, Vol. IV, No. 1

CONTENTS

Toward '76 Conference Series	1
The Regional Commission System as an Intergovernmental Vehicle for Generation and Transfer of Policy Technology, Robert T. Murphy, Office of Regional Economic Coordination. . .	2
Intergovernmental Relations (Syllabus), Ronald M. Burns, Queen's University, Kingston, Ontario. . .	16

* * * * *

TOWARD '76 CONFERENCE SERIES

The third in a series of Toward '76 Conferences is currently being organized. To be held sometime in late spring, the conference will focus on the delivery of governmental services in metropolitan society. The first Toward '76 Conference, April 23-25, 1972 had as its theme, "Developing an Agenda for Revitalizing the American Federal System;" the second, held April 6-10, 1973, dealt with "The Suburban Reshaping of American Politics." Conference members will be notified as to times, place, etc., when the details are finalized. Members should watch for announcements of the Details of an Expense Grant Program for this conference.

CFS NOTEBOOK is published by
the Center for the Study of
Federalism, Temple University,
Social Sciences Building, Phila-
delphia, Pennsylvania 19122

Editor: Bernadette A. Stevens

Production: Mary A. Duffy
Susan Haase

CFS NOTEBOOK is distributed
free of charge to members of
the Conference for Federal
Studies. It is published
three times a year.

THE REGIONAL COMMISSION SYSTEM AS AN INTERGOVERNMENTAL
VEHICLE FOR GENERATION AND TRANSFER OF POLICY
TECHNOLOGY*

Robert T. Murphy
Office of Regional Economic Coordination
U.S. Department of Commerce
June 22, 1972

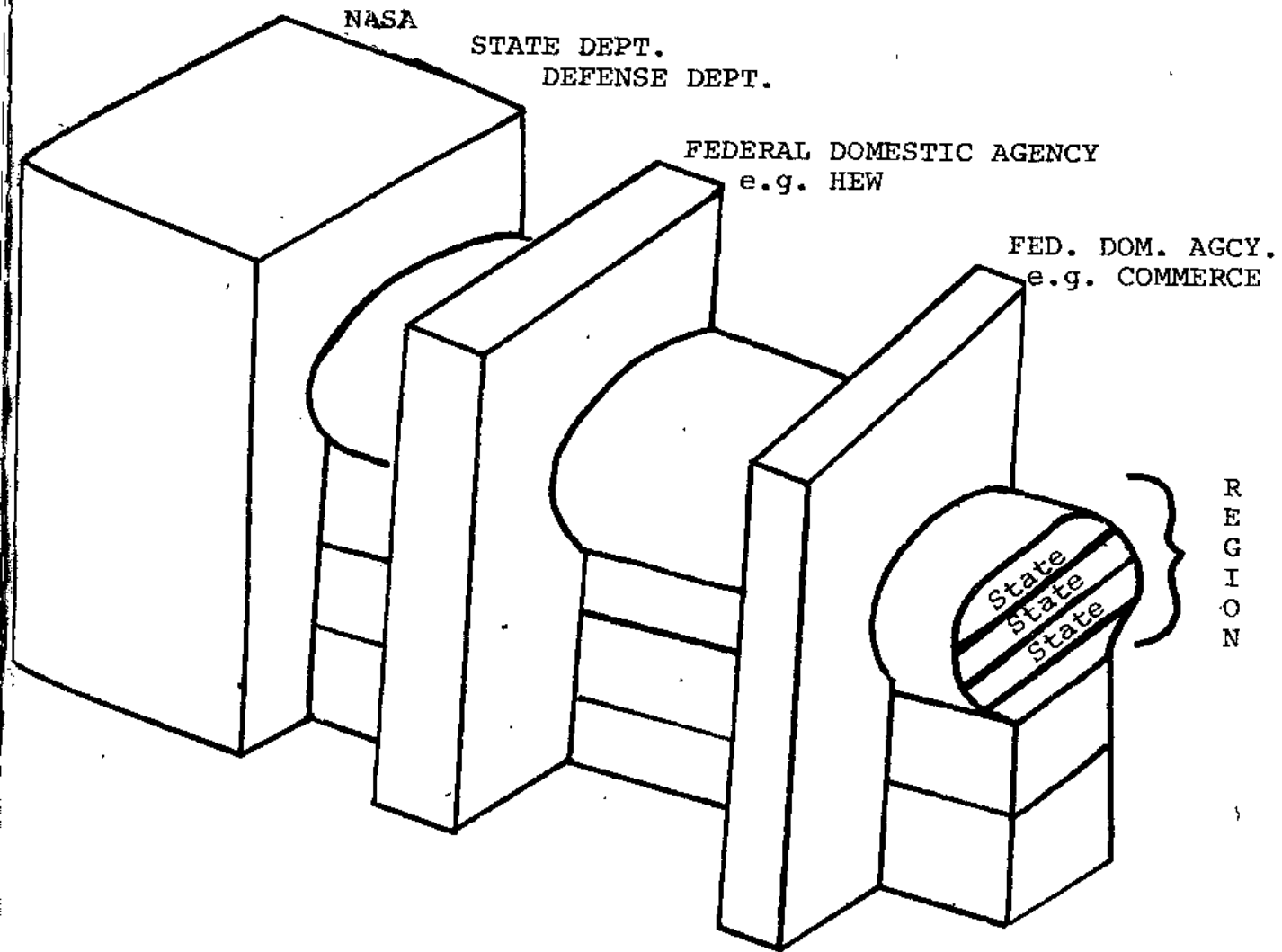
The regional commission program and its attendant matrix for Federal-State economic planning has been described as the most complex of all public systems. Yet, the very complexity may be the program's greatest strength. Public policy formulation and implementation within the United States Federal system manifests a particularly high degree of complexity. Fifty states, many appropriately called "megastates", and the District of Columbia bear primary legal responsibility for conducting the nation's public domestic programs. Thus, in 1969 86% of all public domestic spending on education and roads were accomplished by the states and their urban and other local governments.

At the regional level, states are increasingly joining together to solve problems with an interstate dimension. Nationally, the Federal Government is conducting a wide range of efforts in the domestic sector and, in most cases, Federal monies flow through state and local government in a network of hundreds of categorical grant programs. Adding to this complexity, the ten or so major Federal agencies focusing on domestic problems are themselves conglomerates, so that the real number of Federal units making plans and operating decisions in the domestic sector totals into the hundreds. Complicating and, indeed, partly causing this maze, are constitutional, legal and tax structures which collectively place most of the burden at state and local levels, but greater available resources at the Federal level.

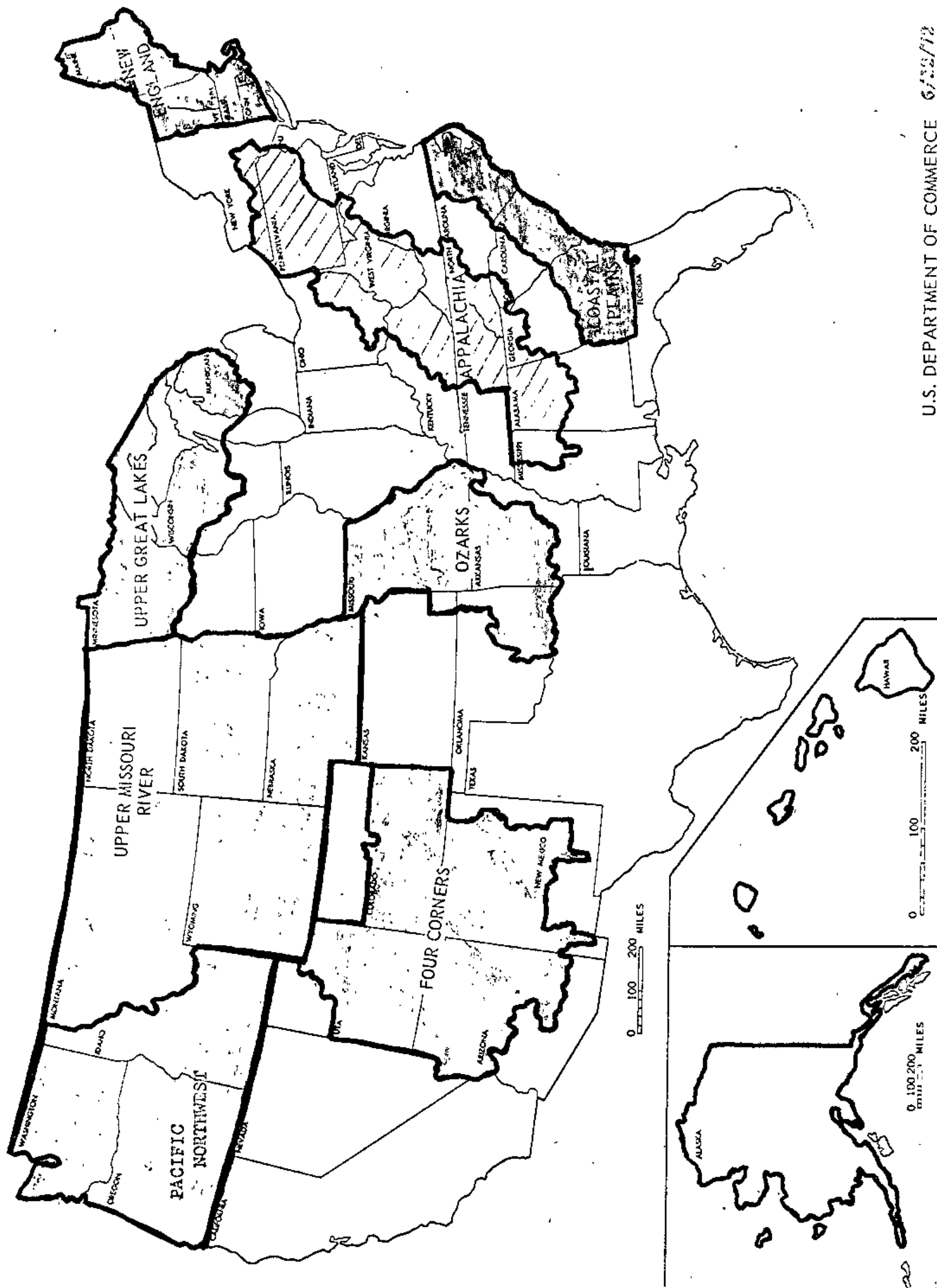
Chart One attempts to illustrate the interrelation of state and federal responsibilities and program functions. The "loaf of bread" is, basically, the United States, as composed of the fifty states and the District of Columbia. Each state has, or legally can have, a continuous domestic program spectrum and cedes primacy of jurisdiction to the Federal level only in such matters as defense, foreign affairs and space. On the other hand, the Federal Government is involved, through its functional departments, in a variety of specific domestic programs. These functional Federal programs and agencies resemble planes intersecting counterpart programs and agencies at the state level. Note that the Federal programmatic planes do not exhaust the spectrum of state programs. This total

*Remarks Prepared For: National Action Conference on Intergovernmental Science and Technology Policy.

CHART ONE
INTERRELATIONSHIPS OF SAMPLE FEDERAL
AGENCY PROGRAMS, STATE OPERATIONS,
AND REGIONAL COMMISSIONS



ECONOMIC DEVELOPMENT REGIONS



three-dimensional structure may be viewed as aggregate public legal authority, or as aggregate public output. Any program of public sector technological generation and transfer must operate within this structure.

The regional program system has been consciously designed to reflect the complexity of public policy formulation within the American Federal system. It has emerged into an interlocking net of relationships joining all the various elements that may be termed the "public system". Key actors and decision-makers in the regional program are publicly accountable officials. Evidence to date seems to argue that because of both design and mandate the regional program has produced evidence of effective performance in generating as well as transferring public technology.

The following map and Chart Two give the geographic area of the United States currently included in the system, and the general lines of Federal and state authority.

In the table of organization note primarily the involvement of both State and Federal levels of government, and the provisions for coordinating economic development planning at both national and regional levels.

Chart Three depicts aggregate linkages in the regional system as presently constructed. Again, note the real world complexity of the situation: the multitude of bureaus in a sample Federal agency, the multiple Federal agency involvement and the multitude of states and groups of states. The regional system has formal links which can cut across the entire matrix. Let me describe a few of these:

President to Secretary of Commerce and to Regional Commissions: linkages established by Federal law (the Public Works and Economic Development Act)

Regional Commission to Domestically-Focused Federal Agencies: linkages established by the Public Works Act and amplified by Executive Order. Primary vehicle for this linkage is the Cabinet-level Federal Advisory Council

State to Regional: linkages established by the Public Works Act subject to the will of the State Governors.

State to State: linkages institutionalized in the commission structure and by evaluation within the program

Federal Internal Departmental: linkages in the Department of Commerce, established by order of the Secretary.

The regional program has been mandated to plan for and assist in the economic development of interstate lagging regions through the following broad tools:

- a. coordination of Federal, state and local programs
- b. study and research, including funding of demonstration projects
- c. preparation of long-range regional economic development plans
- d. development of other economic plans at all levels, including project plans, sectoral plans and state plans
- e. supplemental grant authority and, in certain cases, direct grant authority.

Prior to proposing solutions for economic problems, states, the regions and the Federal Government must understand the causes of these problems. These causes can range from historical to locational to institutional to technical to resource endowment. Thus, interest and demand for a wide spectrum of problem solutions are generated at all levels within the regional program. As might be expected, program moneys for research and planning are in practice allocated to all three levels within the program--State, Regional and Federal. A small sum is retained by the Department of Commerce to focus on problems either national in nature or national since they occur in most regions. Substantial funds are used by or for State government both in direct transfers to the states (called the state investment planning program) or in investigations funded through the commissions. The bulk of research and planning money is utilized by the regional commissions for problems with regional dimensions.

The system, then, has within itself the potential for identifying and solving state, regional and national problems. It also has the inherent capacity to identify the highest common denominator for problems identified. Equally important, the system has the capacity to transmit partial or total solutions, and to allow other system levels to contribute to further problem solutions.

With the foregoing as preface, the remainder of this paper will sketch several cases where the system has allowed each component level to play its optimum role, and where technology generation and transfer appears to have been expedited by the regional network.

CASE NO. 1

In 1966 and 1967, as the first commissions were being designated and formed, it became obvious that the regional program had an unusual vested interest in the coastal zone areas. The New England and Coastal Plains Commissions had the Atlantic shelf and the Upper Great Lakes states adjoined a relatively shallow lake basin. At that time we also had a special concern for the economic

CHART TWO
REGIONAL COMMISSION SYSTEM

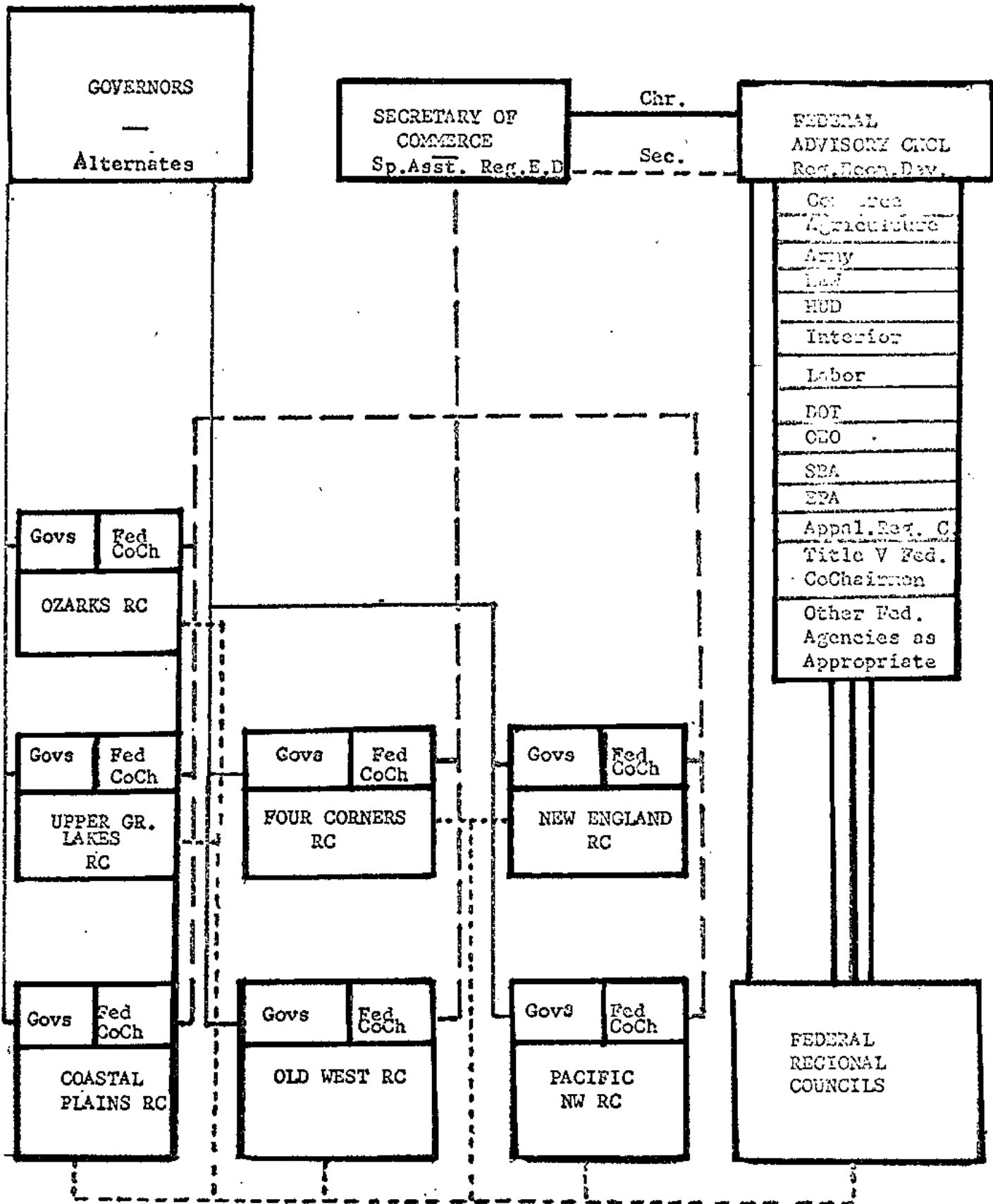
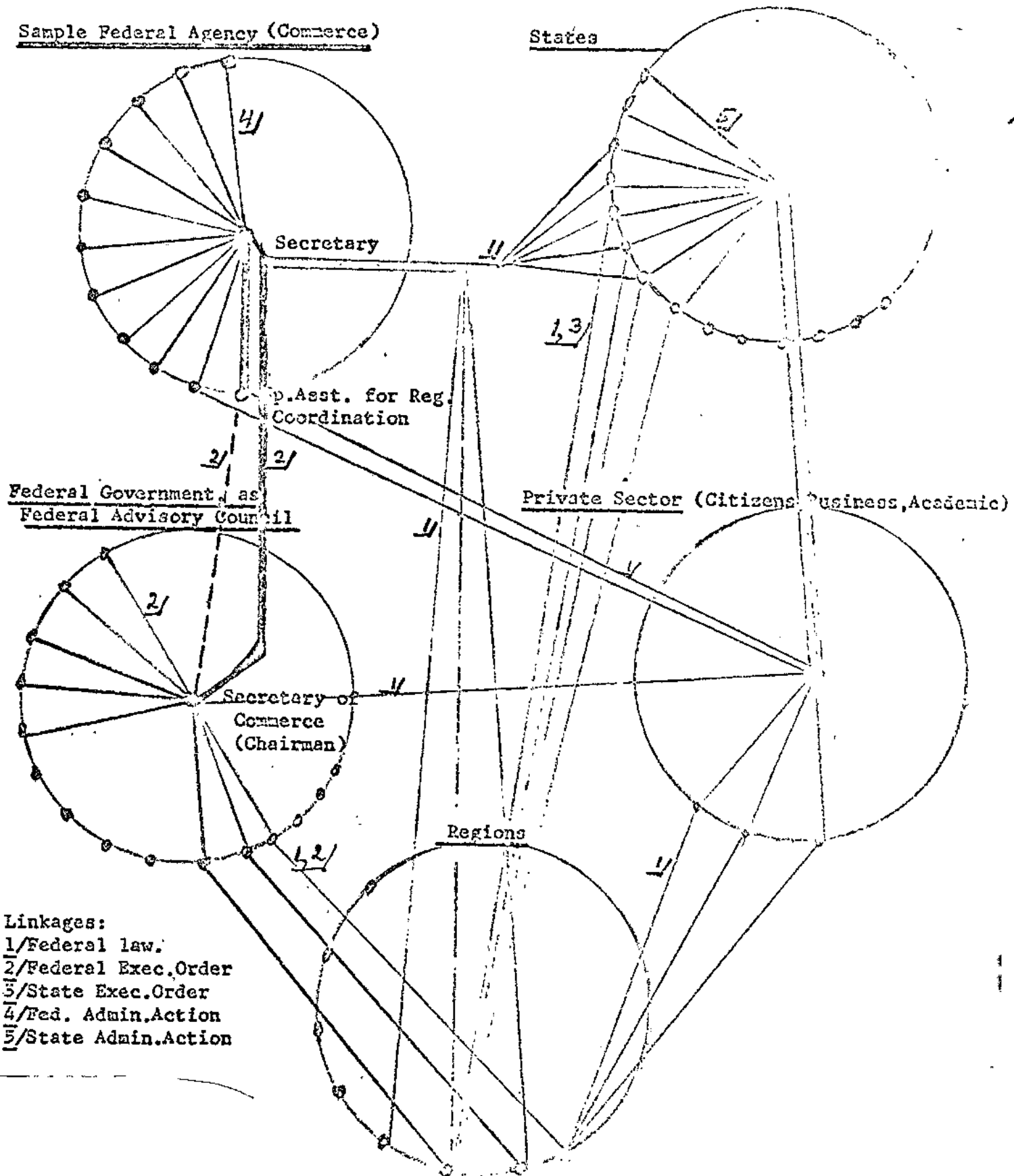


CHART THREE

THE REGIONAL COMMISSION SYSTEM



development of Alaska with its vast coastline and potential sea resources. Within the Department of Commerce the National Oceanographic and Atmospheric Administration--then the Environmental Science Services Administration--shared this interest in the potential utilization of continental shelf resources. Accordingly, the two bureaus joint-funded a series of investigations aimed at "getting a handle" on the potential of the shelf. A major portion of this research was assigned to Dr. Walter Isard, then at Harvard University.

Dr. Isard addressed himself to conflicts which could occur in the development of land and shelf resources. Thus, location of an industrial establishment on the coast would likely exert a negative impact on the economic development potential of the shelf itself. Dr. Isard quickly moved into the then new area of economic-ecologic trade offs. The results of his research have just been published in the pioneer volume, "Ecologic-Economic Analysis for Regional Development." As far as I am aware, the Isard study contains the first full and rigorous project environmental impact study ever completed.

By 1968, when the Isard research was well along, several related events were occurring. The University of Alaska, in cooperation with the Federal Field Committee, the Departments of Commerce and Interior, was conducting a major sectoral investigation of Alaskan fisheries. It was therefore arranged that the Isard team meet in Alaska to exchange findings with the University's research committee. Simultaneously in what may be one of our most humorous examples of technology transfer to date, under the auspices of the Department of Commerce, Dr. Isard and his team addressed a seminar meeting of Atlantic Coastal state planners and development directors at the Franklin Institute in Philadelphia on this same subject in April 1968. As you may be aware, development directors are a pragmatic lot who can take most unkindly to economic or other academic jargon. With Dr. Isard's close cooperation, we were able to present his complex findings, followed by a very lengthy interchange session--all in English.

CASE NO. 2

Approximately two years ago, as our regional plans were being assessed in draft stage, the states, commissions, and the Department began to identify "soft" spots in regional plans, including "soft" spots that could be expected to develop if and when plans reached the implementation stage. It became clear to all concerned that the state planning and policy-making process constitutes a critical point in state and regional planning. Consequently, the Department and three of the regional commissions pooled over \$400,000 which was in turn matched by participating state governments to fund four state-originated experiments to improve the planning and policy-making process.

In the 1970 the Department, working with the Title V Commissions, set down some simple guidelines for a series of experimental projects. The problems had to be generic in nature so that solutions generated might be made available to other user state governments. The projects themselves had to be designed by the states, although the Department and the concerned Commissions did offer suggestions, concept papers and staff technical assistance. Each Governor had to be personally involved in the project, a criterion which in fact meant that the demand for policy-making improvement was emanating from him directly. Also, we looked for governors whose term of office would allow them to follow up on the findings generated.

The Arizona experiment illustrates how the regional system can identify in one state a problem which is nationally shared. During a "dry run" of the first draft Four Corners Plan in 1970, it became clear that Arizona with its rapid growth and its unique and fragile environment was confronted with a serious planning problem. Unrestrained growth could imperil some of the ecologic features which, in turn, sustained the State's growth. State government had been proceeding on a number of fronts to achieve this expanded economic development, including membership in the Four Corners Regional Commission. On the other hand, legitimate sentiment to preserve the Arizona environment had increased to the extent that the state economic development effort was becoming contingent on the availability of an adequate environmental/ecologic trade off analysis. Arizona's economic/ecologic problem seemed to be ideal from the standpoint of the Department's experimental planning project.

With shared funding from the Four Corners commission and the Department of Commerce, the State of Arizona developed a proposal to assess the relative economic/ecologic costs and benefits of alternative development investments. This effort includes and carries further the work which Isard accomplished. Given the requirements for environmental protection and the current Federal requirements for environmental impact assessments, we in the regional program hope that the Arizona research will produce results which can be used both by the Four Corners Commission in its overall regional plan as well as by the other states of both the Region and the Nation. Both Arizona and the Department will see to it that Arizona's findings and experience receive the widest dissemination to state, regional and national planners. Interestingly, the State of Texas is already monitoring the project closely.

Additionally, the Arizona economic-environmental trade off analysis incorporates a regional industrial allocation model

completed recently by the Four Corners Commission as part of the background for the regional plan. The model shows which industries can profitably locate in given locations. Since the Regional Plan and the other Four Corners States' plans (i.e. those of Utah, Colorado and New Mexico) build on this same location model, experience gained in the Arizona ecologic analysis should be readily transferable to the other Four Corner States and to the Region as a whole.

CASE NO. 3

Continuing with Arizona, one planning tool presently in use by the State Health Planning Authority is the composite computer mapping system. This system, while still simple and in an early developmental state, has a unique history of intergovernmental development and application. In 1967, the Office of Regional Development Planning in the Department of Commerce identified a possible need of displaying data geographically, and, if possible, combining economic and social data on a weighted basis. Such a system looked particularly attractive since at that time the Economic Development Administration was in process of developing a comprehensive computerized socio-economic data bank. The Department therefore developed a computer mapping program on a pilot basis. The program was displayed to the regional commissions and a number of member states, with pilot testing in several regions. To make a long story short, under Four Corners Commission auspices the University of Utah further developed the system, while the Commission utilized the system to prepare a variety of maps and analyses incorporated in the regional plan.

The system has also been picked up by the State of Utah and is currently being used in an innovative "futures" approach to planning, while, as I have noted, Arizona is experimenting with the system for health planning. Equally interesting, at the Federal level, the system as refined by Utah is presently being examined by the Department of the Interior to see whether it might be utilized in Interior's major forthcoming program of land and resource mapping through data received from orbiting satellite.

CASE NO. 4

I have mentioned our concern with bottlenecks in state planning and policy-making and our interest in experimenting in this problem area with cooperating state governments.

The Arizona ecologic project already described was one of these projects. Chronologically, however, the first project was generated in Georgia, under the title "Goals for Georgia". Georgia has a long and honorable planning tradition and was one of the first states to establish sub-state multi-county planning districts. Through legislation in 1967 and 1970, the role of state planning was substantially upgraded and the Bureau of State

Planning was charged with producing a biennial state plan addressing itself to state objectives, alternative state strategies and their funding implications.

Early last year, the first such biennial plan had just been produced by the State Government. Before implementing such a plan, the Governor wanted the answer to a very basic question: Was this plan, even though produced by the State government, in accord with the real value structure of the Georgia electorate? In retrospect, it may now be said that the Georgia electorate favored major changes in government priorities, even to the point where the population would support new state programs, necessitating new state taxes. In short, the State government plan had not reflected a shift in popular values. "Goals for Georgia" enabled the Governor to make this judgment.

The project was designed by Georgia State Government, with input of ideas both from the Coastal Plains Commission and the Department of Commerce. The project was launched in spring 1971, ultimately obtained input from some six thousand cities and has just been completed.

"Goals for Georgia" has established an objective rationale for a major shift of government program emphasis in the state. Accordingly, it provides common solid ground for Executive and Legislative branches of Georgia State Government to effect necessary legal and administrative actions to respond to the citizen mandate. "Goals for Georgia" has demonstrated that planning must be much more than a series of exercises in program budgeting, administrative coordination, in economics or other techniques. To be valid, planning must accurately reflect the value system of the population concerned; planning must be profoundly political in a broad, non-partisan sense.

We expect that the final report will be received in the immediate future and we will give project results maximum dissemination through the "regional system".

CASE NO. 5

The State of Utah is conducting our third experiment in planning and policy-making. Like Georgia, Utah suspected that traditional planning methods -- from economic projections, to administrative coordination to BBBS -- may, unaided, lack the ability to grapple with the real future. Utah State Government today is concerned that the Utah of 1972, with all its needs, opportunities and problems, was not foreseen by State Government in 1952. Utah of today is the result of what is termed "exogenous factors", that is, factors not foreseen within the framework of the prevailing methodologies. The "Utah Process" is an attempt by state government to identify the major economic changes which might

occur within the state in the next 10 years, to assess their cross impacts, and thus to establish the five most probable "state futures." The Governor and the State Planning Office have sat down with the state government departments to plan for alternative courses of action within the context to these possible "futures." This process is quite forcefully introducing flexibility into the planning processes of state government departments and bringing about much closer interdepartmental working relationships. It should also go a long way toward enabling the government and people of Utah to plan for the real Utah of the 1980's. Utah's experience in this project should interest many other states.

In conducting this project, Utah is utilizing several tools transferred through the "regional system." The "futures" approach to planning came to the State of Utah both from the academic world as well as from concept papers prepared by the Department of Commerce. The econometric model being used is simply the state portion of the Four Corners Plan model, expanded to include the non-regional northwest corner of the state. Another tool being used to plot economic development and interactions is the computer mapping system, noted previously.

CASE NO. 6

My final example involves the area of Federal, regional, state and local data and how the Department of Commerce, the Ozarks Regional Commission, its component states as well as the State of Connecticut, are working or plan to work together in developing data systems for economic development and other governmental purposes.

Back in 1966, it was apparent that public investments of all types--from local to state to Federal--were critical determinants to economic growth. With the encouragement of the then Bureau of the Budget, the Department conducted a feasibility study in New England, the Ozarks and the Upper Great Lakes states to determine whether an overall public investment data system could be constructed. The study showed that such a system was possible. As a second stage, the Ozarks regional commission, with partial funding and manpower supplied by the Department, began work on a pilot system. As work continued, the commission began to recognize the need for a broader data system which would serve multiple objectives over and above the original purpose of tracking public investments.

The year 1971 saw dramatic gains in the information system, now renamed RRMIS for "Regional Resources Management Information System." The system continues its original purpose of tracking public investment data on all public levels, including the Federal. It also now contains full data profiles for each community in the region so as to assist the Commission and the States both in economic analysis as well as in identifying suitable private investors and investments for these communities. Most important, the system is being designed to incorporate a range of decision

analysis models to assess the impact of alternative investment strategies. While the RRMIS is still in process of completion, the four state governments in the Ozarks Commission are already using this system to store and retrieve state data. The economies of scale in this effort are obvious.

Now, let me turn for a minute to Connecticut, the fourth of the states where the Title V program is financing an experiment in state planning and policy-making. A major element of Connecticut's policy bottleneck is straightforward: the Governor needs an effective data system. Fortunately, many of the key elements of a system are already in place. Central computer hardware is on hand. State agencies are producing the type of data needed to feed the system. But the system needs much improvement. Sufficient data isn't entering the central system; key programs such as one to track public investment is lacking; equipment is underutilized; manpower training is needed. The system is therefore of limited use to policy-makers including, most particularly, the Governor. As part of our project Connecticut has brought on board some of the top public data consultants in the country and it looks as though the State should have a first-class data system operational within the year.

When the time is ripe, probably a few months from now, we hope to put Connecticut and New England Commission officials in touch with their counterparts in the Ozarks. We are going to ask them all to assess each other's products in terms of mutual experience. But most of all, we hope that the interchange will result in the substantial transfer of ideas, programs and methodology.

Both the Connecticut project as well as the Ozarks RRMIS have already received extensive exposure at the Federal level. The Connecticut management improvement project was in broad outline recommended by a Federal Technical Assistance team under OMB leadership which visited the state in early 1971. The Department of Housing and Urban Development has joined with the Department of Commerce, the New England Regional Commission and State Government in funding the project.

With regard to the RRMIS, system design was described in detail in the draft Ozarks regional plan which was circulated to member agencies of the Federal Advisory Council in May 1971. RRMIS and other plan elements were assessed both orally and in writing by the FAC members in a review session in Washington on July 20, 1971, and the proceedings of this meeting have been published by the Department of Commerce. RRMIS is further described in the final Ozarks Regional Plan, which is currently receiving extensive distribution within the Federal Government through the Federal Advisory Council mechanism.

Conclusion

While the Title V "system" was set up to facilitate joint planning by Federal and State Governments, the coordinating matrix established to accomplish this objective apparently is acting effectively to generate and transfer basic and applied planning know-how. Economics of scale are obviously inherent within the system. Federal, regional and state levels in the system can identify shared problems, with funding available at various levels to fund the prototype solution wherever it may best be researched. The system is very literally constructed of participating "client co-sponsors" so that an appropriate host or subject for the particular investigation is normally present and willing. And, of course, the combined Federal-Commission-State pressure to identify and/or rationalize economic development decisions tends to drive all levels of the system to advance the state of the art in planning. Most important, from the viewpoint of economies of scale, regional and national markets for knowledge developed are available through the system. Institutional means are also available for transmitting this knowledge to potential end-users. Federal, regional and state staffs do exist and do interchange technologies. The Federal Cochairmen do meet regularly, both with each other and with officers of the Department of Commerce, to exchange experiences. Reports are crosscirculated. Also, beginning last year, the Department of Commerce has begun a series of national meetings to bring together state, commission and Federal personnel within the system. Last Fall, for the first time, all 20 alternates, that is, the Governors' aides, from the then five commissions met in common conference here in Washington and future meetings are expected to take place. The Federal Advisory Council machinery does operate -- Commissions deal with FAC member agencies both in the regions and at the Washington level. At the Federal level the Plan documents and the face-to-face Council meetings are primary vehicles for exchanging know-how.

I would conclude simply that on the basis of demonstrated performance, the regional system should be carefully scrutinized as an action program capable of technological generation and transfer at multiple levels of American Government.

INTERGOVERNMENTAL RELATIONS*

Ronald M. Burns
Institute of Intergovernmental Relations
Queen's University - Kingston, Ontario

This seminar is designed to examine and attempt to access various forces and influences that operate on intergovernmental institutions and practices within a federal system. The main attention will be paid to particular aspects of the question as they have developed with the Canadian federation.

While grouped in a general topical relationship these discussions do not follow any historical sequence or pattern. Where appropriate the sequence of, and time devoted to, the various topics may be varied.

There is no required text but students will find it useful to have the following readily available:

- | | |
|-----------------------|--|
| Wheare, K. C. | <u>Federal Government</u> , 4th ed, Oxford, 1963. |
| Perry, Moore & Beech | <u>The Financing of Canadian Federation</u> , Canadian Tax Foundation, Toronto, 1966. |
| Meekison, J. P. (ed.) | <u>Canadian Federalism: Myth or Reality</u> , Toronto: Methuen, 1968 or 1972. |
| Report: | <u>Intergovernmental Liaison on Fiscal & Economic Matters</u> , Queen's Printer, Ottawa, 1969. |
| Burns, R. M. (ed.) | <u>One Country or Two</u> , Montreal: McGill-Queen's Press, 1971. |

Reference to the 'Debates' of the House of Commons and in some cases provincial legislatures can be useful. Important factual information is to be found in the Canadian Tax Foundation's two publications, The National Finances, published annually, and Provincial Finances published biennially.

Burns, R. M., The Evolving Structure of Canadian Government is a useful brief introduction to the subject.

Continuing reference to current events is important.

*Politics 437/837 - Institute of Intergovernmental Relations, Queens University - Kingston, Ontario.

Course Outline & Suggested Readings
(a starred item is of particular importance).

1. The Nature of the Federal State

A brief examination of the form, nature and purpose of federalism.

- References: *Wheare, K.C. Federal Government, Oxford, 1963, Parts I-III.
 *Wildavsky, A. American Federalism in Perspective, (ed.) Boston, 1967 - several articles.
 *Watts, R.L. New Federations, Oxford: Clarendon Press, 1966; particularly Chs. 13, 14.
 McMahon, A.W. Federalism, Mature & Emergent, (ed.) New York: Russell, 1962, particularly Chs. 1 & 2.
 Riker, W.H. Federalism, Origin, Operation, Significance, Boston: Little, Brown, 1964.

2. Federalism - Concepts of Duality and Cooperation

An examination of the influences of economic, social and political change on the nature of federal states; the suitability of federalism in the modern world.

- References: *Wheare, K.C. Federal Government, Oxford, 1963, Parts IV & V.
 *Elazar, D.J. The American Partnership, Chicago: University of Chicago Press, 1962, Part III.
 *Corry, J.A. "Constitutional Trends and Federalism", in Meekison, Ch. 5.
 *Davis, R. "The Federal Principal Reconsidered", in Wildavsky, American Federalism, Ch. I.
 Vile, M.J.C. The Structure of American Federalism, Oxford, 1961, Ch. X.
 Laski, H.J. The Obsolescence of Federalism - The New Republic, 1939, p. 367.
 Friedrich, C. Trends of Federalism in Theory and Practice, New York, 1968. Part I.
 Simeon, R. Federal-Provincial Diplomacy, Toronto, 1972.

3. Developments in Canadian Federalism

The growth of cooperation - the alternatives.

- References:
- *Report of the Royal Commission on Dominion-Provincial Relations, Ottawa: King's Printer, 1940 (reprinted 1954), especially ch. 4, Book II.
 - *Report of the Royal Commission of Enquiry on Constitutional Matters, Quebec, 1956, especially Vol. 3, Book 2.
 - *Proceedings and Working Papers of the Federal-Provincial Conferences.
 - *Report: Intergovernmental Liaison on Fiscal & Economic Matters, Ottawa: Queen's Printer, 1969.
 - *Black & Cairns. "A Different Perspective in Canadian Federalism", in Meekison, ch. 7.
 - *Smiley, D.V. "The Structural Problem of Canadian Federalism", Canadian Public Administration, Fall, 1971.
 - Beck, J.M. "Canadian Federalism in Ferment", Contemporary Canada, Durham: Duke University Press, 1967.
 - Perry, J.H. Taxes, Tariffs, & Subsidies, Toronto: University of Toronto Press, 1955, especially, Ch. 1.
 - Pigeon, L.D. "The Meaning of Provincial Autonomy", in Meekison.
 - Siméon R. Federal-Provincial Diplomacy, Toronto, 1972.
 - Smiley, D.V. The Canadian Political Nationality, Toronto: Methuen, 1967.

4. The Growth and Influence of Federal Grants

- References:
- *Report of the Royal Commission on Dominion-Provincial Relations, Ottawa: King's Printer, 1940 (reprinted 1954), especially ch. 4, Book II.
 - *Carter, G.E. Canadian Conditional Grants since World War II, Toronto, Canadian Tax Foundation, 1971.
 - *Smiley, D.V. Conditional Grants in Canadian Tax Federalism, Toronto, Canadian Foundation, 1962.
 - *May, R.J. Federalism & Fiscal Adjustment, Oxford: Clarendon Press, 1969.

Federal-Provincial Conditional Grants and Shared-Cost Programmes, Ottawa; Queen's Printer, 1963.

In Search of Balance - Canada's Intergovernmental Experience, Advisory Commission on Intergovernmental Relations, Washington, D.C. 1971; Chs. 1 & 2.

Report of the Commission on Intergovernmental Relations, Washington; U.S. Government Printing Office, 1955.

Conditional Grants and Shared-Cost Programmes, A Commentary (Mimeographed - Institute holding).

The Background of the Development of Shared-Cost Programmes (Mimeographed - Institute holding).

5. "Contracting Out" of Shared-Cost Programmes, concept, antecedents & influence.

- References:
- *The Established Programmes (Interim Arrangements) Act 1965, and the House of Commons Debates thereon.
 - *Proceedings of the Federal-Provincial Conferences, especially 1963 (July).
 - *Report of the Federal Provincial Tax Structure Committee, Ottawa: Queen's Printer, 1966.
 - *Carter, G.E. Canadian Conditional Grants Since World War II, Canadian Tax Foundation, Toronto, 1971, especially ch. 5.
 - Burns, R.M. An Examination of Certain Proposals Relative to Federal-Provincial Joint Programmes (Mimeographed - Institute holding).
 - Dupré, S. "A Funny Thing Happened", Fox (ed.) Politics, Canada, Toronto, 1966.
 - Smiley, D.V. "Conditional Grants and Canadian Federalism" in Meekison, ch. 21.
 - Strick, J.C. Conditional Grants & Provincial Government Budgeting, Canadian Public Administration, Summer, 1971.

6. Equalization, Stabilization and National Growth

References: *Carter, G.E.

Canadian Conditional Grants since World War II, Canadian Tax Foundation, Toronto, 1971, especially ch. 3.

*Clark, D.H.

Fiscal Need and Revenue Equalization Grants, Toronto, Canadian Tax Foundation, 1969, Tax Paper, #49.

*Graham, J.F.

"Fiscal Adjustment in a Federal Country", in Intergovernmental Fiscal Relations, Toronto, Canadian Tax Foundation, 1964, Tax Paper #40.

*May, R.J.

Federalism and Fiscal Adjustment, Oxford: Clarendon Press, 1969, ch. 6.

Lynn, J.H.

Comparing Provincial Revenue Yields, Toronto, Canadian Tax Foundation, Tax Paper #47.

Buchanan, J.M.

"Federal Grants and Resource Allocations", Journal of Political Economy, June 1952.

Scott, A.N.

"A Reply", Journal of Political Economy, December 1952.

Buchanan, J.M.

"A Reply to Scott", same.

7. National Policies & Regional Development I

References: *Economic Council of Canada,

3rd Annual Review, Ch. 7.

5th Annual Review, Ch. 7.

*Brewis, T.N.

Regional Economic Policies in Canada, Toronto: MacMillan, 1969.

*Hodgetts, J.E.

"Regional Interests & Policy in a Federal Structure", Canadian Journal of Economics & Political Science, February, 1966.

Wood &

Thoman (ed.)

Areas of Economic Stress in Canada, Kingston: Queen's University Industrial Relations Centre, 1965.

Brewis T. &

Paquet G.

Regional Development & Planning in Canada, Canadian Public Administration, Summer 1968.

- Higgins, B. The Concept of Regional Planning,
Canadian Public Administration,
February 1966.
- Buckley H. & Tikanyi, E. Canadian Policies for Rural
Adjustment, Economic Council of
Canada, Special Study, No. 7.

8. National Policies and Regional Development II
The Special Case of Quebec, 1960-72

References: *"Quebec", Canada of Tomorrow, Ontario Advisory
Commission on Confederation, Toronto 1967,
Parts V and VIII.

*The Government of Quebec and the Constitution, 1968.

*Simeon R. Federal-Provincial Diplomacy,
Toronto, 1972, especially ch. 3.

*Burns, R. M. One Country or Two, Montreal, 1971.
(ed.)

Quebec submissions to Federal-Provincial Conferences
& Budget Speeches, 1960-71, especially 1963.

Canada Committee, Option Canada, Montreal, 1968.

Levesque, R. Option Quebec, Montreal, 1966.

9. Regional Attitudes to Federation

References: *Proceedings and Provincial Submissions to Federal-
Provincial Conferences.

*Burns, R.M. One Country or Two, Montreal, 1971,
(ed.) especially pp. 169-273.

*Royal Commission on Dominion Provincial Relations,
Ottawa: Queen's Printer, 1940, Part I. ch. VII.

*Meekison, J.P. Canadian Federalism, Part IV.
(ed.)

Budget Speeches, Provincial

Report of the Maritime Union Study & supporting
papers.

Elton, D.K. One Prairie Province, Lethbridge, 1970.
(ed.)

10. National Fragmentation - Problems & Portents
Quebec, The Maritimes, the Prairies, British Columbia.

- References: Burns, R.M. One Country or Two, Montreal, 1971.
 (ed.)
 Simeon, R. Federal-Provincial Diplomacy,
 Toronto, 1972.
 Smiley, D.V. Canada in Question - Federalism
in the Seventies, Toronto: McGraw-
 Hill, 1972.

Report of the Maritime Union Study and Supporting
 papers, Fredericton, 1970.

Elton, D.K. One Prairie Province, Lethbridge, 1970.
 (ed.)

11. Taxation Policy in the Canadian Federal System.

- References: *Taxing Powers and the Constitution of Canada,
 Ottawa: Queen's-Printer, 1969.
- *Federal-Provincial Fiscal Relations, Study No. 23,
 Royal Commission on Taxation, Ottawa: Queen's
 Printer, 1964.
- *Burns, R.M. "Federal-Provincial Cooperation -
 Royal Commission on Taxation",
 Toronto, Canadian Banker, Winter,
 1967.
- *LaForest, G. The Allocation of Taxing Powers
Under the Canadian Constitution,
 Toronto, Canadian Tax Foundation,
 1967, Tax Paper #46, especially
 chs. 1-5.
- White Paper on Taxation, Ottawa: Queen's
 Printer, 1969.
- Report of the Royal Commission on Taxation,
 Ottawa, 1966, Vol. II.
- Report of the Ontario Committee on Taxation,
 Toronto: Queen's printer, 1967.
- Report of the Royal Commission on Taxation,
 Quebec: Queen's Printer, 1965.
- Eaton, A.K. Essays on Taxation, Toronto,
 Canadian Tax Foundation, 1966,
 Tax Paper No. 44.
- Robinson & Public Finance in Canada, Toronto:
 Cutt (eds.) Methuen, 1968, Ch. 3.

Scace, A.R. "Ontario Proposals for Tax Reform". in Canadian Tax Journal, July-August, 1970.

Kimneer, G. "The Multi-State Tax Commission", Canadian Tax Journal, March-April, 1971.

12. Expenditure Policies in the Canadian Federal System

- References: *Eaton, A.R. Essays on Taxation, Toronto, Canadian Tax Foundation, 1966, Tax Paper #44, especially pp. 117-179.
- *Bird, R.M. The Growth of Government Spending in Canada, Toronto, Canadian Tax Foundation, 1970, especially Part I.
- *English, H. The Pervasive Effects of Government Policy in Canadian Economic Policy, Brewis, T.N. (ed.), Toronto: MacMillan, 1965.
- *Johnson, A. The Basis and Effect of Provincial and Municipal Fiscal Decisions in Intergovernmental Fiscal Relations, Toronto, Canadian Tax Foundation, 1964.
- *Will, R.M. The Budget as an Economic Document, Studies of the Royal Commission on Taxation, #1, Ottawa: Queen's Printer, 1964.
- Annual Reviews - Economic Council of Canada.
- The National Finances - Canadian Tax Foundation, Toronto (Annual).
- The Provincial and Municipal Finances - Canadian Tax Foundation, Toronto (Biennial).

13. Fiscal Policy in the Canadian Federal System

- References: *Barber, C. Theory of Fiscal Policy as applied to a Province, Ontario Committee on Taxation, Toronto: Queen's Printer, 1967, especially Chs. 1, 2, & 6.
- *Brewis, T.N. "Fiscal Policy in Canada," in Canadian Economic Policy, Brewis (ed), Toronto: MacMillan, 1965.
- *Burns, R.M. Federalism & Fiscal Policy, Faculty Seminar Papers, University of Manitoba, Vol. I, 1968-69 (Institute holding).

*Report: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969, ch. 6.

*McKeough, W.D. The Reconstruction of Economic and Fiscal Policy in Canada, Ontario Government Document, Nov. 1971.

Blough, R. "Fiscal Aspects of Federalism" in MacMillan (ed), Federalism, Mature and Emergent, New York; Russell, 1962.

Will, R.M. Canadian Fiscal Policy, 1945-63, Royal Commission on Taxation, Ottawa: Queen's Printer, 1966, Study #17.

Report of the Royal Commission on Taxation, Ottawa: Queen's Printer, 1966, Vol. 2.

14. Economic Planning in the Canadian Federal System.

References: *English, H.E. Economic Planning in Canada, in Canadian Economic Policy, Brewis, (ed), Toronto: MacMillan, 1965.

*Parizeau J. Problems of Economic Policy and, Hood, W.J. Economic Policy in a Federal State, in The Future of Canadian Federalism, Crepeau and MacPherson (ed), Toronto: University of Toronto Press, 1965.

*Skeoch, L.A. & Smith, J.C. Economic Planning, The Relevance of West European Experience, Montreal: Private Planning Association, 1963.

Deutsch, J. (ed) The Canadian Economy, Toronto: MacMillan, 1965, Part VIII.

Smiley, D.V. Canada in Question, Toronto: McGraw-Hill, especially Ch. 5.

Economic Council of Canada, 3rd Annual Review, Ch.5.

Hicks, U.K. (ed) Federalism & Economic Growth, Allen & Unwin, 1963.

Canadian Public Administration, June, 1965, various articles.

15. Background and Framework of Liaison in a Federal System

References:

*Report of the Royal Commission on Dominion Provincial Relations, Ottawa: King's Printer, 1940, Book II, Ch.V.

*Report: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969.

*Report of the Royal Commission of Inquiry on Constitutional Matters, Québec: Queen's Printer, 1956, Vol. 3, Book II.

*Burns, R.M. Consultation and the Government Process, in Proceedings of the Water Workshop, Montreal: Canadian Council of Resource Ministers, 1968.

Smiley, D.V. "Public Administration and Canadian Federalism," in Meekison, Ch. 22.

Smiley, D.V. "The Structural Problem of Canadian Federalism," Canadian Public Administration, Fall, 1971.

Wheare, K.C. Federal Government, Oxford, 1963, Part IV.

Franck, J.M. Why Federations Fail, New York, 1968, Ch. 5.

16. The Limits of Consultation and the Problems of Policy Determination

References:

*Report: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969, Chs. 4 & 5.

*Simeon, R. Federal-Provincial Diplomacy, Toronto, 1971, especially chs. 8-13.

*Weidner, E.W. "Decision-making in a Federal System," in McMahon, A.W., Federalism, Mature and Emergent, or, in Wildavsky, A. (ed), Boston: Little, Brown, 1967.

Report of the Royal Commission on Dominion Provincial Relations, Book II, Ch. V.

Report of the Royal Commission of Inquiry on Constitutional Matters, Québec: Queen's Printer, 1956, Book II & Summary.

- 22 Corry, J.A. "Difficulties of Divided Jurisdiction, Royal Commission on Dominion Provincial Relations Study, Ottawa: King's Printer, 1939.

17. Institutions & Methods of Consultation

References:

- *Report: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969, Chs. 7, 8, 9, 11 and Appendix C & D.
- *Burns, R.M. "Cooperation in Government," Canadian Tax Journal, March, 1959.
- *Burns, R.M. Experience of National and International Cooperative Institutions, Maritime Union Study, 1970.
- *Kear, A.W. "Cooperative Federalism," Canadian Public Administration, March, 1963.
- *Gallant, E. "The Machinery of Intergovernmental Relations", I, in Meekison, Ch. 23.
- Taylor, K.W. "Coordination in Administrations", in Hodgetts & Corbett (ed), Canadian Public Administration, or in Proceedings Institute of Public Administration of Canada, 1957.
- *Kylès, K.L. Selected Aspects of Federal-Provincial Conferences, Master's Thesis, Brigham Young University, 1968, (Institute holding).
- Veilleux, G. Historical Development of the Machinery of Intergovernmental Cooperation, 1867-1967. (Institute holding).

18. New Approaches to Liaison

References:

- *Report: Intergovernmental Liaison on Fiscal & Economic Matters, Ottawa: Queen's Printer, 1969, ch.13.
- *Ontario: Intergovernmental Policy Coordination and Finance. Staff paper, May, 1970. (Institute holding).
- *Ontario: Proposals for Fiscal Policy Coordination in Canada. Budget Paper, May, 1970. (Institute holding).

*Smiley, D.V. Structural Problems in Canadian Public Administration, Fall, 1971.

Gow, D.J. Canadian Federal Administrative and Political Institutions. A Role Analysis, Doctoral Thesis, Queen's University, 1967.

19. Constitutional Review - Issues & Processes

References:

*The Amendment of the Constitution of Canada, Department of Justice, Ottawa, 1965.

*Proceedings of the Constitutional Conferences, 1950, 1960-61, 1968, 1969, 1970, 1971.

*Victoria Charter, June 1971.

*Cherffins The Constitutional Process in Canada, McGraw-Hill, 1969.

*Ledersan, W.R. The Courts and the Canadian Constitution, Toronto: McLelland and Stewart, 1964, Part I.

*Trudeau, P.E. The Constitution and the People of Canada, Ottawa: Queen's Printer, 1969.

Proceedings and Background Papers, Confederation of Tomorrow Conference, 1967.

Report of the Conference of Attorneys-General, Ottawa: Queen's Printer, 1964.

Smiley, D.V. Canada in Question, Toronto: McGraw-Hill, 1972, especially Chs. 1&2.

Wheare, K.C. Federal Government, Oxford, 1963.

Gerin-Lajoie, P. Constitutional Amendment in Canada, Toronto: University of Toronto Press, 1950.

Brady, Alex Constitutional Amendment and the Federation, Canadian Journal of Economics and Political Science, Nov., 1963.

Adamson, A. The Fulton-Favreau Formula, M.A. Thesis, Queen's Univ. 1967 (Institute holding).

20. Taxing and Spending - The Distribution of Power

References:

*Taxing Powers and the Constitution of Canada, Ottawa: Queen's Printer, 1969.

*Provincial Propositions to the Constitutional Conference, 1969 (Institute holding).

*Federal-Provincial Grants and the Spending Power of Parliament, Ottawa: Queen's Printer, 1969.

*Smiley, D.V. Canadian Federalism and the Spending Power, Tax Memo., Canadian Tax Journal, December, 1969.

21. Cultural, Social and Linguistic Problems of the Constitution

References:

*Proceedings and Working Documents of Constitutional Conferences, 1968, 1969, 1970, 1971. (Institute holding).

*A Canadian Charter of Human Rights, Ottawa: Queen's Printer, 1968.

*Smiley, D.V. Canada in Question, Toronto: McGraw-Hill, 1972, especially Ch. 6.

*Burns, R.M. (ed) One Country or Two, Montreal, 1971.

Pearson, L.B. Federalism for the Future, Ottawa: Queen's Printer, 1958.

Martin, P. Federalism & International Relations, Ottawa: Queen's Printer, 1958.

Sharp, M. Federalism & International Conferences on Education, Ottawa: Queen's Printer, 1968.

22. Recent Experience in Other Federations

U.S., Australia, India, the European Countries.

United States

*Final Report - Commission on Intergovernmental Relations (The Kestenbaum Report), U.S. Government Printing Office, 1955.

*Intergovernmental Relations in the United States, Annals of the American Academy of Political Science, 1965.

- *Burns, R.M. Experience of National and International Cooperative Institutions, Maritime Union Study.
- Gródzins, M. The American System, Chicago: Rand, McNab, 1966.
- Vile, M.J.C. The Structure of American Federalism, Oxford, 1961.
- Elazar, D.J. American Federalism, New York: Crowell, 1966.
- Graves, W.B. American Intergovernmental Relations, New York: Scribners, 1964, especially Part IV.
- May, R.J. Federalism & Fiscal Adjustment, Oxford, 1969.
- Birch, A.H. Federalism, Finance & Social Legislation, Oxford, 1955, especially Chs. 2, 9, 10.
- Leach, R.H. American Federalism, New York: Norton, 1970.
- Various publications of the Advisory Commission on Intergovernmental Relations, Washington: U.S. Government Printing Bureau.
- Report: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969, Appendix C.

Note: The literature on United States experience is so extensive that the above references are no more than an indication of some of the more readily available sources.

Australia

- *Burns, R.M. Experience of National and International Cooperative Institutions, Maritime Union Study.
- *Birch, A.H. Federalism, Finance and Social Legislation, Oxford, 1955, espec. Chs. 4, 8, 9, 10.
- *Sawer, G. Australian Government Today, Melbourne, 1964.

- *May, R.J. Federalism & Fiscal Adjustment, Oxford, 1969.
- *Maxwell, J.A. Commonwealth-State Financial Relations, Melbourne, 1967.
- Miller, J.N.B. Australian Government & Politics, London: Duckworth, 1955.
- Hanson, E.J. The Australian Commonwealth Grants Commission, Toronto: Canadian Tax Foundation, 1960, Tax Paper #20.
- Prest, W. Federalism in Australia, Journal of Commonwealth Studies, Vol. V, No. 1, March, 1967.
- *Report: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969, Appendix C.
- Reports of the Commonwealth Grants Commission, especially the 3rd Report.

India

- *Santhanam, K. Union-State Relations in India, London: Asian Publishing House, 1960.
- *Chanda, Asok Federalism in India, London: Allen & Urwin, 1965.
- *Burns, R.M. Experience of National and International Cooperative Institutions, Maritime Union Study.
- *Morris-Jones, W.H. The Government and Politics of India, London: Hutchinson, 1964.
- Chanda, Asok Indian Administration, London: Allen & Urwin, 1967.
- May, R.J. Federalism & Fiscal Adjustment, Oxford, 1969, Ch. 4.
- Palmer, M.D. The Indian Political System, Toronto: Houghton, Mifflin.
- Schoenfeld, B.J. Federalism in India, Washington, D.C.: Public Affairs Press, 1960.

Reports of the Finance Commissions, New Delhi:
Government of India Press.

*Reports: Intergovernmental Liaison on Fiscal and Economic Matters, Ottawa: Queen's Printer, 1969, Appendix C.

The European Communities

*Clark, W.H. The Politics of the Common Market,
Englewood Cliffs, Prentice Hall,
1967.

*Burns, R.M. Experience of National and Inter-
national Cooperative Institutions.

Publications of the European Community Information Service.

23. Intergovernmental Relations and the Parliamentary System

References:

*Laski, H.J. The Parliamentary and the Presi-
dential System, Public Adminis-
tration Review, No. 4, 1943.

*Lederman, W.R. The British Parliamentary System
and Canadian Federalism in Burns
(ed) One Country or Two, Montreal:
McGill-Queen's Press, 1971.

*Price, D.K. The Parliamentary and the Presi-
dential Systems, Public Adminis-
tration Review, No. 3, 1943.

Corry, J.A. & Democratic Government Policies,
Hodgetts, J.E. Toronto: University of Toronto
Press, 1966, Chs. 4 & 17.

*Wheare, K.C. The Impact of Federalism Upon
Parliamentary Government in Common-
wealth Parliamentary Affairs, Win-
ter, 1950.

*Watts, R.L. New Federations, Oxford, 1966,
p. 270-274.

*Vernay, D.V. Analysis of Political Systems,
London, 1959.

24. Interstate & Interprovincial Relations

References:

- *Leach, R.H. Interstate Relations in Australia, University of Kentucky Press, 1965.
- *Aitcheson, J.H. Interprovincial Relations in Canada, in The Political Process, Aitcheson J.H. (ed) Toronto, 1963.
- *Moneypenny, P. Interstate Relations, Some Emergent Trends, in Annals of the American Academy of Political Science, 1965.
- *Burns, R.M. Experience of National and International Cooperative Institutions, Maritime Union Study.
- Leach, R.H. Interprovincial Cooperation, Canadian Public Administration, June, 1959.
- Barton, W.V. Interstate Compacts in the Political Process, Chapel Hill, 1967.

25. Federalism and Local Government - The Problems of Urban Growth

References:

- *Economic Council of Canada, Ottawa: Queen's Printer, 4th Annual Review.
- *The Municipality in the Canadian Federation, Canadian Federation of Mayors & Municipalities, Ottawa, 1970.
- *Papers of the First Tri-Level Conference, Toronto, 1972. (Institute holding).
- *Papers of the National Seminar on Intergovernmental Cooperation for Urban Development, in Canadian Public Administration, Fall, 1971.
- Feldman, R.D. & Goldrick, M.D. (ed) Politics and Government of Urban Canada, Toronto: Methuen, 1969, especially Chs. 9, 15, 16.
- McKay, A.N. & Slater D.W. The Scope of Urban Policy, in Lithwick & Pacquet (ed), Urban Studies, Toronto: Methuen, 1968.

Lithwick, N.H. Urban Canada, Ottawa, C.M.H.C.
1971.

Submission of the Joint Municipal Committee on Inter-
governmental Relations to the Joint Parliamentary
Committee on the Constitution, March 2, 1971.

Martin, Roscoe The Cities and the Federal System,
New York; Atherton, 1966.

These reference readings are obviously only a
sampling of the large volume of material available.

For those interested in additional sources, prior
to 1966, reference may be made to Federalism and
Intergovernmental Relations in Australia, Canada,
The United States and Other Countries: A Biblio-
graphy, Institute of Intergovernmental Relations,
Queen's University, 1967.