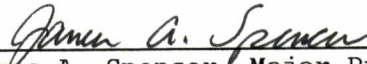
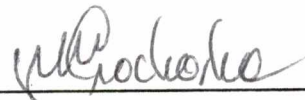
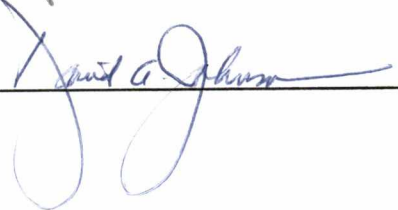


To the Graduate Council:

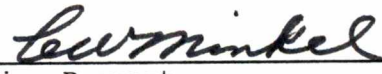
I am submitting herewith a thesis written by John E. Baldwin, Jr. entitled "An Examination of Ethical Issues Faced by Tennessee AICP Members and Their Use of the AICP Code of Ethics as a Guide." I have examined the final copy of this thesis for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Master of Science, with a major in Planning.


James A. Spencer, Major Professor

We have read this thesis
and recommend its acceptance:

Accepted for the Council:


Vice Provost
and Dean of the Graduate School

STATEMENT OF PERMISSION TO USE

In presenting this thesis in partial fulfillment of the requirements for a Master of Science in Planning degree at The University of Tennessee, Knoxville, I agree that the Library shall make it available to borrowers under the rules of the Library. Brief quotations from this thesis are allowable without special permission, provided that accurate acknowledgement of the source is made.

Permission for extensive quotation from or reproduction of this thesis may be granted by my major professor, or in his absence, by the Head of Interlibrary Services when, in the opinion of either, the proposed use of the material is for scholarly purposes. Any copying or use of the material in this thesis for financial gain shall not be allowed without my written permission.

Signature John E. Baldinger

Date August 17, 1989

AN EXAMINATION OF ETHICAL ISSUES FACED BY TENNESSEE AICP
MEMBERS AND THEIR USE OF THE AICP CODE OF ETHICS
AS A GUIDE

A Thesis
Presented for the
Master of Science
Degree
The University of Tennessee, Knoxville

John E. Baldwin Jr.

December 1989

DEDICATION

This thesis is dedicated to God Almighty, who gave me the strength, guidance, and endurance to complete this major endeavor; also, to my wife, Idella; my parents, brother, sisters, grandmother, and friends, who supported and encouraged me throughout the writing of this thesis.

ACKNOWLEDGEMENTS

I am especially appreciative to my major professor, James Spencer, Director of the Graduate School of Planning, who was understanding and provided the guidance and encouragement needed to complete this thesis. Special thanks are due to Professors David Johnson and Joseph Prochaska.

I also offer thanks to my immediate supervisor, Lucien Faust, Chief of Planning, City of Oak Ridge, for his support and encouragement.

ABSTRACT

This study is an investigation of ethical issues faced by professional urban and regional planners in Tennessee and of these planners use of the American Institute of Certified Planners Code of Ethics.

A questionnaire was administered to a sample of eighty members of AICP in Tennessee, randomly selected from a list of AICP members in the state. Thirty-eight responded, a response rate of forty-eight percent. Chi square (X^2) was used to examine the relationship between the variables type of education, location, type of employer and use of the Code of Ethics.

The study shows that there is general support for the presence of a code and that planners do face ethical issues in their work. The actual use of the code is less than the expressions of support for the code.

TABLE OF CONTENTS

CHAPTER	PAGE
1. INTRODUCTION.....	1
Definition of A Code of Ethics.....	3
Importance of A Code of Ethics.....	3
Responsibilities of A Code of Ethics.....	4
Discipline.....	5
Ethical Issues.....	6
Organization of Thesis.....	10
2. REVIEW OF RELATED LITERATURE.....	12
Professional Ethics.....	12
Professionalism.....	13
Definition of Ethics.....	14
History of Ethics.....	15
Definition of Professional Ethics.....	17
Values of The Planner.....	18
Norms.....	21
Science/Role.....	24
Laws.....	25
Statement of Problem.....	25
Scope of Study and Outline.....	26
3. METHODOLOGY.....	27
Subjects.....	27
Apparatus.....	29
Sampling Procedure.....	29
4. RESULTS AND ANALYSIS.....	32
Background Characteristics.....	32
Socio-Economic Characteristics.....	38
Ethical Issues/Usage of the Code of Ethics.....	43
5. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS.....	61
Summary.....	61
Conclusion.....	62
Recommendations.....	65
Implications for Further Research.....	66
BIBLIOGRAPHY.....	68
APPENDIXES.....	73
APPENDIX A - SURVEY OF TENNESSEE PLANNERS.....	74
APPENDIX B - DEFINITION OF TERMS.....	78
APPENDIX C - CODES.....	80
VITA.....	90

LIST OF TABLES

TABLE	PAGE
I. Sex.....	33
II. Age.....	34
III. Years As a Professional Planner.....	35
IV. Years As an AICP Member.....	36
V. Race.....	37
VI. Geographical Location.....	38
VII. Undergraduate Education.....	39
VIII. Graduate Education.....	40
IX. Type of Employer.....	41
X. Type of Work.....	42
XI. Faced with Ethical Problems.....	44
XII. Ethical Issues Encountered in the Past 3 Years.....	45
XIII. Most Frequent Ethical Issues.....	46
XIV. Most Troublesome Ethical Issues.....	47
XV. Observed Unethical Conduct.....	48
XVI. Action Taken.....	49
XVII. Reading of the Code.....	50
XVIII. How Often Refer to Code.....	51
XIX. Planners' Use of the Code.....	52
XX. Code As a Useful Guide.....	53
XXI. Advice on Ethical Problems.....	54
XXII. Resolution of Problems.....	54
XXIII. Need of a Code.....	55
XXIV. Recommendation Based on Professional Criteria Rather than Political Criteria....	56
XXV. Difficulty in Choosing Between Loyalty to Agency or Community.....	57

CHAPTER 1

INTRODUCTION

The ethics of professional conduct are being questioned as never before in history. Lawyers, physicians, engineers, accountants and other professionals are being criticized for disregarding the rights of clients and the public interest. Perhaps society is reconsidering the role of professions and professionals. In any event, many difficult ethical challenges are being faced by both professionals and the public. Given the important roles professionals play in society during the last decades of the twentieth century, everyone is concerned with professional ethics. (Bayles, 1985, p. ix)

Professional ethics address ethical choices professionals make in performing their duties and whether those choices are ethical or unethical. Sometimes a person must decide whether or not to blow the whistle on an employee for corrupt behavior; whether or not to support a company policy; or whether or not to take confidential information and leak it to a third party. These are examples of situations that many professionals encounter. (Zink, 1962, pp. 243-245)

Planners are not exempt from this burden. The professional planner works in an environment that involves interaction with various government agencies and elected officials, therefore causing political and personal values to be incorporated into the decision making process. Planner recommendations can affect property values, housings opportunities, and the daily lives of individuals.

How do planners handle such issues? Planners may cope with ethical situations through the use of codes regulating professional conduct. According to the members of the American Institute of

Certified Planners (AICP), the Code of Ethics and Professional Conduct is designed to make the planner aware of the standards of conduct for professional planners.

In past years the planning profession has adopted several codes regulating conduct for its membership. The American Society of Planning Officials (ASPO) had a statement to guide the behavior of professional planners. Later the ASPO became known as the American Planning Association (APA). The Board of Directors in 1987 revised the "Statements Of Ethical Principles" at its meeting in New York City. (Statements of Ethical Principles, 1987, p. 1)

In 1972, the Board of Governors of the American Institute of Planners (AIP) adopted the "Guidelines for the Social Responsibility of the Planner." This was intended to compliment the existing Code of Ethics and further explain how the decisions made by planners and other public officials affect the public. (Social Responsibilities of The Planner, 1972, p. 1)

Following the reorganization of the AIP to the American Institute of Certified Planners (AICP) a revision to the code of ethics was adopted in 1981. It is now called "The Code of Ethics and Professional Conduct." "The code's standard of behavior provide a basis for adjudicating any charge that a member has acted unethically. The principles of the Code derive both from the general values of society and from the planning profession's special responsibility to serve the public interest." (Code of Ethics, 1981, p. 1)

Definition of A Code of Ethics

Some professions have developed codes of conduct since early in their existence. For example, physicians, lawyers and engineers have long worked according to well established standards. One of the best-known codes is the Hippocratic Oath, in which the Greek physician Hippocrates pledged the medical profession to the preservation of life and the service of humanity. (Heermance, 1924, pp. 163, 279, 337)

A profession regulates and sets standards for its members through the development of a code of ethics. Professional codes strive to influence action within the profession through the setting of high standards for acceptable behavior. Codes of ethics also strengthen the relationships among its members and enhances the public perception of the profession. A professional code may not always accomplish these objectives, but the code should serve as a guide to its members for acceptable behavior. Most professional codes provide sanctions for members who violate the adopted standard. Additionally, public laws legislate professional conduct as it relates to the public welfare. (Bayles, 1985, pp. 11-13)

Importance of A Code of Ethics

Today there is a growing tendency to maintain a code. Codes of ethics outline a profession's responsibility to clients, colleagues, and the public. (Howe, May, 1980, p. 183) A code regulates actions and sets standards for its members. Also, professional codes attempt to assure high standards of competence in a given field, strengthen the relationships among its members and promote the welfare of the whole community. A professional code does not automatically achieve these

goals, but it does serve to guide and remind people of them. (Reeck, 1985, pp. 63-64)

Responsibilities of A Code of Ethics

Codes of ethics protect the welfare of the public. Michael Bayles the author of Professional Ethics states "People should be protected from injury - loss of life, bodily or psychological integrity or wealth - by force or fraud. This value concerns the essential of life in society. Without protection from injury caused by ethics, social life is not possible." (Bayles, 1985, pp. 2-4)

Every profession or business has the obligation to ensure that its member's service is for its client or society. In Professional and Business Ethics the author states:

The temptation to prefer individual economic gain to the welfare of the profession or the social good applies equally to relation with professional aspirants or clients. Any man who brings into disrepute the other members of his profession by means such as we have just indicated, should be subject to professional discipline. This is an addition to, although not in conflict with any legal provisions that govern the case. A part of the professional obligation - an unpleasant and distasteful, but nevertheless essential part - is the courage to purge the organization by eliminating unfit members. Every professional and business man is in a real sense his brother's keeper to the extent of being an example of the right conduct and thereby indirectly admonishing his less conscientious fellow members by obligation to exclude from membership such as fail to keep the faith. (Taeusch, 1926, p. 22)

Professional codes encourage conformance by its members. Each member should perform his/her duties according to the primary principles

set forth by the organization. If this is done it will promote unity and consistency within a profession. However, some professionals do not use their code. (Reeck, 1985, p. 69) They perform in a manner that supports their personal feelings rather than obeying the code. Typically these are professionals who take advantage of the public and clients. The professional code makes provision for dealing with members who violate the code. (White, 1986, p. 69)

Discipline

Professional codes cannot change one's behavior. However, they provide negative consequences for those members who choose not to comply. Such negative consequences, may deter members from embarrassing or harming the profession. Professional codes that discipline unethical members illustrate the commitment of the profession to serve its clients fairly.

Disciplining of members assists with keeping a profession's commitment. A profession must be committed to fairness and ethical conduct. Carl Taeusch, author of Profession and Business Ethics expresses his view on discipline within a profession:

. . . it becomes a matter not only of sturdy morality and personal decency, but of public policy and professional control to establish certain standards of business conduct, to express them frankly and publicly, and efficiently to coerce all members of the organization into compliance with them. (Taeusch, 1926, p. 24)

Codes do little unless members obey the rules. "The mere existence of rules or law will do little to promote desirable behavior unless the

individuals who are to be guided are disposed to obey the rule."
(Reeck, 1985,p. 69)

Writers of codes assume that the practitioners will obey the code. This assumption is based upon the belief that professionals are good and just people. One would hope that this is true. Nevertheless, the assumption that professionals are good people is not enough to promote desirable behavior. (Bayles, 1985 p. 65)

Many organizations have sanctions available for disciplining its members. The discipline procedure typically begins with a complaint brought before a committee. The committee convenes as a hearing board, evidence is brought by the complainant and the respondent. Then judgment is rendered. (Reeck, 1985, p. 70)

Ethical Issues

Since the planning profession is intermingled with all levels of government and businesses, the planner is in a position to influence many kinds of decisions about the future. (Dyckman p. 28) These decisions may cause dilemmas for the planner, nevertheless, decisions must be made. To help better understand the ethical environment of the planner, some research on this topic has been done. Some of the studies which are particularly significant will be briefly reviewed in this section.

Over the last twenty years, there has been an increase in publication about planning ethics. Many articles, reports, guidelines and surveys have been written to aid in identifying ethical and unethical behavior. As early as 1971, research on planning ethics was

appearing. Most of these early studies showed ethical issues existed in some facet within a planning environment.

In 1971, a Planning Advisory Service Report was released. One of the more interesting elements of the report was a survey of planning directors in which one-third identified themselves as being mildly tolerant of dissent among their own staff, while almost another third indicated they felt highly tolerant and encouraged dissent. Dissent was defined as a difference of opinion by the planner when the planner did not agree with the agency's position on issues. (Ethical Awareness, p. 27)

This survey identified dissent as an ethical problem existing within the planner's workplace. Dissent is an ethical question discussed in many surveys. However, in this survey, dissent did not appear to be a taxing problem. Perhaps the planning directors viewed dissent as a sign of aggressiveness and zeal by subordinates and not an ethical problem.

In 1973, "The Social Responsibilities of the Planner" was published by the American Institute of Planners (AIP). Its guidelines seemed to promote an overall equity on a local, state and federal level. The guidelines attempted to assist planners in making ethical decisions, however, confusion resulted. The code and guidelines in effect at that time caused planners to question which rules were to be followed. (Ethical Awareness, p. 15)

In 1978, Howe and Kaufman surveyed the planning profession across the nation to determine how the profession viewed ethics. Their study was intended to describe what planners thought to be ethical, rather

than to judge them against some predetermined standard. A mail survey was sent to 1178 members of the American Institute of Planners (AIP), with a response rate of 69 percent. Also, those working in public planning agencies had a usable response rate of 53 percent or 616 questionnaires. All responses were completely anonymous. The survey instrument consisted of three parts. The first part contained fifteen short scenarios that presented a planner's action toward a particular ethical dilemma. The respondent decided if he/she thought the planner's action was ethical, using a five point scale. Also, he/she was asked if they would do the same thing, using a similar scale.

The second part of the questionnaire was made up of fifty-three strongly worded statements, using a six-point scale from "strongly agree" to "strongly disagree." These statements were designed to bring out attitudes concerning roles and values of the planner. Finally, the third part of the questionnaire consisted of demographic questions and questions about the respondent's education, political views, and work situation. (Howe & Kaufman, 1979, pp. 29-30)

The study concluded that the view of ethics by planners fall into two categories. "Two core values that clearly emerge from the study are the unacceptability of using threats and distorting information. There is a large area where values or ethics seem to be relative. It seems that judgment is influenced more by such factors as role, political views, and agency orientation. Tactics or means seem to have a more important effect on ethical choices than do relative issues or ends. The tactics are used to achieve, though relative issues do have some impact." (Howe & Kaufman, 1979, p. 45)

An article, "Ethics and Professional Practice In Planning and Related Professions," explored attitudes about ethics of means among urban planners. The article concentrated on the theory that ethical principles in professions can be related either to ends or to means. In addition, the article highlighted ethical dilemmas that planners have on the job and revealed inconsistencies between the code of ethics and the planner's conception of ethics. The main inconsistency that was expressed was the code's position that planners should use only a narrow range of means. (Howe & Kaufman, University of Wisconsin - Madison)

Another article by Howe & Kaufman, "Ethics of Contemporary Planners," discussed the ambiguity of the planner's code of ethics. They felt the utility of the code was somewhat misleading when a planner is faced with a dilemma that involves two or more ethical issues such as dissenting from the agency's position on public housing and offering behind the scenes assistance to the recipients of the housing plan. Also, parts of the code may be so broadly defined that various interpretations may exist. (Howe & Kaufman, 1979, pp. 243-55)

In "Confessions of A Planner" by Lawrence Livingston Jr., the author discussed ethical decisions that planners constantly faced. The article noted that there have been planner's proposals that have proven to be unjustifiably costly, ineffective or in some cases even harmful to the public interest. The author expressed great concern for the accountability planners must have for their recommendations along with the need for planning guidelines to aid the planner in making decisions. (Livingston, 1980, p. 30-33)

Another issue that appears to be a concern of the planning profession is the problem of public planners going into private practice. Many areas around the country are being plagued by this problem, and as a result, tough ethical safeguards are being adopted. "One safeguard is to have a cooling-off period," said David Frankel, an assistant county attorney. He believes some time should pass before an employee can represent a company in front of the government agency where he once worked. Furthermore, some planning commissioners believe that the cooling-off period should be at least one year and possibly longer.

In some areas of the country an employee cannot assist or represent a firm in a case, contract or other specific concern if that concern is one in which he significantly participated while with the public agency. Also, these employees are prohibited by law from using their government positions to negotiate for jobs in private firms.

According to Ronald W. Koch,

The flight of county employees to the private sector has raised concerns about whether certain developers will receive favored treatment. Moreover, residents are legitimately concerned that some county employees may not have the taxpayer's best interest in mind when drafting planning and zoning guidelines, approving building permits and seeing to it that developers do not cut corners in construction. (Washington Post, May 11, 1986)

Many planners believe that no conflicts exist, if the planner does not use private information not available to the development community in general. Also, some planners feel comfortable in working with a private firm after having worked in the public arena. They know how the system works and who to talk with in order to get things accomplished

without a lot of "red tape." These planners do not feel as if they are abusing the system, instead they are striving professionals. (Washington Post, May 11, 1986)

An article "Conflict at Large: A National Survey of Planners and Political Conflict," was written by Charles Hock, associate professor at the University of Illinois at Chicago. This article investigated the actions of planners when they were threatened by economic and political sanctions as well as attacks on their professional competency and moral integrity by those in authority. This study concluded that the organizational level of planners determined whether or not they encountered severe conflicts. "Planners are threatened not for pushing the domain of planning into new territory, but simply for guarding the territory already won". (Hoch, 1988, p. 25-34)

A recent commentary on the American Planning Association's "Statement of Ethical Principles for Planning," by William H. Lucy, associate professor of planning at the University of Virginia, recommended that the first five of the thirteen principles of the AICP Code be eliminated. The first five principles are as follows:

1. Serve the public interest;
2. Support citizen participation in planning;
3. Recognize the comprehensive and long-range nature of planning decisions;
4. Expand choice and opportunity for all persons;
5. Facilitate coordination through the planning process.

Lucy stated that the above mentioned principles "deal with some of the most difficult subjects of political and planning theory." Thus,

"because of the oversimplification that brevity requires, the controversial philosophical issues that they address, and the questionable conclusions they express," they should be removed.

(Lucy, 1988, pp. 145-147)

In response to Lucy's commentary, two former members of the AICP Ethics Committee, Carol Barrett, AICP and Stuart Meck, AICP, both share contrasting views to that of Lucy. In Barrett's and Meck's opinion "Ethics makes people uncomfortable. But planners and planning officials should not shrink from grappling with it merely because it is complex and prickly. For that reason, we don't share Lucy's enthusiasm for pruning APA's ethics statement". (Barrett, 1989, pp. 362-363)

Organization of Thesis

Chapter II of this study presents a review of research and literature that is related to the working environment of the urban planner. While little research has been done within Tennessee to determine the usefulness of the Code of Ethics as a guide, past studies on ethics have some bearing on determining the extent and type of relationships that exist in solving ethical problems.

Chapter III describes the methodology used in obtaining the data in the survey of the AICP members in Tennessee. The results and findings of that survey are presented and discussed in Chapter IV. The summary, conclusions, recommendations and implications for further research are presented in Chapter V.

CHAPTER 2

REVIEW OF RELATED LITERATURE

Professional Ethics

The current saga of Edwin Meese and Oliver North illustrates the ethical dilemmas that many professionals encounter. Apparently, professional ethics is not a theoretical concept only but rather a quotidian concern that all professional people and professions face.

Who could forget Watergate? Watergate was probably one of the most visible unethical events this century. One author stated:

The trauma of Watergate stays with us. It's impossible to write an article on any phase of professional ethics without reference to that awful set of events. One thing certainly is clear. The failure of the Watergate actors to honor the society's legal and moral imperatives has deeply affected us all. The present shocking low level of confidence in all levels of government can be cancerous; distrust is no friend of a vital and participative democratic system. (Sherwood, 1985, p. 13)

Before one can comprehend the full meaning of professional ethics, professionalism and ethics must be examined. Professionalism represents integrity. Any profession should demand high standards of conduct from its members. In addition, it should provide honest and quality service.

Ethics are the foundation on which professionalism stands. Ethics define what is good versus what is bad. One can easily make the connection between professionalism and ethics. The main point to be made is that ethics and professionalism are interrelated.

Professionalism

Professionalism and ethics provide valuable insight to one's understanding of professional ethics. Yet, professional ethics take on a special character all its own. When people talk in terms of being a professional they are putting themselves in a category that requires strict conduct awareness. The qualities of a profession help define the course of action a member takes when faced with ethical dilemmas. Planners are striving to be "professional" by adopting a code of ethics to aid its members in dealing with ethical issues.

James Lee, author of "The Role of the Planner in the Present: A Problem of Identification," asserts that professionalism is a specialization in a particular area. If a person does his work with skill and it is his major occupation and receives money for it, he is considered a professional. (Lee, February, 1960, p. 25) Seward Hiltner, an early leading authority on professions, states that the basic criteria for any profession are as follows:

1. The professional man operates from basic principles. This is what a "learned" profession means.
2. The professional man operates through technical means, but in mastery of them, not subordination to them -- using them to free rather than to fetter thinking and action.
3. He operates in some direct way for human welfare.
4. The professional man operates responsibly; that is he has a discriminating view of what his own principles may be applicable to, and of where the knowledge and skills of others are more relevant.
5. The professional man operates in some way as representative of a group which collectively is a profession. (Lee, February, 1960, p. 26)

To further elaborate on what constitutes a profession John T. Howard lists the following criteria:

1. A professional maintains confidential loyalty to the client.
2. Professional work is intellectual and varied in character.
3. It involves consistent exercise of discretion and judgement.
4. A professional must possess recognized skills.

(Lee, February, 1960, p. 27)

A profession consists of a limited and clearly marked group of men who are trained by education and experience to perform certain functions better than their fellow men.
(Taeusch, p. 13)

A profession also provides a particular service to society. These services range from legal advice to designing buildings. The number of professions are too numerous to name, however, each profession is responsible for providing accurate, honest, and plausible service. The public is made up of vulnerable people who entrust their lives and fortunes to professionals. The remainder of this chapter will discuss the relationships that exist between professionalism and ethics.

Definition of Ethics

Before one can investigate the origins of ethical reasoning, a definition of ethics is in order. According to Peter Marcuse, ethics may be defined as:

. . . a set of principles for the guidance of individual actions, extending beyond those established by positive law, and designed to promote the social good. Since all individuals act in many different socially relevant ways at one time, they are subject to multiple, and often conflicting, ethical obligations. (Marcuse, July, 1974, p. 3)

Ethics requires a methodical investigation into moral beliefs, intentions, choices and patterns of good and bad conduct. A study into

these areas may present some understanding, but one must still make personal decisions which apply this understanding to one's daily life. (Caplan, 1981, p. 5)

History of Ethics

Ethical reasoning in the western tradition has been influenced by developments in Greece beginning in the late 5th and early 6th century B.C. Socrates was the most dominant person in ethical thinking during this time. (Kropotkin, 1924, p. 88) Socrates explored the philosophy of numerous virtues, such as courage and temperance, and contended that all virtues must determine how to achieve the good life. Additionally, he believed that ignorance was the foundation of all immoral conduct. (Sidgwick, 1964, pp. 29-30)

Other men influenced by Socrates were Plato and Aristotle. Plato, a pupil of Socrates, believed that a person could control his moral life by seeking good. This action would take him past the physical to the utopian realm. Plato also believed that a person could become virtuous if they examined moral decisions and attitudes on a daily basis. (Kropotkin, 1924, pp. 92 & 95)

Aristotle, a pupil of Plato, phrased morality as "practical wisdom." It was called practical, because it was concerned with action, both on the part of the individual and on the part of society. It was concerned with what should or should not be done. Aristotle divided practical wisdom into two parts: moral philosophy and political philosophy. (Kropotkin, 1924, pp. 100-102)

During the Hellenistic Age and the Roman Empire, the study of ethics became the most popular part of philosophy due to the social dissension of that time. People referred to it for relief and individualized strength. The philosopher Epicurus and his school focused upon the individual and placed the highest good in pleasure. Epicureans acknowledged diverse types of pleasure and exalted those of the mind over the pleasures of the body. (Kropotkin, 1924, p. 116)

Some Christian theologians founded their ethical philosophies on the teachings of St. Augustine and St. Thomas Aquinas. Augustine centered his beliefs on the association between the individual and his God as the core of the moral life as well as the religious life. Furthermore, Augustine combined morality with the Christian love of God and fellow men. (Sabine, 1973, pp. 183-186)

Aquinas correlated the virtues alluded to by Aristotle with the Christian virtues of faith, hope and charity. He placed the standard for ethical decisions in reason. This reasoning acted both as the lawgiving reason of God and human reason which considered the needs of human nature. (Kropotkin, 1924, p. 136)

Later European moral philosophers include Immanuel Kant and John Stuart Mill. Kant believed that an act is moral when it is done out of genuine esteem for duty. He asserts that if people are moral agents merely when they are free, they must also be the beginning of their own moral laws. (Werkmeister, 1961, p. 295) Mill took a more utilitarian view of the standard of morality. According to Mill, moral selection should be governed by the belief of obtaining good for the greatest number of people. (Sabine, 1973, pp. 638-639)

In the 1900's, the leading moral theories have been intuitionism, emotivism, naturalism and personal realism. The intuitionist position believes that people instantly perceive the purpose of the basic moral terms and principles. These terms and principles are ascertained from personal experiences intuitively. (Hare, 1972, pp. 45-46) Emotivism states that moral statements express ones desires and emotions, but do not convey any knowledge. Moral discourse only states our preference, but does not justify them. (Hare, 1972, pp. 49-51) Naturalism holds that moral conduct cannot be regulated by any reference to God's will or an afterlife. One should use the natural and social sciences to help derive decisions which respect human nature. Personal realism admits the need to take into account the position with the rest of nature, but places emphasis on the personal reality of human beings and their search for God. Both individual and social life must be permeated by one's moral openness to God. (Hare, 1972, pp. 43-45)

Definition of Professional Ethics

What are professional ethics? Ethicists and scholars have struggled over the years to define professional ethics. Although, no universal definition has been accepted, ethicists agree that values, norms, science, laws and ethics significantly influence the development of professional ethics. There are five constructs to this development. (See Figure 1) These constructs are distinct, yet not mutually exclusive. (White, 1986, pp. 73-74)

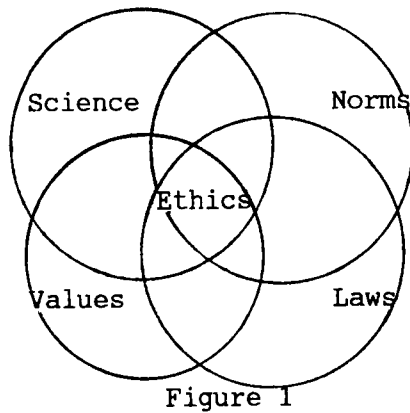


Figure 1
Five Constructs

In order to ascertain the true meaning of professional ethics, one must look at a specific profession. For this study, ethics in planning will be the topic under consideration. The following section will examine the interaction of professionalism, values, norms, science, laws and ethics as it relates to the planning profession.

Values of The Planner

Values are beliefs or ideals held by individuals or groups concerning what is good, right, desirable, or important in an idea of action. (White, 1986, p. 74)

Values, as they relate to planning, are diverse. The purpose for examining the values of planners is to determine the relationship that may or may not exist between a planner's values and his/her decision to use or ignore their code of ethics.

Peter Marcuse makes the following comment concerning how the planners view their profession:

Since all planning to some extent, and public planning certainly, are ethical and value-laden activities, it is within the profession's power to make actual this potential unity of ethical obligations stemming from differing roles, by raising and broadening the scope of the ethical conduct it requires of its members. The more the profession as a whole faces up to the ethical

implications of its role and its actions, and requires its member to fulfill in their professional conduct the ethical obligations of citizens and human beings as well as of planners, the less will be the ethical dilemmas of the individual planner, and the greater the profession's contribution to the general good. (Marcuse, 1974, p. 34-37)

The attitudes and values that planners possess shape the choices planners make in their work. Israel Stollman believes that planning technicians, the most likely group of value free planners, introduce their own value judgments into their work. If the technician is to be a complete person, he cannot disregard views, values, and biases. For example, the collection of data involves selecting questions to ask, selecting methods of obtaining answers, and making judgments about their validity. (Howe and Kaufman, July, 1981, p. 266)

Dissimilar values will produce different choices. The technician's biases may be illusive, repressed, and unseen; however, they are present. (Howe and Kaufman, July, 1981, p. 266)

In any given situation, a planner's attitudes may determine the type of action he/she will take, since attitudes condition their understanding of circumstances and their selection of pertinent objectives. For example, if planners exhibit assertive attitudes to citizens taking an interest in the planning process they may discover ways of opening the process to increased public participation. (Kaufman, 1985, p. 352)

Since the professional planner works in an environment that involves interaction with various government agencies and elected officials, political values are incorporated into the decision-

normmaking process. Planners' recommendations can affect property values, housing opportunities and the daily lives of individuals.

Each planner introduces his or her own set of professional and personal values to their job responsibility. Along with one's professional and personal values, the planner brings their own evaluation of the role one should play in the policy making process: "neutral" technician, advocate, or political activist. The planner must realize that each belief or value brought into professional practice has certain risks and limitations on what he can achieve. (Heikoff, 1975, p. 94)

Paul Davidoff challenges the political and technical role of the planner through advocacy planning. He disagrees with the belief that planners can behave as value neutrals. He believes that planners should be in favor of specific policy positions, because the planners have no unified public interest to serve. "The advocate planner would be more than a provider of information, an analyst of current trends, a simulator of future conditions, and a detailer of means." (Vasu, 1979, p. 83)

Furthermore, Davidoff maintains that planning by its very nature opens the door for deeper examinations and debates concerning political and social values. If one accepts this view then one must reject the prescription for planning which would have the planner behave only as a technician. (Vasu, 1979, p. 83)

An interesting study of American planners was conducted by Howe and Kaufman in 1978. Respondents were asked to classify themselves as primarily political, or primarily technical, or both. Fifty-one percent

of those surveyed were a combination of both political and technical in their thinking. This type of planner is called a "hybrid." These hybrid planners tend to be concerned with the problem of being deprived of their professional legitimacy. This is the reason for their favoring the technical role. In addition, these hybrid planners are interested in the possible lack of effectiveness of their position. This supports their valuing the political role. As a result of the attempt to have both a technical and political role, planners tend to exhibit tension in their jobs. (Kaufman, 1985, p. 358)

Norms

Norms encompass an idea, conceptualization, belief of a statement enforced by the sanctions of members of a group concerning their behavioral rules, patterns and conduct which is referenced in the form of what should be done, what ought to be done, what is expected and the level of action or expectation under specific circumstances. (White, 1986, p. 74)

The planning norm can be summed up by the AICP Code of Ethics. The AICP Code of Ethics outlines what planners should do and what is expected of them. The Code of Ethics and Professional Conduct was adopted in 1981, by the American Institute of Certified Planners (AICP). This code of ethics serves as a guide for planners on ethical issues arising within their profession.

The code of ethics states that planners have responsibilities to the public, clients, employers, colleagues, planning profession and to themselves. These responsibilities help to determine their decisions on ethical issues in planning. The remainder of this section will examine

some of the responsibilities of the professional planner as stated in the code of ethics.

The code of ethics asserts that professional planners have a responsibility to the public community. They must make sure that the information which the public receives is accurate. If not, planners are held responsible and their credibility is weakened. In addition to providing accurate information, planners have the responsibility of providing a chance for the public to voice their opinion of issues that will affect their community. (Code of Ethics, A)

During this procedure, planners should inform the interested public about the proposed plan and all of the short range and long range impacts. In many instances this step is left out and the public only knows half of the information which may lead them to favor or disfavor a proposed plan. But after the plan is implemented, details that were left out begin to surface and the public become dissatisfied. The planning profession as a whole is blamed for giving misleading information. Thus, it is very important that planners acquire and maintain a good relationship with the community at large. (Code of Ethics, A)

According to the AICP Code of Ethics, planners have a responsibility to clients and employers. Planners must take great care in ascertaining what the public interest is versus the interest of the client or employer's interest. Choosing to protect the public's interest may cause a conflict to develop concerning their client's interest and the public's interest. (Code of Ethics, B)

Another responsibility of professional planners is to their profession and colleagues. Since planners receive advance information regarding proposed plans, this makes planners valuable to persons who desire advanced knowledge of development plans, for legal or illegal purposes. Planners have been offered bribes, gifts or favors in return for information that would lead to specific recommendations for various projects. Planners should always conduct themselves in a manner worthy of high standards, thus avoiding any appearance of wrong that could cast a dark shadow upon himself/herself and the planning profession. (Code of Ethics, C)

It is very important for planners to have the respect of their colleagues. Planners must always remember that their actions should lean toward the profession. When planners are asked to comment on a colleague's work, they should use their best judgment. If the colleagues have this respect toward one another, a pleasant working environment will exist. Each planner has a special talent to contribute to the organization and it takes all of these talents combined to ensure the success of the department. (Code of Ethics, C)

Finally, planners have a responsibility to themselves. They should always put forth their best efforts when undertaking a project. If planners discover that the information being submitted is incorrect or unsuitable for the project, they should be willing to obtain correct information in order to keep a good reputation within the planning profession. Also, planners are responsible for staying abreast of current development within the planning profession. This action may

provide planners with new techniques relative to performing their tasks more efficiently. (Code of Ethics, D)

Science/Role

The planning profession is similar to that of a scientist. Scientists conduct research and analyze data to better understand phenomena. Likewise, planners gather information and make analysis regarding land use development, social programs, etc. Planners must use sound planning principles in order to obtain the optimum results.

A planner may choose a particular role of planning. The typical planner chooses a role that is parallel to his/her interests. The science of the planning profession comes into view when the planner collects and interprets data concerning various proposals.

The planner may choose the role of professional practitioner with technical skills. This role allows the planner to offer intense and distinct formulas for problem solving, and to be accurate in their work. (Marcuse, 1974, p. 34)

Another role that planners may select is that of the social scientist. This selection may occur since planners constantly address social issues such as affordable housing, unemployment, etc. During the planning process for such issues planners learn how to negotiate and resolve differences that might otherwise defeat a proposal. (Marcuse, 1974, p. 34)

A third role that a planner may select is that of a private citizen with unique insight relative to the workings of the public sector. However, as a scientist should not be biased while conducting an experiment so as not to skew the results, the planner should not have

a biased interest in public and private affairs. Planners having a biased interest may cause conflict of interest accusations against the planner which may or may not be substantiated. (Marcuse, 1974, p. 34)

Laws

A system of social rules, norms or standards of behavior, concerning the right and wrong of human conduct that is put in codes enforcement by sanctions imposed through recognized authority. (White, 1986, p. 74)

Both state law and local ordinances affect the planning profession. In land use planning the use of zoning ordinances and subdivision regulations dictate the development of land.

The legal authority for planning within the state of Tennessee is called the enabling legislation. This enabling legislation is located in Chapter 13 of the Tennessee Code Annotated and allows local municipalities to enact ordinances and regulations which direct development.

The laws do not deal with planning as a profession. In New Jersey, the practice of planning is controlled by state law. In Michigan, state law regulates the use of the title of planner. In all states planners, as general citizens, must abide by criminal and civil law governing fraud, contracts, etc.

Statement of Problem

The AICP Code of Ethics is one potential source of aid to planners faced with ethical issues. No one knows whether or not planners use the Code to help resolve ethical issues, and if so, how?

This study will address the utility and use of the Code among Tennessee Planners.

Scope of Study and Outline

The purpose of this study was to investigate professional conduct of the planners of Tennessee and whether these planners refer to the Code of Ethics when faced with ethical problems. More specifically, the study focuses on the urban planning profession rather than concentrating on any specific area of planning (e.g., transportation, health planning).

The Code of Ethics and Professional Conduct was adopted by the AICP to serve as a guide for its members. This study is not an attempt to find solutions to ethical issues. However, valuable information can be obtained by examining the AICP members' use of this code within the state of Tennessee.

The questions that guide this study in determining the use of the Code of Ethics are:

1. Are AICP members faced with ethical issues?
2. How knowledgeable are the AICP members about the Code of Ethics?
3. Why do AICP members use the Code of Ethics?
4. Do the AICP members think the Code of Ethics is needed?
5. Do the AICP members apply the Code of Ethics?
6. Are education, location and type of employer associated with use of the code by AICP members?

CHAPTER 3

METHODOLOGY

Up to this point, the question of whether the AICP Code of Ethics is used or not by AICP members in Tennessee remains to be addressed. Previous chapters laid the foundation for understanding the circumstances germane to this question.

The first chapter discussed professional ethics as a current and daily concern faced by most professions. The chapter further elaborated on the AICP Code of Ethics.

The second chapter discussed professional ethics more explicitly and its relationship with a planner's work environment. This discussion concluded by stating the purpose of the study was to determine if the AICP Code is used by its members and if not, why not. This chapter will discuss the methodology used to conduct the research.

Subjects

The sample consisted of 80 members of the American Institute of Certified Planners (AICP) in the State of Tennessee. Subjects were classified in terms of either location (e.g., west, middle, east), type of education (e.g. undergraduate, graduate) and type of employer (e.g., federal, state, city, private). The subjects were surveyed to examine their use of the Code of Ethics and Professional Conduct.

Apparatus

The questionnaire used in this experiment was a modification of two previous surveys. One survey was conducted by Michael Vasu in 1975. He

surveyed 1,067 American Institute of Planners (AIP) members nationwide to ascertain information relative to the attitudes of planners concerning the planning profession. The second survey was conducted by the team of Elizabeth Howe and Jerome Kaufman in 1979 when they surveyed 1,178 American Institute of Planners (AIP) members nationwide to gather information concerning ethical behavior of planners.

The instrument used to collect the data for this study was a mail out survey. (Appendix A) The survey method is by far the most practical and efficient method for collecting information from a large group of people dispersed throughout the state. The questionnaire consisted of a total of twenty-one questions, divided into three sections. The first section consisted of fifteen questions which addressed the degree of utilization the planners exhibited toward the Code of Ethics.

The second section of the questionnaire was made up of four questions which were concerned with the planner's education, the type of agency in which they worked and the size of the locale in which they worked. These questions were designed to make it possible to assess the relationship that existed between a planner's type of educational background, type of employer and use of the Code of Ethics. The final section of the questionnaire was constructed to collect demographic data on the respondents (location, age, number of years an AICP member, etc.).

The questionnaire was pilot tested with a local planning agency. The respondents were unaware that the questionnaire was being piloted. After the questionnaires were completed and returned, an interview with each respondent occurred to discuss the nature of the questionnaire.

Their suggestions were incorporated into the final version of the questionnaire.

The use of a pilot test increased the probability of the respondents in answering the questionnaire with relative ease. This in turn increased the probability of the questionnaire being completed and returned. Also, the pilot test was used to determine the reliability and validity of the survey instrument.

Sampling Procedure

The sample size of the study is eighty. It was the number of AICP members within the state of Tennessee needed to achieve the degree of accuracy expressed as a proportion (.05). The sample was randomly selected from a list of 107 AICP members within Tennessee. A simple random sampling procedure was selected instead of a systematic, multistage, or stratified sampling procedure because: (1) a simple random sample entails the minimum advance knowledge of population characteristics; and (2) it produces accuracy relative to sample size, and it appears to be the basic assumption underlying many statistical techniques. Also there were no theoretical reasons for using a stratified sample. (Miller, 1970, p. 56)

All of the surveys were mailed on the same day. The survey instructed the respondents to complete and return the survey upon date of receipt. At the end of thirty days (from mail out date) the responses from the survey were tabulated and a frequency distribution compiled the data in table form. Chi Square (X^2) was used to determine the statistical significance between the variables - type of education,

type of employer, location and use of the Code of Ethics. The results of the findings are summarized in the following chapter.

CHAPTER 4

RESULTS AND ANALYSIS

Chapter IV is concerned with describing the results of the survey of AICP members within the State of Tennessee. The survey findings appearing herein are descriptive of only those persons who responded to the mail questionnaire. It is assumed that the findings are representative of the AICP members within Tennessee.

The sample consisted of eighty AICP members within Tennessee. Out of the eighty members surveyed, thirty-eight responses were received, a response rate of 48 percent. The analysis of the data was accomplished through the Lotus and Micro-Stat computer software. The data is summarized in tabular form below.

Background Characteristics

In order to provide a description of the survey respondents, an analysis of sex, age, racial composition and geographical location has been done.

Sex. The findings from the survey indicated that over 85 percent of the respondents were male (Table I). This small representation of female AICP members was consistent with the results of a survey conducted in 1978 by Elizabeth Howe and Jerome Kaufman, which was "a random sample of 1,178 members of the American Institute of Planners." This survey yielded a response rate of 53 percent. Thirteen percent of the respondents were female.

Table I

Sex

	Responses	Percent
Male	33	86.84
Female	5	13.16
Total	38	100%

Age. The AICP members within Tennessee that responded to the survey had a mean age of forty-seven. No one under thirty years of age responded to the questionnaire. The range from thirty-one to forty years of age yielded the highest response. Moreover, one-third of the respondents fell within the range of forty-one to fifty years of age, while less than one-fourth of the respondents fell between the range of fifty-one to sixty years of age. Less than 10 percent indicated they were sixty-one years of age or older. (Table II)

Table II

Age

	Response	Percent
Under 30 yrs.	0	0
31 to 40 yrs.	14	36.84
41 to 50 yrs.	13	34.21
51 to 60 yrs.	7	18.42
61 or over	3	7.89
No Response	1	2.63
Total	38	100%

Years As a Professional Planner. The respondents were experienced. More than three-fourths had over ten years of experience. The data indicated that a majority of the respondents had been professional planners from eleven to twenty years. The responses for those with one to ten years of planning experience was slightly over 10 percent and twenty-one to thirty was about 15 percent. Less than 15 percent of the planners had practiced for more than thirty-one years. (Table III)

Table III
Years As a Professional Planner

	Responses	Percent
1 to 10 yrs.	5	13.16
11 to 20 yrs.	22	57.89
21 to 30 yrs.	6	15.79
31 or more yrs.	5	13.16
Total	38	100%

Years as an AICP Member. The respondents were asked to mark the number of years they had been AICP members. Over one-third of the respondents indicated that they were AICP members from one to ten years. One-fourth of the respondents fell between the range of eleven to twenty years. About 3 percent of the respondents indicated AICP membership from twenty-one to thirty years. Those who indicated AICP membership beyond ten years were probably counting American Institute of Planners membership, since AICP did not exist until 1978. And slightly under one-fourth responded in the range of thirty-one or more years. A few of the respondents made no selection. (Table IV)

Table IV
Years As An AICP Member

	Responses	Percent
1 to 10 yrs.	16	42.11
11 to 20 yrs.	10	26.32
21 to 30 yrs.	1	2.63
31 or more yrs.	8	21.05
No Response	3	7.89
Total	38	100%

Race. All thirty-eight respondents were Caucasian. This finding revealed that non-Caucasians failed to respond to the survey and/or that there were no minority AICP members in Tennessee. If we assumed that minority representation in the planning profession was low, then we can assume that the number of minority AICP members was low. These findings were similar to those which were ascertained by Howe and Kaufman, when they surveyed 1,178 American Institute of Planners (AIP) members nationwide. Their findings yielded a 3 percent minority response nationwide. (Table V)

Table V

Race

	Responses	Percent
White	38	100
Black	0	0
Hispanic	0	0
Indian	0	0
Asian	0	0
Other	0	0
Total	38	100%

Geographical Location. The respondents were asked to indicate if they were from West, Middle or East Tennessee. The frequency distribution showed that over three-fourths of the respondents were from East Tennessee. The remaining one-fourth of the respondents were from either West or Middle Tennessee. This large response from East Tennessee may be attributed to the fact that the majority of the AICP members appeared to reside in this region. Also, the East Tennessee region appeared to be greater in size than the other regions. (Table VI)

Table VI
Geographical Location

	Responses	Percent
West Tennessee	4	10.53
Middle Tennessee	4	10.53
East Tennessee	30	78.95
Total	38	100%

Socio-Economic Characteristics

Undergraduate Education. Each respondent answered the question regarding area of undergraduate education. The field that yielded the highest response was geography, while engineering, business and architecture had the same number of responses. A small number received an undergraduate degree in urban planning. The remainder of the respondents can be combined under the liberal arts degree. (Table VII)

Table VII
Undergraduate Education

	Responses	Percent
Geography	9	23.68
Engineering	4	10.53
Business	4	10.53
Architecture	4	10.53
Urban Planning	2	5.26
Liberal Arts	15	39.47
Total	38	100%

Graduate Education. When the AICP members were asked if they had done graduate work in planning, slightly under three-fourths responded that they held a master's degree in planning. A minority of the respondents obtained their doctoral degree in planning, while less than one-fourth acknowledged that they held a master's degree in areas other than planning and/or they had not done any graduate work in planning. (Table VIII)

Table VIII
Graduate Education

	Responses	Percent
No	5	13.16
Yes, master's degree in planning granted	27	71.05
Yes, doctoral degree in planning granted	1	2.63
Yes, but toward a degree other than planning	4	10.53
Yes, thesis not completed	1	2.63
Total	38	100%

Type of Employer. The findings of the survey indicated that less than one-fourth of the AICP members in Tennessee were employed with federal and city agencies. Also, a small number of the AICP members were employed with private consultants or state agencies. However, just under one-half were employed in the other category such as university campus planning, teaching, legal, etc. (Table IX)

Table IX
Type of Employer

	Responses	Percent
Federal Agency	8	21.05
State Agency	2	5.26
City Agency	8	21.05
Private Consultant	5	13.16
Other	14	36.84
Total	38	100%

Type of Work. When the respondents were asked where they do their planning, almost one-fourth indicated that they worked in a functional specialty. Those persons who worked in regional areas was somewhat less. The categories of large city, medium city, small town and general consulting all combined received one-half of the responses. And slightly under one-fourth responded in the "other" category. (Table X)

Table X
Type of Work

	Responses	Percent
Small Town (0-25,000 people)	4	10.53
Medium City (25,001-100,000)	5	13.16
Large City (100,001-800,000)	5	13.16
Regional Areas	7	18.42
Functional Specialty	8	21.05
General Consulting	5	13.16
Other	8	21.05
No Response	11	28.95
Total	38	100%

Summary. The findings showed that 100 percent of the respondents were Caucasian and 86.84 percent of those responding were males. Most of the AICP members who responded (78.95 percent) were from East Tennessee with a mean age of forty-seven. The majority of the AICP members (57.89 percent) indicated that they had been a professional planner from eleven to twenty years. And 42.11 percent of the respondents had been a member of the AICP from eleven to twenty years. Moreover, 71.05 percent of the AICP members held a master's degree in planning.

Ethical Issues/Usage of the Code of Ethics

The writer examined some of the ethical issues that the AICP members within the State of Tennessee faced and whether or not the code was used as a resource mechanism. This section was divided into two parts; ethical issues and usage of the code. Six research questions were used to guide the investigation. They were:

1. Are AICP members faced with ethical issues?
2. How knowledgeable are the AICP members about the Code of Ethics?
3. Why do AICP members use the Code of Ethics?
4. Do the AICP members think the Code of Ethics is needed?
5. Do the AICP members apply the Code of Ethics?
6. Are education, location and type of employer associated with use of the code by AICP members?

Ethical Issues. The first research question was as follows: Are AICP members faced with ethical issues?

A majority of the respondents indicated that they were faced with ethical problems. Moreover, the extent in which the participants encountered ethical problems varied from "always" to "seldom," with "sometimes" being the most common response. However, the "never" response was not marked by any of the participants. (Table XI)

Table XI
Faced With Ethical Problems

	Responses	Percent
Always	7	18.42
Sometimes	19	50.00
Seldom	11	28.95
Never	0	00.00
No responses	1	02.63
Total	38	100%

In order to ascertain the type of ethical issues encountered a question instructed the respondents to select from a list of ethical issues the ones they encountered. The category that received the most responses was dissent. The second most prevalent response was the use of office equipment or supplies for personal use. The least number of responses received were providing assistance to opponents, cheating, and other such as terminating an employee, showing favoritism in reviewing federal grant applications, mistreatment of students by instructor and poor use of a work day. (Table XII)

Table XII

Ethical Issues Encountered in The Past 3 Years

	Multiple Responses
Dissent	26
Dishonesty	10
Disclosure of Information	9
Conflict of Interest	7
Distortion of Information	12
Assist Opponents	5
Cheating	5
Using Office Equipment or Supplies for Personal Use	18
Other	5
No Response	4
Total	101

As a follow-up question, the respondents were instructed to write the kinds of ethical issues that arose most frequently. By using write-in answers no guess work on the writer's behalf was required since the respondents indicated the issues. The responses to the question that received the most attention were the issues of dissent, distortion of information and pilfering by colleagues. The pilfering response was interesting, because the literature review did not expose this issue. The remaining responses of favoritism, politics, dishonesty, conflict of issues and adverse decisions ranged from 2 to 8

percent. Over one-fourth of the members did not respond to the question. (Table XIII)

Table XIII
Most Frequent Ethical Issues

	Responses	Percent
Pilfering	6	14.63
Dissent	9	23.68
Dishonesty	2	5.26
Conflict of Interest	1	2.63
Decisions Based On Politics Instead of Professional Recommendations	3	7.89
Distort Information	4	10.53
Pressure From Applicant/Developer	1	2.63
Favoritism	3	7.89
Decisions Are Made That Adversely Affect The Community	1	2.63
No Response	8	21.05
Total	38	100%

To further investigate if AICP members are faced with ethical issues they were requested to indicate the kinds of issues most troublesome. Eighteen percent responded with conflict of interest, while 11 percent indicated that favoritism was the most troublesome issue to face. However, a few of the respondents reported that

decisions should be based on politics instead of professional recommendation. Also, dishonesty and borderline cases presented problems to some of the respondents. One of the respondents listed disclosure of information as a troublesome problem. Forty-two percent did not respond to the question. (Table XIV)

Table XIV
Most Troublesome Ethical Issues

	Responses	Percent
Disclosure of Information	1	2.63
Conflict of Interest	7	18.42
Decisions Based On Politics Instead of Professional Recommendations	3	7.89
Distort Information	1	2.63
Favoritism	4	10.53
Dishonesty	3	7.89
Borderline Cases	3	7.89
No Response	16	42.10
Total	38	100%

The respondents were asked if they observed unethical or questionable conduct by their colleagues. A majority of the AICP members answered affirmatively to the question. However, over one-third of the respondents marked the "no" category. (Table XV)

Table XV
Observed Unethical or Questionable Conduct

	Responses	Percent
Yes	22	57.90
No	14	36.84
No Response	2	5.26
Total	38	100%

The final question regarding ethical issues required the respondents to list the type of action they took when a colleague exhibited unethical conduct. Surprisingly, slightly under one-third of the AICP members responded that no action was taken. However, less than one-fourth indicated that they confronted their colleagues and revealed that they reported the incident to a supervisor and if the person responsible was an employee, he/she was terminated. Only 3 percent stated that they would "blow the whistle" on a colleague. However, 42 percent did not respond to the question. (Table XVI)

Table XVI

Action Taken - Observed Unethical Conduct

	Responses	Percent
Confronted Colleague	5	13.16
Went to Supervisor	2	5.26
Terminated Employee	2	5.26
Blew the Whistle	1	2.63
Nothing	12	31.58
No Response	16	42.11
Total	38	100%

Usage of The Code. The second research question was as follows:
How knowledgeable are the AICP members in regard to the Code of Ethics?

To be an AICP member, one must meet the full requirements of education and experience and pass the written examination. One of the requirements to becoming an AICP member is that each person should have read and be familiar with the Code of Ethics. Continuing membership in AICP requires adherence to the Code of Ethics and Professional Conduct.

The respondents were asked how long had it been since they read the AICP Code of Ethics and Professional conduct. Over one-third of the respondents indicated that they had not read the code of ethics within the last two years. However, over one-fourth indicated that they had read the code of ethics within the last year or within the last two years. About 10 percent of the respondents had read the code within

the last six months, and another 10 percent had never read the code.
(Table XVII)

Table XVII
Reading of The Code

	Responses	Percent
Within last 6 mo.	4	10.53
Within last yr.	5	13.16
Within last 2 yrs.	5	13.16
More than 2 yrs.	16	42.11
Never	4	10.53
No Response	4	10.53
Total	38	100%

The respondents were asked whether or not they referred to the code of ethics when faced with ethical problems in planning. Just over one-fourth of the respondents sometime referred to the code. However, more than one-half responded that they seldom referred to the code and/or that they never referred to the code. (Table XVIII)

Table XVIII
How Often Refer To Code

	Responses	Percent
Always	0	0
Sometimes	10	26.32
Seldom	14	36.84
Never	13	34.21
No responses	1	02.63
Total	38	100%

The third research question was as follows: Why do AICP members use the Code of Ethics?

The results reflect that one-third of the AICP members referred to the code for awareness of ethical issues. Slightly under one-third responded that they referred to the code to guide personal conduct. Surprisingly, one-fourth of the respondents indicated the code was not appropriate. And only 8 percent referred to the code to judge the conduct of others. (Table XIX)

Table XIX
Planners' Use of The Code

	Responses	Percent
To be aware of ethical issues	13	34.21
To judge the conduct of others	3	07.89
To guide personal conduct	12	31.58
Not appropriate	9	23.68
No response	5	13.16
Total	38	100%

To gain further insight into the use of the Code of Ethics, a question was asked if the code was a useful guide to professional conduct. Slightly over one-half of the members responded to the "somewhat useful" category. However, one-fourth of the respondents indicated the code was a very useful guide. Only 11 percent felt the code was not a useful guide for professional conduct. (Table XX)

Table XX
Code As A Useful Guide

	Responses	Percent
Very Useful	10	26.32
Somewhat Useful	20	52.63
Not Useful	4	10.53
No Response	4	10.53
Total	38	100%

To further investigate the use of the Code of Ethics and Professional Conduct by Tennessee AICP members, a question addressed whether or not the member considered the code when faced with an ethical problem. The respondents were asked where they went for advice when they were faced with ethical problems. Just under one-half indicated that other sources such as wives, one's self, the Bible and attorneys were used instead of the Code of Ethics. Supervisors and co-planners were chosen as a source by one-fourth of the respondents. However, one-fourth selected the Code of Ethics as a source for advice. (Table XXI)

Table XXI
Advice On Ethical Problems

	Responses	Percent
Code of Ethics	9	23.68
Co-Planners	8	21.05
Supervisor	4	10.53
Other	16	42.11
No Response	1	02.63
Total	38	100%

When the respondents were asked if the source they used for help resolved the problem, three-fourths indicated yes. However, one-fourth either marked the "no" category or they did not respond. (Table XXII)

Table XXII
Resolution Of Problems

	Responses	Percent
Yes	28	76.68
No	4	10.53
No Response	6	15.79
Total	38	100%

The fourth research question was as follows: Do the AICP members think the Code of Ethics is needed?

The AICP members of Tennessee were asked if they agreed that there should be an AICP Code of Ethics and Professional Conduct. The response to the question indicated overwhelmingly that they were in favor of a code. Surprisingly, 11 percent indicated that they were not sure of the need for a code of ethics. (Table XXIII)

Table XXIII
Need Of A Code

	Responses	Percent
Yes	33	86.84
No	0	0
Not Sure	4	10.53
No Response	1	2.63
Total	38	100%

The fifth research question was as follows: Do the AICP members apply the Code of Ethics?

The code of ethics asserts that professional planners have a responsibility to the public community. He/she must make sure that the information which the public receives is accurate. If not, the planner is held responsible and his/her professional credibility is weakened.

The results from the survey reflected that a majority of the AICP members strongly agreed that one should base a recommendation on professional criteria rather than political criteria. Eighteen percent marked the "agree" category, while 8 percent indicated that they were undecided. However, a small number of the respondents disagreed by acknowledging that recommendations should be based on political criteria. (Table XXIV)

Table XXIV
Recommendations Based On Professional Criteria
Rather Than Political Criteria

	Responses	Percent
Strongly Agree	25	65.79
Agree	7	18.42
Undecided	3	7.89
Disagree	2	5.26
Strongly Disagree	1	2.63
No Response	0	0
Total	38	100%

To further investigate if the AICP members apply the code of ethics, they were asked if they agreed that it is difficult to choose between the loyalty to the agency or to the community. Just 3 percent of the respondents strongly agreed with the question and surprisingly 25 percent selected the "agree" category. Only 3 percent of the

respondents were undecided. However, 50 percent of the AICP members indicated that it was not difficult to choose between loyalty to the agency or to the community. Furthermore, 13 percent selected the "strongly disagree" category. (Table XXV)

Table XXV

Difficulty In Choosing Between Loyalty To Agency Or Community

	Responses	Percent
Strongly Agree	1	2.63
Agree	10	26.32
Undecided	1	2.63
Disagree	19	50.00
Strongly Disagree	5	13.16
No Response	2	5.26
Total	38	100%

The sixth research question was as follows: Are education, location and type of employer associated with use of the code by AICP members?

In order to assess the affect of education on the use of the Code of Ethics, a chi square was performed. The dependent variable for use was question #12.

Question #12 - How often do you refer to the Code of Ethics?
The independent variable was the question dealing with education.

Question #2 - Have you done graduate work in planning?

The null hypothesis stated that education has no affect on the use of the code of ethics by Tennessee AICP members. The results indicated there was not a significant difference in the use of the code of ethics by professionally educated planners and other planners. $X^2 (12, N=80) = 8.927, p<.05$. This finding proposed that education did not appear to influence a planner's preference to use the code of ethics.

Part of the educational requirements for Tennessee Graduate Schools of Planning are courses in Planning Theory. These courses discuss ethics in planning. A majority of the respondents (71 percent) held a masters degree in planning. The point that education did not appear to be associated with a planner's decision to use the code when they encountered ethical problems appeared to differ with the view of psychologist Larry Eberlein who believed that "courses in ethics contribute to the awareness of responsibility by the student before they enter professional practice." (Eberlein, 1987, p. 354)

A study was conducted by Rest, a psychologist (1984), which involved "moral and value education and a philosophical focus on the decision-making process." He concluded that there were "four major interactive components that constitute the moral (ethical) decision-making process." (Eberlein, 1987, p. 355) The four components are discussed below:

Component 1 involves an awareness that a moral problem exists, imagining what courses of action are possible, and the consequences of each course of action and its effect on the welfare of each party involved.

Component 2 invokes the decision-making process to identify the morally right or ideal response.

Component 3 relates to personal values and involves choosing among causes of action, each of which involves different values and motivations.

Component 4 of the process, the plan of action, indicates to what extent the ethical ideal can or will actually be implemented. This component indicate the ability or willingness of a person to put his or her words into practice. (Eberlein, 1987, p. 355)

Prior to Rest, two psychologists, Welfel and Lipsitz (1983), held similar views concerning moral, values and ethics education. They concluded that "in addition to simply reviewing a code, many writers feel that ethics education must broaden its base and include instruction in moral philosophy. Consideration of personal values and the ability to reason on moral issues are considered essential." (Eberlein, 1987, p. 355)

In terms of location versus use of the code of ethics by Tennessee AICP members a chi square analysis was performed. The dependent variable for use was question #12.

Question #12 - How often do you refer to the Code of Ethics?
The independent variable was the question dealing with location.

Question #6 - In what part of Tennessee are you located?

The null hypothesis stated that location has no affect on the use of the code of ethics by Tennessee AICP members. The results indicated there was not a significant difference in the use of the code of ethics by planners by location in the state. $X^2 (6, N=80) = 8.484$, $p < .05$. This finding suggested that location did not tend to influence a planner's propensity to use the code of ethics.

Type of employer versus use of the code were compared.
The dependent variable for use was question #12.

Question #12 - How often do you refer to the Code of Ethics?

The independent variable was the question dealing with type of employer.

Question #3 - Where are you employed?

The null hypothesis stated that type of employer does not influence a planner's decision to use the code of ethics. The results of the chi square analysis indicated there was not a significant difference in the use of the code of ethics by planners based on type of employer. $\chi^2 (6, N=80) = 8.871, p<.05$.

CHAPTER 5

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Summary

This study identified some ethical issues and the use of the AICP Code of Ethics and Professional Conduct as it related to Tennessee AICP members. The sample population consisted of eighty AICP members within the State of Tennessee. The respondents were randomly selected from a list of AICP members within the State. The survey instrument consisted of a total of twenty-one questions, divided into three sections to investigate ethical issues, use of the Code and whether or not there was any association between education, location and type of employer and use of the code as a resource mechanism by AICP members.

The data revealed that 97 percent of the Tennessee AICP members were faced with ethical problems. The most frequent ethical issues encountered were dissent and pilfering. Furthermore, the data reflected that a majority of the surveyed AICP members (84 percent) within Tennessee reported that there should be a code of ethics. Surprisingly, the data indicated that the majority of the AICP members (74 percent) did not refer to the Code of Ethics to guide them when ethical problems arose. Furthermore, the data reflected that most of the AICP members had not read the Code of Ethics for more than two years.

A slight majority (53 percent) reported that the code of ethics was a useful guide. However, 74 percent of the members sought other sources such as supervisors, wives, the Bible, co-workers and one's self during ethical dilemmas.

Conclusions

AICP members in Tennessee acknowledged the importance of the Code, but their responses did not support the idea that it was a vital element in their consideration of ethical issues. Over 86 percent reported that a Code was needed, but less than one fourth of them turned to it as a primary source of guidance to be informed on ethical issues. Although planners encountered ethical problems, the data indicated that 10 percent had not encountered ethical issues in the last three years. In addition, almost one-fourth of the planners surveyed did not report the most frequently encountered ethical problems, and over 40 percent did not identify the most troublesome ethical issues. In an attempt to explain the study's results, the following paragraphs focus on factors which may influence a planner's decision to refer to the Code of Ethics.

As stated earlier in the literature review, one such factor which had a significant part in the way a professional planner behaved, was values. In this study values were divided into two categories, the first being personal and the second being professional.

Personal values referred to any attitude or beliefs (religious) that were established outside the planner's work environment. In other words, a planner brought the values and attitudes that were developed from childhood into his/her profession.

Professional values incorporated all attitudes or beliefs of a planner that were related to the planning profession. Earlier values were intermingled with the values of the profession, plus the values of the agency in which he or she worked.

This study found that the majority of Tennessee AICP members resolved ethical issues from professional values as shown in Table XXI. Why? A study conducted by Howe and Kaufman, "The Values of Contemporary American Planners," provided some insight into these results. Their study surveyed 1,178 members of the American Institute of Planners (AIP), with a response rate of 69 percent. The findings revealed that professional values were more influential than personal values. They attributed the influence to role orientation of the planners.

When the Tennessee AICP members' selections for advice were compared with the study conducted by Howe and Kaufman, "The Values of Contemporary American Planners," the data from the Tennessee AICP survey indicated that values were instrumental in the selection of reference sources. The respondents who consulted their wives, attorneys, one's self and the Bible represented the use of personal values in solving ethical problems. The respondents who selected co-workers, supervisors and the code represented the use of professional values as their means of resolution. The reason for the planners' selections were based on the ability of that source to resolve the problems as was indicated by the survey responses (Table XXII).

Another factor which may influence a planners decision to refer to the Code of Ethics is relevancy. Planners may place greater confidence in other sources rather than in the code, because many of the problems that confront planners are not clear cut issues. The preamble to the Code of Ethics acknowledges that parts of the code overlap. This adds another element to the dilemma of the planner when he/she is faced with

ethical issues. Carol D. Barrett, member of the AICP Ethics Committee stated in a paper on "Observations on Ethics,"

Just a few of our personal decisions are clearly black and white, those decisions we make in our professional lives are often clouded with tinges of gray. Though planners can sometime achieve consensus on what is the right thing to do in some circumstances, in other cases there is no agreement.

Another possible reason for the code not being more influential to planners is that of visibility. More specifically, the enforcement of the Code (discipline) is not widely monitored within the membership. Perhaps planners do not give much weight to the code because they do not see it being enforced. According to Gene Pearson, AICP, former president of the Tennessee Chapter of the American Planning Association, "To the best of my knowledge, there has not been a case in Tennessee that involved unethical charges being brought against a fellow AICP member." Mr. Pearson's comment is supported by the results of the survey. A majority of the AICP members indicated that they had observed unethical or questionable conduct by their colleagues. When the respondents were asked the type of action taken, one-third reported that no action was taken.

Furthermore, as stated earlier, in the analysis of type of employer, over one-third of the respondents were employed in a category of work outside the traditional mainstream, such as university campus planning, teaching, legal, etc. (The presence of two major state universities, the Tennessee Valley Authority, and the Oak Ridge National Laboratory in the study area may account for this as they all employ planners.) Perhaps the Code is not as relevant to those in non-

traditional employment as might be assumed, since these planners do not directly deal with the public at large.

Recommendations

The writer recommends the following based on the results from this investigation.

First, the AICP Ethics Committee should attempt to bring an awareness of ethics to its members, through state and national conferences. In addition, more correspondence with AICP members is needed to remind them periodically that the code is available and communication with the ethics committee may prove to better unify and clarify ethical decisions, plus increase the use of the code by its members.

Secondly, the AICP members of Tennessee have acknowledged the need for a code of ethics, and the Code itself mentions that some areas overlap. To address this problem the planning profession may want to examine the field of psychology in Canada, as they revised their code of ethics.

The new Canadian Code of Ethics took the Canadian Psychological Association (CPA) ethics committee six years to develop and was adopted by the CPA Board of Directors in March 1986. A process of broad consensus was used to formulate the code. Four principles were derived from the ethics committee. They were:

Principle I: Respect for the dignity of persons (36 standards).

Principle II: Responsible caring (43 standards).

Principle III: Integrity in relationships (36 standards).

Principle IV: Responsibility to society (23 standards)." (Eberlein, 1987, p. 354)

Value statements and standards succeed all four principles. Each value statement and standard is "considered to be the most generally applicable and to have consensual validity. Both minimal behavioral expectations as well as more idealized attitudinal and behavioral expectations are included." If parts of the code clash, "the higher principle should receive the greater emphasis except in cases in which there is a clear and imminent danger to the physical safety of any known or unknown individual." (Eberlein, 1987, p. 354)

Finally, the AICP Code of Ethics needs to be more visible to planners. As it stands presently, the code of ethics has been published in the AICP Directory and in the 1983 Ethical Awareness Guide. Periodically, the entire code should be published in the APA Journal to continually remind the planners of its existence, which in turn may increase the reference to the code when its members are faced with ethical problems.

Implications for Further Research

Additional research needs to be done on why the code is not used. There is general support for the idea of the code, but it is not a vital reference point. Why not? Is it used in ways that are more suitable than the instruments used in this study discovered?

Further research in the area of ethics might consider a random survey of non-AICP members of the APA for the purposes of comparing the

ethical views of members and nonmembers of AICP to ascertain why the Code of Ethics is not used. In addition, a comparison study is needed to determine if the frequency of usage varies from state to state.

BIBLIOGRAPHY

BIBLIOGRAPHY

- Altshuler, Alan A. The City Planning Process; A Political Analysis. New York: Cornell University Press, 1965.
- American Institute of Certified Planners. Ethical Awareness in Planning. Washington, D.C.: October, 1983.
- "Are You an Ethical Public Official" Municipal Maryland, (Municipal League: Annapolis, MD.)
- Barr, Donald A. "The Professional Urban Planner." Journal of the American Planning Association 38: pp. 155-59.
- Barrett, Carol D. and Stuart Meck. "From the Board: A Heated Response on Ethics". Journal of the American Planning Association. Summer 1989, Vol. 55, No.3: pp. 362-36
- Bayles, Michael D. Professional Ethics. Belmont, California: Wadsworth Publishing Co., 1985.
- Beckman, Norman. "The Planner as a Bureaucrat" Journal of the American Planning Association 30: pp. 323-27.
- Bolan, Richard S. "The Social Relations of The Planner." Journal of The American Planning Association 37: pp. 286-396.
- Burchell, Robert W. and Sternlieb, George. Planning Theory In The 1980's: A Search of the Future Directions. New Brunswick, New Jersey: Center of Urban Policy Research, 1978.
- Cartwright, Timothy J. "Problems, Solutions and Strategies: A Contribution to The Theory and Practice of Planning." Journal of The American Planning Association 39: pp. 179-87.
- Catlin, Robert A. "Politics, Planning and The Black Community In The Tampa Bay, Florida Area: Roles for Black Planners." Planning 1981: Proceeding of the National Planning Conference. Washington, D.C.: Planners Press pp. 231-243.
- Chandler, Ralph Clark. "The Problem of Moral Reasoning In American Public Administration." Public Administrations Review 43, January/February, 1983: pp. 32-39.
- Dyckman, John W. "What Makes Planners Plan." Journal of The American Planning Association 27: pp. 164-67.
- Dyckman, John W. "Planning and Decision Theory." Journal of The American Planning Association 27: pp. 335-345.

- Eberlein, Larry. "Introducing Ethics to Beginning Psychologist: A Problem-Solving Approach." Professional Psychology: Research and Practice. 1987, Vol. 18, No. 4, pp. 353-359.
- Faludi, Andreas. A Reader in Planning Theory. Elmsford, New York: Pergamon Press Inc., 1978.
- Finkler, Earl. "Dissent and Independent Initiative in Planning Offices". American Society of Planning Officials: Planning Advisory Service May 1971, No.269: pp. 1-64.
- Forester, John. "Planning in The Face of Power." Journal of The American Planning Association 48, Winter. 1982.
- Gamberg, Herbert. "The Professional and Policy Choices in Middle-Sized Cities." Journal of The American Planning Association 32: pp. 174-77.
- Gilbert, Neil and Spechet, Harry. Planning For Social Welfare: Issues, Models and Tasks. Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1977.
- Hare, R.M. Essays on The Moral Concepts. Los Angeles, California: University of California Press, 1972.
- Heermance, Edgar L. Codes of Ethics. Burlington, Vt.: Free Press Printing Co., 1924.
- Heikoff, Joseph M. Politics and Urban Planning: A Primer. Albany, New York: State University of New York at Albany Press, 1975.
- Hoch, Charles. "Conflict at Large: A National Survey of Planners and Political Conflict". Journal of Planning Education and Research. Fall 1988, Vol. 18, No. 4: pp. 25-33.
- Howe, Elizabeth and Kaufman, Jerome. "The Value of Contemporary American Planners." Journal of The American Planning Association 47, July, 1981: pp. 226-78.
- Howe, Elizabeth. "Role Choices of Urban Planners." Journal of The American Planning Association 46, October, 1980: pp. 398-409.
- Howe, Elizabeth and Kaufman, Jerome. "The Ethics of Contemporary American Planners." Journal of The American Planning Association 45, July, 1979: pp. 243-55.
- International City management Association. Management of Local Planning. ICMA, 1984.
- Kaufman, Jerome L. "Ethics and Planning : Some Insights From the Outside." APA Journal, April 1981: pp. 196-99.

- Kaufman, Jerome L. "Teaching Planning Ethics." Journal of Planning Education and Research. ACSP. 1981: pp. 29-34.
- Klosterman, Richard E. "Foundations for Normative Planning." Journal of The American Planning Association 44, January: pp. 37-44.
- Krieger, Martin H. "What Do Planners Do?" Journal of The American Planning Association 41: pp. 347-49.
- Kropotkin, Prince. Ethics: Origin and Development. New York: George G. Harrap & Company, Ltd., 1924.
- Krumholz, Norman, Kaufman, Jerome, Davidoff, Paul and Susskind Lawrence. "A Retrospective View of Equity Planning: Cleveland 1969 - 1979 and Three Comments." Journal of The American Planning Association 48 spring, 1982: pp. 163-83.
- Lee, James E. "The Role of The Planner in The Present: A Problem of Identification." Journal of The American Planning Association 24: pp. 151-57.
- Lee, James E. "Planning and Professionalism." Journal of The American Planning Association 26: pp. 25-30.
- Levin, Melvin R. "The Conscience of The Planner." Planning 42, January, 1976: pp. 8-10.
- Livingston, Lawrence, Jr. "Confessions of a Planner." Planning 46, March, 1980: pp. 30-33.
- Long, Norton E. "Planning and Politics in Urban Development." Journal of The American Planning Association 25: pp. 167-69.
- Lucy, William H. "APA's Ethical Principles Include Simplistic Planning Theories". Journal of the American Planning Association Spring 1988, Vol. 54, No.2: pp. 147-149.
- Mackinon, D.M. A Study in Ethical Theory. London: Adam & Charles Black, 1957.
- Mandelbaum, Semour J. "On Not Doing One's Best: The Uses and Problems of Experimentation in Planning." Journal of The American Planning Association 41: pp. 184-190.
- Marcuse, Peter. "Professional Ethics and Beyond." Journal of The American Planning Association July: pp. 264-74.
- Mayo, James M. "Sources of Job Dissatisfaction: Ideals Verses Realities in Planning." Journal of The American Planning Association 48: pp. 481-495.

- Mothershead, John L. Jr. Ethics: Modern Conceptions of The Principles of Right. New York: Henry Holt and Company, Inc., 1955.
- Peterson, William. "On Some Meaning of Planning." Journal of The American Planning Association 32: pp. 130-142.
- Rabinovitz, Francine F. City Politics And Planning. New York: Atherton Press, 1970.
- Rawls John. A Theory of Justice. Cambridge, Massachusetts: Harvard University Press, 1981.
- Reeck, Darrell. Ethics For The Professions. Minneapolis, Min.: Augsburg Publishing House, 1982.
- Sabine, George H. and Thorson, Thomas L. A History of Political Theory: Fourth Edition. Hindsdale, Illinois: Dryden Press, 1973.
- Seely, John R. "What is Planning?" Journal of The American Planning Association 28: pp. 91-97.
- Sherwood, Frank P. "Professional Ethics". Public Management June 1985: p. 13
- Sidgwick, Henry. Outlines of The History of Ethics. Boston, Mass.: Beacon Press, 1964.
- Stollman, Israel. "The Values of The City Planner." The Practice of Local Government Planning. ed. Frank so, etal. ICMA, 1979.
- Strand, Sverre. "Models and Ethics." Journal of The American Planning Association 37: pp. 42-44.
- Taeusch, Carl F. Professional and Business Ethics. New York: Henry Holt and Company, Inc., 1926.
- Vasu, M.L. Politics and Planners: A National Study of American Planners. Chapel Hill, NC.: University of North Carolina Press, 1979: p. 235.
- Wachs, Martin. Ethics in Planning. Rutgers, New Jersey: The Center for Urban Policy Research Building, 1985.
- Werkmeister, W.H. Theories of Ethics. New York: American Book Stratford Press, Inc. 1961.
- White, Louis P. and Wooten, Kevin C. Professional Ethics and Practice in Organizational Development. New York, NY: Praeger Publishers, 1986.
- Zink, Sidney. The Concepts of Ethics. New York: St. Martin's Press, Inc. 1962.

APPENDIXES

APPENDIX A

Survey of Tennessee Planners

Dear AICP Member:

I need your help to complete my master's thesis in planning at the University of Tennessee. I am examining selected aspects of ethical issues that arise among planners. It would be of great help if you could take about fifteen minutes to complete the enclosed questionnaire and return it to me.

You have been randomly selected from a list of AICP members within Tennessee to participate in the survey. For your convenience, I have enclosed a self-addressed, stamped envelope. All information will be strictly confidential and will be used in the completion of my thesis.

I hope you will take the time to complete the questionnaire. Your cooperation is greatly appreciated and your response is eagerly awaited.

Sincerely,

John E. Baldwin, Jr.

A Survey of Tennessee Planners

1. How often are you faced with ethical issues in your work?

Always	Sometime	Seldom	Never

2. Do you agree that the Urban planner should base his recommendations on professional, rather than political criteria?

Strongly Agree Undecided Disagree Strongly Agree

3. Do you agree that it is difficult to choose between loyalty and responsibility to the agency or firm you serve and what you feel to be ethically right for the community at large?

Strongly Agree	Agree	Undecided	Disagree	Strongly Disagree
----------------	-------	-----------	----------	-------------------

4. What ethical issues have you encountered in the past 3 years.
(Check all that apply)

- ☐ Dissent (disagree personally with an official policy of your employer)
- ☐ Dishonesty (offered bribes, gifts, favors, or threat)
- ☐ Disclosure of Information (leaking, revealing confidential client or agency information to a third party)
- ☐ Conflict of Interest (faced with the potential for personal gain related to employment)
- ☐ Distort Information (misinterpret, alter the meaning of information due to pressure)
- ☐ Assist Opponents (aid specific interest groups to reverse official action)
- ☐ Cheating (invited or tempted to falsify expenses accounts, financial records, or data of agency or firm)
- ☐ Using office equipment or supplies for personal use.
- ☐ Other Specify (write on back if necessary) _____

5. Which kind of issue arises most frequently?

6. Which kind of issue is most troublesome?

7. When you are faced with an ethical problem, where do you go for advice?
- ☐ Code of Ethics ☐ Co-Planners ☐ Supervisor
☐ Other (Specify) _____
8. Did that source resolve the problem? ☐ Yes ☐ No
9. How long has it been since you read the AICP Code of Ethics?
☐ within last 6 mo. ☐ within last yr. ☐ within last 2 yrs. ☐ more than 2 yrs. ☐ never
10. Do you agree there should be an AICP Code of Ethics and Professional Conduct set forth by the American Institute of Certified Planners?
☐ yes ☐ no ☐ not sure
11. Do you consider the AICP Code of Ethics a useful guide to professional conduct?
☐ very useful ☐ somewhat useful ☐ not useful
12. How often do you refer to the Code of Ethics?
- ☐ Always ☐ Sometime ☐ Seldom ☐ Never
13. Why do you refer to the AICP Code of Ethics? (check one)
☐ To be aware of ethical issues ☐ To judge the conduct of others ☐ To guide personal conduct ☐ Not appropriate
14. Have you observed unethical or questionable conduct by others planners? ☐ yes ☐ no
15. If the answer to # 14 is yes, what action did you take? (Brief explanation) _____

Education & Work

1. What was your major subject in undergraduate school?

2. Have you done graduate work in planning?
☐ No ☐ Yes, doctoral degree in planning granted
☐ Yes, master's degree in planning granted ☐ Yes, but toward a degree other than planning

3. Where are you employed?

☐ Federal Agency ☐ Private Consultant
☐ State Agency ☐ Other (specify) _____
☐ City Agency _____

4. Do you plan primarily:

☐ a small town (0-25,000 people)
☐ a medium city (25,001-100,000 people)
☐ a large city (100,001-800,000 people)
☐ regional areas
☐ functional specialty
☐ general consulting
☐ other (specify) _____

Background Characteristics

1. In what year were you born? 19__

2. Years as a professional planner: ____

3. How long have you been a member of the AICP? ____

4. What is your sex? ☐ Male ☐ Female

5. What is your race?

☐ White ☐ Black ☐ Hispanic ☐ Indian
☐ Asian ☐ Other

6. In what part of Tennessee are you located?

☐ West ☐ Middle ☐ East

APPENDIX B

DEFINITION OF TERMS

1. Ethics - consist of a set of principles for the guidance of individual actions, extending beyond those established by law and decision to promote the social good. (Marcuse, July, 1974, p. 3)
2. AICP Code of Ethics - is designed to make the public and the planner aware of standards of conduct for professional planners and the minimum acceptable behavior and standards of conduct to which planners can aspire. (Code of Ethics, p. 3-5)
3. American Institute of Certified Planners (AICP) - The AICP is an affiliate of the American Planning Association (APA). This organization is concerned with qualifications and standards for professional planners and the development of the profession. (Management of Local Planning, p. 259)
4. AICP Member - The three major requirements for AICP membership are:
(1) that the individual must be engaged in professional planning (this is thoroughly defined in the membership criteria); (2) must have completed specified combinations of education and experience:
(3) and must pass an AICP written examination that is administered by the Educational Testing Service. AICP members are obligated to observe the AICP Code of Ethics and Professional Conduct. (Management of Local Planning, p. 259)
5. American Planning Association - The American Planning Association is primarily an association of professors, students, planning

commissioners, practioners in planning at all levels of government, plus other fields. (Management of Local Planning, p. 21)

6. American Institute of Planners (AIP) - This organization of professional planners adopted a code of ethics which formed the foundation for the present AICP code of ethics. The AIP merged with the American Association of Planning Officials in 1978 to form the American Planning Association. (Management of Local Planning, p. 259)

American
Institute of
Certified
Planners

An Institute of the
American Planning Association



Code of Ethics and Professional Conduct

(Adopted September 10, 1981)

This Code is a guide to the ethical conduct required of members of the American Institute of Certified Planners. The Code also aims at informing the public of the principles to which professional planners are committed. Systematic discussion of the application of these principles, among planners and with the public, is itself essential behavior to bring the Code into daily use.

The Code's standards of behavior provide a basis for adjudicating any charge that a member has acted unethically. However, the Code also provides more than the minimum threshold of enforceable acceptability. It sets aspirational standards that require conscious striving to attain.

The principles of the Code derive both from the general values of society and from the planning profession's special responsibility to serve the public interest. As the basic values of society are often in competition with each other, so also do the principles of this Code sometimes compete. For example, the need to provide full public information may compete with the need to respect confidences. Plans and programs often result from a balancing among divergent interests. An ethical judgment often also requires a conscientious balancing, based on the facts and context of a particular situation and on the precepts of the entire Code. Formal procedures for filing of complaints, investigation and resolution of alleged violations and the issuance of advisory rulings are part of the Code.

The Planner's Responsibility to the Public

A. A planner's primary obligation is to serve the public interest. While the definition of the public interest is formulated through continuous debate, a planner owes allegiance to a conscientiously attained concept of the public interest, which requires these special obligations:

1) A planner must have special concern for the long range consequences of present actions.

2) A planner must pay special attention to the interrelatedness of decisions.

3) A planner must strive to provide full, clear and accurate information on planning issues to citizens and governmental decision-makers.

4) A planner must strive to give citizens the opportunity to have a meaningful impact on the development of plans and programs. Participation should be broad enough to include people who lack formal organization or influence.

5) A planner must strive to expand choice and opportunity for all persons, recognizing a special responsibility to plan for the needs of disadvantaged groups and persons, and must urge the alteration of policies, institutions and decisions which oppose such needs.

6) A planner must strive to protect the integrity of the natural environment.

7) A planner must strive for excellence of environmental design and endeavor to conserve the heritage of the built environment.

The Planner's Responsibility to Clients and Employers

B. A planner owes diligent, creative, independent and competent performance of work in pursuit of the client's or employer's interest. Such performance should be consistent with the planner's faithful service to the public interest.

1) A planner must exercise independent professional judgment on behalf of clients and employers.

2) A planner must accept the decisions of a client or employer concerning the objectives and nature of the professional services to be performed unless the course of action to be pursued involves conduct which is illegal or inconsistent with the planner's primary obligation to the public interest.

3) A planner must not, without the consent of the client or employer, and only after full disclosure, accept or continue to perform work if there is an actual, apparent, or reasonably foreseeable conflict between the interests of the client or employer and

the personal or financial interest of the planner or of another past or present client or employer of the planner.

4) A planner must not solicit prospective clients or employment through use of false or misleading claims, harassment or duress.

5) A planner must not sell or offer to sell services by stating or implying an ability to influence decisions by improper means.

6) A planner must not use the power of any office to seek or obtain a special advantage that is not in the public interest nor any special advantage that is not a matter of public knowledge.

7) A planner must not accept or continue to perform work beyond the planner's professional competence or accept work which cannot be performed with the promptness required by the prospective client or employer, or which is required by the circumstances of the assignment.

8) A planner must not reveal information gained in a professional relationship which the client or employer has requested be held inviolate. Exceptions to this requirement of non-disclosure may be made only when (a) required by process of law, or (b) required to prevent a clear violation of law, or (c) required to prevent a substantial injury to the public. Disclosure pursuant to (b) and (c) must not be made until after the planner has verified the facts and issues involved and, when practicable, has exhausted efforts to obtain reconsideration of the matter and has sought separate opinions on the issue from other qualified professionals employed by the client or employer.

The Planner's Responsibility to the Profession and to Colleagues

C. A planner should contribute to the development of the profession by improving knowledge and techniques, making work relevant to solutions of community problems, and increasing public understanding of planning activities. A planner should treat fairly the professional views of quali-

continued

1776 Massachusetts Ave. NW

Washington, DC 20036

Phone 202.872.0611

fied colleagues and members of other professions.

1) A planner must protect and enhance the integrity of the profession and must be responsible in criticism of the profession.

2) A planner must accurately represent the qualifications, views and findings of colleagues.

3) A planner, who has responsibility for reviewing the work of other professionals, must fulfill this responsibility in a fair, considerate, professional and equitable manner.

4) A planner must share the results of experience and research which contribute to the body of planning knowledge.

5) A planner must examine the applicability of planning theories, methods and standards to the facts and analysis of each

particular situation and must not accept the applicability of a customary solution without first establishing its appropriateness to the situation.

6) A planner must contribute time and information to the professional development of students, interns, beginning professionals and other colleagues.

7) A planner must strive to increase the opportunities for women and members of recognized minorities to become professional planners.

The Planner's Self-Responsibility

D. A planner should strive for high standards of professional integrity, proficiency and knowledge.

1) A planner must not commit a deliberately wrongful act which reflects adversely on the planner's professional fitness.

2) A planner must respect the rights of others and, in particular, must not improperly discriminate against persons.

3) A planner must strive to continue professional education.

4) A planner must accurately represent professional qualifications, education and affiliations.

5) A planner must systematically and critically analyze ethical issues in the practice of planning.

6) A planner must strive to contribute time and effort to groups lacking in adequate planning resources and to voluntary professional activities.

Procedures Under the Code of Ethics and Professional Conduct

1. Informal Advice and Formal Advisory Rulings: Any person may seek informal advice on ethics from the Executive Secretary of the AICP or from the Chair of a Chapter Professional Development Committee. Such advice shall not be binding upon the AICP.

Any person may file a written request with the Executive Secretary of the AICP for a formal advisory ruling on the propriety of any professional planner conduct. The request should contain sufficient facts, real or hypothetical, to permit a definitive opinion. If appropriate, the Executive Secretary shall then prepare and furnish a written formal advisory ruling to the inquiring party. This ruling may be published if endorsed by the AICP Ethics Committee. Published rulings, however, shall not include any actual names and places without the written consent of all persons to be named. A ruling may be relied upon by the person who requested it whether or not published. Published rulings shall be binding on all members of the AICP.

2. Charges Alleging Misconduct by an AICP Member: Any person may file in writing with the Executive Secretary of the AICP a charge of misconduct against an AICP member. The charge shall state the facts upon which it is based. The Executive Secretary shall furnish a copy of the charge to the respondent member.

The Executive Secretary shall determine whether the charge warrants an investigation. In the event a field investigation is deemed appropriate, the Executive Secretary will seek the assistance of the Chair of the Professional Development Committee of the appropriate APA Chapter.

The Executive Secretary with or without an investigation may dismiss the charge or issue a complaint against the respondent. In either event, notice shall be sent to the charging party and to the respondent advising of the determination and of the charging party's right to appeal the dismissal of the charge.

The Executive Secretary's decision to dismiss a charge may be appealed by the charging party within thirty days of receipt of written notification. The Executive Secretary shall promptly forward copies of the appeal to the members of the AICP Ethics Committee. The Ethics Committee may remand the charge to the Executive Secretary for further investigation and/or reconsideration, or the Committee may reverse the Executive Secretary's decision if it is contrary to the provisions of the Code or to prior Committee opinions.

If the Executive Secretary issues a complaint against a member, the latter shall have thirty days from receipt of the complaint to respond. In the absence of extraordinary circumstances which, in the opinion of the Ethics Committee, warrant a special exception, the failure of a respondent to deny any fact alleged in the complaint within the thirty day period will be deemed an admission of such fact.

If the response to the complaint reveals any disputed material fact, the respondent shall be granted a hearing before the Ethics Committee of the AICP or before any member or members of the Ethics Committee designated by the Committee's Chair to conduct the hearing. The hearing shall proceed without application of formal rules of evidence; however, the substantive rights

of the respondent shall at all times be protected.

If a hearing is held, those conducting it shall promptly issue findings of fact which shall be transmitted to the full Committee, the respondent and the charging party. If no material fact was in dispute and no hearing held, the Ethics Committee need not issue findings of fact.

On the basis of the findings of fact and admissions, the Ethics Committee shall determine whether the Code has been violated and issue an opinion. A copy of the opinion shall be transmitted to the respondent, the charging party and the Commission. The Ethics Committee may concurrently submit a recommendation to the Commission that the respondent be expelled, suspended, publicly censured, or privately reprimanded. The respondent shall be sent a copy of the recommendation and shall be given no less than thirty days' notice to respond, in person and/or in writing before it is voted on by the Commission, which vote shall be within one year of the issuance of the complaint. Disciplinary action against a member and the official publication of an expulsion, suspension or public censure shall require the affirmative vote of six members (two-thirds) of the Commission.

The Executive Secretary shall publish all written opinions endorsed by the Commission or by the Ethics Committee, but shall omit actual names and places unless authorized by an affirmative vote of six members (two-thirds) of the Commission or in writing by the respondent.

Code of Professional Responsibility and Rules of Procedure

(This code is under study, with comprehensive revision in view, by a committee chaired by Lynn Vandegriff, AICP Commissioner).

Applicability to Members. Members of AICP shall be subject to the Code of Professional Responsibility. The code is divided into four parts: Canons, Rules of Discipline, Rules of Procedure for Disciplinary Cases and Opinion as to Conformity with Canons. The standards of professional conduct are expressed in general terms in the Canons, while the Rules of Discipline establish the minimum level of professional conduct. Any member whose professional conduct violates the Rules of Discipline shall be subject to expulsion, suspension or censure in accordance with the Rules of Procedure for Disciplinary Cases established.

Canons. The Canons are statements of axiomatic norms expressing in general terms the standards of professional conduct expected of planners.

(a) A planner primarily serves the public interest and shall accept or continue employment only when the planner can insure accommodation of the client's or employer's interest with the public interest.

(b) A planner shall seek to expand choice and opportunity for all persons, recognizing a special responsibility to plan for the needs of disadvantaged groups and persons, and shall urge the alteration of policies, institutions and decisions which militate against such objectives.

(c) A planner shall exercise independent professional judgment on behalf of clients or employers and shall serve them in a competent manner.

(d) A planner shall preserve the secrets and confidences of a client or employer.

(e) A planner shall assist in maintaining the integrity and competence of the planning profession.

(f) A planner shall avoid even the appearance of improper professional conduct.

Rules of Discipline. The following Rules of Discipline express the minimum level of conduct below which no member may fall without being subject to disciplinary action. The severity of action taken against a member found blameworthy of violating a Rule of Discipline shall be determined by the character of the offense and the circumstances surrounding it.

(a) A planner shall not engage in conduct involving dishonesty, fraud, deceit or misrepresentation.

(b) A planner shall not give compensation in any form to a person or organization to recommend or secure employment or as a reward for having made a recommendation resulting in employment.

(c) Except with the consent of the client or employer after full disclosure, or except as required by law, court or administrative order or subpoena, a planner shall not reveal, use to personal advantage or to the advantage of a third person, information gained in the professional relationship or employment that the client or employer has requested be held inviolate or the disclosure of which would likely be detrimental to the client or employer.

(d) Except with the consent of the client after full disclosure, a planner shall not accept or continue employment if the exercise of the planner's professional judgment on behalf of the client or employer will be, or reasonably may be, adversely affected by the planner's own financial, business, property or personal interest, or the planner's relationship, with another client or employer.

(e) Except with the consent of the planner's client or employer, after full disclosure, a planner shall not accept compensation for planning services rendered the client or employer from one other than that client or employer.

(f) A planner shall not permit a person who recommends, employs, or pays him or her to render planning services for another to direct or regulate his or her professional judgment in rendering such services.

(g) A planner shall not accept employment to perform planning services which the planner is not competent to perform.

(h) A planner shall not neglect planning services which the planner has agreed to perform, nor shall the planner render services without research and preparation adequate in the circumstances.

(i) A planner shall not give, lend or promise anything of value to a public official in order to influence or attempt to influence the official's judgment or actions.

(j) A planner who holds public office or employment shall not use the public position to obtain or attempt to obtain a special advantage in legislative or administrative matters for a client, an employer, or the planner personally under circumstances where the planner knows or it is obvious that such action is not in the public interest.

(k) A planner who holds public office or employment shall not accept anything of value or the promise of anything valuable, including prospective employment, from any person when the planner knows, or it is obvious, that the offer is for the purpose of influencing the planner's action as a public official or employee.

(l) A planner shall not state or imply that he or she is able to influence improperly any public official, legislative or administrative body.

(m) A planner shall not participate in violations of the Rules of Reference to AICP membership.

(n) A planner shall not directly or indirectly discriminate against any person because of said person's race, color, creed, sex or national origin in any aspect of job recruitment, hiring, conditions or employment, training, advancement or termination of employment.

Rules of Procedure in Disciplinary Cases

(a) Any person may file a charge of misconduct against an AICP member by transmitting to the Executive Secretary a statement of the charge, including the facts upon which it is based, the precise Rules of Discipline allegedly violated and all relevant dates. The Executive Secretary shall transmit copies of the charge and the name of the party who filed the charge to the accused member and to the AICP Executive Committee.

(b) If the Executive Secretary determines that the charge may be meritorious the Executive Secretary shall diligently conduct an investigation which shall include an invitation to the accused member to respond to the charge and an opportunity for the person who filed the charge to reply to any new facts raised by the accused member in his response. The investigation shall not be restricted to the precise facts stated in the charge, but may include other related conduct as possible violations of the Rules of Discipline.

(c) The Executive Secretary shall transmit to the Executive Committee a summary report of the investigation and a recommendation as to whether the charge should be dismissed or a complaint issued.

(d) The Executive Committee shall review the Executive Secretary's summary report and recommendations and direct either dismissal of the charge, or the issuance of a complaint

(e) Upon the direction of the Executive Committee, the Executive Secretary shall prepare a complaint and transmit copies thereof to the accused member ("the respondent") and the party who filed the charge against the member. Service upon the accused member shall be made by certified mail.

(f) Within thirty days from receipt of the complaint the respondent shall file an answer to the complaint. The answer shall follow the paragraphs of the complaint and each fact alleged shall be admitted or denied. If the fact is denied, the answer may contain an affirmative statement of the respondent's version thereof. If the respondent fails to timely answer the complaint, the facts asserted to the complaint shall be deemed admitted, absent a showing by the respondent that the failure to timely answer was caused by extenuating circumstances warranting an extension of time for the respondent's answer.

(g) If the answer denies any facts alleged in the complaint the Executive Committee shall have authority to designate one or more of its members to examine witnesses and take testimony. The ordinary rules of evidence shall not apply to such examination of witnesses and taking of testimony; however, the substantive rights of the respondent shall at all time be preserved. Upon request of either the Executive Committee or the respondent, the testimony shall be transcribed and a copy furnished the respondent at his or her expense.

(h) Following a hearing the Executive Committee member(s) who conducted the hearing shall issue findings of fact and transmit a copy thereof to the respondent.

(i) On the basis of findings of fact at the close of the hearing and/or on the basis of the facts admitted by the answer or failure to timely answer the complaint the Executive Committee shall issue and publish its opinion whether the facts complained of and proved or admitted violated the Rules of Discipline. The name of a member determined to be blameworthy shall be omitted from the opinion.

(j) If the Executive Committee decides to recommend that the respondent be expelled, suspended or censured, the Committee shall transmit its recommendations in writing to the Commission of AICP for its approval or disapproval. A copy of the recommendation shall be transmitted to the respondent.

(k) The imposition of disciplinary action against a member and the official publication by AICP of such action shall require the affirmative vote of a majority of the Commission.

(l) The Executive Secretary shall notify the respondent of any disciplinary action taken by the Commission.

Opinions as to Conformity with Canons.

(a) Any person may file with the Executive Secretary a request for an opinion on the propriety of professional conduct engaged in, or proposed to be engaged in, by a planner, provided that the conduct described appears to be the subject of a Canon and is not within the purview of a Rule of Discipline.

(b) The request shall state sufficient facts so that a definitive opinion may be rendered.

(c) If the Executive Secretary determines that the request is in conformity with (a) and (b) above, the Executive Secretary shall transmit the request to the members of the Institute Executive Committee.

(d) If the request identifies a specific planner whose conduct, or proposed conduct, is being questioned the Executive Secretary shall notify the planner, unless the planner originated the request, transmit a copy of the request to the affected planner, and invite the planner to submit his/her own statement of facts for an opinion by the Executive Committee.

(e) The Executive Committee shall adopt all opinions by a majority vote. Dissenting Executive Committee members and Executive Committee members who voted with the majority or abstained may submit their own opinions, individually, or jointly with other Committee members.

(f) The names of actual persons and places shall not be mentioned or suggested in any opinion pursuant to (e) above, except upon request by the Executive Committee and the Commission of AICP and by an affirmative vote of a majority of the Commission.

(g) Each opinion shall be published by the Executive Secretary in an official publication of AICP or of APA. A copy of the opinion also shall be sent by the Executive Secretary to the requesting party and, if applicable, to a planner described in (d) above.

(h) The Executive Committee will not issue opinions on questions of law, or pertaining to conduct which is the subject of pending litigation.

(i) All facts contained in the request for an opinion, and in any opinion rendered, shall be deemed as hypothetical. The Executive Committee will not make findings as to disputed facts, nor will the Committee represent any facts in its opinions to be actual.

Rules of Reference to AICP Membership

Written. All written references to AICP membership shall be made in such a manner as to clearly indicate the name of the individual member referred to. The name or initials of AICP shall not be used in such a way as to imply that a firm or agency holds AICP membership. Nor shall the name or initials of AICP be used in general lists which indicate that one or more unspecified employees, partners, officers, staff members or contractors hold memberships in named organizations (for example, the phrase "professional affiliations of the staff" followed by a listing of professional or semiprofessional societies).

Written Forms. When making reference to individual membership in AICP on letterheads, publications, etc., the following

forms shall be used: (a) Member, American Institute of Certified Planners, or (b) the initials "AICP" following the member's name.

Violations. All members of AICP shall be responsible for making these Rules of Reference known to their associates, employers, employees, or other persons responsible for the preparation of written materials which may include reference to AICP membership. AICP members who are responsible for violations of the Rules of Reference shall be dealt with under the Code of Professional Responsibility. The Executive Secretary of AICP shall take steps to assure that non-members do not represent themselves to be AICP members. (The initials "APA" are not to be used with a member's name or in any manner that implies a professional qualification.)

THE SOCIAL RESPONSIBILITY OF THE PLANNER



This booklet contains the Guidelines for the Social Responsibility of the Planner adopted by the Board of Governors of the American Institute of Planners in 1972. These Guidelines were developed and reviewed by the membership of AIP in recognition that the planning profession is closely involved in public policies and decisions which affect the interests of minorities and other disadvantaged groups.

This booklet is published to help create better understanding among professional planners, public officials and the public at large as to the effects which public decisions have on all segments of the population served by planning.

The American Institute of Planners for several years has had a stated objective to foster social equality through the practice of planning. The AIP Code of Professional Responsibility contains a Canon which states that "A planner shall seek to expend choice and opportunity for all persons, recognizing a special responsibility to plan for the needs of disadvantaged groups and persons, and shall urge the alteration of policies, institutions and decisions which mitigate against such objectives." These Guidelines on the Social Responsibility of the Planner help explain that Canon. This booklet contains General Guidelines and three specific short sections with Guidelines for planners in local areas, regional jurisdictions and state and federal programs.

The American Institute of Planners is the national professional society of urban and regional planners in the United States. Its members work primarily for local and state governments and other public agencies.

AMERICAN INSTITUTE OF PLANNERS
1776 Massachusetts Avenue, N.W.
Washington, D.C. 20036

© 1973 by the American Institute of Planners

GENERAL GUIDELINES

- 1 The professional planner should recognize that a sound planning process requires familiarity with political and social realities, including the continuing need for, and real value in, working directly with those affected by the planning process. Of special importance is the need to identify the human consequences of alternative public actions, including identification of positive social and cultural values to be preserved, as well as short-term and long-term social costs and benefits of alternative courses of action.
- 2 The professional planner owes faithful, creative, and efficient performance of work in pursuit of his client's interest, but also owes allegiance to a conscientiously attained concept of the public interest and a primary commitment to maximize opportunity and expand the extent of choice available to those restricted by social, economic, personal or other constraints. When a professional planner considers that planning policies, instruments, organizations or institutions are not in the interests of those intended to be served by the planning process, he must strive diligently to ensure that they are altered to reflect such interests.
- 3 The professional planner involved in controversial social issues related to planning activities should determine and recommend the soundest course of action based on his professional judgment, regardless of the controversy attendant upon such recommendation.
- 4 The professional planner should explain clearly to local, state, and national political leaders the seriousness of existing, emerging and anticipated social problems relating to community planning and development, so that solutions will be given proper priority in allocation of resources and other public actions. Similarly, the urgency of social needs and undesirable or inequitable human consequences resulting from public actions should be transmitted to those with power to influence those actions.
- 5 The professional planner should use all available forms of communications to make effective presentations on planning issues, planning alternatives and their likely social effects, so that they are more readily understandable by the public, particularly those directly affected.
- 6 The professional planner should seek to expand flexibility of governmental procedures and institutions to ensure greater constructive citizen participation and involvement in the planning process and to foster leadership in all groups, especially those

neglected in public decision-making. Because of gaps in organization, leadership, or articulation of values and needs. The planner should be intimately concerned with the judgments, values and needs of specific groups and sub-groups.

7

The professional planner should recognize the wide human and intellectual diversity within a planning area, and devise appropriate institutions to accommodate and respect that diversity, without unwarranted compromise resulting in mediocrity.

8

The professional planner should carefully examine planning standards and theory to

determine their realism and their applicability to particular situations. This may call for new research or the systematic monitoring of progress or performance.

9

The professional planner should recommend the services of other professionals, whenever their specialized skills are needed in the constructive identification or measurement of social implications.

10

The professional planner should review achievements in collateral fields of social planning, and reconcile such efforts with his own. The role of the advocate planner must be related to the many forms of planning activity, and the advocate's functions acknowledged and supported.

11

The professional planner should seek opportunities to increase minority representation in the planning profession. This could be achieved by increasing minority representation in the Planning Department through adoption of a general minorities hiring policy, promoting planning education among minority groups by providing scholarship support, summer internship programs, and directly involving minorities in professional and paraprofessional duties in areas of predominant minority-group population.

12

The professional planner should seek every available opportunity to assist citizens in understanding the planning process. This should not be limited to citizen advisory committees or other institutional forms of citizen participation in a project, but should be extended to voluntary participation by the planner himself in citizen organizations in which he may have an interest. This will thereby provide useful technical insights, intimate working relationships with other members, assistance in understanding technical steps in the planning process and comprehension of planning nomenclature. However, the professional planner must avoid conflicts of interests in such undertakings, especially the premature or unauthorized revelation of confidential information.

GUIDELINES FOR PLANNERS IN LOCAL AREAS

1. The process of preparing and updating the comprehensive plan and elements thereof deserves critical attention. This process has been considered by critics to have institutionalized economic and social bias, or to have ignored social injustices by focusing on policies which ignore economic and social consequences of physical planning proposals.
2. Participation in plan-making by professionals fully aware of the problems of minorities and the poor, and who can represent the viewpoints of such groups, would aid in ensuring that the comprehensive plan reflects their aspirations. If the requisite combination of skills, understanding and independence is not available in staff personnel, they must be sought elsewhere.
3. Problems affecting areas of minority and low income concentration with which planning should deal include: The quality, supply, availability and location of low and moderate-income housing; transportation accessibility to employment opportunities, shopping areas, medical services, recreation areas, day-care centers, and educational facilities; location and adequacy of community and neighborhood facilities and services reasonably accessible to minorities, the poor, the young, the elderly, and the handicapped; the lower priority often given to environmental or physical development needs when compared to such immediate concerns as jobs, education and housing; location near ghetto areas of employers who utilize labor-intensive operations which can draw on workers who are residents of the area; and opportunities for minority-group members to establish their own businesses.
4. Where leadership in under-represented areas is lacking or obscure, token representation, acknowledgment of self-appointed spokesmen or co-optation of groups in the planning process should be avoided in favor of an effort to develop adequate representation and real spokesmen.
5. The planning process should involve means by which residents of low income and minority neighborhoods with inadequate experience due to prior unfamiliarity, may identify effects of proposed plans on their neighborhood.
6. A key point in the plan-making process is determination of program content. Program components should assure adequate attention to social problems and needs of the community, as well as identification of positive, cultural and social values to be preserved. In communities where there is a built-in reluctance to deal directly with controversial social questions, the planner must develop a strategy to ensure their inclusion in the work program.
7. Technical analysis may subvert social sensitivity unless there is a conscious evaluation of standards and approach. Technical studies must be conducted broadly enough to determine social impacts.
8. Functional or element plans (e.g. for housing, transportation, health, natural resources, personal and public safety, education, etc.) should reflect underlying social concerns. Appropriate coordination among functional planning and programming efforts should assure that activity in one function does not cancel out the social effectiveness of actions in others. This concern for the social impact of planning is as important for natural and man-made physical environment planning as it is for planning dealing with social and economic environments.

GUIDELINES FOR PROFESSIONAL PLANNERS IN REGIONAL JURISDICTIONS (COUNTY, METROPOLITAN AND REGIONAL)

GUIDELINES FOR PROFESSIONAL PLANNERS IN STATE AND FEDERAL PROGRAMS

1. At the regional scale, there is a significant opportunity to reduce inequities established and perpetuated at the local level. Planners in regional jurisdictions should be aware of the unequal effects of local taxation and services costs, residential and economic discrimination, and poor accessibility to employment, and should seek to reduce such inequities, including critical review of local plans.
2. Regional and metropolitan planners should foster communication among local planners who

should meet regularly with counterparts in surrounding communities to improve mutual understanding of related or parallel problems.

3. Regional or metropolitan planners should provide information services for local planners, with more limited resources, in evaluating social impacts of planning actions.

1. Distance from the neighborhood, where social issues are most apparent, demands from the state and federal planner caution in applying general planning standards or theories to a range of diverse situations. At these higher levels, where many decisions affecting the allocation of resources to local jurisdictions are made, social awareness is imperative.
2. State and federal planning should allow flexibility and choice within planning and a recognition that life styles and values vary significantly.
3. Planners working at state and federal levels should be especially careful that in drafting legislation and administrative guidelines, they reflect a concern for the individual's opportunity to develop his abilities and to move socially and economically within American society.
4. Program administration can often provide the most important opportunities to assure freedom of choice and foster economic and social mobility. For instance, often state and federal programs are over-subscribed and choices must be made among the applicants; the planner should make every effort to give priority to proposals and projects which are socially significant.
5. State and federal planners must pursue changes in national priorities and resource allocation that contribute to alleviation of poverty and inequity, and should convey such concerns to those with the power and resources to change them. They should initiate needed legislative change relating to issues which have human consequences.
6. New forms of research and program monitoring should be pursued vigorously to maintain responsiveness and social awareness of ongoing state and federal programs.

VITA

The author, John E. Baldwin Jr., is a native of Nashville, Tennessee, where he graduated from David Lipscomb College in 1982. Since September 1983, John has been enrolled at the Graduate School of Planning at the University of Tennessee in Knoxville. During the completion of this degree, John served as a planning intern for MPC in Knoxville and as an urban planner with the Tennessee Local Planning Assistance Office in Knoxville. Since August 1987, he has been the City Planner for Oak Ridge, Tennessee.

He was married on December 20, 1986 to the former Idella Thompson of Shelbyville, Tennessee.