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Shared Leadership, Shared Responsibility

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**EXTENSION AND EDUCATION
MATERIALS FOR
SUSTAINABLE AGRICULTURE:
Volume 5**

**Shared Leadership,
Shared Responsibility**

**North Central Region Sustainable Agriculture Research
and Education Program**

Michigan State University
University of Nebraska-Lincoln
The Ohio State University
Lincoln University
Natural Resources Conservation Service
North Central Region Land Grant Universities
Midwest Sustainable Agriculture Working Group

**George Williams College
Lake Geneva Campus
Williams Bay, Wisconsin
June 24-26, 1996**

**Carrington Research
Extension Center
Carrington, North Dakota
July 24-26, 1996**

Heidi Carter and Charles Francis, Editors

December 1996

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Shared Leadership, Shared Responsibility

North Central Region Sustainable Agriculture Research and Education Program

Michigan State University, University of Nebraska-Lincoln, The Ohio State University, Lincoln University, Natural Resources Conservation Service, North Central Land Grant Universities, Midwest Sustainable Agriculture Working Group

Materials and Resources from Shared Leadership, Shared Responsibility Workshops

George Williams College/Lake Geneva Campus, Williams Bay, WI, June 24-26, 1996

Carrington Research Extension Center, Carrington, ND, July 24-26, 1996

Editors' Introduction

"Shared Leadership, Shared Responsibility" is a valuable philosophy for the implementation of sustainable agriculture training programs for the 1990s and beyond. In an era of scarce resources in federal, state, and private organizations, it is essential that we forge viable partnerships and explore joint programming opportunities in education. Those in Cooperative Extension and the Natural Resources Conservation Service (NRCS) recognize both the benefits and obligations that arise from working with nonprofit and farmer organizations. The complexity of challenges in the agricultural and food system makes it increasingly important to seek broader alliances with environmental, consumer, business, and special interest groups outside our traditional circle of partners.

Training activities conducted with support from the Sustainable Agriculture Research and Education Program are focused on the shared future of agriculture and rural communities. Education in this arena includes attention to production practices and economic viability on the farm as well as concerns about the environment, the natural resource base on which production depends, and communities. The NRCS is a key cooperating agency in training events, with specific contributions in whole farm planning, watershed dimensions of natural resource management, and federal farm program contributions to the profitability and stability of the food system.

This handbook includes educational and training ideas and materials for building leadership. It brings together information on content as well as process to help trainers design innovative learning environments for their clients. In fact, clients become active learners and full contributors to the information base and take on responsibility for teaching as well. The handbook does not tell you exactly what to do nor how to set up a specific training program. It does provide a range of ideas that can be used to develop new programs in sustainable agriculture. Besides the emphasis on leadership, there are sections on whole farm planning, holistic resource management, entrepreneurship and marketing, group learning methods, and resources. We urge you to share your experiences in training and to send us copies of materials you find useful. Thank you.

Heidi Carter & Chuck Francis, Editors

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Shared Leadership, Shared Responsibility

Presented by:

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Dan Wheeler, University of Nebraska-Lincoln (Carrington, ND)

Summary by:

Charles Francis, University of Nebraska-Lincoln

The challenges facing Cooperative Extension and NRCS require new organizational forms and leadership styles. People in farming, ag business, and nonprofit groups are willing to be full partners in this educational process if they are involved from planning through implementation. There is an increase in task forces, issue teams, and ad-hoc committees to provide direction to these activities. The leaders of these groups usually have no control over pay, promotions, or work assignments of participants. Without traditional management authority, the leader's influence must come from the person, not the organization. Leaders and followers need experience in this new environment.

Full Range Leadership combines transactional leadership — where rewards or disciplines depend upon the adequacy of performance — with transformational leadership — which involves personal, inspirational approaches. Built on the research of Bass and Avolio from SUNY Binghamton, this method of working together and providing direction to group efforts depends on enthusiastic participation by all team members and a sharing of responsibility for the outcomes. According to these authors, we can learn skills in creating visions, increase optimism in a group, encourage people to explore new possibilities, and give appropriate rewards to everyone. These skills complement the more traditional hierarchical system of leadership that creates expectations and rewards within an organization.

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Full Range Leadership

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IMPROVING ORGANIZATIONAL EFFECTIVENESS THROUGH TRANSFORMATIONAL LEADERSHIP

1

Introduction

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EXECUTIVE SUMMARY

The purpose of this book is to show how the concepts of the full range of leadership—transactional and transformational—can apply to specific areas of leadership, management, and organizational development. Transactional and transformational leadership are introduced within the framework of a full-range model of leadership that includes the highly inactive and ineffective *laissez-faire* (LF) leadership to the highly active and effective inspirational and, ideally, influential leadership. This model is concisely applied to research, development, and training that have already appeared. Brief summaries of the chapters that follow are provided.

When a human resources director for a newly organized assembly plant was asked how the new organization came about, he said it began with a vision. The vision was subsequently modified and shared by management and employees. The director was describing one aspect of transformational leadership: the new leadership that must accompany good management but goes beyond the importance of leaders simply getting the work done with their followers and maintaining quality relationships with them.

During the last two decades, theories about transformational leadership have taken shape. Evidence about these theories has been amassed

for all levels of organization and society and not just for charismatic leaders of social movements and organizations.

In physics, a new theory is usually tested by colleagues within a few years, sometimes even within a few months. Applications may appear in new technologies shortly afterward. In social science, theories are seldom adequately tested. They are likely to hang around as long as the originator is active. Adaptations take decades. Thus the theories of team participation that originated in the 1930s resulted in a mass of research in the 1950s; for the most part, they are just now being applied to the wholesale restructuring of many industrial firms.

One exception has occurred with transformational leadership. First mention of it appeared in Downton's *Rebel Leadership* (1973), a sociological treatise, and independently in James McGregor Burns' seminal 1978 conceptualization.¹ In 1985, Bass presented a formal theory of transformational leadership as well as models and measurements of its factors of leadership behavior.² These were refined further by Bass and Avolio and their colleagues from a variety of evaluative investigations and the development of a model—the full range of leadership development—and an assessment and training program in transformational leadership.³

Meanwhile, at least 25 independent dissertations and numerous other research projects were completed in the United States and elsewhere.⁴ And, starting in 1989, just four years after the appearance of *Leadership and Performance Beyond Expectations*, Fiat, an Italian multinational conglomerate of 250,000 employees, launched programs to present the full range of leadership program (FRLP) to 200 of its *alta direcciones* (top executives) and many of its 4,000 *direcciones* (middle managers) and 20,000 supervisors. A parallel program supported by the Kellogg Foundation also was initiated at the Center for Leadership Studies; by 1993, it was completed with close to 400 leaders. These leaders were drawn from all sectors of local communities, including education, health care, arts, industry, and government.

Transformational leadership is seen when leaders:

- stimulate interest among colleagues and followers⁵ to view their work from new perspectives,
- generate awareness of the mission or vision of the team and organization,
- develop colleagues and followers to higher levels of ability and potential, and
- motivate colleagues and followers to look beyond their own interests toward those that will benefit the group.

Transformational leaders motivate others to do more than they originally intended and often even more than they thought possible. They set more challenging expectations and typically achieve higher performances.

Transformational leadership is an expansion of *transactional leadership*. Transactional leadership emphasizes the transaction or exchange that takes place among leaders, colleagues, and followers. This exchange is based on the leader discussing with others what is required and specifying the conditions and rewards these others will receive if they fulfill those requirements.

Transformational leaders do more with colleagues and followers than set up simple exchanges or agreements. They behave in ways to achieve superior results by employing one or more of the "Four I's":⁶

1. **Idealized influence.** Transformational leaders behave in ways that result in their being role models for their followers. The leaders are admired, respected, and trusted. Followers identify with the leaders and want to emulate them. Among the things the leader does to earn this credit is considering the needs of others over his or her own personal needs. The leader shares risks with followers and is consistent rather than arbitrary. He or she can be counted on to do the right thing, demonstrating high standards of ethical and moral conduct. He or she avoids using power for personal gain and only when needed.
2. **Inspirational motivation.** Transformational leaders behave in ways that motivate and inspire those around them by providing meaning and challenge to their followers' work. Team spirit is aroused. Enthusiasm and optimism are displayed. The leader gets followers involved in envisioning attractive future states. The leader creates clearly communicated expectations that followers want to meet and also demonstrates commitment to goals and the shared vision.
3. **Intellectual stimulation.** Transformational leaders stimulate their followers' efforts to be innovative and creative by questioning assumptions, reframing problems, and approaching old situations in new ways. Creativity is encouraged. There is no public criticism of individual members' mistakes. New ideas and creative problem solutions are solicited from followers, who are included in the process of addressing problems and finding solutions. Followers are encouraged to try new approaches, and their ideas are not criticized because they differ from the leaders' ideas.
4. **Individualized consideration.** Transformational leaders pay special attention to each individual's needs for achievement and growth by acting as coach or mentor. Followers and colleagues are developed to

successively higher levels of potential. Individualized consideration is practiced as follows: New learning opportunities are created along with a supportive climate. Individual differences in terms of needs and desires are recognized. The leader's behavior demonstrates acceptance of individual differences (e.g., some employees receive more encouragement, some more autonomy, others firmer standards, and still others more task structure). A two-way exchange in communication is encouraged, and "management by walking around" work spaces is practiced. Interactions with followers are personalized (e.g., the leader remembers previous conversations, is aware of individual concerns, and sees the individual as a whole person rather than as just an employee). The *individually considerate* leader listens effectively. The leader delegates tasks as a means of developing followers. Delegated tasks are monitored to see if the followers need additional direction or support and to assess progress: ideally, followers do not feel they are being checked on.

Several thousand leaders in the private sector and community leaders in the public sector have been trained using the model of the full range of leadership.⁷ This model includes the Four I's of transformational leadership as well as transactional leadership behavior and laissez-faire or nonleadership behavior.

Transactional leadership occurs when the leader rewards or disciplines the follower depending on the adequacy of the follower's performance. Transactional leadership depends on contingent reinforcement, either positive *contingent reward* (CR) or the more negative active or passive forms of *management-by-exception* (MBE-A or MBE-P). CR has been found to be reasonably effective, although not as much as the Four I's, in motivating others to achieve higher levels of development and performance. With this method, the leader assigns or gets agreement on what needs to be done and promises rewards or actually rewards others in exchange for satisfactorily carrying the assignment.

Management-by-exception tends to be more ineffective but required in certain situations. In MBE-A, the leader arranges to actively monitor deviances from standards, mistakes, and errors in the follower's assignments and to take corrective action as necessary. MBE-P implies waiting passively for deviances, mistakes, and errors to occur and then taking corrective action. The LF style is the avoidance or absence of leadership and is, by definition, the most inactive—as well as the most ineffective according to almost all research on the style. As opposed to transactional leadership, laissez-faire represents a nontransaction.

Fundamental to the full-range leadership training effort is that every leader displays each style to some degree. An optimal profile is shown

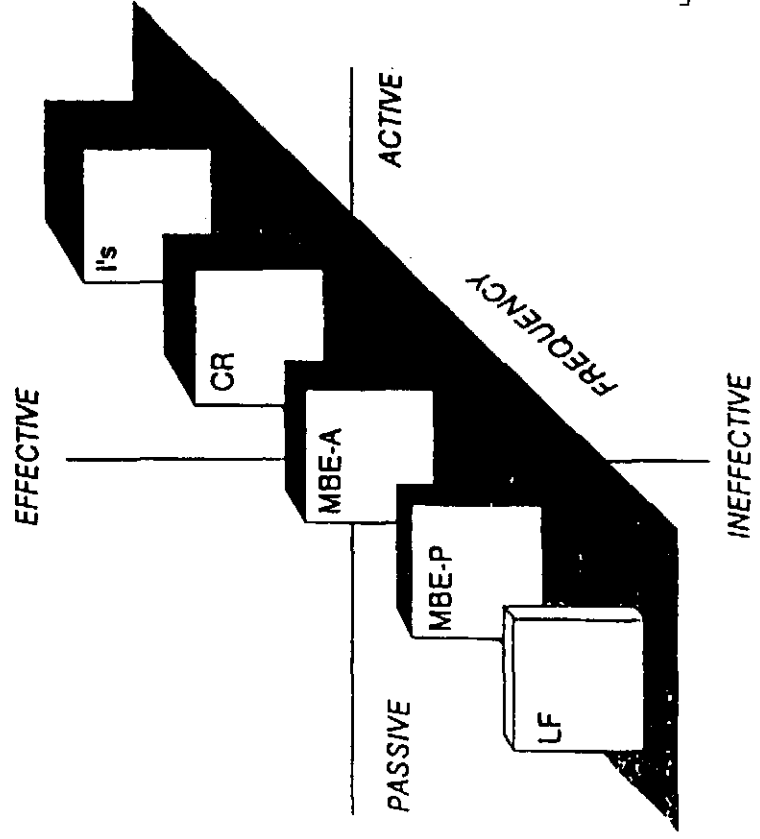


Figure 1.1 Optimal Profile

in Figure 1.1. The third dimension of this model (depth) represents how frequently an individual displays a particular style of leadership. The active dimension helps clarify the style, and the effectiveness dimension broadly represents the impact of the leadership style on performance.

In Figure 1.1, the leader infrequently displays LF leadership and increasing frequencies of the transactional leadership styles of MBE-P, MBE-A, and CR. This optimal profile shows the transformational Four I's as they are most frequently displayed.

In contrast, the poorly performing leader's profile, tending toward inactivity and ineffectiveness, is opposite that of optimal leaders (see Figure 1.2).

Many research studies have been completed in business and industry, government, the military, educational institutions, and nonprofit organizations, all of them showing that transactional leaders, as measured by the survey instruments derived from the Bass and Avolio model, were more effective and satisfying as leaders than transactional

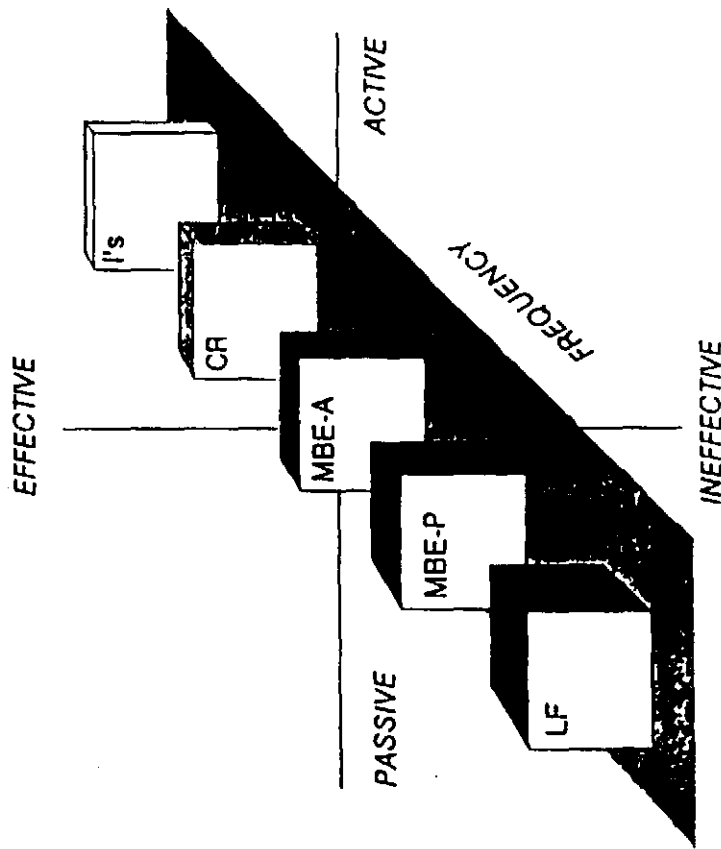


Figure 1.2 Suboptimal Profile

leaders, although the best of leaders frequently do some of the latter but more of the former. Follow-up investigations have shown that developing transformational leadership with training in the Four I's can enhance effectiveness and satisfaction as a leader.⁸ Hence, the optimal and suboptimal models depicted in Figures 1.1 and 1.2 represent the full range of styles and the impact on effectiveness found in these previous investigations.

This book shows how transformational leadership is expected to contribute to an organization's efforts to improve its operations and the best use of its human resources. (These innovations are even seen to occur in organizations that do not explicitly recognize that transformational leadership is involved.)

Each chapter deals with a different aspect of the organization and how it is affected by influence processes that are associated especially with frequent transformational leadership. In each instance, the end

goal is to develop a highly committed work force that is more eager and willing to take on the challenges in the last decade of this century and into the next millennium. As we will see, employee commitment, involvement, and loyalty, coupled with enlightened management, are fundamental to long-range organizational improvement.

In Chapter 2, Karl Kuhnert focuses attention on the delegation process. He shows, as with transformational leadership in general, the connection of the delegation process with the moral development of the leader. The concept of delegation is expanded beyond traditional definitions and is included as part of the overall developmental strategy for elevating the needs and potential of both leader and follower in the organization.

We have found transformational leadership to varying degrees at every level in the organization from the informal leadership that takes place in team activities to the leadership displayed by chief executive officers. Moreover, as we move up the organizational pyramid, such leadership can indirectly influence increasing numbers of both levels and employees. In Chapter 3, Francis Yammarino describes how leadership may cascade downward in the organization through many levels as well as bypass levels. As a consequence, the transformational leader can exert influence indirectly at an organizational distance by the behaviors and actions that serve as role models and by the culture that is developed to support the leader's vision and mission. Moreover, such indirect influence is also exerted upward in the system in ways described by Yammarino.

Organizations increasingly are coming to depend on self-managed but fully led multifunctional teams to get tasks done effectively. In Chapter 4, David Atwater and Bernard Bass lay out what a half century of research on small group behavior tells the team leader who would be transformational. In Chapter 5, David Waldman reviews current examples of how transformational leadership of multifunctional teams more effectively promotes research, innovation, and change.

In Chapter 6, Bernard Bass considers the linkages between transformational leadership and decision making in teams and organizations. He connects his model of organizational decision making with the Avolio and Bass model of transformational leadership. This combined leadership and decision-making framework highlights the impact of transformational leadership on the information-processing strategies of leaders, teams, and followers in the organization. The framework also shows the procedures that leaders, teams, and followers go through to make effective decisions.

The authorities, Deming and Juran, heavily emphasize the importance of leadership to total quality improvement but do not say much

about the actual or specific leadership required. In Chapter 7, Bruce Avolio supplies the linkages between transformational and transactional leadership and quality-improvement programs, offering strategies for merging these respective areas to enhance the leadership and quality-improvement efforts underway today in many firms, agencies, and institutions.

The last three chapters expand into detailed examinations of what firms are doing to promote innovation and change in their human resources programs and policies that can contribute to the emergence of more transformational leadership. In Chapter 8, Leanne and David Atwater review organizational change efforts, current innovations, and selected benchmark companies. In addition to reviewing these successful organizational efforts, the authors also detail the criteria for change that are used by these respective organizations and the methods used for such appraisals.

K. Galen Kroeck in Chapter 9 further examines the principles and applications of the transformational leadership model, focusing attention on examples of reorganizing, "right-sizing" efforts and accompanying human resources programs and practices. His chapter focuses on redirecting organizations from managing work force numbers to a longer-term strategy of human resource staffing whereby the organization continuously "right sizes" its work force to the organization's current demands and future aspirations.

The chapter that follows Kroeck's deals with applications of transformational leadership and related innovations; these are relevant to the diffusion of transformational leadership that seeks to improve organizational performance in the 1990s. In Chapter 10, Avolio and Bass sum up the efforts of the preceding chapters. To remain competitive in a world of rapidly changing technology, changing work force expectations, and cheaper off-shore labor, leadership—particularly transformational leadership—is required at all levels in the firm and must be diffused into more traditional areas of organizational functioning to have the best effect. Avolio and Bass add a special concern for the role of training and development in the diffusion effort and the integration of individual development and organizational development.

The full-range model of transformational, transactional, and non-transactional leadership has been introduced in this chapter. In the following chapters, the model generates implications for development and change in the individual leader and his or her associates, the team, the organization, and the full range of leadership. We begin now by examining the delegation process as it appears at different levels of the

full range of leadership as a contribution to the development of leaders and their associates.

Notes

1. Burns, J. M. (1978). *Leadership*. New York: Harper & Row; Downton, J. V. (1973). *Rebel leadership: Commitment and charisma in the revolutionary process*. New York: Free Press.
2. Bass, B. M. (1985). *Leadership and performance beyond expectations*. New York: Free Press.
3. Bass, B. M., & Avolio, B. J. (1990). *Multifactor leadership questionnaire*. Palo Alto, CA: Consulting Psychologist Press.
4. For example, see Deluga, R. J. (1983). Relationship of transformational and transactional leadership with employee influencing strategies. *Group & Organization Studies*, 13, 456-467.
5. *Follower* will be used in this book in its most general sense. In formal organizations, those who are influenced by leaders may include subordinates, supervisees, and direct reports, as well as colleagues. *Associates* will imply followers or colleagues or both. If the influence is upward in the organization, then the follower is the leaders' boss. In social and political movements, followers may include constituents, adherents, disciples, partisans, and supporters.
6. Avolio, B. J., Waldman, D. A., & Yammarino, F. J. (1991). Leading in the 1990s: The Four I's of transformational leadership. *Journal of European Industrial Training*, 15(4), 9-16.
7. See Bass (1983), Chapter 9, and Avolio, B. J., & Bass, B. M. (1990). *The full range of leadership program: Basic and advanced manual*. Binghamton, NY: Bass, Avolio, & Associates.
8. Bass, B. M., & Avolio, B. J. (1990). The implications of transactional and transformational leadership for individual, team, and organizational development. *Research in Organizational Change and Development*, 4, 231-272.
9. Bass, B. M. (1983). *Organizational decision making*. Homewood, IL: Irwin.

TRANSACTIONAL LEADERSHIP: Clarifies what needs to be done, facilitates efficient interaction between human, physical, and fiscal resources, and specifies the benefits to self interests of followers if they assist in the achievement of enterprise objectives.

TRANSFORMATIONAL LEADERSHIP: Occurs when leaders broaden and elevate the interests of followers, when they generate awareness and acceptance of the purposes and missions of the group, and when they stir followers to look beyond self interest for the good of the group.

MULTIFACTOR LEADERSHIP QUESTIONNAIRE (MLQ)

Organization Name: AG

Org I.D.#: 2331

Scored: 05-10-96

MULTIFACTOR LEADERSHIP QUESTIONNAIRE (MLQ)

Bernard M. Bass and Bruce J. Avolio
Center for Leadership Studies
State University of New York at Binghamton

DESCRIPTORS FOR HIGH SCORES ON LEADERSHIP FACTORS

Transformational Leadership

Idealized Influence:	Has a vision and a sense of mission. Gains respect, trust, and confidence. Acquires strong individual identification from followers.
Inspirational:	Gives pep talks, increases optimism and enthusiasm, and communicates his or her vision with fluency and confidence.
Intellectual Stimulation:	Actively encourages a new look at old methods, fosters creativity, and stresses the use of intelligence. Provokes rethinking and reexamination of assumptions and contexts on which previous assessments of possibilities, capabilities, strategies, and goals were based.
Individualized Consideration:	Gives personal attention to all members, making each individual feel valued and each individual's contribution important. Coaches, advises, and provides feedback in ways easiest for each group member to accept, understand, and to use for personal development.

Transactional Leadership

Contingent Reward:	Contracts exchange of rewards for effort and agreed upon levels of performance. Gives individuals a clear understanding of what is expected of them.
Management-by-Exception:	Intervenes only if standards are not met or if something goes wrong.

Nonleadership

Laissez-Faire:	Indecisive, uninvolved, withdraws when needed, reluctant to take a responsible stand. Believes the best leadership is the least leadership.
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Leading Without Authority: An Examination of the Impact of Transformational Leadership
Cooperative Extension Work Groups and Teams

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Introduction

Willie Loman, the protagonist in Arthur Miller's play, "Death of a Salesman," describes the particular difficulties and challenges of his life by pointing out that "I was out there with nothing but a shoeshine and a smile..." Similar refrains are often heard from Extension professionals appointed to the leadership of critically important work-groups, task forces, and teams, yet not vested with traditional management authority.

Driven by the dynamic nature of Extension's operating environment, and encouraged by a management orthodoxy that recommends an increased utilization of teams and work groups with a decreased reliance on traditional authority arrangements (Mantz & Sims, 1993), we are embracing an ever-increasing use of ad hoc organizational forms in Extension (Hutchins, 1992; Boone, 1990).

Those appointed to lead these groups occasionally petition for traditional management authority to hire/fire, etc. In general we have resisted these entreaties out of concern for creating additional organizational structure and bureaucracy. However, if we are to deny team leaders any access to or dominion over formal reward structures, just what are they to use to influence others in order to accomplish objectives?

In the Nebraska Cooperative Extension Division we are experimenting with the use of Priority Initiative Teams for program planning and execution. These teams, largely self-selected on the basis of disciplinary interests, typically consist of approximately 15 members, a mix of Extension educators and specialists. Co-team leaders are recruited and appointed by Extension

administration and charged with responsibility of bringing the team together at inception. Once established, the team self-selects its continuing leadership.

Team leaders are definitely not considered administrators. They perform their duties in addition to other responsibilities as an Extension educator or specialist. They have little if any access to the ability to impact performance ratings, pay, or professional status of team members. In terms of the leaders' influence over the group, in the absence of formal authority, the alternative is clearly that the primary source of influence must emanate from the person, not from the organization.

We have been examining the emerging concepts of transformational leadership as a means of better understanding, selecting, developing, and gaining access to those unique interpersonal characteristics that generate extra effort and commitment to the accomplishment of objectives.

We have been particularly influenced by the work of Bass (1985) who provides formal descriptions of transactional and transformational leadership. He describes transactional leaders as those persons who emphasize the transaction or exchange that takes place between leaders, colleagues, and followers. This exchange is based on the leader specifying what is expected, and helping followers to clearly understand what they will receive, or avoid, if they fulfill those expectations.

Bass' description of transactional leadership strikes us as being quite consistent with traditional view as to how to animate and activate a group to action in support of organizational objectives. At the risk of igniting the often tiresome debate of the differences between leadership and management, we consider the impact and methods of the transactional leader as being primarily associated with management.

Transformational leadership is differentiated from transactional leadership in that transformational leaders do more than set up simple exchanges or agreements. By virtue of the nature of their relationship with followers, they motivate others to do more than they originally intended, more than they thought possible, and to move beyond self-interest and focus on the larger goals of the group or organization.

Perhaps the greatest contribution to our understanding of transformational leadership has been the identification of four characteristics, referred to as the four "I's" (Avolio, Waldman, & Yammarino, 1991) which transformational leaders use to stimulate and engage followers. The four I's of transformational leadership are:

1. Individualized Consideration: Gives personal attention to others, making each individual feel uniquely valued.
2. Intellectual Stimulation: Actively encourages a new look at old methods, stimulates creativity, encourages others to look at problems and issues in a new way.
3. Inspirational Motivation: Increases optimism and enthusiasm, communicates high expectations, points out possibilities not previously considered.
4. Idealized Influence: Provides vision and a sense of purpose. Elicits respect, trust, and confidence from followers.

Transformational leaders are thought to engage followers by employing one or more of the 4 "I's" to stimulate voluntary and enthusiastic responses to their influence attempts.

Having associated transactional characteristics with management, we associate the transformational characteristics with leadership. However, Bass (1985) is quick to point out that the two concepts, transactional (you do this and I'll make sure you receive that) and transformational (intellectual stimulation, individualized consideration, inspiration, and idealized influence) are generally not independent of one another. In fact a study of military officers and industrial managers (Waldman, Bass, & Einstein, 1985) showed that although the effects of transformational leadership were generally much stronger than those of transactional leadership, those who had both transactional and transformational characteristics were much more successful than those who had only one.

For us then, the intriguing question comes down to how to stimulate the combined ability to both "rally the troops" and "to make the trains run on time." Both of these skills are important, but they are most effective in an appropriate combination with the other.

In the past, our efforts at leader development have tended to emphasize the necessity for making logical rational decisions and arraying the reward structures in such a manner so as to make things pay off for people who are helping us to accomplish our goals. In Extension this takes the form of merit pay, tenure, promotions, work assignments, and so forth, and in less formal situations it often takes the form of affection, expressed appreciation, approval, personal assistance, favors, or other interpersonal exchanges.

While this capacity is important and needs to be developed, the skills of the transformational leader are often ignored, not because we deem them unimportant, but rather because we have previously been unable to accurately describe, measure, or develop what we often referred to as the elusive "X" factor of leadership. Utilizing factor analytic techniques, Bass and Avolio (1990) have, in addition to identifying the elements of transactional and transformational leadership, provided a validated instrument, the Multi-factorial Leadership Questionnaire to measure this full range of leadership. In an effort to explore the general applicability of the transactional/transformational leadership concepts to Extension in general, and to these new organizational formats in particular, we conducted an exploratory program.

Method

Subjects in this study include a leadership cohort consisting of two Assistant Deans of Cooperative Extension, five Extension specialists appointed as leaders of Priority Initiative Teams, and three Extension educators, also leaders of Priority Initiative Teams. In addition, 47 subordinates of the leader cohort participated in the study for a total of 57 study subjects.

The previously noted Multi-factorial Leadership Questionnaire (MLQ) was utilized to measure elements of transformational and transactional leadership and to examine their relationship to certain organizational outcomes. The MLQ measures seven characteristics of the behaviors of leaders; the four "I"s (Individualized Consideration, Intellectual Stimulation, Inspirational Motivation, Idealized Influence) associated with Transformational Leadership; Contingent Reward, associated with transactional leadership; Management by Exception, a method of leadership associated with either solving or preventing problems; and Laissez Faire, an inactive form of leadership characterized by a reluctance to become actively involved and a view that the best leadership is to disassociate from the action.

In addition, the MLQ also measures organizational outcomes; the willingness of followers to expend extra effort, effective leader representation of follower needs to higher-level leaders, unit effectiveness, job effectiveness, organizational effectiveness, and job satisfaction.

Each member of the leader cohort completed a version of the MLQ measuring their perceptions of themselves on each of the 13 characteristics or outcomes. Each of the 47 subordinate raters completed another version of the MLQ measuring their perceptions of one of the members of the leader cohort (approximately five raters per leader) on each of the 13 measures. Results from the assessments were analyzed comparing the congruence of self-perception and the perception of others, and the relationships between levels of each of the seven leader characteristics and the six organizational outcomes.

The importance of combining subordinate evaluations with self evaluations is well established in the relevant literature (Harris & Schaubroeck, 1988; Mabe & West, 1982). In general, congruence between self-ratings and those of subordinates provides an indication of the validity of the underlying measure. In this study both categories of respondents provided ratings on a five point scale for each of the leadership and organizational outcome measures. Table 1 summarizes the mean scores on each measure, and the relatively strong agreement between self and subordinate ratings, thus providing reassurance regarding the validity of the measures in this study.

Table 1
Mean Scores and Comparison of Self and Subordinate Ratings

	Self Rating Means	Subordinate Rating Means	Self-Subordinate Differences
Leadership Characteristics (0 to 5 scale)			
Idealized Influence	2.8	3.2	-0.4
Inspirational Motivation	2.8	2.8	0.00
Intellectual Stimulation	2.8	2.8	0.00
Individualized Consideration	3.0	2.9	+0.1
Contingent Reward Management by Exception	2.5 1.9	2.5 1.9	0.00 0.00
Laissez Fair	1.7	1.4	+0.4
Organizational Outcomes (0 to 5 scale)			
Extra Effort	2.5	2.6	-0.1
Relationships to Higher-Ups	3.0	3.1	-0.1
Unit Effectiveness	2.5	2.9	-0.4
Job Effectiveness	3.0	2.8	+0.2
Organizational Effectiveness	3.1	3.2	-0.1
Job Satisfaction	2.7	3.1	-0.4

Pearson's R, commonly referred to as a correlation coefficient, was used to measure the relationship between leadership characteristics and organizational outcomes. The value of R ranges between -1 (a perfect negative correlation) and +1 (a perfect positive correlation). A value of 0 indicates no relationship. These relationships are summarized in Table 2.

Table 2

Correlation of Leadership Characteristics with Organizational Outcomes

Amount of Extra Effort	Relations to Higher-Ups	Effectiveness Unit	Job Satisfaction	Organizational	Outcomes
Transformational Leadership Characteristics:					
Idealized Influence					
+0.95	+0.90	+0.76	+0.80	+0.96	+0.80
Inspirational Motivation					
+0.98	+0.86	+0.85	+0.75	+0.89	+0.76
Intellectual Stimulation					
+0.92	+0.75	+0.71	+0.62	+0.77	+0.72
Individualized Consideration					
+0.97	+0.76	+0.76	+0.77	+0.83	+0.75
Transactional Leadership Characteristics:					
Contingent Reward					
+0.77	+0.60	+0.69	+0.60	+0.64	+0.75
Management by Exception					
0.00	+0.06	+0.38	-0.11	-0.05	+0.36
Inactive Leadership:					
Laissez Fair					
-0.23	-0.11	+0.10	+0.10	-0.49	-0.07

Guilford (1956) provides assistance in interpreting and comparing correlation coefficients. He describes correlation coefficients of less than .20 as being interpreted as "slight almost negligible relationships", correlations of .20 to .40 as "low correlation;" correlations of .40 to .70 as "moderate correlation;" .70 to .90 as "high correlation, marked relationship;" and correlation greater than .90 as "very high correlation, very dependable relationship."

An inspection of Table 2 reveals that transformational leadership characteristics have a consistently positive correlation with organizational outcomes in a range from .62 to .95, indicative of a very strong overall relationship. The correlations between contingent reward/transactional leadership and organizational outcomes is also strong; however, somewhat less so than in the case of the transformational factors. The strength of correlations with organizational outcomes virtually disappears in the case of the problem-oriented Management by Exception leadership and has generally weak negative association with Laissez Fair leadership approaches.

Discussion

Having embraced an increased use of ad hoc teams and work-groups to accomplish key organizational objectives, and hesitant to enlarge existing organizational structures, we have actively sought to better understand and develop the organizational dynamics necessary to make these new organizational forms effective. Having been impressed by Bass'(1985) full-range leadership formulation, and in particular his description of transformational leadership, we have undertaken an exploratory study seeking to better understand and develop the requisite leadership capacity.

Using a relatively small sample of Extension leaders and 47 of their Extension colleagues they are attempting to influence, we have utilized the Multifactorial Leadership Questionnaire, to make an exploratory examination of the relationship between various leadership characteristics and desired organizational outcomes.

An examination of the results reveals that transformational leadership characteristics, which emanate exclusively from personal qualities of the leader, have a very strong positive relationship with desired organizational outcomes. Transactional leadership characteristics, which generally require the leader to regulate organizational rewards in return for follower effort, although strongly associated with organization outcomes, were generally less strongly correlated than with transformational characteristics. Problem-solving or dissociation approaches were weakly and negatively correlated respectively.

Recalling that these results pertain to a group of only 10 leaders from what is in essence a sample of convenience, our preliminary conclusion is that the concepts of transformational leadership have great promise for Cooperative Extension. We interpret the results as affirming previous decisions to eschew the delegation of formal organizational rewards as a primary means to empower work-group leaders, as it appears that the most effective forms of leadership will be appropriate combinations of both transactional and transformational leadership.

We are experimenting with a variety of workshop, personal development, seminar and retreat programs to assist our team leaders and multi-county coordinators to become aware of and to develop transformational leadership skills. Further study on larger representative leader cohorts, and with additional long-term measures of organizational outcomes, will contribute to confidence in the usefulness of transformational leadership to Cooperative Extension.

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G = in group

**SUMMARY: HOW TEAM LEADERS INTELLECTUALLY STIMULATE
OTHERS IN THE GROUP**

- G1. Use brainstorming**
- G2. Promote the use of fantasy**
- G3. Match group members skills and capabilities with
solution needs required by subparts of the problem**
- G4. Avoid premature conclusions**
- G5. Ask challenging questions**
- G6. Encourage balanced or well-distributed participation**
- G7. Re-clarify objectives or redefine**
- G8. Reformulate the problem**
- G9. Take an intellectual and/or physical walk**
- G10. Take opposing views deliberately and provide convincing
arguments**

INTELLECTUAL STIMULATION

Intellectual Stimulation:

"If you change your assumptions, then..."

General characteristics:

Valuing of the intellect

Encouragement of imagination

Challenging of old ways

Actions:

Questions status quo

Encourages simpler solutions

Uses reasoning as well as emotion

Reaction(s):

Willingness to think

F = in followers

**SUMMARY: LIST OF STRATEGIES TO INTELLECTUALLY
STIMULATE FOLLOWERS INCLUDE:**

- F1. Encouraging innovative thinking**
- F2. Providing a reformulation of the problem**
- F3. Using metaphors or analogies**
- F4. Changing the scale**
- F5. Considering absurd assumptions**
- F6. Imagining alternative states**
- F7. Reversing figure and background**
- F8. Widening, shrinking or splitting context**
- F9. Discovering unconscious (hidden) assumptions**
- F10. Questioning deeply rooted opinions/assumptions**
- F11. Challenging basic assumptions and premises**
- F12. Gaining access to deeply "stored" information**

Chart 12.1

THE INTELLECTUALLY STIMULATION LEADER...

- **champions innovation by mobilizing and building support for creative ideas.**
- **creates demonstration projects to test out ideas.**
- **enlists others to introduce proposals with new ideas and creative ways.**
- **influences and creates interest in the problem solving process.**
- **turns the problems inside out, questioning even the most basic assumptions about them.**
- **encourages followers to focus on key aspects or characteristics of problems while ignoring the irrelevant.**
- **establishes a pattern or framework to explain a flow of events to reduce the complexity and diversity of those events.**

SOME BEHAVIORAL INDICATORS OF INTELLECTUAL STIMULATION:

- **RE-EXAMINES CRITICAL ASSUMPTIONS TO PROBLEMS**
- **TAKES PAST EXAMPLES AND APPLIES TO CURRENT PROBLEMS**
- **ENCOURAGES FOLLOWERS NOT TO THINK LIKE HIM/HER**
- **CREATES A "READINESS" FOR CHANGES IN THINKING**
- **ENCOURAGES A BROAD RANGE OF INTERESTS**
- **IS WILLING TO PUT FORTH OR ENTERTAIN SEEMINGLY FOOLISH IDEAS**
- **ENCOURAGES FOLLOWERS TO USE DIVERGENT PERSPECTIVES**

CHART 12.2

HOW IS INTELLECTUAL STIMULATION ACCOMPLISHED?

- Ideas can be manipulated by applying metaphors (i.e. interpersonal attractiveness is a magnetic field, or, resistance to change is like a dam on a river).
- The scale upon which the problem is measured can be changed (A city can be likened to a big village).
- The absurd can be considered as opposites to reality. (Suppose cars had two drivers).
- Alternative states could be imagined such as time being accelerated or decelerated. (Each day is equal to a minute or a year).
- The figure and ground can be transposed (If you originally thought the problem was a technical one, and not people oriented, then image it as a people problem).
- Contexts can be enlarged, contracted or subdivided. (Think of this problem as being owned by everyone in the company rather than just your own work unit).
- Hidden assumptions can be uncovered (Our failures may be due to poor planning or premature judgements, not to our lack of ability).

Some Examples of Leadership Development Plans

Increased *Constructive Transacting* or *Contingent Reward* is contained in some plans:

- Develop positive exchange relationships with followers
- Increased use of praise; when deserved

Most plans have at least some focus on *Individualized Consideration*. Many pay particular attention to using delegation and making it more effective.

- by legitimizing delegation
- by supplying a methodology for delegation and training followers in the effective use of delegation

Other plans for Increasing *Individualized Consideration* were to:

- individually develop followers' conceptual problem solving ability;
- have more frequent contact with followers and more frequent meetings;
- formalize personal training plans;
- train newcomers by creating work layouts for them;

- move to more consensual decision-making in aggregating resources and developing new ideas;
- create new opportunities for giving and receiving feedback, emphasize an individual's contributions to achieve personal growth;
- increase openness in communications and feedback from insiders and outsiders;
- plan together with followers their own personal development by helping them to discover their expectations.

The efforts to increase *Intellectual Stimulation* was seen in plans to:

- create a team of key persons to formulate performance improvements and find new solutions to problems;
- to be more provocative in briefing sessions and meetings;
- stimulate people to consider alternative methods;
- strive for improvements even beyond those planned;
- alter old frames of reference;
- use a product launch to intellectually stimulate followers to discover new ideas;
- transfer intellectual stimulation several

- levels downward in the hierarchy;
- Improved inspirational leadership was included in plans to:
 - foster follower optimism by fully explaining operations and giving exact behavioral parameters;
 - create particular opportunities and conditions during briefing session to emotionally involve followers;
 - improve inspirational leadership when presenting problems and delegating.

Idealized Influence efforts were seen in plans to:

- become a more energized role model;
- reinforce group identity by involving followers in the determination of objectives, emphasizing effectiveness, whole also taking a greater part in the overall planning process;
- rekindle confidence in those followers who live in a frustrating situation by operating both individually and collectively;
- collect data and write down my reflection for those who come after me;
- focus commitments to obtain proper action and alignment;
- build trust through consistency of actions.

PROBLEMS ENCOUNTERED INCLUDE:

- difficulty in getting the message downward;
- dealing with a strongly resistant hierarchy and/or peers;
- difficulty in using delegation for individual development rather than organizational purposes;
- the need to rethink incentives;
- resistance to changing the system.

SOME IMPORTANT OUTCOMES:

- Increased self-analysis, self-criticism, and awareness of one's own actions;
- efforts to prepare followers and colleagues for change;
- increased follower desire to become involved in change and personal development process;
- more open and better communication;
- changes in the organizations culture;
- shift from hierarchies to team based structures;
- increased feelings of involvement: a very rewarding experience;
- expressions by followers of a high degree of appreciation for the changes.

MY LEADERSHIP DEVELOPMENT PLAN

Leadership Factor/Objective	Action Plan
<i>Priority</i> ____:	Action Steps:
Objective:	Time Requires to Accomplish Objective:
	Evaluation (how will you know when you've achieved your objective?):
	Support or cooperation required:

PRELIMINARY LEADERSHIP DEVELOPMENT PLAN (CONT)

Leadership Factor/Objective	Action Plan
<p><u>Priority 1: Individualized Consideration</u></p> <p>Objective: Improve my listening skills - To better express my concern for people and their ideas through better listening - eliminate situations where I fail to really listen to others - be able to really focus on others and to not allow distractions or interruptions to divert my attention - to have people feel that when they are talking to me that I REALLY am listening to them!</p>	<p>Action Steps: BECOME AN ACTIVE LISTENER</p> <p>1 - Become aware of what really good listening really is. 2 - Look for examples of really good listening I can try to emulate. 3 - Be aware of my bad listening habits. 4 - Become a better manager of interruptions. 5 - Ask for feedback on my listening - and then LISTEN to it! 6 - Really concentrate and bear down on my listening skills - particularly with Larry and Sue.</p>
	<p>Time Requires to Accomplish Objective: Immediate improvement - 2 weeks Long term improvement - 2 months</p>
	<p>Evaluation (how will you know when you've achieved your objective):</p> <p>1 - Ask Larry, a trusted colleague, who attends the same meetings as I do to evaluate my listening 2 - Self grading on listening opportunities - make notes on every meeting, walk-in and telephone about what I learned from that exchange. 3 - Attention to what is being said to me. 4 - Increased awareness of the Verbal and non-verbals (very important) from colleagues and followers.</p>
	<p>Support or cooperation required:</p> <p>1 - Consultation and feedback from colleagues, particularly Larry, about my listening skills - when and how often I became distracted and didn't seem to be listening.</p>

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Inspiring others: the language of leadership

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Executive Overview

While we have learned a great deal about the necessity of strategic vision and effective leadership, we have overlooked the critical link between vision and the leader's ability to powerfully communicate its essence. In the future, leaders will not only have to be effective strategists, but rhetoricians who can energize through the words they choose. The era of managing by dictate is ending and is being replaced by an era of managing by inspiration. Foremost among the new leadership skills demanded of this era will be the ability to craft and articulate a message that is highly motivational. Unfortunately, it seems that few business leaders and managers today possess such skills. To make matters worse, our business culture and educational system may even discourage these skills.

Conger examines why these skills are so critical and what the new language skills of leadership will be. He looks at how leaders through their choice of words, values, and beliefs can craft commitment and confidence in their company missions. He also explores the importance of rhetorical techniques such as stories, metaphors, and rhythm to generate excitement and enthusiasm about the leader's message.

Article

From the recent attention that the subject of leadership has received, we know that one critical role of effective leaders is to be skillful craftsmen of their organization's mission. We also know that of equal importance is the ability to communicate their missions in ways that generate great intrinsic appeal.¹ A leader must not only be able to detect opportunities in the environment but to describe them in ways that maximize their significance. This ability to describe is captured by the simple story of two stone masons who, while working on the same project, were asked what they were doing. The first replied: "I am cutting stone;" the second: "I am building a great cathedral." The latter was able to describe his work in a more far-reaching and meaningful way. Work for him had a higher purpose. Leadership today must embody this same ability—the capacity to articulate an organization's mission and communicate it in ways that inspire. Sadly however, this capacity depends upon skills that have been largely neglected by the business world.

Why the neglect of such important abilities? In part, it is because our business language confines itself to more rational, logical approaches. There is a tendency to avoid emotional expressiveness for instance. The emphasis instead has been on more static presentation skills often using charts and graphs rich in quantitative measures to convey ideas. The speaker's tone and message convey only a limited range of energy and emotion. The very concept of an executive as a rhetorician and inspiring speaker seems a radical departure from these conventions of business behavior. Even management researchers have only recently begun to highlight the important link between language and leadership.² Yet the world around us has changed radically. The ability to transform an organization by dictate is a way of the past. A more educated, more intrinsically motivated workplace demands that executives and managers recast their image more in the

light of an effective political leader. They must learn to sell themselves and their missions—to 'stump' for their cause—and this depends on highly effective language skills.

These are skills which I believe can be learned. One of ancient Greece's greatest and most persuasive orators was Demosthenes whose first public speech was so feebly delivered and tortuous that his audience laughed him out of the Greek assembly. As he walked home disheartened and resigned to his inability to speak, an actor named Satyrus caught up with him and gave him a lesson in how to deliver a speech. Demosthenes then made himself an underground study where he stayed for weeks at a time practicing his oratory away from the distractions of the world. He cured a stammer by speaking with pebbles in his mouth and his shortness of breath by shouting out poetry while running uphill. With these efforts, he eventually acquired the ability to hold an Athenian audience spellbound. While this is perhaps an extreme pathway to effective speaking, there is a language of leadership that can be learned by using certain practices and techniques.

This "language of leadership" can be broken into two distinct skill categories. The first is the process of defining the purpose of the organization in a meaningful way. In essence, this is the leader's message. This process is called "framing." The second skill is the leader's ability to use symbolic language to give emotional power to his or her message. This is a process of "rhetorical crafting." While the message provides a sense of direction, rhetoric heightens its motivational appeal and determines whether it will be sufficiently memorable to influence the day-to-day decision-making of an organization. To use an analogy, we might think of holiday times when a gift's wrappings are often as impactful as the gift itself. Let us begin with the notion of framing.

The Notion of Framing

We know from research on transformational leaders that crafting and communicating an inspirational vision is critical to their success. The way in which a leader describes the future purpose of his or her organization is, in essence, the vision.³ In the simplest terms, a leader can choose to say "I want us to build X number of products by this year and return so much on our assets" or "I want us to revolutionize the way people see and act in the world through the use of our products." Both statements are defining a purpose, though with very different meanings. Both are distinct ways of "framing" an organization's purpose—one around quantitative measures, the other around a grander purpose. Frames then are essentially snapshots that leaders take of their organization's purpose. In a larger sense, frames also provide a map for action. If we believe and describe the world as flat or square, we will "frame" our understanding of reality through that perspective and act accordingly. For example, we are less likely to go sailing toward the horizons of the earth than someone who sees the world as round. Simply "framing" or wording an opportunity in a particular manner influences our perceptions of its outcomes. In one research study, participants were told of a project having an 80 percent chance of success and of another project having a 20 percent chance of failure and then were asked to choose one. Inevitably they chose the former, yet both outcomes are the same.

When describing an organization's mission or state of affairs, a leader is essentially framing it to interpret reality for followers. Compare, for example, Steven Jobs' comments to the staff of his new computer company NEXT:

"... we wanted to start a company that had a lot to do with education and in particular, higher education, colleges and universities. So our vision is that there's

a revolution in software going on now on college and university campuses. And it has to do with providing two types of breakthrough software. One is called simulated learning environments. You can't give a student in biology a five million dollar recombinant DNA laboratory. But you can simulate those things, you can simulate them on a very powerful computer. It is not possible for students to afford these things. It is not possible for most faculty members to afford these things. So if we can take what we do best, which is to find really great technology and pull it down to a price point that's affordable to people, if we can do the same thing for this type of computer, which is maybe ten times as powerful as a personal computer, that we did for personal computers, then I think we can make a real difference in the way the learning experience happens in the next five years. And that's what we're trying to do. . . . [and] one of my largest wishes is that we build Next from the heart. And the people that are thinking about coming to work for us, or buying our products or who want to sell us things, feel that, that we're doing this because we have a passion about it. We're doing this because we really care about the higher educational process, not because we want to make a buck, not because, you know, we just want to do it to do it".⁴

You will notice that Steven Jobs does not describe his company's vision as building X number of computers by a certain date or achieving a certain annual growth rate or simply expanding into a particular market. Rather he constructs and frames the strategic goal of NEXT as revolutionizing the educational system of a nation. Contrast this description with the goals of a senior executive who is also describing his organization's mission for the next year:

"Good morning, and welcome to our sixth annual management meeting. As in the past, the purpose of the meeting is to review and discuss the overall objectives for 1985 . . . I am certain 1985 will be another successful year. The goals are high and consistent with prior year's objectives. As in the past, our principal objective will be to accomplish our sales goal while limiting price off promotional activity. Control of operating expenses throughout the company will be the key to successfully reaching our profitability goals—especially in view of the economic environment in which we are presently operating. Last week we presented the operating and capital budgets to the corporate staff for approval. I am pleased to report that the budgets were generally approved and the corporation has made available up to \$39 million of capital to support the growth and improve the profitability of the Beverage Division. This is an increase of approximately \$7mm over last year's capital budget of \$32mm and is, indeed, an expression of confidence in the ability of the management of this division to cultivate and exploit the potential of our various markets. We have an obligation to prudently employ this capital to those areas of the business where it will be most productive and profitable for both the short term and more importantly the long term. Incremental and profitable case sales are expected where developmental capital is invested. Each manager will be responsible for generating a 20 percent return on all developmental capital invested. . . ."

He goes on to additional descriptions of budgeting and human resource issues. What we see is a straightforward exposition on the company's operating goals, budgets, and policies—devoid of a more visionary and emotionally appealing purpose and instead focused more on static operating details. Also the language chosen is mechanical, and emotional content is largely absent. A stark contrast with Job's more inspiring and visionary framing of his company's mission. Yet Jobs could have framed his mission as simply producing a better personal computer or enhancing company revenues and profitability. Instead, he casts the mission in a societal contribution frame. NEXT becomes a vehicle for altering the landscape of education.

Effective framing of an organizational mission will ensure emotional impact particularly in terms of building a sense of confidence and excitement about the future. A regional telephone company undergoing separation from its parent organization, AT&T, during deregulation was experiencing great anxiety over the accompanying loss of revenue and product support from its parent. There was a serious concern that the company would essentially fail to perform effectively in the new deregulated environment. The company president carefully reframed the organization's future from one of great uncertainty and turmoil to one of unusual and highly promising opportunity by describing the organization as being on the cutting edge of new service and product opportunities. A colleague commented on the impact of this perspective, "His vision is that in spite of all that has happened to the business, the future is a positive one. Take the best from what we were to innovate to be even better and unburden those things that could be cumbersome. The vision builds a sense of security. When the world seems to be falling down on us, he says we are a strong, viable company with opportunities we never had before."

Effective framing of an organizational mission will ensure emotional impact particularly in terms of building a sense of confidence and excitement about the future.

To create a meaningful frame for an organizational mission, values and beliefs are an essential component—especially those that reinforce commitment and provide guidance for daily actions. Their selection is crucial since they are the mechanical guts that power the vision's acceptance and accomplishment. By selecting and amplifying specific values and beliefs, the leader further frames interpretations of events, problems, or issues as they relate to the vision.⁵

Amplifying Values

If we think of values as the states of being or modes of conduct that are worthy of promotion and protection, then value amplification is simply the process of identifying and elevating certain values as basic to the overall mission.⁶ We know from research on transformational leadership that at the core of effective leadership is the creation of values which inspire, provide meaning for, and instill a sense of purpose in an organization's members. When describing the organization's mission, a skillful leader will select values or stories that illustrate values that have strong appeal to subordinates and justify their activities in highly acceptable ways.

If we turn to Martin Luther King and his famous "I Have a Dream" speech, we can see clearly the importance of framing a mission around certain values.

"... When the architects of our republic wrote the magnificent words of the Constitution and the Declaration of Independence, they were signing a promissory note to which every American was to fall heir. This note was a promise that all men, yes, black men as well as white men, would be granted the unalienable rights of life, liberty, and the pursuit of happiness.

It is obvious today that America has defaulted on this promissory note insofar as her citizens of color are concerned. Instead of honoring this sacred obligation, America has given the Negro people a bad check, which has come back marked "insufficient funds." But we refuse to believe that the bank of justice is bankrupt. We refuse to believe that there are insufficient funds...

So I say to you, my friends, that even though we must face the difficulties of today and tomorrow, I still have a dream. It is a dream deeply rooted in the American dream that one day this nation will rise up and live out the true meaning of its creed—we hold these truths to be self evident, that all men are created equal. This will be the day when all of God's children will be able to sing with new meaning—"my country 'tis of thee; sweet land of liberty; of thee I sing", land where my fathers died, land of the pilgrim's pride; from every mountain side, let freedom ring—and if America is to be a great nation, this must become true."

Though his speech addressed the black man's plight in America, King purposely framed his mission's description around values that had great meaning for white Americans. For example, at the time of his speech, he had discerned a growing positive shift among many whites toward his position. In addition, the Congress was considering President Kennedy's Civil Rights Act of 1963. Sensing the possibility of support from society at large (and a nationwide television audience for his speech), King choose to reach out to white America, framing his struggle in values central to them. This decision contrasted sharply with his earlier, more scolding approaches to white society. To make his appeal effective, King drew on lines from the song "America"—lines that white Americans had sung as school children, and quotes from Lincoln's Gettysburg Address and the Declaration of Independence—lines that white Americans had recited as school children: "I have a dream that one day this nation will rise up and live out the true meaning of its creed: We hold these truths to be self-evident, that all men are created equal." King's inference was that if Americans truly believed in their country and its values, then they must also believe in civil rights: "If America is to be a great nation, this must become true." By framing his movement's values in terms of the nation's values and their protection, King heightened the significance of the black man's struggle for every American. By carefully framing his mission in this way, he maximized its potential acceptance by mainstream Americans.

Business leaders may use similar techniques in framing their own organization's mission. In this case, the analogy with a social movement is quite appropriate, for the more potent business leaders transform their organization's missions into pseudo-social movements. For example, Mary Kay Ash, founder of the Dallas-based Mary Kay Cosmetics Company, ties a set of values around equal rights for women to her cosmetics company's mission:

"My objective was just to help women. It was not to make a tremendous amount of sales. I want women to earn money commensurate with men. I want them to be paid on the basis of what they have between their ears and their brains and not because they are male or female."

Her company's mission is, in part, a social movement for women. Mary Kay also draws upon Christian values as a centerpiece for her company's mission. She will frequently say: "Our company motto is: God first, family second, and business third. In that order, everything works, and out of that order, nothing works." In company talks, she continually draws links to these values—even to the most mundane of company activities:

"Back in the days of the Roman empire the legions of the emperor conquered the known world. There was, however, one band of people the Romans never conquered. These people were the followers of the great teacher from Bethlehem. Historians have long since discovered that one of the reasons for the sturdiness of this folk was their habit of meeting together weekly. They shared their difficulties and they stood side by side. Does this remind you of something? The way we stand side by side and share our knowledge as well as our difficulties with each other at our weekly unit meetings."

In his turnaround of Chrysler, Iaccoca framed part of the company's mission around the preservation of the basic American values of the free enterprise system, entrepreneurship, and protection of America's jobs. The need for a government bailout was described as pivotal to that mission:

"We were asking (the government): Would this country really be better off if Chrysler folded and the nation's unemployment rate went up another half of one percent overnight? Would free enterprise really be saved if Chrysler failed and tens of thousands of jobs were lost to the Japanese? Would our free-market system

really be more competitive without the million-plus cars and trucks that Chrysler builds and sells each year?" . . . we explained (to the government) that we're really an amalgam of little guys, we're an assembly company. We have 11,000 suppliers and 4,000 dealers. Almost all of these people are small businessmen—not fat cats. We need a helping hand—not a handout."

It is an appeal to values of free enterprise—"would our free-market system really be more competitive . . ." and entrepreneurship ". . . all of these people are small businessmen—not fat cats." In essence, what Iaccoca does so skillfully is turn the argument to his advantage.⁸ The government's loan is an opportunity to reinforce and strengthen American's competitive position in the world and to reaffirm the government's commitment to entrepreneurship and small businesses. To do otherwise is to rebut the guiding values of the society and Chrysler's missions—making it difficult to say "no." In framing an organizational mission, a leader must then select guiding values that have deep intrinsic appeal for their organizations and constituents—these will provide a powerful *raison d'être*.

Belief Amplification

Belief amplification is the second technique for framing activities and the organization's mission. While values refer to the goals that the leader or organization wishes to attain or promote, beliefs are the ideas about which factors support or impede actions taken to achieve those desired values. There are four basic belief categories that are important to organizational leaders in framing their missions and activities related to them: 1) the mission's or task's importance, 2) its root causes or need, 3) stereotypes about antagonists of the mission (both within the organization and externally) and 4) the efficacy of the organization to succeed.⁹

The Mission's Importance

As mentioned earlier, beliefs about the importance or seriousness of the leader's mission are a primary focus for leaders. Sometimes to maximize impact, leaders describe or exaggerate the current situation as intolerable and then frame their future vision as the only viable and most attractive pathway. A speech by the president of a data processing consulting company illustrates how one leader communicated this belief to his employees:

Today the world is moving very rapidly towards decentralized data processing. There is a shocking rate of change. It is critical for us to understand this because the IBM salesman may soon know more than we will. In 1981, 1.9 percent of the total personal computers sold were made by IBM, today 21 percent. The challenge is very obvious. We must rechart our direction. Do not be-fooled by our success to date. Our techniques which once were avant garde are now accepted . . . The traditional DP knowledge base has matured. Now this information is available in books. Others have copied us. We must rechart our direction. Our task now is to move into immature products like pc's (personal computers) and distributed computers. The market for knowledge in these areas is huge . . . For example, I cannot emphasize enough the critical role that pc's are playing. In 1982, the Bank of America had 500 of them; by 1984, they had 5000 . . . You have a real challenge not to become obsolete in the next three years with the growth of pc's and the move to decentralized data processing. You individually need to get yourself immersed, consumed by that marketplace . . . Your role is to keep our firm at the leading edge as we have done before. Because if we fail to innovate over the next three years, we will have a timebomb on our hands . . . The way we will stay winners is by contributing to the body of knowledge. We must be consumed by the process of delivering quality ideas, advice, and results to our clients. Our strategy is and must be intellectual leadership in the management of computers."

We see this leader driving home to staff his perceptions of a rapidly changing world filled with serious competitive challenges. A picture of dire consequences is painted if the company does not continue to innovate and specifically address emerging niche markets (pc's and distributed computers). He powerfully conveys the seriousness of the firm's future mission and as an outcome provides motivational energy for the organization.

The Need for the Mission

The second dimension of beliefs concerns why the mission has arisen in the first place. Mary Kay's explanation that her company exists to help women homemakers is an example. Jobs speaks about the need that he feels NEXT will fulfill as he reflects on an earlier experience:

"I felt it the first time when I visited a school and I had like the 3rd and 4th grades in a classroom one time, and they had a whole classroom full of Apple IIs and I spent a few hours there and I saw these 3rd and 4th graders growing up completely different than I grew up, because of this machine . . . And here was this idea (the Apple computer) taken through all these stages resulting in a classroom full of kids growing up with some insights and fundamentally different experiences which I thought might be very beneficial to their lives, because of a germ of an idea a few years ago".¹⁰

The need for the NEXT computer company then is based on the belief that computers play an integral and highly positive role in education. To achieve strong intrinsic appeal, the mission's basic purpose must speak to deeply held values that serve a larger purpose or aim towards realizing the potential of employees.

Antagonists of the Mission

Stereotyping about antagonists of the mission is important for generating commitment and cohesion. Often beliefs about antagonists provide models of what the leader's organization is not and so define by contrast. For example, an article recounting a speech by Steven Jobs to the Boston Computer Society in 1984 captures this use of an antagonist to build commitment to the leader's mission. It begins with a description of Jobs approaching the speaker's podium carrying with him a small beige case. The audience is aware that within the case is the company's new Macintosh personal computer, Apple Computer's \$15 million response to IBM's recent entry into the home computer market:

Taking an aggressive stance behind the podium, Jobs smiles, his face suddenly illuminated on the giant rear-projection screen mounted behind him. For anyone familiar with the Macintosh sci-fi commercial—a take-off on George Orwell's 1984 . . . there is an immediate and delicious irony: instead of Big Brother's (read Big Blue's (IBM)) intimidating visage staring down from the wall, here is Steve Job's. He begins to speak.

"The year is 1958, and a small company has succeeded in perfecting a new technology. It is called xerography. IBM has the opportunity to acquire rights to the new technology but elects not to. Thus, Xerox is born." Jobs reads on like a hyped-up Edward R. Murrow delivering a condensed history of post-chip technology: 1968—Digital Equipment Corporation introduces the first viable minicomputer, and IBM dismisses the market; 1978—Apple jumps into the home-computer field, IBM ignores it; 1981—IBM finally brings out its own personal computer (hisses from the bleachers) and quickly dominates the trade news. Building to his main thrust—that Macintosh represents a new wave of home hardware—Jobs can't resist overreaching. His company, he posits, is "the last force

for freedom" in the marketplace. The implicit threat: Fight IBM to the last bare desktop or surrender to the forces of evil.¹¹

By implicit assumption, Apple embodies the opposite qualities of an IBM. It must be a quick-to-market, entrepreneurial and freer-thinking organization. These play on the core cultural values of the organization itself heightening the potency of their meaning.

Apple is also portrayed to the world and its employees as the embodiment of these American values inducing positive regard from the audience.

Efficacy of the Mission

Finally, beliefs about the efficacy of the organization are critically important. In essence, they build confidence in the entire mission. A leader will draw analogies, for instance, to earlier proven successes to confirm the likelihood of the current mission succeeding. So when Fred Smith, the chief executive of Federal Express, describes why his Zap Mail project (a facsimile service) will succeed despite early failures (although it did ultimately end in failure), he offers this justification:

When you're trying to do something that's never been done before, it's really sophistry to think you can project out in the future a set of numbers and have reality correspond to that. We started Zap Mail off under one set of circumstances and assumptions, and predictably those assumptions were all wrong. It was very similar to the situation in the express business. We started that off with a series of assumptions that were totally erroneous, and it was only when we threw all of those away and really started the television campaign that got to be very famous . . . that the thing really ramped up."¹²

In this case, Smith is drawing a direct link between the slumping Zap Mail project and the company's core express business which ultimately proved highly successful. Both started out with the wrong assumptions, he argued, yet express mail eventually succeeded. The problems with Zap Mail he is arguing are part of the natural progression of an ultimately successful product. He even uses the word "predictably" to assure the listener that indeed this is a very predictable process. The key to success is simply television advertising—implicitly he is saying that this is all that is needed to ensure Zap Mail's success. So he portrays the reality of the Zap Mail project as hopeful and attainable. We know today that, in the end, Zap Mail did prove to be a costly failure raising an important ethical issue concerning the potential misuse of these practices.

In conclusion, framing is the leader's interpretation of his or her organization's purpose with accompanying values and beliefs. It is an opportunity for leaders to construct an appealing and motivating force for change and transformation in their organizations. But framing is only the first step. For while the leader's message is critical, the process by which it is communicated appears to be just as significant. We know from research in political science that it is not uncommon for two leaders to present the same message and yet receive different responses.¹³ The style of verbal communications is a critical distinguishing factor in whether the message will be remembered and endorsed. This is where the art of rhetoric enters the language of leadership.

Rhetorical Techniques of Inspirational Leaders

A leader's words often assume their greatest impact as symbols rather than as literal meanings. Apart from an appeal to emotions and ideals, inspiring leaders use a number of rhetorical techniques such as metaphors and analogy or different language styles or rhythmic devices to ensure that the symbolic content of their message has a profound impact.

Metaphors, Analogies, and Organizational Stories

Metaphors and analogy draw a relationship of likeness between two things—often very unlike things—and are used for vividness, clarification, or to express certain emotions or interpret reality. For example, by a figurative comparison with a pool of water, John F. Kennedy conveyed the need for politicians to temper themselves through more intellectual influences: “. . . the political profession needs to have its temperature lowered in the cooling waters of the scholastic pool.” Earlier, I drew an analogy between gifts and their wrappings and the processes I am describing in this article. The power of metaphor and analogies comes from their ability to capture and illustrate an experience of reality by appealing simultaneously to the various senses of the listener. As we will see, there is an appeal to the emotions, to the intellect, to imagination, and to values. This variety of stimulation ensures a more vivid experience for the listener.

Mary Kay Ash commonly employs metaphors in her talks. One of her more popular metaphors is of a bumble bee which she uses to describe the reality of the women who work for her. “You see,” she begins, “a bee shouldn’t be able to fly; its body is too heavy for its wings. But the bumblebee doesn’t know this and it flies very well.” Mary Kay explains the message of this metaphor: They (women) come to us not knowing they can fly. Finally, with help and encouragement, they find their wings—and then they fly very well indeed.”¹⁴

If we put ourselves in the listener’s position, it is likely that as we hear this story we will visualize an oversized bee that is flying with grace and speed. The listener then goes through a mental process of deciphering what the message means to them on a visual, cognitive, and emotional level. There is often a moment of puzzlement trying to decode the message—this ensures that the listener is both stimulated and concentrating on the speaker’s message. In this case, the metaphor presents a paradox—something that should not fly but does. The listener then interprets this paradox in terms of herself. For Mary Kay’s audience, the bumblebee metaphor eloquently captures the dilemma of the North American housewives to whom Mary Kay is appealing. These are individuals who have been child- and house-bound with little sense of their ability to build a successful career and to develop financial independence. By joining the Mary Kay organization, the metaphor is saying that women can achieve a sense of freedom through their own Mary Kay cosmetics business. They can develop their own “wings.”

The metaphor also suggests that it is others’ expectations that have kept housewives unaware of their “wings” and their ability to fly. Mary Kay is essentially saying: “You can fly. Others have told you that you are not constructed for success only because they do not know the true powers hidden within you.” The message brings the locus of control to within the person: “You already have this ability within you. You do not need to search for it.” In this case, a simple metaphor is able to convey a powerful, uplifting set of messages. We see the importance of linking metaphors to audience concerns or needs.

Lee Iacocca has also been particularly adept in the use of metaphor and analogy. In explaining a decision to cut his salary to one dollar, for example, he employed the war metaphor of a commander joining his troops in the trenches:

“I didn’t take one dollar a year to be a martyr. I took it because I had to go into the pits.”

He then draws an analogy to the family:

“I call this equality of sacrifice . . . It wasn’t the loans that saved us, although we needed them badly. It was the hundreds of millions of dollars given up by

everybody involved. It was like a family getting together and saying "We've got a loan from our rich uncle and now we're going to prove that we can pay him back."

He implies that he and his fellow Chrysler workers are all members of a common family working hard to prove their worth. By invoking this analogy of himself and Chrysler as a family, he attempts to create strong identification between himself and the average Chrysler worker. He interprets the hardships that Chrysler employees must experience as necessary to help the "family." This rhetorical tactic effectively plays on emotions associating the Chrysler situation with traditional family values. By tying the company crisis to a positive analogy, workers are provided with a rationale for their difficulties and the motivation to prove their worth as a "family" to "Uncle" Sam.¹⁵

Why are metaphors and analogies so powerful in communicating ideas and goals? And are they more powerful than arguments supported by logic and statistics? These are important questions since corporations and MBA programs encourage the latter—carefully planned managerial presentations supported with a wealth of statistical information. And while such presentations are critical to effective decision-making, this style has become so engrained that managers use a similar format in speeches, in pep talks to their organizations, and in discussions with customers and analysts. Leaders, especially the more inspirational ones, appear to more often use such forums to "orate" and to convey their messages through metaphors, analogies, and stories.

There are two streams of research that support and explain the greater impact of metaphors and analogies over rational discourse. The first comes from the field of speech communications where research shows that these devices appear to excite the imagination of the listener and create consecutive states of tension (puzzlement—recoil) and tension release (insight and resolution).¹⁶ The listener is not a passive receiver of information but is triggered into a state of active thinking as they puzzle over the meaning of the story and attempt to make sense of it usually in light of their own situation. This process is so engaging that it fosters listener attention and interest.

In addition, studies from social psychology explain why these rhetorical devices are a more persuasive and effective means of communicating ideas.¹⁷ It has been found that people treat statistical summaries as if they were uninformative. This type of information appears to lack impact because of its abstract, colorless nature. In contrast, brief, face-to-face comments have been found to have a substantial impact on decision-making. It might be concluded that information is used in proportion to its "vividness."

Stories, for example, convey more vividly the values and behaviors that are important to an organization. For example, in one organization, I commonly heard a particular story repeated in company interviews that reinforced the necessity of being able to cope with the unexpected. The story went like this: An MBA candidate was being recruited by the firm. At the end of a day of interviews, he had met with everyone except the company's charismatic president. Up until this point, there was a clear consensus that the young man should be hired. At 5:30 p.m., he met with the president who promptly asked if he would join him with another manager for drinks. Off they went to a nearby bar at which point, the president called his wife and the wife of the manager to join them for dinner. The MBA preceded off to dinner having yet to begin his interview with the president. Dinner ended at midnight—still no interview had been conducted. The president then asked the recruit to his home for the actual interview. The young man balked with surprise, saying he was tired and needed to return home. Needless to say, he was not offered the position. The company president and others repeated this

story often to illustrate that the qualifications needed by the company included a willingness to "roll with the punches" and "to go the extra mile" that his organization's mission demanded. The story was a far more powerful and vivid means of illustrating what the leader saw as important values and behaviors than simple statements on his part that employees should be willing to demonstrate greater commitment. You may have noted that I have also used stories throughout this article to convey ideas and capture the reader's attention such the one about Demosthenes.

Stories or metaphors are most potent when they invoke meanings or symbols that have deep cultural roots, and as a result, elicit stronger emotions.¹⁸ If we return to the Steven Jobs speech to the Boston Computer Society, we see that through his story and allusion to Apple as the "freedom" and IBM as the last force for "Big Brother," Jobs calls upon several important cultural myths and symbols. For one, he invokes the story of David and Goliath—the underdog forces of good (Apple) which must fight and triumph against the giant forces of evil (IBM). The listener, at some level, cues into emotional associations—feelings of positive regard for Apple, its difficult task, and its courage. Negative feelings are fostered towards the giant IBM that attempts to crush this positive force. The "big brother" references to George Orwell whose book *1984* enjoyed widespread popular appeal among Job's generation also triggers audience associations with a menacing giant (IBM) who is seeking omnipresent control. It is the classic struggle between the forces of good (Apple) and evil (IBM). The word "freedom," it is assumed, invokes historical associations with the American revolution and the nation's fight against British domination—again, the theme of the underdog triumphing over tyrannical forces. Through these important stories and myths, Jobs is able to build within his audience a set of favorable emotions toward Apple and negative associations with IBM.

Gearing Language to Different Audiences

In addition to the use of metaphors, the level of language used—whether elevated or colloquial—is important. A colleague of one inspirational executive I studied described this ability: "He could just tune in with any group; he could charm senior people and could be at home with a new college graduate . . . His message depends on the audience. He has a clever way about this. He has an excellent speech writer. He would say, 'Here's how I would like the message.' When the talk was completed, it always contained the right message for that audience. He and his speech writer could tune in on any audience."

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It appears, however, that the ability to speak on a more colloquial level is particularly significant and conducive to creating appeal. Franklin D. Roosevelt, for example, consistently employed colloquial language and 'folk' imagery to convey his ties to the person on the street. In fireside chats, for example, he would use sports analogies: "I have no expectation of making a hit everytime I come to bat." He consistently tailored his public talks to the "man in the street." But why might this be such an effective technique?

A high status individual such as an executive is expected to use an elevated style of language. When unexpectedly the everyday language of a plant worker is used, it may create a special positive response. A sense of equality with someone so elevated may at times produce a sense of affection and admiration.¹⁹ In one case, a senior manager described the charisma of his boss to me: "He would go into the plants and tour them, talk to the employees—'tell me what you're doing today' . . . He's skip levels downward just to get a comfort feeling, a name, a face. People really felt comfortable with him. They felt he understood them. He could relate and speak at their level. That was an important part of what attracted people to him."

Other Speech Techniques

Another component of rhetoric is related to sound, such as repetition, rhythm, balance and alliteration. While such techniques have been largely restricted to religious and political leaders, the possibility of their use by business leaders should not be overlooked. A certain rhythm can often mesmerize an audience. In his speeches, Roosevelt often employed alliteration—the repetition of initial consonant sounds in two or more neighboring words or syllables. In describing the leadership of the Depression, he states:

Those who tilled the soil no longer reaped the rewards which were their right. The small measure of their gains was decreed by men in distant cities . . . Individual initiative was crushed in the cogs of a great machine.

The message was heightened by alliteration as shown by the letters (r-,r-,r-,d-,d-,i-,i-,c-,c-).²⁰ This creates an attention-holding rhythm.

Martin Luther King was a master of repetition and rhythm. An excerpt from his famous "I have a dream speech" captures his abilities:

So let freedom ring from the prodigious hilltops of New Hampshire. Let freedom ring from the mighty mountains of New York. Let freedom ring from the snow-capped Rockies of Colorado. Let freedom ring from the curvaceous slopes of California. But not only that. Let freedom ring from Stone Mountain of Georgia. Let freedom ring from Lookout Mountain of Tennessee. Let freedom ring from every hill and molehill of Mississippi, from every mountainside, let freedom ring. And when we allow freedom to ring, when we let it ring from every village and hamlet, from every state and city, we will be able to speed up that day when all of God's children—black men and white men, Jews and Gentiles, Catholics and Protestants—will be able to join hands and to sing in the words of the old Negro spiritual: 'Free at last, free at last; thank God Almighty, we are free at last.'

King moves into repetition of the key phrase "let freedom ring"—over and over—at a progressively louder tone—closing with repetition of a second phrase "free at last." Repetition and rhythm, in this case, impact the listening audience in two important ways. First, King is able to create a song-like crescendo much like a combination of a symphony and Negro spiritual. This mesmerizes, captures attention, and builds emotional commitment to the message. Second and more important, he is able to leave his audience with one critical idea "they are to be free." Repetition ensures recall. Unlike the written word, speech is more difficult to comprehend. Once spoken, the speaker's words are gone except for the listener's abilities to remember them. If the speaker makes numerous points, the listener is not likely to recall them all. The listener must be able to understand the speaker's ideas. The problem is that the listener has little time to pause for reflection. Repetition focuses the listener on the key ideas and drives them home.

Finally, paralanguage or the sound of speech is an additional important factor in effective communications. Through appropriate paralanguage, one can communicate an image of self-confidence and power. For example, when speakers are nervous and lacking in confidence, they speak at a lower volume and make more numerous speech errors such as incomplete sentences, long pauses between words, omitted portions of words or sentences. A more confident style will avoid these mistakes.

Recent research has also found differences between what are perceived as powerful and powerless styles of speech resulting from paralanguage and the use of certain words. The powerless style includes speech hesitations as "ah," "you know," and "uh;" polite phrases like "please" and "thank you;" questioning voice tones at the end of declarative statements; and hedging phrases as "I think," "I

guess," "kinda." The powerful style lacks these qualities and instead portrays the speaker as more assuming, more goal-directed, and straightforward. In a study of these two styles, it was found that study participants rated speakers using the powerful style as more potent and attractive and more credible.²¹

Conclusion

I believe that we have only just begun to appreciate the power of the spoken word and its role in transformational leadership. The demands of this language of leadership will mean that executives and managers must begin to break from their traditional modes of communicating and move to more expressive, more inspirational forms. Needless to say, the first step must be the formulation of an organizational vision that is meaningful. This is, in itself, a complex process as we know from recent research.²² But once such a vision is formulated, the language of leadership plays a vital role in its acceptance and accomplishment. Guidelines to ensure a more impactful message are as follows:

If one is speaking about company strategy, listeners must actually believe the speaker possesses such knowledge and strategic expertise.²³ Do not attempt to appear as a knowledgeable expert in areas where your audience knows you are not.

1. Frame your organization's mission around intrinsically appealing goals and draw upon values and beliefs that have positive, culturally important meanings for your organization. Do not describe the company purpose as solely X amount of profitability, X amount of revenues, and X amount of return-on-assets. Rather draw appealing links to the broader societal contributions of the organization and sincerely endorse and incorporate these. While this prescription may seem simple; it is in reality a difficult task. Employees and customers will detect when such links are not based upon the deeply-held and realistic assumptions of the leader. The leader's true beliefs in his or her organization's purpose are a cornerstone to becoming inspirational and are achieved only after significant periods of exploration, reflection, and effort.
2. In descriptions of the organization's goals, incorporate the positive values that are deeply held by the organization and society at large by using stories to illustrate these guiding values in action within the organization and the marketplace.
3. Remember to highlight the key belief categories mentioned earlier when framing descriptions of the organization's mission. They are: 1) the significance of the mission, 2) why it has arisen in the first place, 3) key antagonists, and 4) assumptions about why it will succeed.
4. In general, employ more analogies, metaphors, and stories when speaking. Keep your message simple and focused and repeat it consistently.
5. When communicating to company audiences, experiment with various rhetorical techniques. Seek out coaches who can assist you with paralanguage, the selection of appropriate metaphors, voice intonation, and so on. Get feedback to determine which aspects of your style need greater attention and which seem to hold audience attention.
6. Allow your own emotions to surface as you speak. If you are feeling truly excited about a particular activity or goal, show it. If you are deeply concerned about competitive threats, show it.

Two additional points are worth noting. One—you, as a speaker, must be perceived as credible and possessing a measure of expertise otherwise your message is unlikely to be believed. If one is speaking about company strategy, listeners must actually believe the speaker possesses such knowledge and strategic expertise.²³ Do not attempt to appear as a knowledgeable expert in areas where your audience knows you are not.

Second, and more important, is the issue of ethics. Language skills can be misused. For example, leaders may present information or anecdotes that make their visions appear more realistic or more appealing than they actually are. They may also use their language skills to screen out problems or to foster an illusion of control when, in reality, things are quite out of control.²⁴ The gift of language has its potential dark side as witnessed with Adolf Hitler and his powerful ability to

communicate. As listeners and members of organizations, we must be on guard for such abuses.

In closing, it is important that business leaders see their role as "meaning makers." They must pick and choose from the rough materials of reality to construct pictures of great possibilities. An effective leader's persuasion is of the subtlest kind, for he or she must interpret reality to offer images of the future that are irresistibly meaningful. In the choice of words, values, and beliefs, you as a leader "craft" reality to ensure commitment and confidence in the mission. Rhetorical techniques of metaphors, of stories, of repetition and rhythm, and of frames all help to convey ideas in the most powerful ways. They ensure that strategic goals are well understood, that they are convincing, and that they spark excitement. If you as a leader can make an appealing dream seem like tomorrow's reality, your subordinates will freely choose to follow you.

Endnotes

¹ See for example B.M. Bass *Leadership and Performance Beyond Expectations*, (New York: Free Press, 1985); W. Bennis and B. Nanus, *Leaders*, (New York: Harper & Row, 1985); J.A. Conger, *The Charismatic Leader*, (San Francisco: Jossey-Bass, 1989); J.P. Kotter, *The Leadership Factor*, (New York: Free Press, 1988); H. Mintzberg, *The Nature of Managerial Work*, (New York: Harper & Row, 1973); and T.J. Peters and R.H. Waterman Jr., *In Search of Excellence*, (New York: Harper & Row, 1982).

² See especially W. Bennis and B. Nanus, *ibid.*; J. Martin and M.E. Power, "Truth or Corporate Propaganda: The Value of a Good War Story," in L.R. Pondy, P.J. Frost, G. Morgan, and T.C. Dandridge (eds) *Organizational Symbolism*, (Greenwich, Conn: JAI Press, 1983); and L. Pondy "Leadership as a Language Game," in M.W. McCall, Jr. and M.M. Lomardo (eds), *Leadership: Where Else Can We Go?* (Durham: Duke University Press, 1978).

³ See W. Bennis and B. Nanus *Leaders*, (New York: Harper & Row, 1985), and A. Zalesnik, "Managers and Leaders: Are They Different?" *Harvard Business Review*, 1977, 15(3), 67-78.

⁴ J. Nathan, *Entrepreneurs: Viewers Guide and Transcript*, (Waltham, Mass: Nathan Tyler, 1986), 6-7.

⁵ For documentation of value and belief amplification, see D.A. Snow, E.B. Rochford, S.K. Worden, and R.D. Benford's "Frame Alignment Processes, Micromobilization, and Movement Participation," *American Sociological Review*, Aug. 1986, 51, 464-481.

⁶ *Ibid.*

⁷ See particularly W. Bennis and B. Nanus *Leaders*, (New York: Harper & Row, 1985); P. Selznick, *Leadership in Administration*, (New York: Harper & Row, 1957); and A. Zalesnik, "Managers and Leaders: Are They Different?" *Harvard Business Review*, 1977, 15(3), 67-78.

⁸ F. Westley and H. Mintzberg, "Profiles of Strategic Vision: Levesque and Iacocca" in J.A. Conger, R.N. Kanungo, and Associates (eds.) *Charismatic Leadership*, (San Francisco, Jossey-Bass, 1988). Iacocca quotes are from L. Iacocca, and W. Novak, *Iacocca: An Autobiography*, (New York: Bantam Books, 1984). Unless cited, other article quotes are from research interviews that I have conducted.

⁹ D.A. Snow et al., *ibid.*

¹⁰ J. Nathan, *ibid.*, 12.

¹¹ The source of this quote is an article by J.P. Kahn "Steven Jobs of Apple Computer: The Missionary of Micros," *Inc.*, April 1984, 83.

¹² J. Nathan, *ibid.*, 29.

¹³ A.R. Willner, *The Spellbinders*, (New Haven: Yale University Press, 1984).

¹⁴ R. Tunley, "Mary Kay's Sweet Smell of Success," *Reader's Digest*, Nov. 1978, 5.

¹⁵ F. Westley and H. Mintzberg, *ibid.*, 192-193.

¹⁶ M.M. Osborn and D. Ehninger, "The Metaphor in Public Address," *Speech Monographs*, 29, 1962, 228.

¹⁷ The seminal studies on the psychological impact of these rhetorical practices were conducted by E. Borgida and R.E. Nisbett, "The Differential Impact of Abstract vs. Concrete Information on Decisions," *Journal of Applied Technology*, 1977, 7(3), 258-271; J.W. Bowers and M.M. Osborn, "Attitudinal Effects of Selected Types of Concluding Metaphors in Persuasive Speeches," *Speech Monographs*, 1966, 33, 147-155; and M.M. Osborn and D. Ehninger, "The Metaphor in Public Address," *Speech Monographs*, 1962, 29, 228.

¹⁸ For a fascinating discussion of the potency of metaphors that invoke cultural roots, see A.R. Willner's *The Spellbinders*, (New Haven: Yale University Press, 1984).

¹⁹ A.R. Willner, *ibid.*

²⁰ *Ibid.*, p. 164.

²¹ The original findings concerning these two styles were made in courtroom settings. See B. Erickson, E.A. Fend, B.C. Johnson, W.M. O'Barr, "Speech style and Impression Formation in a Court Setting: The Effects of "Powerful" and "Powerless" Speech," *Journal of Experimental Social Psychology*, 1978, 14, 266-279. See also B.R. Schlenker, *Impression Management*, (Monterey: Brooks/Cole, 1980), for an in-depth discussion of research on language and impression management.

²² See W. Bennis and B. Nanus, *ibid.*, J.A. Conger, *ibid.*, H. Mintzberg and J.A. Waters "Of Strategies, Deliberate and Emergent," *Strategic Management Journal*, 1985, 6, 257-272; J.B. Quinn, *Strategies for Change: Logical Incrementalism*, (Homewood, Ill.: Richard D. Irwin, Inc., 1980), and F. Westley and H. Mintzberg, *ibid.*

²³ B.R. Schlenker, *ibid.*

²⁴ For an examination of the misuses of

language and communications' skills by leaders and managers. see particularly J.A. Conger, *ibid.*, G. Salancik and J. Meindl "Corporate Attributions as Management Illusion of Control," *Administrative Science Quarterly*, 1984, 29, 238-254; C.R. Schwenk "Information,

Cognitive Biases, and Commitment to a Course of Action," *Academy of Management Review*, 1986, 11, (2) 298-310; and B.M. Staw "The Escalation of Commitment to a Course of Action," *Academy of Management Review*, 1981, 6, 577-587.

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Partners in Community Leadership



YOUTH AND ADULTS WORKING TOGETHER
FOR BETTER COMMUNITIES

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Techniques for Facilitation

To maximize the learning experience, the facilitator(s) should be especially attentive to the following:

- The Physical Meeting Space
- Needs of the Individual
- Group Dynamics
- Learning Topic
- Group Discussion
- Conflict

The Physical Meeting Space

The facilitator(s) is responsible for setting up the physical meeting space to encourage productivity and group interaction. Suggestions include:

- Select a meeting room large enough to accommodate the group.
- Arrange chairs and tables so people can see and interact with one another.
- Make sure room temperature, lighting and other conditions are comfortable.
- Arrange necessary equipment (e.g., flip charts, overhead projectors, writing paper and pens) to allow equal access by the participants.

Needs of the Individual

The facilitator(s) should be attentive to the needs of the individual.

- Stimulate and nurture the individual to promote learning.
- Allow individuals the freedom to participate at their own pace.
- Help individuals clarify their needs and respect the needs of others.
- Allow and accept everyone's remarks.

Group Dynamics

The dynamics of the group are important to productive learning experiences. The facilitator(s) should help the group learn how to deal with:

- Individuals who disrupt or dominate group discussions.
- Quiet or nonparticipating members. Find ways to involve them in the group in nonthreatening ways.

Involvement is an important part of successful group interaction and can be encouraged in the following two ways:

1. A *dyad* pairs two people together and stimulates interaction and communication. It takes the pressure off one person to carry on a conversation because each participant is more likely to begin talking.
2. A *triad* involves three people in a group and allows more discussion of ideas and comments. However, the group is still small enough that everyone takes part.

Small groups are an effective way to:

- Provide a low-risk environment. Speaking in a smaller group is less threatening than speaking in a larger group.
- Encourage involvement. All group members should take an active part in order for the activity to be most productive.
- Hear other ideas without undue judgements being weighed.
- Promote flexibility. New groups can be organized if conflicts within existing groups occur.
- Establish relationships between and among group members, and to add security to those feeling insecure in the situation.

(Eittington 1989)

The following techniques can assist in promoting group interaction:

Group Composition—Form small groups through some random method (i.e., month of birthday, counting off, etc.) so that people are seated with others they may not know well. Change group members for different activities. It helps to keep people energized and have more chances to meet everyone by the end of the program.

Seating—Arrange the seating where eye contact can be established. Form circles or semi-circles with the chairs or desks depending on the meeting room and its furnishings.

Spokesperson—Use a spokesperson to report the group's findings to others. While this decision should be left up to each group, try to discourage the same people from always taking the lead.

Monitoring—The facilitator(s) should monitor or walk from group to group to determine how things are proceeding. The group may need help keeping to the task, have questions, or need other assistance.

Subject Matter

It is important that the facilitator(s) is knowledgeable about the content of the teaching materials presented in the modules. Reading and studying each of the modules prior to facilitation of the session will help the group keep its focus.

The PARTNERS program has been pilot tested and reviewed. However, it is appropriate for the extension staff to make modifications to the program to meet the needs of the specific audience and local community. If volunteers are facilitating the program, it is important to work with the extension staff in making any changes to the program.

Group Discussions

To lead a successful group discussion, the facilitator(s) should follow these guidelines:

Be Prepared—There is no substitute for being prepared to facilitate the session. Be familiar with the teaching module, then think through step-by-step how to facilitate the group.

Make Introductions—At the first meeting, make sure everyone in the group feels comfortable with one another before beginning. The facilitator(s) should introduce him or herself to the group if they do not know all the participants, and have the group do the same. Be creative and determine a method of introduction that fits the discussion group or topic.

Encourage Participation—The facilitator(s) should not dominate the discussion, but encourage everyone to take an active part in the presentation.

Review What Was Discussed—At the end of the session, review the major concepts that were covered. This could be restating the topics or asking the group to share information. Participants as well as the leader(s) should complete the evaluation and compare the results.

Sometimes groups have a hard time starting a discussion, involving everyone, summarizing, or finding a direction. The following are several comments, group situations and possible phrases to prompt discussion.

To obtain responses from everyone, say or ask...

- *"Let's go around the room and have each person in turn indicate..."*
- *"Say a little more about that."*
- *"Let's hear everyone's ideas and suggestions before we discuss or vote on any one of these?"*
- *"(insert correct name), what do you think about..."*

To introduce an activity say or ask...

- *"Let's take a few minutes to brainstorm on..."*
- *"What if we take the next minutes to do (activity) to determine (task or outcome). Does that seem appropriate at this time?"*
- *"How about breaking into (number) groups of three to eight people and taking 20 minutes to discuss (topic) and come up with ideas to share with the group?"*

To guide the groups, say or ask...

- "What do we need to discuss or take actions on?"
- "In what order should we discuss (topic)?"
- "How should we organize the minutes we have to get the job done?"
- "I need help. I'm not sure what would be the best approach to (topic). How should we approach it?"
- "I feel the need to set priorities about (topic). I'm afraid we are cutting too much off for ourselves."
- "If I heard you correctly, you feel (topic)."
- "Have you considered (topic)?"
- "How about (topic)?"
- "Would it be appropriate to (topic)?"

To redirect group discussions while in small group work, comment...

- "That may be important to discuss, but the task is to..."
- "I may not have explained the task completely, the group is to..."

To summarize discussion, say or ask...

- "Good suggestion. Did everyone hear that? How can we develop this for next time?"
- "The ideas suggested so far are . Where can we go from here?"
- "Do we all agree that...?"

To handle conflict or unacceptable responses, say or ask...

- "I'm concerned about . How does the group feel it should be handled?"
- "What is the underlying problem? Concern? Need? How would you suggest we approach this?"
- "If I heard you correctly, you feel . How does everyone else feel about it?"

Conflict

Conflict is common in most groups. It can produce desirable or undesirable outcomes depending on how it is dealt with. The following is a list of common group conflicts with possible causes and suggested solutions. A section on conflict resolution follows (Youth Centered Leadership 1977, with permission).

Lack of Participation

Examples:

- Some individuals do not participate.
- Individuals participate only in *fun* activities.

Causes: Members may *not*—

- Understand the objectives or feel secure enough to take risks.
- Have the opportunity, because others dominate activities.
- Be interested in that activity.

Suggested Solutions:

- Include people in the planning.
- Delegate responsibilities to others.
- Offer assistance when needed or provide additional resources.
- Promote an atmosphere of respect for one another.

Failure to Accept Responsibility

Examples:

- Some individuals do not accept the responsibilities designated or volunteered for.
- Some do not fulfill the responsibilities.
- Some do not seem interested in the group.

Causes: Members may—

- Feel insecure about their abilities.
- Have other things to do that are deemed more important.
- Not know what is expected.

Suggested Solutions:

- Make sure everyone understands what is expected.
- Promote the importance of their part.
- Match assignments with the person's abilities.
- Set group standard of "following through."

Maintaining Membership in the Group

Examples:

- Members are dropping out.

Causes:

- Present members may be cliquish.
- The program may not be fulfilling the needs of the members.
- Other programs available in the community may be more attractive.

Suggested Solutions:

- Improve the atmosphere, make it a more friendly place.
- Promote appropriate attitudes in group interactions that are inclusive.
- Determine how members' needs can be better met through the program.
- Publicize the program through local media.

Note to Facilitator(s): Once the program is underway, the group has already formed, relationships have been established, and plans have been made. If new people are included, take time to incorporate them into the group and help them *catch-up* with what has happened.

Lack of Communication**Examples:**

- Personal conflicts arise between members.
- Jealousy and turf wars develop in project development.

Causes: Individual may *not*—

- Understand their own motivation or the group's motivation.
- Understand that they have an important part in the group.
- Feel secure and therefore are excessively shy or aggressive.

Suggested Solutions:

- Encourage members to help each other strengthen the communication skills.
- Promote trust and respect in the group.
- Follow the six steps listed below in handling conflicts to work through the problem.

If conflict develops within a group, the following can guide facilitator(s) in responding to the situation. However, different circumstances require different responses, and the facilitator(s) should use his/her best judgement (Dunn 1972).

Step 1: Listen

Step back and listen objectively to all sides. Is it worth intervening to resolve the conflict? If not, let it pass. Accept the fact that people have differences. If it is too important to ignore, then proceed to step 2.

Step 2: Feedback

After listening to both groups, restate what was said. By restating, ("What I heard you say was...Was that correct?"), misunderstandings can sometimes be clarified. If emotions seem to be a problem, move on to step 3.

Step 3: Vent Emotions

Tune in to the feelings of each person involved (e.g., "You seem upset, what's the matter?"). Then all sides listen. The purpose of this step is to vent frustration, get it off your chest. Once emotions have been expressed, rational discussion has a greater chance to prevail. If the conflict is still unresolved, move to step 4.

Step 4: Compromise

Improved communication and vented emotions may not change the conflict. Try a compromise where both parties *win* (e.g. "I can understand your feelings. I will...if you will..."). Compromise recognizes that conflict is not all one-sided. If this doesn't seem to help, move to step 5.

Step 5: Confront with Facts

Present each side with facts. For example, "During the last three months, membership has dropped 70 percent. Something must be done." If the other side argues the facts, ask for a repeat of the facts and what is wanted. This approach minimizes arguments and the exchange of angry feelings. If it still is not settled continue to Step 6, but *only* if everything else fails!

Step 6: Directly Confront—Productively

Let everyone involved know how each side feels. Use "I" statements (e.g. "I didn't like it when...", "I was hurt when...") instead of judgmental "you" statements (e.g. "You aren't listening...", "You are hard to work with..."). Avoid the labels good and bad, right and wrong, or should and shouldn't. Identify what you want to happen (e.g. "I would like an apology for hurting my feelings").

If the confrontation continues, think through the previous steps, (e.g. "What can I live with?" "What compromise can I make?" "Am I understanding their point of view?"). At some point, one of the first six steps may be helpful or provide a breakthrough. Try to build on that.

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THE TEAM EFFECTIVENESS CRITIQUE

Mark Alexander

Most groups exist and persist because (a) the purpose of the group cannot be accomplished by individuals working on their own, and (b) certain needs of individual members can be satisfied by belonging to the group. Of course, the mere existence of a group does not ensure that it will operate effectively; a group is effective only to the degree to which it is able to use its individual and collective resources. The measure of the group's effectiveness is its ability to achieve its objectives and satisfy the needs of the individuals in the group.

An organization is a collection of groups. The success of an organization depends on the ability of the groups within it to work together to attain commonly held objectives. Because organizations are becoming increasingly more complex, their leaders must be concerned with developing more cohesive and cooperative relationships between individuals and groups. Similarly, the development of effective groups or teams within the organization will determine, to a large extent, the ability of the organization to attain its goals.

FACTORS CONTRIBUTING TO TEAM DEVELOPMENT AND EFFECTIVENESS

Team development is based on the assumption that any group is able to work more effectively if its members are prepared to confront questions such as: How can this collection of individuals work together more effectively as a team? How can we better use the resources we represent? How can we communicate with one another more effectively to make better decisions? What is impeding our performance?

The answers to these questions may be found by examining the factors that lead to team development and effectiveness. These factors can be measured, or inventoried, by team members with the use of the Team Effectiveness Critique. Before the critique form is administered, however, all team members should understand the terminology used to describe the nine factors. The following descriptions can be presented in a lecturette format to the team members prior to completion of the critique.

1. Shared Goals and Objectives

In order for a team to operate effectively, it must have stated goals and objectives. These goals are not a simple understanding of the immediate task, but an overall understanding of the role of the group in the total organization, its responsibilities, and the things the team wants to accomplish. In addition, the members of the team must be committed to the goals. Such commitment comes from involving *all* team members in defining the goals and relating the goals to specific problems that are relevant to team members. The time spent on goal definition in the initial stages of a team's life results in less time needed later to resolve problems and misunderstandings.

2. Utilization of Resources

The ultimate purpose of a team is to do things effectively. In order to accomplish this, the team must use effectively all the resources at its disposal. This means establishing an environment that allows individual resources to be used. Team effectiveness is enhanced when every member has the opportunity to contribute and when all opinions are heard and considered. It is the team's responsibility to create an atmosphere in which individuals can state their opinions without fear of ridicule or reprisal. It is each individual's responsibility to contribute information and ideas and to be prepared to support them with rational arguments. Maximum utilization of team members requires full participation and self-regulation.

3. Trust and Conflict Resolution

In any team situation, disagreement is likely to occur. The ability to *openly* recognize conflict and seek to resolve it through discussion is critical to the team's success. People do not automatically work well together just because they happen to belong to the same work group or share the same job function. For a team to become effective, it must deal with the emotional problems and needs of its members and the interpersonal problems that arise in order to build working relationships that are characterized by openness and trust. The creation of a feeling of mutual trust, respect, and understanding and the ability of the team to deal with the inevitable conflicts that occur in any group situation are key factors in team development.

4. Shared Leadership

Individuals will not function as a team if they are brought together simply to "rubber stamp" decisions made by their leader or others not in the group. The development and cohesion of a team occurs only when there is a feeling of shared leadership among all team members. This means that all members accept some responsibility for task functions—those things necessary to do the job—and maintenance functions—those things necessary to keep the group together and interacting effectively. *Task* functions include: initiating discussions or actions, clarifying issues and goals, summarizing points, testing for consensus or agreement, and seeking or giving information. Task leadership helps the group to establish its direction and assists the group in moving toward its goals. *Maintenance* functions include encouraging involvement and participation, sensing and expressing group feelings, harmonizing and facilitating reconciliation of disagreements, setting standards for the group, and "gatekeeping" or bringing people into discussions. No one person can be expected to perform all these required leadership functions effectively all the time. Groups perform better when all members perform both task and maintenance functions.

5. Control and Procedures

A group needs to establish procedures that can be used to guide or regulate its activities. For example, a meeting agenda serves to guide group activities during a meeting. Schedules of when specific actions will be taken also regulate team activities. Team development and team-member commitment is facilitated through maximum involvement in the establishment of agendas, schedules, and other procedures. Of course, the team should determine how it wishes to maintain control. In meeting situations, control most often is achieved through the appointment of a chairperson whose responsibility is to facilitate the procedure established by the team. Some teams find that they do not need a formal leader; each member regulates his or her own contributions and behavior as well as those of others.

6. Effective Interpersonal Communications

Effective team development depends on the ability of team members to communicate with one another in an open and honest manner. Effective interpersonal communications are apparent when team members listen to one another and attempt to build on one another's contributions. Effective interpersonal communications are achieved through self-regulation by team members, so that everyone in the group has an equal opportunity to participate in discussions.

7. Approach to Problem Solving and Decision Making

Solving problems and making decisions are two critical team functions. If a group is going to improve its ability to function as a team, recognized methods for solving problems and making decisions should be studied and adopted. The lack of agreed-on approaches to problem solving and decision making can result in wasted time, misunderstandings, frustration, and—more importantly—"bad" decisions.

A generally accepted, step-by-step procedure for problem solving and decision making is as follows:

1. Identify the problem (being careful to differentiate between the real problem and *symptoms* of the problem).
2. Develop criteria (or goals).
3. Gather relevant data.
4. Identify all feasible, alternative solutions or courses of action.
5. Evaluate the alternatives in light of the data and the objectives of the team.
6. Reach a decision.
7. Implement the decision.

Needless to say, there are variations of this procedure. However, whatever method is used, an effective team will have an agreed-on approach to problem solving and decision making that is shared and supported by all members.

8. Experimentation/Creativity

Just as it is important for a team to have certain structured procedures, it also is important that the team be prepared occasionally to move beyond the boundaries of established procedures and processes in order to experiment with new ways of doing things. Techniques such as "brainstorming" as a means of increasing creativity should be tried periodically to generate new ways to increase the team's effectiveness. An experimental attitude should be adopted in order to allow the team greater flexibility in dealing with problems and decision-making situations.

9. Evaluation

The team periodically should examine its group processes from both task and maintenance aspects. This examination or "critique" requires the team to stop and look at how well it is doing and what, if anything, may be hindering its operation. Problems may result from procedures or methods, or may be caused by individual team members. Such problems should be resolved through discussion before the team attempts further task accomplishment. Effective self-evaluation is probably one of the most critical factors leading to team development.

Ultimately, the strength and degree of a team's development will be measured in two ways: first, in its ability to get things done—its effectiveness—and second, in terms of its cohesiveness—the sense of belonging that individual members have and the degree of their commitment to one another and the goals of the team.

USE OF THE TEAM EFFECTIVENESS CRITIQUE

The periodic review of a team's operating practices in light of the factors leading to team development is a simple and useful method for improving a team's effectiveness. The Team Effectiveness Critique can be used as an observational tool by an independent observer or as an intervention device for the entire team. In this case, the critique should be completed by each individual team member, who will then share his or her assessment with the entire team. This sharing can be expanded to a consensus activity by asking team members to reach a common assessment for each of the nine factors. (This use of the critique would be most appropriate with ongoing organizational teams.) Agreement about areas in which improvements could be made would then lead to team action planning.

The critique also can be used as an experiential training device. Participants would be asked to complete a group task on a simulation basis and would then assess their teamwork using the critique form. Again, the group members would discuss their assessments with one another, focusing on generally recognized weaknesses.

The Team Effectiveness Critique is intended to be used as a training and team-development tool; it is not intended to be used for statistical or research purposes. Therefore, the face validity of the form and its usefulness in team work speak for themselves. No statistical validity has been established.

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THE TEAM EFFECTIVENESS CRITIQUE

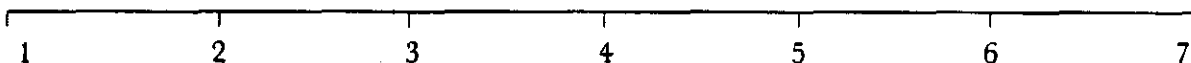
Mark Alexander

Instructions: Indicate on the scales that follow your assessment of your team and the way it functions by circling the number on each scale that you feel is most descriptive of your team.

1. Goals and Objectives

There is a lack of commonly understood goals and objectives.

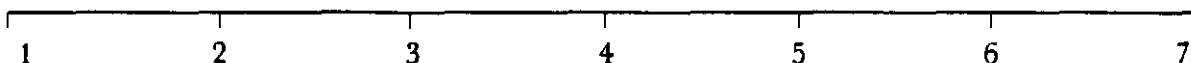
Team members understand and agree on goals and objectives.



2. Utilization of Resources

All member resources are not recognized and/or utilized.

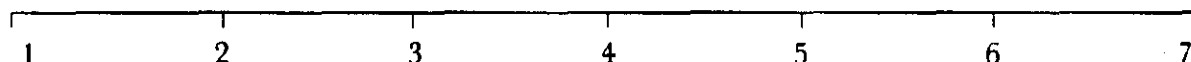
Member resources are fully recognized and utilized.



3. Trust and Conflict

There is little trust among members, and conflict is evident.

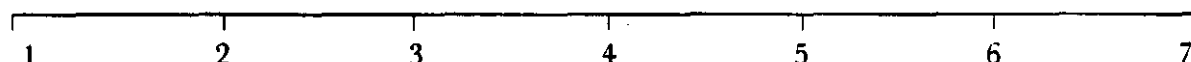
There is a high degree of trust among members, and conflict is dealt with openly and worked through.



4. Leadership

One person dominates, and leadership roles are not carried out or shared.

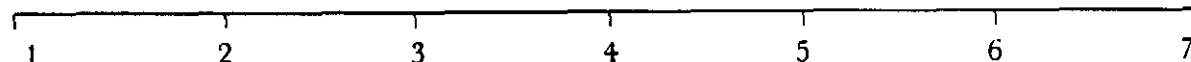
There is full participation in leadership; leadership roles are shared by members.



5. Control and Procedures

There is little control, and there is a lack of procedures to guide team functioning.

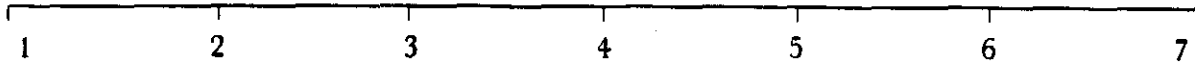
There are effective procedures to guide team functioning; team members support these procedures and regulate themselves.



6. Interpersonal Communications

Communications between members are closed and guarded.

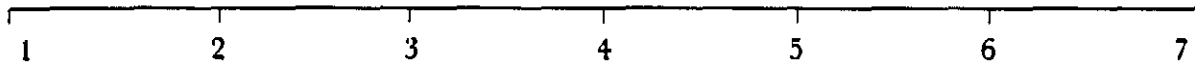
Communications between members are open and participative.



7. Problem Solving/Decision Making

The team has no agreed-on approaches to problem solving and decision making.

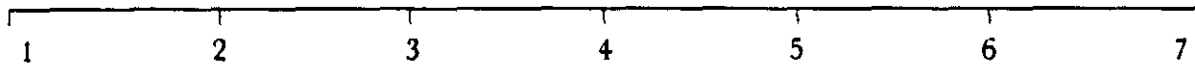
The team has well-established and agreed-on approaches to problem solving and decision making.



8. Experimentation/Creativity

The team is rigid and does not experiment with how things are done.

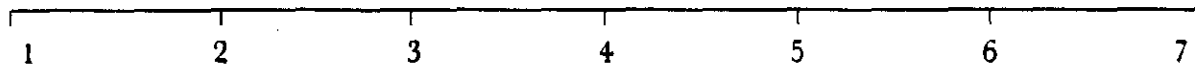
The team experiments with different ways of doing things and is creative in its approach.



9. Evaluation

The group never evaluates its functioning or process.

The group often evaluates its functioning and process.



CHARACTERISTICS OF TEAMS

Well-Functioning Teams

Environmental Influences

1. Team members are in close physical proximity and able to meet regularly.
2. The appropriate skills are represented on the team.
3. The appropriate levels of organizational authority are present within the team.

Goals

1. Team members are involved in the setting of objectives.
2. Objectives are understood by all members.
3. All individuals agree with objectives.
4. Objectives are set and met within realistic time frames.

Poorly Functioning Teams

Environmental Influences

1. Physical separation prevents members from meeting frequently.
2. Team is not given adequate resources to do the job.
3. There is no recognition of team effort.
4. There is lack of recognition by the organization or its leaders that a team exists.

Goals

1. Members do not participate in setting goals.
2. Goals are unclear.
3. Goals are not communicated.
4. Everyone is doing their own thing without attention to team goals.

Well-Functioning Teams

Roles

1. Roles are clearly defined and do not overlap.
2. Team members and their leader know their assignments.
3. Roles are understood by all and are supported.
4. There is strong, effective leadership with clearly defined responsibilities.
5. Members and the leaders are accessible to help each other.

Relationships

1. There is team identity or esprit de corps and pride.
2. There is tolerance for conflict, with an emphasis upon resolution.
3. Conflict is openly discussed, often resulting in growth or learning.
4. Members enjoy each other.
5. Team members support each other.

Poorly Functioning Teams

Roles

1. Responsibilities are poorly defined.
2. No clear leader is identified.
3. There is buck passing of responsibility.
4. Members engage in power plays for authority and control.
5. Members refuse to recognize their interdependence and act as if they were independent.

Relationships

1. Members are unwilling to be identified with the team.
2. There is covert conflict between members.
3. There are severe personality conflicts.
4. Relationships are competitive.
5. Members are defensive.

Well-Functioning Teams

Procedures

1. Decisions are made by the most appropriate method.
2. Meetings are efficient and task-improvement oriented.
3. Emphasis is on solving problems, versus blaming the individual responsible for the problem.
4. All members participate in discussions and meetings.
5. Minutes of meetings are promptly distributed.
6. Members listen well.
7. There is frequent feedback to individuals regarding performance.
8. All members are kept informed.
9. Deadlines and milestones are clearly established and agreed to by team.

Poorly Functioning Teams

Procedures

1. How to decide on issues and decisions precipitate a crisis situation.
2. Decision making is dominated by one person.
3. Communications are one way--from top down--and channeled through the leader.
4. Minor points are debated endlessly.
5. Meetings are unproductive with the issues unresolved.
6. Meetings cover trivia, versus significant issues.
7. Actions are taken without planning.
8. Members work individually and ignore each other.
9. Members are late for meetings or do not attend.

Confronting Dysfunctional Participant Behavior

- ✓ Describe in detail the dysfunctional behavior that you have observed.
- ✓ Indicate why the behavior concerns you.
- ✓ Ask for reasons and listen openly to the explanation.
- ✓ Indicate that the situation must be changed and ask for ideas for solving the problem.
- ✓ Discuss each idea and offer your help.
- ✓ Agree on specific action to be taken and set a follow-up date.

Adapted from K. E. Hultman, "The Trainer as 'Scapegoat,'" in *Training and Development Journal*, July 1982, pp. 50-52. Used with permission.

Facilitator Group Interventions

(When There is a Problem)

STRUCTURAL INTERVENTIONS

- Having group members work privately — making notes to themselves, for example — before they discuss the topic jointly as a total group;
- Having members pair off to interview each other about the problem;
- Forming sub-groups to explore the different aspects of the problem and then share their work with the remainder of the group;
- Forming a group-on-group design, to enable an inner group to work independently of an outer group, which, in turn, gives process feedback to inner group members.

Facilitator Group Interventions

(When There is a Problem)

GROUP BUILDING

- Pointing out dysfunctional behaviors which keep the group from achieving a cohesive climate;
- Encouraging group members to express feelings about decisions the group makes;
- Encouraging group members to respond to one another's ideas and opinions verbally, whether in terms of agreement or disagreement;
- Confronting behaviors that lead to defensiveness and lack of trust among group members, e.g., evaluative feedback and hidden agendas;
- Verbally reinforcing group-building behaviors such as gatekeeping, harmonizing, etc.
- Have members paraphrase what other said *before* making their point.

Facilitator Group Interventions

(When There is a Problem)

PROCESS INTERVENTIONS

- Having the group translate an issue into a problem statement;
- Observing that the group is attending to several problems simultaneously rather than sticking to one problem at a time;
- Observing that a decision was made out of a "hearing-no-objections" norm and having the group deal with this posture;
- Inviting the group to develop action plans related to a problem solution;
- Suggesting that the group summarize what has been covered within a given problem-solving period;
- Helping the group to monitor its own style, using its resources;
- Using instruments, questionnaires, and ratings to assess the group's position on a particular topic.



Facilitation Skills

1. EMPATHY (PUT YOURSELF IN THEIR SHOES)
2. UNCONDITIONAL ACCEPTANCE OF WHO THEY ARE
3. ACTIVELY LISTEN
4. BE AVAILABLE (AVAILABILITY) — I'M HERE FOR YOU!
5. SHOW YOU HUMANNESS
6. BE CLEAR ABOUT WHO YOU ARE — YOUR STRENGTHS/FLAT SIDES
7. BE CLEAR ON YOUR OBJECTIVES FOR *THIS* MEETING
8. BE SPECIFIC — PRECISE OBSERVATIONS OF BEHAVIOR
9. FLEXIBLY RESPOND TO PARTICIPANTS
10. BE CLEAR ON PARTICIPANT NEEDS
11. BE SELECTIVE/DESCRIPTIVE IN THE FEEDBACK
12. BE YOURSELF — BE GENUINE
13. ENCOURAGE — SELF EXPLORATION
— SHARING OF FEELINGS
14. BE AWARE OF THEIR STYLE — CHOOSE LANGUAGE ACCORDINGLY

THE TEAM BUILDER'S CHARTER

1. *Establish clear aims.*
 - Intelligent groups can often get there themselves if they know where to go.
 - People often get bogged down with methods.
 - "Big oaks from little acorns grow."
 - Success builds both further success and confidence.
 - People are more comfortable with concepts they can grasp.
2. *Start modestly.*
 - Commitment grows from real understanding.
 - Change without commitment is almost impossible.
 - Gaining commitment is time consuming.
3. *Ensure agreement prior to action.*
 - "Rome was not built in a day."
 - "Unlearning" often needs to precede learning.
 - Cultural changes come slowly.
4. *Build realistic timetables.*
 - People do have valuable contributions to make.
 - Consultation increases commitment.
 - Consultation is not a chore; it is an essential.
 - Manipulation undermines team building.
5. *Consult widely and genuinely.*
 - Experimentation is more likely to be accepted if it does not involve substantial extra work.
 - Use regular meetings or projects as team-building opportunities.
 - Meaningful results will be more easily identified.
6. *Relate team building to organizational work.*
 - Do not sweep issues under the carpet.
 - Be realistic about what is attainable.
 - Playing politics will discredit your efforts.
7. *Face up to "political" problems.*
 - Deep-rooted prejudices and beliefs are more easily dealt with if discussed openly.
 - Do not stifle discussion.
8. *Encourage openness and frankness.*
 - Promises are easy.
 - Broken promises discredit.
9. *Do not raise false expectations.*
 - Developmental activities take time.
 - Team building can increase individual work loads.
10. *Reorganize work if necessary.*
 - When problems are exposed, they become less threatening.
11. *Remember that the unknown is often more threatening than the known.*
 - Age, capacity, and beliefs create limitations.
12. *Remember that development is basically self-regulated.*
 - Ultimately we are responsible for our own development.

THE TEAM BUILDER'S CHARTER (continued)

13. *Remember that "You can lead a horse to water, but you cannot make it drink."*
 - People *cannot* be forced into attitude changes.
 - People *cannot* be forced into openness and honesty.
 - People *can* be forced into pretending to change.
14. *Remember those who are not part of the action.*
 - Jealousy can emerge.
 - People like to be part of the action.
15. *Remember that team building can precipitate other problems.*
 - Other groups can feel insecure.
 - Individuals and teams can grow beyond their present roles.
16. *Be open to other opportunities when team building.*
 - Individual development can occur.
 - New ideas generate further creativity.
 - Challenges to existing systems and methods may present themselves.
17. *Delegate.*
 - People have different strengths and skills.
 - *Delegation* usually means *development*.
18. *Accept external help if necessary.*
 - Choose carefully.
 - Take responsibility for your own actions.
 - Outsiders offer different insights and skills.
 - Outsiders do not have organizational histories.
 - Outsiders are more likely to be impartial.
19. *Learn from mistakes.*
 - Admit when you are wrong.
 - Review progress regularly.
 - Encourage feedback.
 - Honest feedback is the most valuable thing your colleagues can give you.
20. *Practice what you preach.*
 - "Actions speak louder than words."

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Leadership Is a Relationship

Mark McCaslin

Leadership is a cooperative relationship that provides opportunities for identifying and addressing a commonality of purpose. This definition of leadership belongs to the relationships movement of leadership studies, which attempts to understand the holistic nature of leadership through three key components: relationships, opportunities, and purpose.

The fact that leadership is cooperative is a critical construct of the relationships movement, for it distinguishes between leader and leadership. Cooperative relationship refers to the interactions between leader and follower. According to Rost (1991), both followers and leaders do leadership and the relationship between leader and follower constitutes leadership. When leadership presents itself in such a way it becomes cooperative. Building effective relationships expands available resources. A cooperative relationship—leadership—is the energy leader and follower generate for identifying and addressing a commonality of purpose. To grasp the nature of leadership, we must first appreciate this relationship.

Margaret Wheatley (1992) quotes an ancient Sufi teaching that reveals the significance of this relationship: "You think because you understand *one* you must understand *two*, because *one and one* makes *two*. But you must also understand *and*." In leadership studies we think that knowing what constitutes a leader enables us to address the problems of the world effectively by training more leaders. In the process we tend to identify followers as part of the problem, although they are actually the solution. Viewing leadership as a relationship allows us to tap into the dynamic nature and the awesome energy that lays dormant between leader and follower.

If the relationship is the source of energy for leadership, then opportunity provides the ability to focus its power. Power takes many forms; in the relationships movement, we seek that power that comes from the self. Such power, when allowed to be free, balances the drive for individual greatness and the desire to serve through collective action. It is a misunderstood phenomenon called "empowerment." The roots of empowerment are grounded in two critical, inseparable principles: freedom and service. When freedom is lost, service is forgotten; when service is forgotten, freedom is lost. The principles

are reciprocal—to strengthen one it is necessary to become dedicated to the other. Empowerment is the expression of leadership in the relationships movement. It is a call to service through collective action that accentuates individual freedom.

Seeing leadership as a relationship opens opportunities in which all, leaders and followers, can participate. Being dynamic, the relationship welcomes growth and change. Being synergistic, this growth and change becomes greater than any one person (leader or follower) could accomplish individually. It bonds service and freedom, thus creating the opportunity to address a commonality of purpose.

If the relationship is energy and the opportunity to focus it through the concept of empowerment, then commonality of purpose is the glue that bonds it. It requires openness in communicating, understanding of conflict, and a vision for the possible. In communicating we must learn to listen and listen to learn. Understanding and communicating will ultimately cool the fear of conflict. Leadership embraces conflict as an indicator of the change process.

Conflict is driven by change, and real change that reflects our mutual purposes is the nature of leadership. To resolve conflict is to arrive at a commonality of purpose.

Leadership does not look to stop the cause of conflict, it looks to change the effects of conflict, which have traditionally been negative and divisive. (Burns, 1978). These effects lead to the concentration of power and to choosing sides, further polarizing the issues and limiting the ability of those involved to find agreeable solutions. Hence, some mediators first look to deny or avoid the cause of conflict and seek only to

manage its effects. In the end, no change is allowed unless a concentration of power clearly overwhelms the opposing view. In all likelihood the cause of the conflict has not been removed, and it will again begin to build in an unending cycle that drains the resources of the organization.

The true nature of an effective relationship is straightforward. Relationships are not powered through coercion or intimidating forces, they are not strengthened by manipulation, and they are certainly not self-serving. Empowered relationships are holistic, principled, compassionate, and just. A true relationship is balanced by wisdom, integrity, fairness, service, a belief in potential, and a commitment to human dignity. Relationships are leadership

■

*You think because
you understand
one you must
understand two,
because one and
one makes two.*

■

among people who desire to transform life into the best possible form that constantly redefines itself as the questions of life, family, and community evolve. That is the true nature of leadership.

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A leader with **vision**

is a person who:

inspires and *motivates* others.

is *future* oriented and has a *global* point of view.

is an *attentive* listener.

is highly committed to *excellence*,

honesty and *fairness*.

ENHANCING GROUP PERFORMANCE

During January's networking meeting for community groups, Mary Foley of ISU Extension used an overhead about six phases of a project (at right). Chuckles from participants likely came in part from the recognition of an element of truth in the overhead's message.

The following ideas may be useful if groups want to avoid the last five of these phases. The first list is from a presentation by Rick Foster of the Kellogg Foundation at a networking conference of groups involved in the Foundation's Integrated Farming Systems Initiative. The others are from the book, *Working with Groups, Committees, & Communities* by Harleigh and Audrey Trecker.

SIX PHASES OF A PROJECT

1. Enthusiasm
2. Disillusionment
3. Panic
4. Search for the Guilty
5. Punishment of the Innocent
6. Praise and Honors for the Non-Participants

Ingredients for a successful team:

- a "bone deep" respect for each individual on the team
- a mutually accepted vision and mission
- clear, open communication
- established ground rules
- awareness of group process
- balanced participation
- constructive feedback to improve team behavior
- well-defined decision procedures
- a sense of humor

Poor participation occurs when:

- not enough time and thought have been given to the group's formation and composition
- the group's purpose or goal is not clear or is not supported by some group members
- members may not be sure about their tasks
- members may be overloaded and overworked
- some members may lack knowledge and experience in the problem area being considered
- the group may have gotten stuck in its deliberations
- the group may have become dependent on one or two people to do most of the work

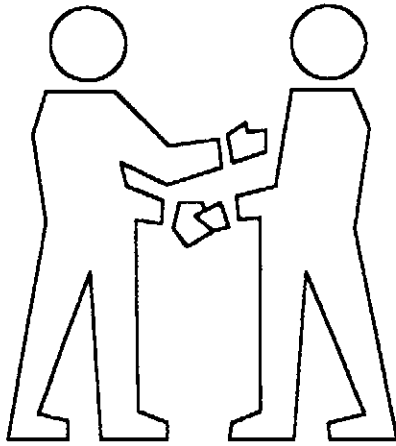
Responsible participants:

- are clear about the purpose of the group
- make every effort to attend meetings, and if unable to do so they make an effort to catch up on what went on
- openly share ideas, experiences, and opinions about matters of interest to the group
- cooperate by staying on the subject
- are fair, considerate, and reasonable in the amount of time they use in group meetings
- are willing to blend their ideas with others in the group
- learn how to use factual materials and ask for clarification if needed
- accept the process in a positive way and see the continuity between meetings



Some groups are non-productive because:

- not all the right people in terms of skills and talents are involved
- its goals are unrealistic in terms of its resources and the length of time it will take to achieve these goals
- its goals duplicate the goals of other groups, and they don't work together
- the group has ignored the planning process, and it lurches from crisis to crisis without long-term goals and reasonable, realistic plans
- the work is not spread among members

**Some groups become productive from:**

- agreement on procedures and methods – members know the rules of the game and how things are done
- clear goals and purposes systematically defined in relation to resources
- a plan to achieve goals that is tied to a time frame, and members work steadily to complete the plan
- an inventory of talents of members and the appropriate use of talents with a variety of individual activities
- members understand their job and stick to the assignment
- a schedule of regular meetings that the group sticks to
- materials are available for review and discussion prior to meetings, and members do their homework between and before meetings
- good records of meetings to help to keep from backtracking
- members devote time to checking up on each other, looking for better ways to do the job
- others in the community understand the group, which is a result of devoting time to encouraging this understanding

Ways to encourage attendance at meetings:

- choose the best time and place after soliciting preferences from members
- stick to the time schedule – change only for serious reasons
- prepare notices with care and send to members well in advance
- send the agenda in advance and word it clearly so that members will look forward to a planned and interesting meeting
- make advance informational materials clear, concise, and appealing to members
- call to remind members about the meeting
- welcome and introduce all members
- create opportunities for new members to offer their ideas
- invite members to take on responsibilities
- organize a systematic follow-up with absentee members



Making every voice heard

Democratic change starts with the meetings

EDITOR'S NOTE: We continue here our look at the rationales behind the Land Stewardship Project's methods of participatory social change. In the Nov/Dec Land Stewardship Letter, Doug Nopar began discussing how LSP conducts public meetings. He continues that discussion here, explaining how this meeting style can help develop truly democratic grass roots organizations.

By Doug Nopar

After experiencing public meetings filled with lots of big white butcher block paper on the walls and numerous small group discussion sessions, long-time LSP meeting go-ers occasionally ask me friendly questions like, "Just what is it that we're doing here?"

I've often shrugged my shoulders and responded with: "Well, we're just giving people a chance to talk."

It's time to dig a little deeper and explain as clearly as I can why we use the meeting facilitation methods that we do.

LSP's meeting styles, when done well, allow us to:

- **Validate rural voices.** I believe the voices and opinions of rural people have been suppressed and need to be heard and validated. This meeting style gives *everyone* the chance to share their views, not just those who are comfortable speaking out in a large group.

- **Build peer support.** We need to provide support to people who possess more humane, spiritual values and beliefs. That can be difficult, because those values and beliefs often run counter to those values of the dominant, mainstream culture (like greed, competition, exploitation, power and control). We must provide that support by creating a setting where people realize they are not alone.

- **Encourage people to share ideas.** We must create a forum for people to share ideas and end the domination of knowledge by "experts." When given the opportunity to share information and experiences with one another, many of us find we have important and well-grounded ideas about the future of

our farms and rural communities. We all need the chance to talk with one another about the things we care about. We should also be willing to find answers within each other, rather than expecting all of the answers to come from distant advisers who may not share our values or be familiar with the pressures, constraints and opportunities of our daily lives.

- **End isolation.** Because we have become increasingly isolated from one another we need the opportunity to form friendships and community networks based on the important concerns of our lives. We also need to expand the areas of discussion we deem as important, going beyond the traditional conversations about weather, crops, livestock and the health of our families.



Truly democratic change begins when everyone participates.

- **Encourage action.** This setting gives us the encouragement to not just talk about, but to act upon our values (frugality, care of the land, cooperation with others), and to stand up to the inhumane values of the dominant culture.

- **Welcome criticism and feedback.** This style of participatory education places great value on group evaluation. If we are committed to conducting the most satisfying public events that we can, then we need to be continually listening to and learning from participants about what worked and what

didn't, and hearing their recommendations for future meetings.

- **Practice real democracy.** Organizations working for positive social change need to practice a type of democracy that relies on many diverse opinions. In that way, they can present an alternative to the dominant political and corporate structures that work to control us.

These mainstream structures control us by maintaining power and decision-making in the hands of very few people – that is what we must always avoid. Unfortunately, these controlling and non-democratic ways of functioning are often used not only in governmental bodies and corporations, but in many farm, civic, environmental and community organizations.

Writing in her book *Technology of Participation*, Laura Spencer says: "Real participation is perhaps the surest way to inspire commitment. Participation and planning leads to ownership."

Clearly, part of our interest in using participatory methods has been to help build more widespread commitment and ownership in LSP's efforts. And it's clearly related to LSP's vision for a sustainable society.

Unfortunately, changing the way we farm is only part of the challenge we face in creating a more sustainable agriculture. If LSP, the Sustainable Farming Association of Minnesota and other sustainable agriculture advocates are to make the new agriculture we en-

vision a reality, we must work to maximize the genuine, deep participation of more people in our efforts.

It must be recognized that if we allow power, control and decision-making to be kept in the hands of a very few, we are mimicking the old ways of business and government that got us in trouble in the first place. And these old, controlling ways do not build widespread ownership or involvement in our efforts. □

• • •

Doug Nopar is a program organizer in LSP's Lewiston, Minn., office.

The roots of positive change

The many sources of community organizing run deep & wide

Editor's Note: In previous issues of the *Land Stewardship Letter*, organizer Doug Nopar has written about the *Land Stewardship Project's methods of participatory social change*. In this issue, he discusses the history behind some of LSP's methods.

By Doug Nopar

There's nothing that will organize a community faster than the feeling that you and your neighbors are facing a common threat. I've written about the methods LSP uses to help ordinary citizens learn from and empower one another in our local communities. But it's also vital in this global era to open ourselves to learning from others around the world who face similar struggles and challenges.

In fact, many of LSP's ideas for participatory education, on-farm research, cultural programs and community organizing come from other places. We borrowed most, if not all of these ideas, and adapted them to our own unique setting here in the Midwest. It's time that we credit some of these sources and pay them our respect.

Participatory education

The kind of adult education that LSP does is often labeled "participatory" or "popular" education. It is a group process of education where the teacher and students learn together, and where the day-to-day life experiences of the participants are used as a basis for creating grassroots-led social change. Although Brazilian educator Paulo Freire is often noted as the founder of popular education in the 1960s, it is hard to credit these methods to a single source.

They were used in Scandinavian folk schools dating back to the 1920s, in the citizenship schools which helped spawn the Civil Rights Movement in the American South in the 1950s and 1960s, as well as in the consciousness-raising groups organized by the U.S. women's movement in the 1970s. Popular education was also used by the British labor movement and as a tool to promote literacy in Nicaragua during the Sandinista revolution in the 1980s. Today, these methods are practiced by people

struggling for justice all over the world, whether it be in Latin America, Africa, Southeast Asia or North America. The two most noted centers for popular education in North America are the Highlander Center in eastern Tennessee and the Doris Marshall Institute in Toronto, Canada.

Participatory on-farm research

Initially, LSP got the idea for doing the kind of on-farm research we do from the Center for Rural Affairs in Nebraska. We liked the Center's approach because it combined an examination of farming practices with an understanding of family, social and economic conditions in rural communities. We also learned a lot from Boone, Iowa, farmers Dick and Sharon Thompson and the Practical Farmers of

Iowa, who pioneered an approach to on-farm research that is fairly palatable to the scientific community. Since that time, many organizations have incorporated on-farm research into their work.

But interestingly, as we began using the Center's on-farm research approach here in Minnesota, we also discovered participatory on-farm research approaches being used by farmers and scientists in a variety of other rural areas around the globe. The Philippines, India, Kenya, Botswana and Peru are just a few of the places where participatory on-farm research is being practiced.

Community organizing

LSP has adapted a number of tools from the community organizing field for our work. These methods have been evident in our public corporate campaigns against the likes of John Hancock Life Insurance, Travelers Insurance and numerous factory farm backers. They are also evident in much of LSP's day-to-day work of getting rural citizens involved in public meetings, identifying potential members and leaders and recruiting people for committees and task forces.

There are a number of community organizing traditions that we've drawn from, including that of local neighborhood organizing developed by Saul Alinsky in Chicago in the 1940s, and the corporate campaigns and boycotts developed by Infact against Nestle Foods Corporation and General Electric in the 1980s and early part of this decade.

Cultural activities

While singing, poetry, drama and storytelling have been a part of many LSP meetings, it's important to realize that cultural activity has long been tied to social reform efforts. For example, street theater played an important role in the U.S. labor movement in the 1930s, and Theater of the Oppressed was central to anti-fascist struggles in Latin America in the 1970s and 1980s. Singing, of course, was at the core of both the Civil Rights Movement and the anti-war movement in the 1960s.

I view cultural work as crucial to effective social change efforts. These activities provide spiritual nourishment for us so that we are able to continue our work for change over a long period of time. They allow us to tap our creative and spiritual selves when seeking the solutions to the complex problems we face, instead of relying solely on "hard" scientific evidence or legal arguments. □

For further reading

• **Participatory education:** *Educating for a Change*,* by Rick Arnold et al., published by the Doris Marshall Institute; *Training for Transformation* by Anne Hope and Sally Timmel; and Deborah Brandt's *To Change This House*.*

• **Participatory on-farm research:** *Farmer First: Farmer Innovation and Agricultural Research* by Robert Chambers, et al. There is also a good video on participatory research, called *With People's Wisdom*,* put out by the Society of Participatory Research in Asia.

• **Community organizing:** Si Kahn's *Organizing: A Guide for Grassroots Leaders*; Saul Alinsky's *Rules for Radicals*; *Cold Anger* by Mary Beth Rogers; and *Community Organizing for Social Change** by Kim Bobo, Jackie Kendall and Steve Max of the Midwest Academy. Gary Delgado recently published an excellent summary and analysis of community organizing called *Beyond the Politics of Place*.

• **Cultural activities:** Si Kahn's *Organizing*; and Jane Sapp's *Culture: The Roots of Community Spirit and Power*.*

* Available from the Highlander Center, 1959 Highlander Way, New Market, TN 37820; tele. - (615) 933-3443.

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■ Keynote presentations or major speeches for meetings and conferences, at the local, state, and national levels.

■ Individualized programs designed and tailored to meet local or unique needs.

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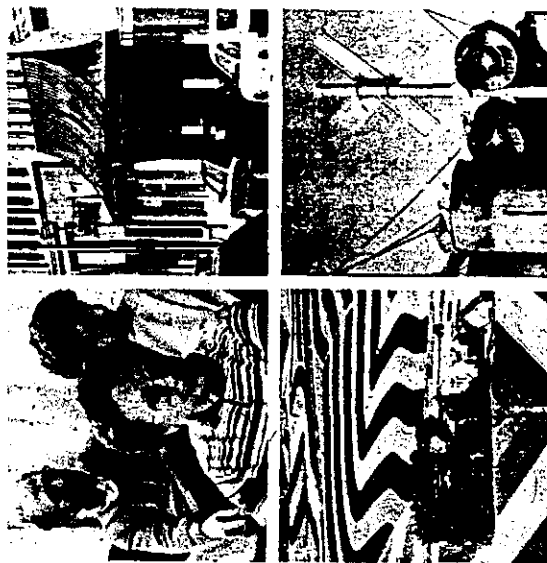
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**Programs for
Community Survival**

Leadership Development

The Heartland Center for Leadership Development is an independent, nonprofit organization developing local leadership that responds to the challenges of the future. A major focus of the Heartland Center's activities is practical resources and public policies for rural community survival.

Based in Nebraska, the Heartland Center was organized in 1985 by a group of Great Plains leaders as an outgrowth of Visions from the Heartland, a grassroots futures project. Today, the Center is known throughout North America for its field research on "Clues to Rural Community Survival" and for its hands-on programs in community leadership development.

Heartland Center programs and publications stress the critical role played by local leadership as communities and organizations face the challenges associated with changing times. Programs of the Center emphasize that local capacity is critical...and renewing local leadership essential...as towns, cities and states work to remain competitive today and in the future. ■



Practical Programs

Programs of the Heartland Center include:

- Training for leaders in communities, businesses and organizations to help them deal confidently with change, learning to find opportunities where others may see only threats.

- Assisting communities and organizations in developing the capacity for locally directed strategic planning, tackling the problems of the future through solutions they themselves take the lead in devising today.

- Helping policymakers clarify questions key to the future of communities and states, and promoting broadscale participation in the search for workable yet innovative solutions to the key problems of the times.

- Conducting field-based research related to leadership and its potential impact on quality of life, public policy, and business and community prosperity.



National Experience

Heartland Center programs range from workshops for small town leadership groups through multi-year projects assessing the impact of national community development models. In addition, the Center publishes booklets and guides on such topics as workable strategies for community and economic improvement, education and economic development, renewing community leadership and secrets to coping with change in small towns.

The Heartland Center has completed a variety of projects for communities and state agencies throughout the Midwest, and conducted workshops and presentations at conferences throughout North America. Program evaluations indicate participants in Heartland Center programs typically find what they learn has immediate and practical usefulness...and that they enjoy the learning experience. Programs of the Heartland Center are supported through grants and contracts from corporations, foundations and government agencies, through participant contributions for workshops and conferences, and through support from local communities. The Center is governed by an eight-member Board of Directors, with guidance from a National Council of Advisors. Management of the Heartland Center rests with Co-Directors Vicki Luther and Milan Wall, who are among the Center's founders. ■



Visions From The Heartland, Winter 1996

CD Tip: Characteristics of Effective Groups

1. Members do not ignore seriously intended contributions.

Each member needs to know the effect of her/his remarks if any improvement in participation can be possible. When other members don't respond, the speaker cannot know whether:

- ▶ no one understands
- ▶ the remark was understood and others agreed
- ▶ others understood but disagreed
- ▶ others understood but thought the remark was irrelevant

When the principle of responding to contributions is followed, discussion is cumulative and the group moves together. When it's not followed, discussion becomes scattered, the same points are made over and over and members feel no progress is occurring.

2. Members check to make sure they know what a speaker means before they agree or disagree with a contribution.

The question, "What is meant?" should precede the question, "How do we feel about it?" In other words, understanding should come before evaluation. In an effective group, members frequently use paraphrasing and provisional summaries to clarify assumptions about what others are saying and feeling.

3. Each member speaks only for herself/himself and lets others speak for themselves.

Each member states his/her own reactions. Reactions aren't attributed to others, nor is there an impression that one person is speaking for others.

Each member reports personal reactions and opinions honestly. Members recognize that unless they are true to themselves, the group can't deal with individual feelings.

4. All contributions are viewed as belonging to the group to be used or not as the group decides.

A member who makes a suggestion does not have to defend it against other ideas. Instead, all accept responsibility for evaluating it as the "joint property" of the group.

5. All members participate but in different and complementary ways.

When some members fulfill task functions, others carry out maintenance functions. While some are providing information, others are making sure it is understood and organized or identifying points of agreement or disagreement.

Each member doesn't always participate in exactly the same way. Instead, necessary functions are fulfilled as appropriate to an individual's interest, information and the behavior of other group members.

6. Whenever the group senses that there's difficulty in getting work done, the group tries to find out why.

Some symptoms of difficulty are excessive analysis, points repeated over and over, suggestions that are made but not considered, private conversations in subgroups, two or three individuals dominating the discussion, ideas being attacked before completely expressed and apathetic participation.

When such symptoms occur, the group shifts easily from working on the task to discussing interpersonal issues and process. This transition prevents pluralistic ignorance. For example, one member can be confused and assume that no one else shares that condition when, in fact, many others are also confused.

*Adapted from the Heartland Center publication "Building Local Leadership."

7. The group accepts responsibility for what it does.

No group can avoid making decisions; the group cannot choose **whether or not** to decide, but only **how** to decide. Thus, an effective group makes decisions openly and not by default.

When an effective group faces an issue, it must make a decision. The group may agree to take action or not to take action. Deciding by default not to act (for example, by avoiding discussion or a decision) has the same impact on the problem as openly deciding not to act, but it also has a negative impact on the group itself. Default decisions make group members feel failure and create tensions within the group. With each open decision, the group grows and becomes stronger and more effective.

The effective group makes decisions in different ways depending on the issue and factors such as the importance of the outcome and time available. The crucial factor is that the group has an agreement on the way decisions are made.

8. The group brings conflict into the open and deals with it.

The members recognize conflict as inevitable. They know that the choice is theirs as to whether the conflict will be open and subject to group control or hidden and out of control.

Problem behaviors in an effective group are also dealt with openly. For example, the member who continually introduces irrelevancies can get the group off task only if other members allow it to happen.

The group gives helpful information to individuals about the impact of their actions on the group. It does not, however, analyze, dissect or overwhelm any member. ■

Communities Find Benefits in Networking

In recent years networking has become a popular term in businesses and organizations. It is used to describe a range of activities anywhere from a concerted effort focused on a specific goal to the typical daily comic strip scene of workers gathered at the water cooler exchanging ideas. But no matter how you define it, networking is not something new.

Networking as an informal system has long provided individuals, small groups and organizations with a sense of "connectedness." Every person is connected in networks of many kinds: family, friendship, interest groups and organizations. Networks can provide support or they can be a method by which people get things done.

Today successful organizations consciously work to develop networks so that they may be used constructively. Communities can do the same thing. Strong networks can be vital to communities that have limited financial and human resources. They can have a major impact on the way problems are solved and goals are accomplished.

Networks can provide information about programs that have worked well for other communities, about possible funding sources, and about pitfalls to avoid. They can create opportunities to include more community residents in revitalization projects and development activities and allow for an influx of new or different ideas into these activities. Networks can offer much needed support, reinforcement and encouragement and act as a source of continuing motivation for those active in seeking positive change for their communities. Networks can also provide the access to many resources that are valuable as leaders work through their community action plans.

But remember, networks don't exist on paper. Networking means contact. This contact can be in person through an annual meeting, social gathering or workshop. The

contact can also be by telephone or electronic bulletin board. Telephone tree arrangements work efficiently to pass information in an orderly way. Mentor or buddy programs that create partners who have regular contact with one another over time also work well.

It is helpful if community networks have structure and a defined task or agenda. It allows members to see a purpose in their

activities and to evaluate their efforts. If your community networking is successful, far more people will be engaged in local economic development than have been in the past.

Following are some guidelines that should be reviewed as you begin to review or establish networks in your community. ■

Some Guidelines for Networking

Networks Don't Just Happen

Even those individuals who seem to build networks and professional relationships entirely by instinct have a systematic way of dealing with resources. Behaviors that foster networking are based on an attitude very different from self-importance or the protection of turf. Instead of asking "How can I get this done?" the question should be, "Who might do this task?" or even better, "Who might profit from doing this?"

Networks are Solidified by Shared Values

Having a similar experience or training is the type of bond that keeps people active in a network. Sharing the conviction of community developers who work for small town survival is an example of the type of shared value that makes a network effective.

Networks Have to Provide Benefits

There has to be a tangible, practical benefit to keep people in a network. The exchange of useful information, the rejuvenation of professional contact, the sharing of resources are the types of benefits one might expect from a network.

Networks Require Maintenance

Networks differ from other types of associations. For example, an association such as an information channel can be activated only occasionally: a legislation-focused telephone tree is an example of such a channel that can be unused until a crisis occurs and the members spring to life.

However, a real network requires more regular participation in order for members to get any benefit from it. With today's technology, participation may be by fax or electronic bulletin board so time and distance problems can be overcome.

Networks Shouldn't be Overanalyzed

There is a substantial amount of research and literature that has developed around the idea of networks. Social scientists have long been interested in how people work. It's important, however, to go ahead and act out the sharing rather than getting the balance too heavy on the talk and analysis side. Remember that networks often represent the collective actions of individuals working around institutions in order to collaborate. That means the network itself probably should be organized but not become an institution in its own right.

(c) 1995 Heartland Center for Leadership Development

The art of being a good follower

Leadership skills are studied in schools, stressed in seminars and dissected in bestsellers. But, if you lack the skills to be a follower—and many of us do—your worklife can be sapped by needless friction and frustration. “Ninety percent of us spend 90 percent of our time as followers,” according to Robert Kelley, professor of management at the Carnegie-Mellon Graduate School of Industrial Administration. “Even chief executive officers have a board and shareholders to boss them around.” Clearly, the need for skilled followers is great. A typical manager may be on three or four project teams, as a leader in one and a follower in the rest. “If someone’s leadership switch is always on, that person will run into problems,” Kelley warns.

Kelley identifies four essential qualities in good followers:

1. They manage themselves well.
2. They are committed to the organization and to a purpose, principle or person outside themselves.
3. They build their competence and focus their efforts for greatest impact.
4. They are courageous, honest and credible.

Kelley elaborated on these four qualities as follows:

•**Self-management and self control.** Good followers think independently and critically and are neither slaves nor manipulators of their bosses. They acknowledge that both parties have needs. They view the leader/follower relationship as horizontal rather than vertical—as two equally important people with different jobs.

•**Competence and focus.** Good followers master skills that are useful. They hold high standards of performance—higher in many cases than the work environment requires. They may take on extra work gladly, but first they do a good job with their core responsibilities. They’re good judges of their own strengths and weaknesses and contribute well to teams. Good followers see co-workers as colleagues rather than competitors. They also keep their contributions tied to what they care about and don’t allow themselves to be sidetracked. If an assignment seems off-target or impossible, a good follower informs the leader at the start.

•**Courage.** Good followers stand up for what they believe in. They give credit where credit is due. They admit mistakes and they share successes. They form their own views and standards. Good followers also keep their leaders and colleagues honest and informed. It’s important to remember that leaders and followers are roles, not people. Try to shape your role to the situation.

Source: Work and Family

(LJ)

Neblin, October 1995, p. 60 submitted by LaDeane Jha, Nebraska Extension Educator,
402-441-7180

MISSION

The North Central Region Educational Materials Project (NCREMP)

- ☐ provides a system for planning, promoting, facilitating and coordinating the production and review of extension educational materials, primarily among the twelve north central land-grant universities, as well as outside the region; and
- ☐ maintains, develops, and promotes the use of an on line computerized database, accessible through Extension computer networks, Internet, WWW, modem, and NCREMP office personnel, containing bibliographic information about north central state and regional Extension and Agricultural Experiment Station (AES) educational materials.

BACKGROUND

The North Central Region Educational Materials Project was created in 1976 by the Extension Directors of thirteen north central land-grant universities in the Midwest.

Member Institutions

University of Illinois (Urbana, IL)
 Purdue University (W. Lafayette, IN)
 Iowa State University (Ames, IA)
 Kansas State University (Manhattan, KS)
 Michigan State University (East Lansing, MI)
 University of Minnesota (St. Paul, MN)
 University of Missouri (Columbia, MO)
 Lincoln University (Jefferson City, MO)
 University of Nebraska (Lincoln, NE)
 North Dakota State University (Fargo, ND)
 The Ohio State University (Columbus, OH)
 South Dakota State University (Brookings, SD)
 University of Wisconsin (Madison, WI)

OBJECTIVES

- ☐ To facilitate a systematic approach to development, review, and production of Extension educational materials produced by Extension Services in north central states.
- ☐ To evaluate content, format, and application of educational materials before large-scale printing is undertaken.
- ☐ To improve overall quality of Extension educational materials.
- ☐ To promote and improve communication among Extension state program directors, state specialists and other staff concerning awareness and availability of educational materials produced by NC states.
- ☐ To increase awareness of educational materials originating within, but not limited to, NC states more readily available to other NC states, ES/USDA, and/or states outside NC region.
- ☐ To increase overall production efficiencies for participating universities by reducing duplications in staff time and resources spent for development, production, and/or printing of educational materials.
- ☐ To reduce unit cost of publications and other educational materials through quantity orders.

NCREMP does not produce or distribute materials. Actual production and printing is carried out by the authoring university. Copies are ordered directly from the producing university.

For questions regarding QUERRI or NCREMP, call Sorrel Brown, Coordinator, at (515) 294-8802 or send e-mail to xlquerri@exnet.iastate.edu.

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QUERRI



Questions on University Extension Resource Information

QUERRI is an online database with bibliographic information on more than 15,000 educational resources produced by Extension specialists from 13 north central land-grant universities.

You will find references in **QUERRI** ranging from "Agriculture" to "Community Resource Development," "4-H & Youth," "Family Living" and "Consumers." The system is set up for keyword searching. It provides several methods of access, and it provides browsing of the keywords in the database. Choosing a keyword returns search results containing titles and other information.

Bibliographic details of each reference consist of title, author, a short abstract describing the resource, format, year, producing institution, university identification number, and ordering procedures. Both written and audio-visual materials are included, software is not.

Many of the participating universities can process orders by electronic mail. **QUERRI** provides an easy means for a user to fill out an inquiry form, which is then automatically e-mailed to the correct distribution office. That office then responds with availability and pricing information.

QUERRI requires no registration, user fee or password. The only cost may be your long-distance charge if using a modem.

QUERRI is sponsored and maintained by the North Central Region Educational Materials Project (NCREMP). Organized in 1976, NCREMP is comprised of 13 land-grant universities -- Univ. of Illinois, Purdue, Iowa State, Kansas State, Michigan State, Univ. of Minnesota, Univ. of Missouri, Lincoln Univ-MO, Univ. of Nebraska, North Dakota State, The Ohio State, South Dakota State, and Univ. of Wisconsin. **QUERRI** is maintained at NCREMP headquarters located at Iowa State University.

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☐ *Telnet*

At your UNIX command prompt type

telnet ncremp.ag.iastate.edu and login as "querri", or click here if your browser is configured correctly.

☐ *Dial-in with a modem*

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Example: if using a 2400 baud modem,
type what is emphasized:

```
atdt1-515-294-2400
CONNECTED
DAIL: exnet
```

```
Iowa State University Extension
ULTRIX V4.3A (Rev. 146)
[Enter "guest" for public access]
```

```
login: querri
```

- ☐ Type **atdt** + your long distance access code + **515-294-8354** and login as **querri**.

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QUERRI

**There are 123 titles matching the keyword 'LEADERSHIP' in the database.
Click on a title to get more detailed information on that resource.**

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- 4-H Leader Enrollment
- I'm OK, You're OK: Bringing Out the Best in 4-H
- How to Win Volunteers and Involve People
- Begin building effective leadership, level II certificate of completion
- Begin building effective leadership, level III certificate of completion
- 4-H member achievement report
- Pathways to Adventure -- Leader's Guide
- "Discovering the Future," Discussion Leader's Guide
- Getting started in 4-H leadership -- 4-H project leader guidebook
- Communities Creating Their Futures
- Vice President's Manual -- Ohio 4-H Club Officer's Guide
- 4-H Expos
- Skills for a Lifetime
- Sheep and Ewe: Learning Cooperatively
- The Many Faces of Leadership
- A Model for Human Action
- Citizens Advisory Committees: How to Make Them Work
- Help Me! I'm New
- Take Charge: Economic Development in Small Communities
- Research-Practice Linkages in Extension Leadership Development Programs
- Sharpen Your Judgement
- Helps For Leaders
- Recreation Leader's Handbook
- Building Human Capital -- Four Model Programs
- Building Human Capital
- Discovery Learning
- Youth and 4-H -- Child Development (Leaders Guide)
- Understanding My Traits -- Workbook 1: Youth Leadership
- Reading The Situation -- Workbook 2: Leadership
- Mastering The Organization -- Workbook 3: Youth Leadership
- Appreciating Power -- Workbook 4: Youth Leadership
- Seeing The Vision -- Workbook 5: Youth Leadership
- Acting With Ethics -- Workbook 6: Youth Leadership
- Reflecting On Action -- Workbook 7: Youth Leadership
- Mentor's Guide: Youth Leadership
- Youth's Guide: Youth Leadership
- Organizer's Guide: Youth Leadership
- Project Record, Youth Leadership
- Youth Leadership (Curriculum)
- Leadership, Acting With Ethics
- Lawn and Garden Equipment -- Member's Project Guide
- Using the MBTI for Personal and Professional Development
- FCI: Making a Difference in Family and Community
- I'll Take Charge Leader Training
- Turn it Around with Tourism Teleconference
- A Vision for Strengthening Local Leadership -- How to Create an Effective Volunteer Coordinator System
- Developing Community Leadership -- The EXCEL Approach
- A Guide for Understanding Attitudes and Attitude Change
- Cat 3 -- Cat Connections: Youth Leadership Guide
- Dog 3 -- Pointing the Way: Youth Leadership Guide
- Dairy 3 -- Leading the Way: Youth Leadership Guide
- Blast! Building Leadership and Skills Together
- Purdue Cooperative Extension Service
- Leadership: Sustaining Action on Community and Organizational Issues

- 4-H Clubs -- 4-H Leader Handbook
- A Reference Guide -- 4-H Leader Handbook
- Youth and 4-H -- Dog and Puppy Care
- Youth and 4-H -- Consumer and Management Leader Guide
- Youth and 4-H -- Consumer and Management Project Guide
- 4-H Home Improvement Leader Guide Survival Skills
- Water Riches for YOUth -- Team Leader Workbook
- For The Common Good: A Strategic Plan For Leadership And Volunteer Development
- Strengthening Communities: A Strategic Plan For Community Resources And Economic Development
- Extension Home Economics -- Enriching Michigan's Families
- A Guide To Starting, Operating, And Selling In Farmers Markets
- I'm the Boss: Youth Entrepreneur
- Leaders Helping Leaders: A Guide For Theatre Arts Key Leaders
- 4-H Horse Educational Events - Leader Supplement
- 4-H Leaders' Guide - Wood Science
- Mentoring in the '90s and Beyond
- Model Airplanes - Leader Guide
- Exploring Guidebook For Leaders
- Let's Demonstrate The 4-H Way - Leader Guide
- Imagine Together -- The 4-H Campaign
- Adventures In Dairyland - For The Leader
- Wetlands Affect You And Me - Leader's Guide
- Group Dynamite Notebook
- Looking Great -- Your Fashion Formula -- Leader's Guide
- Leadership
- Leadership Extension to Communities
- Leadership for Healthy Communities -- Characteristics of Healthy Communities
- Leadership Skills You'll Never Outgrow
- Leadership: Skills You'll Never Outgrow: Helper's Guide
- CELEBRATION! A Recognition Packet
- Team Building: Developing a Productive Team
- Leadership Curriculum
- Empowering Youth Through Leadership Development: Volunteers for the Future. A Video Viewing Guide.
- PPEP (Iowa Public Policy Education Project)
- Understanding Ourselves and Others
- Designing Youth Leadership Training Programs
- GROWing in My World
- Leadership for Youth: Designing Youth Leadership Training Programs
- Assessing leadership potential
- I move that . . . A booklet of Parliamentary procedure
- Basics of Modeling
- 4-H leader handbook
- For the new leader Questions and answers
- Congratulations! You are elected!
- Indiana 4-H Leader Home Study Course -- What Is 4-H?
- 4-H Common Ground Program, Home Care and Repair, Leader's Guide
- Life Force: Learn To Earn
- Common Leaders in Profile
- Capacity Building Skills For Public Officials -- Express Yourself (Without Turning Others Off)
- Capacity Building Skills For Public Officials -- Influencing Others
- Teaching as a Volunteer Leader
- Visions for the '90's -- community initiatives for local revitalization
- Vision for volunteers, Indiana new leader orientation
- Motivating Yourself... And Your Volunteers
- The job of the board member
- Leadership: skills you never outgrow -- book I
- Leadership: skills you never outgrow -- book II
- Leadership: skills you never outgrow -- book III
- Leadership: Skills You Never Outgrow - Leader's Guide
- Leadership: skills you never outgrow -- helper's guide

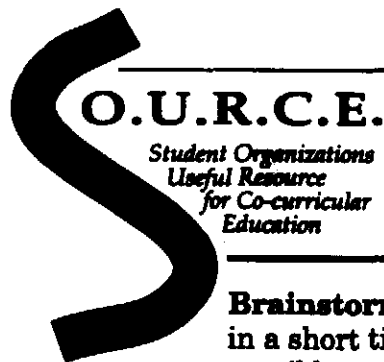
- Cavy fitting and showmanship -- leader's supplement
- Leader Expectations
- MES Focus VIII: Leadership
- Nebguide -- Leadership Roles Group Members Play
- Another Story -- Volunteers in 4-H Program Management Roles
- Up Front with the 4-H Mission
- Capacity Building Skills For Public Officials -- Local Boards Working Together
- Improving leadership for better groups and communities
- Building effective leadership, level I certificate of completion

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QUERRI

Some General Principals for Creating Your Vision

- Frame the Problem
- Consider Ideals to Strive for
- Make it Simple
- Use Key Words of Significance
- Build on a Realistic Sense of Purpose
- Provide a Sense of Becoming, Versus a Sense of Being
- See an Evolving Future
- Cite Relevant Images and Metaphors Which Help You and Others to Align Organizational and Personal Issues



Brainstorming

Brainstorming is designed to help you come up with many ideas and suggestions in a short time. It can be used to generate ideas for projects, help you visualize possible problems, and suggest solutions.

To brainstorm...

1. **Relax** -- Brainstorming is anything but a rigid and formal exercise. If you are comfortable you will brainstorm much easier, and it will be more enjoyable.
2. Select someone to write down the ideas as they develop (two people if the ideas start pouring in).
3. Select what you want to brainstorm (new projects, problems and solutions publicity, etc.).
4. Have everyone in the group blurt out as many ideas pertaining to the subject as they can. Don't discuss the ideas; that will come later. Don't worry if any of your ideas might be considered silly. Often such suggestions turn out to be extremely useful.
5. After you have exhausted your great mental reservoir, review your ideas. Throw out the impractical and unworkable ideas and discuss the good ones.

Helpful Hints

Using brainstorming in a group that is unfamiliar with the concept can be difficult. To help break the ice, form a circle and have each person very quickly name something in a category like "the world's worst food." This should get people in the mood to brainstorm.

Specify the rules of brainstorming before you begin.

1. Evaluation and criticism is forbidden.
2. All contributions are to be encouraged. Every idea counts, no matter how silly or impossible it may sound to you.
3. Quantity is the goal. Generate as many ideas as possible. Remember -- the more ideas generated, the more likely it becomes that you'll get good ones.
4. Combining and improving ideas is sought. Combining two or more ideas can generate a better idea.

Other S.O.U.R.C.E. to consult: "Icebreakers."



For more information on organization and personal development skills in the S.O.U.R.C.E. series, stop by or call the UNL Office for Student Involvement, 200 Nebraska Union, 472-2454; or 300 Nebraska East Union, 472-1780. Staff members will be happy to assist you and answer your questions.

***Problem Solving
Listening Skills
Habits that Irritate***

The following statements describe behavior people often find irritating. Check the ten which are most irritating to you.

Be prepared to discuss and react to not only your selections, but those of others as well.

- ___ 1. The other person doesn't give me a chance to talk.
- ___ 2. The other person interrupts me when I talk.
- ___ 3. The other person never looks at me when I talk.
- ___ 4. The other person continually fidgets with something else rather than listen to me.
- ___ 5. The other person treats me as an inferior.
- ___ 6. The other person never smiles - I'm afraid to talk.
- ___ 7. The other person asks questions as if doubting everything I say.
- ___ 8. The other person always "throws cold water" on my suggestions.
- ___ 9. The other person is always trying to get ahead of my story and guess what my point is, sometimes even finishing my sentences for me.
- ___ 10. The other person argues with everything I say even before I've finished talking.
- ___ 11. The other person frequently answers a question with another question, and usually it's one I can't answer. It embarrasses me.
- ___ 12. Everything I say reminds the other person of a personal experience or recent happening.
- ___ 13. The other person just seems to be waiting for me to finish talking.
- ___ 14. When I have good ideas, the other person says something like, "oh yes, I've been thinking about that, too."
- ___ 15. The other person overdoes being attentive - too many nods of the head, etc.
- ___ 16. The other person passes the buck about the problems I raise.

Approaches to Whole Farm Planning

Presented by:

James Enlow, NRCS, Wisconsin (Williams Bay, WI)
Steve Bonney, Indiana Sustainable Agriculture Association (Williams Bay, WI)
Jim Gonsior, NRCS, Nebraska (Carrington, ND)
Steve Bonney, Indiana Sustainable Agriculture Association (Carrington, ND)

Summary by:

Jim Gonsior, NRCS, Nebraska

Nebraska's conservation planning pilot project started in October 1995. Producers had asked for a voluntary, friendly, and economical plan that meets their goals and multi-agency objectives. Conservation planning in Nebraska required a strong partnership with organizations, producers, communities, congressional representatives, and local, state, and federal agencies. The State Technical Committee was asked to help establish the partnerships and build the planning process. More than 100 members of the group participated. They developed a mission, vision, guiding principles, education and marketing data, and site selection criteria.

After numerous sessions, three pilot areas were chosen. Producers in these local areas and communities are now setting goals, generating ideas, and preparing conservation plans. Farmers and ranchers feel that the strong partnership at the state level will help them implement innovative methods for total resource management.

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December 15, 1995

TO WHOM IT MAY CONCERN

FROM: Paul W. Johnson
Chief

SUBJECT: Whole-Farm or Whole-Ranch Conservation Planning

There seems to be a great deal of uneasiness, both within the Natural Resources Conservation Service (NRCS) and among our partners and landowners, about just what is meant by whole-farm or whole-ranch conservation planning.

Let me share with you how I think we should approach the subject.

Whole-farm or whole-ranch conservation planning is a tool for landowners to protect and enhance the natural resources on which their agricultural operations depend. In many ways, this form of planning marks a return to the services traditionally provided by the Soil Conservation Service (SCS): Helping landowners set goals and make decisions about the use of natural resources in a way that ensures a healthy and productive land. Call it what you will -- conservation farm planning, comprehensive farm planning, whole-farm planning -- but it's all the same: A process by which NRCS conservationists, agricultural consultants, or others help farmers and ranchers to assess the natural resources they have to work with and make decisions on how they will use those resources in their operations.

The rationale for whole-farm and whole-ranch conservation assistance was best stated by the conservationist Aldo Leopold in a 1947 lecture to a wildlife ecology class at the University of Wisconsin. Leopold closed that lecture by referring to the alphabet of natural objects (soils, rivers, birds, etc.) that spell out a story the landowner can read -- if he knows how. "Once you learn to read the land," Leopold remarked, "I have no fear of what you will do to it, or with it. And I know many pleasant things it will do to you." Helping landowners "read the land" is fundamental to good conservation. Helping landowners to "read the land" is also the heart and soul of what NRCS is all about.

Whole-farm and whole-ranch conservation planning is not a new concept for many landowners or for NRCS. Instead, it is a recommitment to the agency's roots, where the services NRCS provides are tailored to the needs of individual farmers and ranchers -- and their natural resources. The experience of 60 years and the lessons NRCS learns as it goes forward will be put to good use. NRCS assisted the Nation's farmers and ranchers to develop and apply 1.7 million conservation compliance plans and reduced soil erosion by 66 percent since 1985. Earlier proposals, such as the "one-farm-plan" concept of the early 1990s and the 1993 National Performance Review, as well as ongoing initiatives and pilot projects across the country, will provide guidance in determining whether and how whole-farm and whole-ranch conservation planning can help landowners understand the natural resources they have to work with and how to use those resources.

If there is a difference in this form of resource assessment and management today from those of earlier decades, it may be that there is greater sophistication in understanding the relationships between and among natural resources and their use. Using the best science to understand the individual elements of a farm or ranch unit, those who work with farmers and ranchers can put ecological principles to work in the best interest of the individual landowner -- for achieving his or her economic goals and for sustaining the natural resources on which all life depends.

How do producers benefit?

Producers will be able to develop an "entire unit" plan that helps them integrate management goals, production and natural resource needs of the unit.

Whole Farm and Ranch Planning simplifies planning for production and natural resources requirements by combining them into a single plan. This will provide significant benefits to all producers including limited-resource producers.

Nebraska is one of only six states piloting the Whole Farm and Ranch Planning approach. These projects over the next two years are intended to gauge how well producers, agencies and organizations can work together voluntarily and still meet federal, state and local conservation requirements.

For more information on Whole Farm and Ranch Planning, contact the Natural Resources Conservation Service Office nearest you.

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Save time . . .

Avoid duplication . . .

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Try

Whole Farm and Ranch Planning

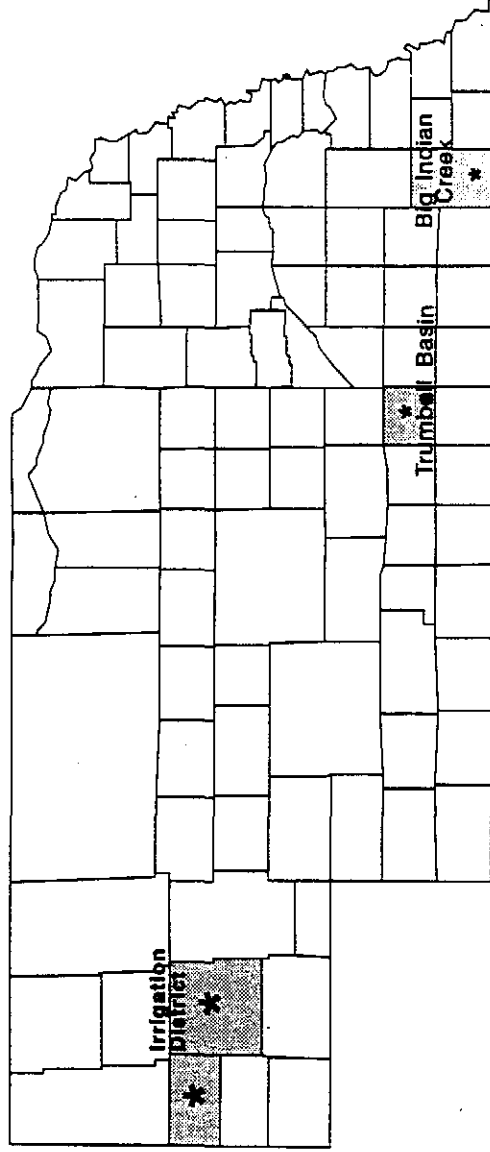
What is Whole Farm and Ranch Planning?

Whole Farm and Ranch Planning is an innovative approach to addressing natural resources, environmental and production management issues. It is a radically new approach to solving a serious problem.

Farmers and ranchers often must prepare multiple conservation plans to meet the requirements of federal, state and local agencies. For a long time producers have been demanding less government regulation . . . less paperwork . . . less conflicting guidance and advice . . . and more reliance on voluntary, science-based approaches to conservation.

It was in response to those demands that the Whole Farm and Ranch Planning concept was conceived! It was developed by USDA agencies in cooperation with state, local and nongovernmental agencies and organizations.

Whole Farm/Ranch Planning Priority Sites (proposed)



Here's how it works:

- Whole Farm and Ranch Plans are producer-initiated and developed voluntarily. Producers must *choose* to participate.
- Depending upon individual needs and objectives, plans may focus on: water quality/quantity management, erosion control, wetlands, nutrient/pesticide management, grazing lands, animal waste or any of many other issues.
- Whole Farm and Ranch Planning is designed to help producers identify their own goals while addressing natural resources, agricultural production and environmental issues in a logical, coordinated way.
- Plans are technically sound and science-based and consistent with federal, state and local requirements and natural resource, economic and social concerns of the community.
- Plans will be broadly adaptable to changing conditions and *sensitive to the need for confidentiality*.
- Producers who decide to develop a plan may seek assistance from a consultant, USDA's Natural Resources Conservation Service and/or other qualified specialists.

WHOLE FARM PLANNING

A Discussion Paper

WHAT IS IT?

A process that provides opportunities to make management decisions that integrate economic, environmental and social factors affecting or affected by the farm operation.

WHAT ARE THE OBJECTIVES?

At the farm level:

Managing change of the farming operation through a decision-making process which meets the quality of life goals of the farm family while achieving profitability and sustaining the natural resource base that balances the multiple resource needs.

At the community level:

Local decision-making (community planning, watershed planning) builds identity that reflects the community values while maintaining agriculture's significant contribution to the economy and supports community growth in a healthy environment.

WHY?

It puts the farmer in control of making the pieces of the farm fit into the whole that the farm family defines. It facilitates the making of decisions that serve multiple objectives such as increasing profitability, meeting regulatory requirements, meeting conservation goals and improving the quality of life on the farm and in the community.

In the new context of market oriented farm policies, farmers will need to consider different, often complex, strategies to achieve their income goals and remain competitive in the ever changing global economy.

It facilitates an on-going, coordinated management process that includes indicators for monitoring progress and encourages frequent update of management decisions.

WHAT ARE THE EXPECTED OUTCOMES?

- Improved quality of life for the farm family
- Increased farm profitability
- Improved nutrient management
- Improved management of pests and pesticides
- Increased biodiversity
- Improved soil quality
- Improved water quality
- Improved animal health
- Reduced soil erosion
- Keep farm numbers
- Transfer of farms to successive generations
- Farmland preservation

HOW?

The focus is on process. The only mandatory portion would be compliance with government regulations. Every other portion would be voluntary and confidential.

The process should enable the farmer/manager to understand the complexities of interaction and the multitude of options in decision-making.

This process would encourage more consulting of and collaboration by private consultants, agency specialists, extension specialists and educators and other resource specialists.

EXISTING MODELS

- ◆ Farm*A*Syst
- ◆ Ontario Environmental Farm Plan
- ◆ Environmental Assurance Program (National Pork Producers Council)
- ◆ Holistic Resource Management

WHAT OTHER INFORMATION IS AVAILABLE?

There is probably no need to develop any specific resource information. Only a process (plan) which integrates and facilitates the flow of information will need development.

CONSIDERATIONS FOR CONTENT

Land

acreage

fields or tracts

- soil characteristics (types, drainage, topography)
- location within the watershed
- land use and capability

Crops

selection of appropriate species and varieties

production goals

production levels

population and spacing

rotations

Tillage

no till

mulch tillage (disc and chisel)

ridge tillage

zone tillage

moldboard plowing

Water management

- wells
- streams
- ditches
- ponds
- wetlands
- irrigation
- runoff
- water table
- seeps
- drainage

Soil conservation strategies

- filter strips
- grass waterways
- tillage
- stream bank protection
- cover crops
- residue management

Crop protection

- storage and handling
- pesticide use strategies
 - rates
 - timing
 - field monitoring
 - economic thresholds
 - effectiveness within label
- biological controls
- mechanical weed control

Nutrient management

- storage and handling
 - commercial fertilizers
 - manures
 - plant residues
 - sludges
- placement
- soil testing
- composting

Soil quality (health)

- aggregate stability
- fertility
- acidity
- organic matter
- infiltration rates
- credits from crops

Livestock

- species
- breed
- stocking rates
- pasture
- grazing systems
- fencing
- water systems
- lanes
- feed and forage

Special land uses

- wildlife habitat
- beneficial insect habitat
- woodlands and woodlots
- recreation
- wetlands
- border areas

Agroforestry

- alley cropping
- windbreaks
- riparian buffers
- streambank bioengineering
- tree/pasture systems
- living terraces
- living snowfences
- tree/specialty crop systems
- wildlife habitat

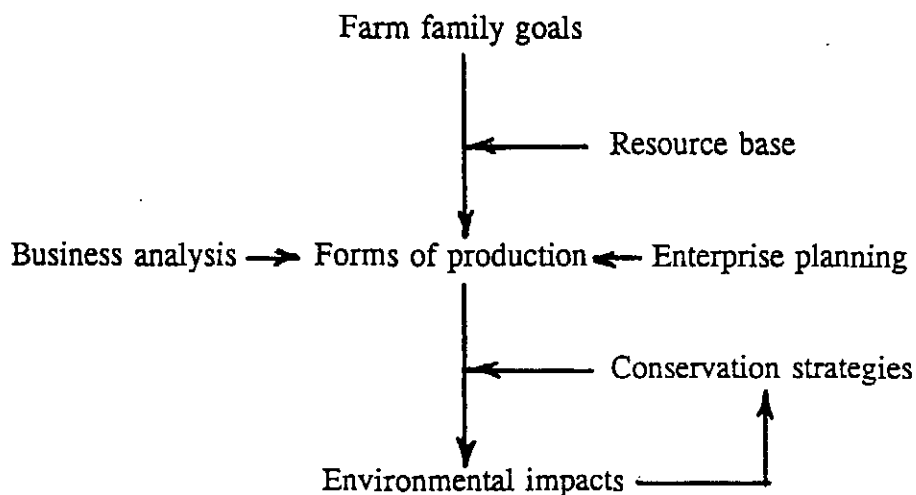
Enterprises

- specialty crops
- oil seed crops
- fruits and vegetables
- on-farm processing
- direct marketing

Business analysis

net worth
land costs
rents
labor
utilities
buildings
equipment
livestock
insurance
health care
interest
taxes
educational costs
yields
marketing
crop storage
fuel
seed
fertilizers
pesticides
feed purchases
feed production
feed storage

HOW DOES THIS FIT TOGETHER?



Prepared 6/23/96 for the Indiana Whole Farm Planning Working Group by Steve Bonney. Comments, additions and corrections welcome and encouraged. Send to Steve Bonney, 100 Georgton Ct., W. Lafayette IN 47906.

What is a Comprehensive Farm Plan?

A Comprehensive Farm Plan is a long-term tool to keep farm operators and landowners focused on the management of their inventoried resources, protecting water and other natural resources from degradation. It includes:

- ☐ **INVENTORY** of farm resources, including soil tests and maps, cropping plans, economic data, and farm site information
- ☐ **GOALS** for profitability, pollution prevention, production and long-term ecosystem enhancement
- ☐ **ANALYSIS** of management options, identifying problems and opportunities in the context of regulatory programs
- ☐ **STRATEGY** for putting the plan into action, as well as to monitor and evaluate how the plan is working.

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Why Comprehensive Farm Planning?

C omprehensive farm planning allows farmers and landowners to take a proactive approach to improving farm profitability, environmental health, and quality of life. It will encourage farmers to:

- ☐ **LEARN** more about alternatives for protecting health, safety, and the environment
- ☐ **REDUCE** environmental liability
- ☐ **PROTECT** and enhance the value of farm assets
- ☐ **DEMONSTRATE** the farmers' role as good stewards
- ☐ **IMPLEMENT** cost-effective conservation measures that increase profit
- ☐ **ADDRESS** multiple issues simultaneously, such as productivity, profitability, environmental impact, and conservation.

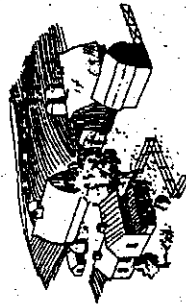
the minnesota project

Staff:

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THE MINNESOTA PROJECT is a nonprofit organization working with leaders in rural areas as they build their capacity to resolve their own issues of sustainability and natural resource management. We currently focus our mission, values, and project work in six basic areas:

- Groundwater protection
- Sustainable agriculture
- Recycling market development
- Pollution prevention
- River protection
- Renewable energy development.



The Great Lakes Basin Comprehensive Farm Planning Network

To get involved in the network or to learn more about comprehensive farm planning, contact the Steering Committee member closest to you, or contact John Lamb, Project Coordinator, at the Minnesota Project office (612) 645-6159 or (800) 366-4793.

**1885 University Ave. W. Suite 315
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The Great Lakes Basin



Comprehensive Farm Planning Network

The Great Lakes Basin COMPREHENSIVE FARM PLANNING Network

The Great Lakes Basin Comprehensive Farm Planning Network brings together farmers, farm service providers, sustainable agriculture groups, and farm organizations to develop and disseminate information about comprehensive farm planning. The project began in January, 1995, and is coordinated by the Minnesota Project, a nonprofit organization working to strengthen rural communities.

Participants in the project are working to:

- ☐ Build an effective network to promote comprehensive farm planning and establish working groups in five of the States and the Canadian province of Ontario
- ☐ Create useful assessment tools for evaluating farm planning efforts
- ☐ Educate the farm community about the benefits of comprehensive farm planning, increasing awareness of the solutions available
- ☐ Demonstrate effective comprehensive farm plans currently being used
- ☐ Empower farmers and rural communities to solve natural resource problems through comprehensive farm planning
- ☐ Affect public policy at the federal, state/provincial, and local level to ensure the effectiveness of comprehensive farm planning processes

Funded by The Great Lakes Protection Fund



Steering Committee

States & Provinces Included: MN, WI, MI, ONT, NY, PA, OH, and IN

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Great Lakes Basin Comprehensive Farm Planning Network

Whole Farm Planning: A Comparison of Alternative Program

Farm*A*Syst

- | | |
|-----------|---|
| Purpose | <ul style="list-style-type: none"> Identifies and assesses pollution risks of the farm's water supply from farmstead sources or practices. Provides suggestions and information sources to modify farmstead practices and structures to reduce risk of groundwater contamination. |
| Process | <ul style="list-style-type: none"> Farmer completes worksheets to evaluate farmstead's potential to contaminate water supply. Bulletins are made available that provide technical information to improve management practices. |
| Strengths | <ul style="list-style-type: none"> Specifies environmental regulations applicable to farmsteads to protect groundwater quality. Scores management's ability to meet those environmental laws. Assesses a farmstead's environmental liability by identifying specific high-risk activities. Plan is voluntary, confidential, and clearly identifies farmstead problems. Technical information is available. |
| Comments | <ul style="list-style-type: none"> Cropland management practices are not assessed. There is no peer review of plans or an examination of management alternatives. Quality-of-life, socio-economic, and stewardship issues are not engaged. All stakeholders did not participate in its development. It is a one-time inventory without a monitoring component to measure implementation of corrective action or progress toward goals. |

Ontario Environmental Farm Planning

- | | |
|-----------|--|
| Purpose | <ul style="list-style-type: none"> Identifies management activities that are detrimental to the environment and finds solutions to reduce risk. Develops a practical plan for operating a farm in a way that is environmentally responsible. |
| Process | <ul style="list-style-type: none"> Introductory workshop helps farmer evaluate site and prepare for Farm Review (23 worksheets). Second workshop helps farmer develop an Action Plan to address problems discovered in Farm Review. Action Plan can be peer reviewed. Technical support and information are identified and readily available. |
| Strengths | <ul style="list-style-type: none"> Entire farm is included in the plan. Specifies environmental regulations applicable to a farm to protect surface and groundwater quality. Scores management's ability to meet those environmental laws. Process is voluntary, confidential, educational, clearly identifies problems, and is peer reviewed. Promotes stewardship and the application of ecological principles to farm management. Helps farmer prioritize problems, identify barriers to action, and develops a timeline to remediate problems. Examines management options that are sensitive to the environment for effectiveness and cost. Farmer organizations administer the process with governmental support. |
| Comments | <ul style="list-style-type: none"> Does not engage quality-of-life and socio-economic issues explicitly. All stakeholders did not participate in its development. It is a one-time assessment without a monitoring component to measure progress toward goals. |

The Great Lakes Basin Comprehensive Farm Planning Network brings together farmers, farm service providers, sustainable agriculture groups, and farm organizations to develop and disseminate information about comprehensive farm planning.

For more information contact:

John Lamb
 Project Coordinator
 The Minnesota Project
 1885 University Ave. W. Suite 315
 St. Paul, MN 55104-3403
 (612) 645-6159

Organic Farm Planning

- | | |
|-----------|--|
| Purpose | <ul style="list-style-type: none">• Assists producer as a flexible, useful, and affordable tool to 1) develop an ecologically sound farm management system, 2) evaluate management practices, and 3) make tangible improvements.• Provides certifying agent with essential information to assess a producer's compliance with organic standards. |
| Process | <ul style="list-style-type: none">• A planning document is written by producer and agreed to by certifying agent describing how the entire organic farm is managed.• Farm is inspected annually by an independent inspector who submits a narrative report to certifying agent. |
| Strengths | <ul style="list-style-type: none">• Entire farm is usually included in the plan.• Producer can enter the organic market and may have a higher return with certified organic products.• Promotes stewardship and demands an integrative approach to farm management grounded in ecological principles, especially for nutrient and pest problems.• Regulated and prohibited materials are made explicit, thereby preventing chemical contamination of food, water, soil, and air.• Process is peer-reviewed and administered by independent certifying organizations.• Promotes yearly evaluation of management practices. |
| Comments | <ul style="list-style-type: none">• Socio-economic issues and farmer-defined goals are not directly engaged by plan.• Availability of educational materials and level of technical assistance varies regionally.• Environmental laws and regulations are not articulated in planning documents and possible risks to surface and drinking water may be missed in inspection process. |


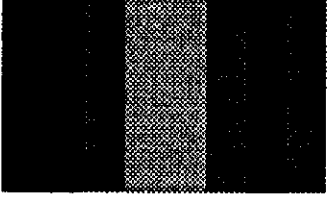



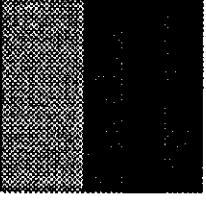
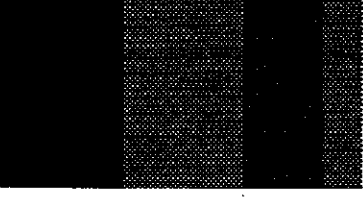


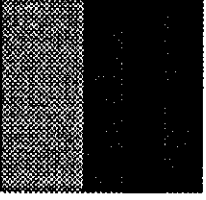
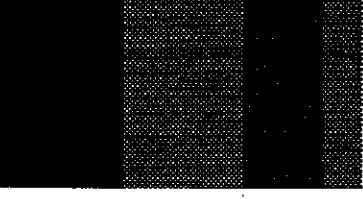

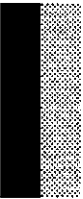

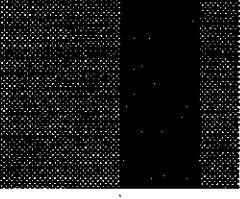

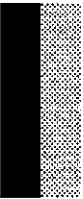

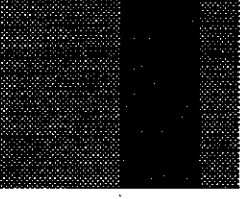

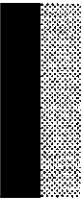

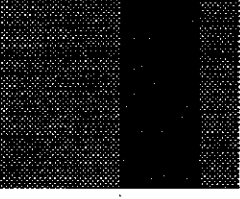

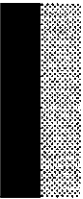

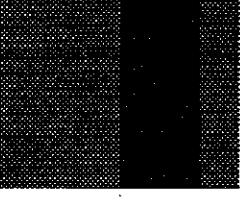

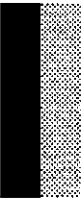

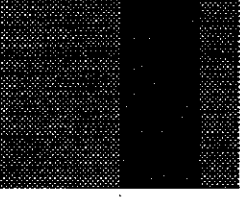


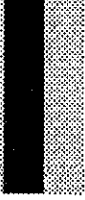

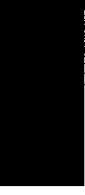

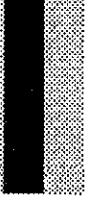

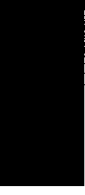

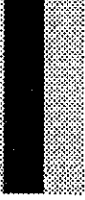

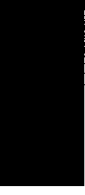

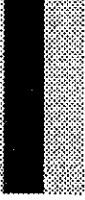

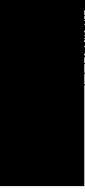
Holistic Resource Management™

- | | |
|-----------|--|
| Purpose | <ul style="list-style-type: none">• Comprehensive decision-making process for farm planning placed within an ecological framework.• Land, people, and money are considered inseparable and together they are managed and directed toward a holistic goal which developed by the farm family. |
| Process | <ul style="list-style-type: none">• An inseparable "whole" is defined as the farm family, the land they work, and the wealth the land can generate.• The farm family identifies and describes a holistic goal or a vision beyond problems. The goal has three parts: 1) a statement of values, 2) a list of things are necessary to sustain those values, and 3) a futuristic description of the resource base of the farm.• Management alternatives are tested for their social, environmental, and economic soundness in relationship toward achieving the holistic goal.• All decisions are monitored for the earliest signs of movement away from the holistic goal. |
| Strengths | <ul style="list-style-type: none">• Entire farm is included in the plan.• Honors the multiple dimensions of problems and focuses attention on their sources rather than symptoms.• Directly engages socio-economic, profitability, and quality-of-life issues.• Grounded in ecosystem processes: energy flow, the water cycle, the mineral cycle, and succession.• Inherently flexible and adaptive decision-making process for any farming system.• All management decisions are tested whether they bring farm closer to the holistic goal and are assessed for social, environmental, and economic soundness.• The decision process is neutral with respect to any particular tool or practice.• Monitoring is essential to planning process, from implementation and to the achievement of goals. |
| Comments | <ul style="list-style-type: none">• Environmental laws and regulations are not articulated nor are risks for surface and drinking water contamination clearly identified.• Planning process is not immediately easy to understand. |

The Great Lakes Basin Comprehensive Farm Planning Network is funded in part by the Great Lakes Protection Fund.
Prepared by Douglas Romig, World Wildlife Fund's Agricultural Pollution Prevention Project.

April 18, 1996

Comparison of program emphasis of four farm planning programs. Darker shading indicates greater program emphasis in elements of a whole farm plan.

Elements of a Whole Farm Plan	Farm Planning Programs			
	Farm* A *Syst	Ontario Environ.	Organic Planning	HRM™
Site Evaluation				 a
Farmstead Assessment				 a
Soil Management				 a
Nutrient Management				 a
Insect & Disease Management				 a
Weed Management				 a
Environmental Compliance				 a
Assesses Alternatives				 a
Quality of Life ^b				
Strengthening Farm System ^c				
Stewardship ^d				
On-going Monitoring				

^a Holistic Resource Management is a decision-making process that does not specifically address these elements, but could be applied to management decisions in the development of whole farm plans.

^b examines farmer-defined goals, farm profitability, social and intergenerational concerns, labor, safety, and health.

^c reducing pesticide use, building soil quality, developing market alternatives, integrating system changes to farm management, and enterprise diversification.

^d promotes long-term sustainability, biodiversity, wildlife habitat, use of ecological principles, efficient resource use, and a broad definition of environmental health.

Prepared for the Great Lakes Basin Comprehensive Farm Planning Network by Douglas Romig, World Wildlife Fund's Agricultural Pollution Prevention Project. Funding provided in part by the Great Lakes Protection Fund.

April 18, 1996

The Whole Farm Planner

VOLUME I, NUMBER 2

MAY 1996

Farm Profile—

Profit and Preservation Through PA One Plan

Craig Wilson had been renting some land from an elderly neighbor, farming it in addition to his own 200 acres, when he got the chance to buy the neighbor's entire 135-acre farm. Many of the farms in their part of northeastern Pennsylvania had been bought by housing developers, and both Craig and his neighbor wanted to keep the property as farmland. The land, although fertile and fairly level, had not been cropped very intensively. In fact, Craig says, his neighbor farmed "like it was the 1940s." So he could only guess at its potential, and at his own ability to manage this land in addition to his two other parcels and his small dairy herd. Would he be able to make enough profit to stay in the black? Although Craig had some off-farm income to help him during the transition, the new land needed to start paying for itself as soon as possible. He took the plunge and purchased the farm.

After a year of running his larger operation, Craig realized he needed some help organizing his enterprises and evaluating his natural resources potential. He had land in hay, land in a corn-small grain-hay rotation, and the new farm, which would have to be cropped for maximum production of corn if he wanted to keep up payments on it. His father had been a cooperator with the Conservation District in the 1950s, and had come up with a Resource Conservation Plan for one of the parcels of land, but it had never been updated. Craig wanted not only to maximize his income from this land, but also to take the best care of it he could.

The new property had hedgerows in some fields, extensive woodland and the potential for high-quality wildlife habitat. Hunters used the property for recreation, and Craig wanted to protect and enhance wildlife habitat if he could. He also hoped to make some money from the timber. For the cropland, he had different concerns. While the previous owner had not used pesticides on his cropland, he had not made any efforts to control erosion, either. Craig wanted to find a way of integrating conservation practices with more intensive farming.

THE ONE PLAN PROCESS

His Soil and Water District Conservationist invited him to participate in Pennsylvania One Plan, a comprehensive farm planning process that relies on the cooperation of public and private advisors to help each farmer reach production, profit, and natural resource protection goals. (For more information about Pennsylvania One Plan, see page 5.) Craig agreed, seeing a possibility that through One Plan, he would be able to create a management system that would address all his enterprises and all his natural resource concerns.

WORKING WITH STATE AGENCIES

The first step in the planning process was having the conservationist come out to help with erosion control plans. He worked out guidelines for crop rotations, and then he and Craig designed a system of strip-cropping, waterways and diversions that would adequately control erosion.

Craig knew some land clearing would be necessary to accommodate fields and strip cropping. During the One Plan process, Craig learned that the edge of wooded areas and hedgerows had significant wildlife impact. Since there was some ideal wildlife habitat on the farm, he decided to minimize the disturbance of this area, balancing additional cropland needs, strip cropping requirements and wildlife habitat.

A wildlife biologist from the Pennsylvania State Game Commission came out to the property and identified the hedgerows and wooded areas that were prime wildlife habitat and those that were less valuable. Craig would keep the best ones, including the areas that contained an animal travel lane, and remove the others to establish the fields and strips. They worked out a plan for managing the wooded areas, under which Craig would brush-hog the growth at the edges of the fields every other year, to provide edge effect while keeping the woody growth from shading his crops.

Craig was glad to hear that he wouldn't need to cut the hedgerows back every year—the plan would save him work. The piles of brush and prunings would no longer be burned, but instead left to provide habitat for birds and small game. Mature trees in the hedgerow interiors would be cut for

firewood. The hunters who use the land even agreed to manage the hedgerows by making the brush piles and cutting the firewood.

While Craig and the conservationist were designing the erosion-control system, they identified fields where it would not be safe to use Atrazine. Craig considers his use of pesticides "conservative," but he didn't want to risk contaminating the groundwater, especially now that there are so many families in the new housing developments drinking it. His One Plan paperwork could come in handy if his neighbors become concerned about his chemical use, since part of the program is helping farmers comply with all environmental regulations, and documenting their compliance.

Craig had thought that he could start bringing in some income from his new woodlots right away by clear-cutting some of the timber, and had a state forester visit as part of his One Plan process. The forester surprised him by recommending that he hold off on cutting down the trees. Their value could increase significantly over the next few years, and he gave Craig guidelines and a schedule for improving the stands and cutting selectively as trees reached optimum size, maximizing his financial return.

PLANNING WITH A CROP CONSULTANT

One of Craig's initial goals was to maximize profit on the new land, and for this part of the plan he turned to his crop consultant. He has been a member of a crop management association for a few years, and his crop rotation history for each of his fields is stored on the association's computer. Based on these previous years, and on Craig's production and profit goals, the consultant laid out the year's crops. These recommendations were checked against crop rotation recommendations made by the soil and water conservationist. The proposed cropping plans were not all in keeping with the initial soil conservation plan, but fortunately the conservationist's crop rotation recommendations had flexibility built into them.

This built-in flexibility is called a "matrix." It's an array of conservation of practices, specific to each area on a farm, that have been approved as ways to provide acceptable erosion control. For instance, if the crop consultant's recommendation for a given field is a third year of corn rather than a switch to small grains or hay, and the conservationist's recommendation is to grow corn no more than two years in a row, the matrix suggests a practice that will allow for a third year of corn. In Craig's case, the matrix prescribed a change to no-till for the third year of corn followed by a winter cover crop. Both Craig and his crop consultant appreciate this flexibility to make choices based on the weather or

market prices while still protecting the soil and water quality.

Craig is glad he decided to take a chance and buy the new land. His different sources of income are all integrated into the new plan, and he has been able to keep up with the workload of managing the new farm by following the systematic approach that he and his advisors worked out. He has been able to preserve the land's old-fashioned quality—the hedgerows, woods and wildlife—while farming it more intensively and making a healthy profit. This year, he has seen a wide variety of wild animals living in his wooded areas—deer, rabbits, game birds, even bears. "They take their share," he notes, but the hunters bring him meat for his freezer, and his Thanksgiving turkey comes from his own land.

For Craig, his whole farm plan works well as the basis for organizing all his natural resource concerns and management information. The plan is structured around his goals and ideas; he thinks of it as *his* plan, not just an accumulation of agency recommendations. It feels good, Craig says, "to protect and conserve the land, the water quality and the wildlife for future generations"—while using them to provide a living for himself.

—Jill MacKenzie



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The Whole Farm Planner is published by the Minnesota Project, coordinating organization of the Great Lakes Basin Comprehensive Farm Planning Network. The Network brings together farmers, farm service providers, sustainable agriculture groups, and farm organizations to develop and disseminate information about comprehensive farm planning. The project, begun in January, 1995 involves working groups in Ontario and the Great Lakes states. The Great Lakes Basin Comprehensive Farm Planning Network is funded by the Great Lakes Protection Fund, the Charles Stewart Mott Foundation, and the Joyce Foundation.

The Minnesota Project is a nonprofit organization working with leaders in rural areas as they build their capacity to resolve their own issues of sustainability and natural resource management.

For more information about *The Whole Farm Planner*, the Great Lakes Basin Comprehensive Farm Planning Network or the Minnesota Project, contact John Lamb or Jill MacKenzie, editor, at the Minnesota Project: 1885 University Avenue W., Suite 315, St. Paul, MN 55104; email: water007@gold.tc.umn.edu; (612) 645-6159.

Permission to reprint articles is granted in advance; please acknowledge this source. Readers are encouraged to submit articles about local farm planning projects, technical information, comments on policy issues, and stories about individual farmers and their planning experiences. If you have a story to tell but don't have time to write it, let us interview you!

Successful Whole Farm Planning:

**Essential Elements Recommended
by the Great Lakes Basin
Farm Planning Network**

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The Minnesota Project is a nonprofit organization working since 1979 to strengthen rural communities and protect natural resources. We hope to reach the widest possible audience with this report; please copy or otherwise distribute it, in whole or in part, with a printed acknowledgement of the source of the material. If you wish to purchase further copies of *Successful Whole Farm Planning*, send \$5 to:

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project**

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PLANETOR is a comprehensive whole farm environmental and economic planning tool. It combines site-specific environmental models with individual farm economic planning data to evaluate the impacts of reducing or changing pesticide use, nitrogen applications, phosphorous applications, manure applications, tillage systems, and crop rotations. PLANETOR is intended to be used to evaluate individual farm operations. It helps you look at long range goals and strategies for the operation and compare the different environmental and economic impacts in an average year on the farm.

Why Use PLANETOR?

Many farmers are concerned about the environmental impacts of their farming operations. However, they are equally concerned about the profitability of their farm business. The goal of PLANETOR, then, is to help farmers answer questions such as the following:

- Are my current farming practices having a potentially detrimental effect on the surrounding environment?
- If this is a potential problem, which practices are contributing to the problem?
- If I change production practices, how will the environmental impacts change?
- How will implementing changes to my farm affect the financial status of the business?

What Does PLANETOR Do?

PLANETOR evaluates six environmental factors over the life of a farm plan. Each of these factors is a substantial model by itself. But they also have overlapping areas of input and together they provide a more complete picture of the operation and the trade-offs associated with making changes to the operation.

Soil Erosion: PLANETOR uses the methodology of the Revised Universal Soil Loss Equation, (RUSLE), to estimate soil erosion by water. PLANETOR considers soil characteristics, the erosivity of rainfall, slope length and steepness, tillage and plant growth impacts on crop cover, and specific field practices such as terracing to estimate annual soil loss.

Pesticide Leaching and Runoff Hazard: PLANETOR uses a pesticide movement screening method developed at the University of Florida. This methodology considers pesticide chemical properties, soil interaction, application method, and timing to calculate a relative ranking of the pesticides used on a field. This ranking is relative to other pesticides and their potential to leach or run off.

Pesticide Toxicity: Applicator hazard is used to evaluate pesticide toxicity. This information comes from the pesticide label and can be a caution, warning, danger, or danger/poison.

Nitrogen Leaching: PLANETOR includes a complete nitrogen budget and water movement model using methodology developed for the Nitrate Leaching and Economic Analysis Package, (NLEAP). This model was developed by Agriculture Research Service scientists at Fort Collins, Colorado. PLANETOR evaluates nitrogen application from fertilizer, manure, and other sources, together with nitrogen uses and losses, to estimate nitrate leaching below the crop root zone.

Phosphorus Runoff: The potential phosphorus runoff rating is estimated using an index developed by the Natural Resources Conservation Service's Phosphorus Index Core Team. This scoring index rates phosphorus applications from fertilizer and manure, application methods, soil erosion, and soil phosphorus test results to rank the potential for runoff.

PLANETOR also evaluates three economic factors or objectives -- profitability, liquidity, and solvency. These factors allow you to gauge the financial viability of your current or alternative farm plan.

Profitability: Profitability is the ability of the farm to generate income. It is measured by net farm income, which represents the returns to labor, management, and equity capital invested in the business. Net farm income is the amount that rewards investing unpaid family labor, management, and the farm net worth into the farm business instead of elsewhere.

Liquidity: Liquidity is the ability to generate cash for the payment of bills, family living, taxes, and debts in a timely manner. After all cash farm expenses are paid, the remaining net cash farm income should be sufficient to provide for family living, pay taxes and loan payments, and provide adequate capital to replace machinery and equipment.

Solvency: Solvency deals with the overall level of assets and liabilities, the debt structure, and the projected future net worth growth. PLANETOR measures future net worth growth by calculating the average annual projected change in net worth.

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February 23, 1996

Policy Studies Report No. 5, 42 pp., \$5.00 per copy

What it Takes to "Get to Yes" for Whole Farm Planning Policy

A New Release from the Wallace Institute

"Whole farm planning" evolved as a holistic management approach to the integration of farming objectives with agroenvironmental goals, and it is practiced in various forms by a number of American farmers. Recently, this environmental farm management concept has cropped up with increasing frequency in farm and environmental policy contexts. A congressional bill for the Clean Water Act's reauthorization proposes to excuse practitioners of whole farm planning from certain clean water regulations. In New York, farmers are paid to implement whole farm planning in a unique, cooperative, and cost-savings effort to reduce agricultural runoff into drinking water sources. The USDA's Natural Resources Conservation Service has launched pilot programs with whole farm planning as a centerpiece for federal technical and financial assistance. Despite these developments, many questions remain about just *how*, and with what consequences a farm management approach can effectively be transformed into a policy tool through legislative or administrative actions.

What it Takes to "Get to Yes" for Whole Farm Planning Policy takes a comprehensive look at whole farm planning (WFP) in a policy context. Authors David Ervin and Katherine Smith ask what goals should guide WFP policy, who will lead WFP policy implementation, what incentives will stimulate WFP, and how WFP policy performance will be monitored, reviewing the full range of options that emerge for each of these key policy decisions.

The new report also contains the results of a round table exercise in which a diverse group of WFP stakeholders were asked what features they believe are necessary to assure that WFP is an effective policy tool. While stakeholder priorities depend somewhat on the goals of WFP policy, general differences in priorities among farm and agricultural business, government representatives, and sustainable agriculture and environmental interest groups were quite clear. From the industry's perspective, it is most important that WFP be voluntary and producer driven. Government's priority emerged as the involvement of all stakeholders to arrive at ecosystem-based management. As a group, sustainable agriculture and environmental interests attributed relatively more importance to WFP policy's ability to account for off-farm environmental effects and achieve *measurable* progress.

Ervin and Smith conclude that four things must happen before one can expect the development of a WFP policy that satisfies varying perspectives: (1) Locally based stakeholders must be involved early in the policy design process; (2) Close collaboration is essential among federal agencies and between federal and local stakeholders, to set environmental performance targets for WFP policy; (3) The provision of some type of incentive for WFP adoption is necessary; and (4) The private sector needs to be given an explicit role in WFP policy implementation.





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News Release

April 29, 1996

Contact: Rick Welsh, 301-441-8777

Wallace Institute Releases New Report on the Industrialization of U.S. Agriculture

"Our town has a large-scale corporate hog production facility and it employs 250 people...They are helping our main street stay alive and viable. On the other hand there is a cost for having those jobs: a drop in farm numbers," concludes the mayor of a small rural town in Iowa.

This statement, taken from the new report, *The Industrial Reorganization of U.S. Agriculture: an overview and background report*, by Rick Welsh of the Henry A. Wallace Institute for Alternative Agriculture, illustrates the far ranging impacts of structural change in agriculture. Welsh discusses and outlines the causes of farm concentration, the vertical integration of farms with food processing and marketing firms, and the globalization of agriculture. He then explores, with the input of people experiencing agricultural industrialization, what these trends mean for farm households, consumers, agricultural labor, rural residents, the natural environment and agricultural sustainability.

The report concludes that if current trends continue, a bimodal system of agricultural production will dominate U.S. agriculture. An industrial mode of production will be characterized by capital intensive technology development and adoption, worldwide marketing and distribution, organizing efforts on the part of growers, food processing workers and farm workers, command and control environmental regulation and government regulation of production contracts. An alternative mode will consist of small scale farms which employ market development strategies based on locality of production, specific production practices, consumer health concerns and diversity of crop and livestock products.

Research is called for which can drive policy reform to prevent agriculture from losing its uniqueness relative to other sectors, "leaving in its wake abandoned cultures, communities and relationships long valued by the American people."



Introduction to Holistic Resource Management

Presented by:

Audrey Arner, Land Stewardship Project, Montevideo, Minnesota (Williams Bay, WI)

Dan French, Dodge Center, Minnesota (Williams Bay, WI)

Wayne Berry, University of North Dakota-Williston (Carrington, ND)

Gene Goven, Turtle Lake, North Dakota (Carrington, ND)

Summary by:

Audrey Arner, Land Stewardship Project, Montevideo, Minnesota

Holistic Resource Management (HRM) is a new management approach that is helping people — individuals, families, businesses, whole communities, urban, and rural — improve the quality of their lives and generate real wealth, while restoring the environment and enhancing biodiversity. Since land and resources cannot be managed in isolation from humans, HRM only concentrates on whole situations: whole farms, whole firms, whole communities. The whole includes the people, resource base, and the wealth that can be generated from the resource base. Once the whole has been defined, HRM begins developing a single holistic goal that includes three components:

1. The quality of life you and your group desire, based on your values
2. What you need to produce to create this quality of life
3. A description of the resource base as it must be in the future in order to sustain what you produce

All decisions are then tested against this holistic goal, using seven specific testing guidelines:

- Cause and effect
- Whole ecosystem
- Weak links
- Marginal reaction
- Energy and wealth, source and use
- Gross margin analysis
- Society and culture

The guidelines ensure the quality of life you seek is attained and that all your decisions are sustainable in the long term — humanly, economically, and ecologically.

Contents:

Introduction to Holistic Resource Management, A. Arner, p. 129

Center for Holistic Management

- Changing the Way We Make Decisions, Holistic Resource Management Quarterly, S. Halpin, p. 141
- Ordering Information, p. 143

Putting Tools in Their Proper Place, Land Stewardship Letter, B. DeVore, p. 145

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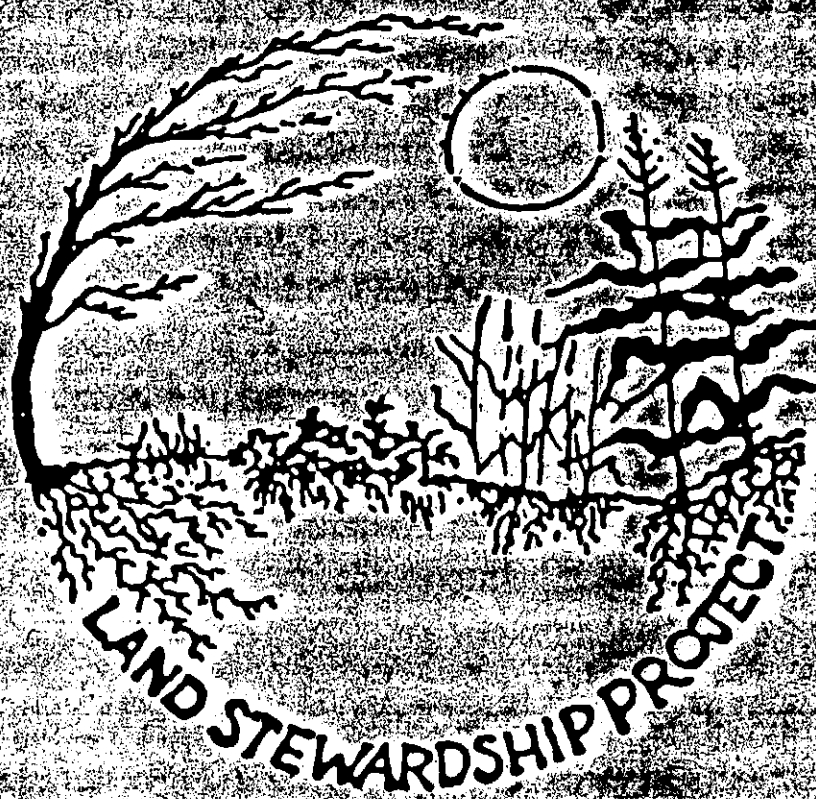
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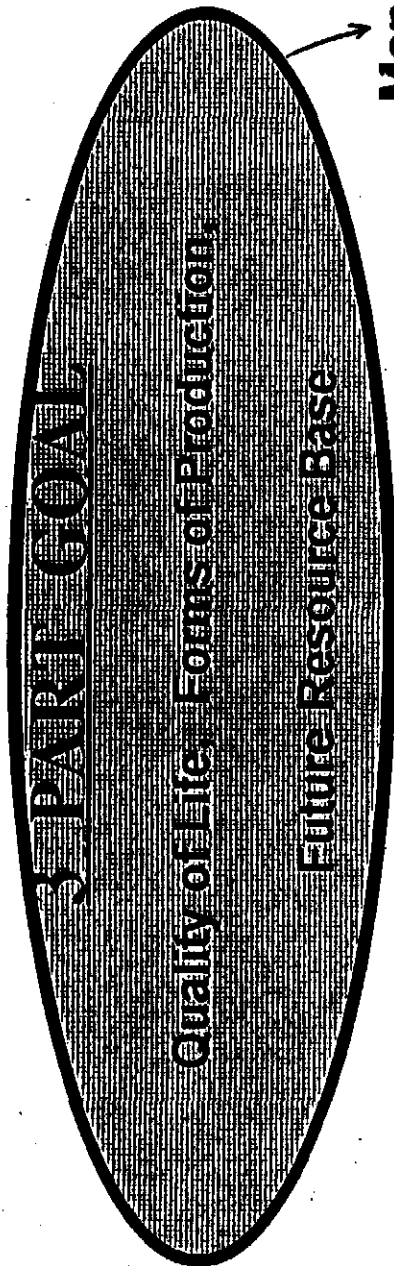
**Shared Leadership, Shared Responsibility Workshop
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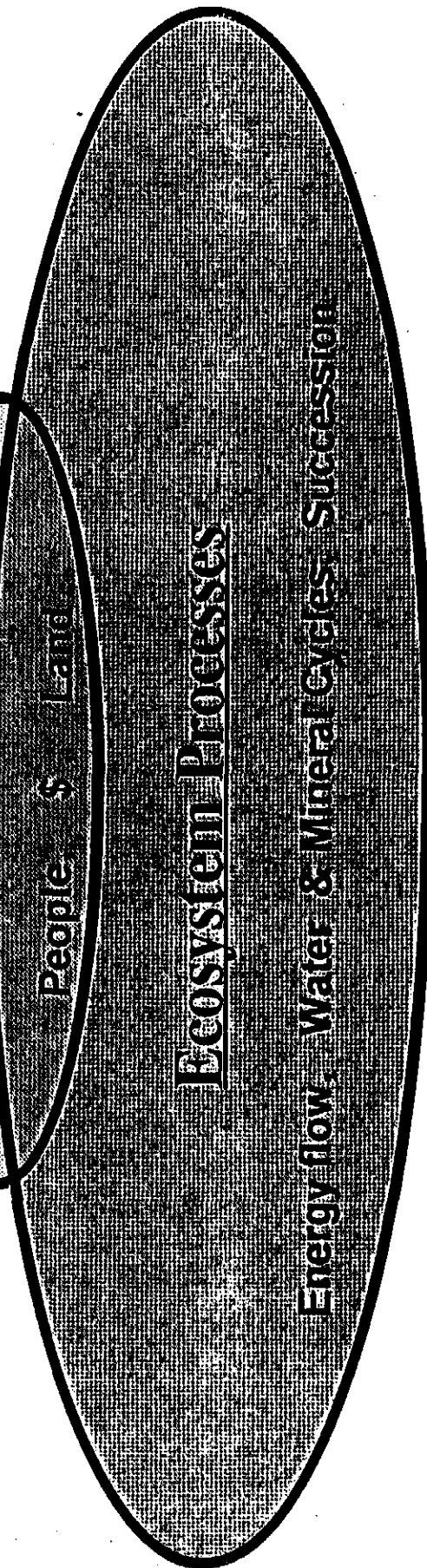
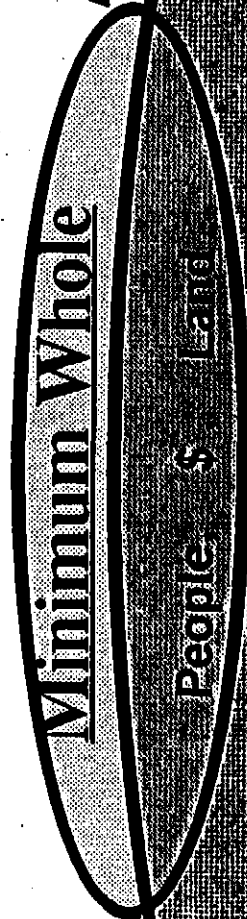
Sustainability

- ☐ Ecological
- ☐ Social
- ☐ Financial
- ☐ Weak Link
- ☐ Cause & Effect

Action

Management Guidelines

- ☐ How to Details
- ☐ Monitor
- ☐ Adjust
- ☐ Replan



5 Steps to Practicing HRM

Step 1 Painting a portrait of where we are today

- ▶ Defining the whole that we are managing.
- ▶ Defining reasons for change.

Step 2 Our relationship to the ecosystem

- ▶ Identifying the effectiveness of the ecosystem processes.
- ▶ Identifying our dependence on these ecosystem processes.

Step 3 Painting a portrait of where we want to be

- ▶ Defining a three part vision for the future.

Step 4 Brainstorm and test actions

- ▶ Brainstorming and selecting tools/actions.
- ▶ Testing the ecological, financial, & social soundness of actions.

Step 5 Plan - Monitor - Control - Replan

- ▶ Biological Plan
- ▶ Financial Plan
- ▶ Personal Growth/ Organizational Development Plan
- ▶ Monitoring and controlling the changes within the whole.

Defining the Whole

People

Who is responsible for day to day decision making? Who owns or rents land? Include family members, employees and families, neighbors, friends.

The Resource Base

Identify all the land you're responsible for managing, including land use and ownership details. Also include customer, clients, or anyone who influences or are influenced by your management.

Financial

List assets such as livestock, crops, equipment:

List liabilities such as loans and other committed payments:

Reasons for Change:

Identify the concerns or problems that you are aware of in the management of these three components of the whole.

QUALITY OF LIFE

The quality life portion of the goal should define the values and relationships. Seek the active involvement of those people you've identified in the "whole to be managed." To assist you in defining this quality of life, you need to answer the following questions.

A. What things do you appreciate most about your life today?

Identify those things that you don't want to see changed?

(List 3 - 5 items)

B. What things would you like to change in your life? (List 3 - 5 items)

C. List 3 - 5 items that society and community provide you to live the life that you choose.

D. Identify those items that you contribute back to the well-being of your community and society. (List 3-5 items)

FORMS OF PRODUCTION

Here we list those items that we must produce to sustain our quality of life. Invariably to support our quality of life requires money. To meet those financial requirements we define how we expect to be profitable.

Profit from:

In addition to profit many people also identify the quality of the product that they are trying to produce. Describe here in short statements what you need to produce to support your quality of life.

Quality of the products you produce:

FUTURE RESOURCE BASE/LANDSCAPE DESCRIPTION

Here we describe how the resource base must function to sustain indefinitely the production, which will, in turn, sustain the quality of life. If you manage land, you will need to complete a future landscape description. You should complete a description for each type of land you are managing (Rangeland; Forest Land; Cropland; Hayland; Wetlands & Riparian Areas, etc).

It is normally best to describe how the four ecosystem processes must function to support the production needed. As a classroom exercise, describe how you would like to see the ecosystem processes functioning on a unit of land that you're familiar with:



Water cycle



Mineral cycle



Succession



Energy flow

Note: Each unit of land that you manage will need such a description. Once you have a better understanding of the ecosystem processes, you will need to map out the future landscape descriptions, area by area.

RULES FOR THE FORMATION OF A HOLISTIC GOAL

- ☛ **Actively involve all the people within the whole you're managing. You may have to develop a temporary goal until you have the commitment from the whole team.**
- ☛ **Spend time to build trust and acceptance**
- ☛ **Each statement should contain what you want, it must not contain any statements on how you plan to get there.**
- ☛ **Write down each part of the vision. This vision can comprise of short statements or phrases. Fancy words, correct grammar, and complete sentences are not necessary. (Map out the future landscape description)**
- ☛ **Avoid using the word [NO] within any of the statements. Force yourself to come up with a positive statement.**
- ☛ **Begin by first defining the Quality of Life. This will provide you with a common base to work from and give you tremendous goal ownership.**
- ☛ **You must review this three part vision often. Identify the progress you're making and celebrate the journey. Clarify the statements as your knowledge increases.**

Your goal can be considered permanent when it means more to all of you than anything in life. To reach that point takes leadership, time, and commitment.

Allan Savory

SAMPLE HOLISTIC GOAL

QUALITY of LIFE

- ☺ To maintain our traditional way of life and provide the opportunity for our children to take over the management of this land if they desire.
- ☺ To develop a healthy life-style with a balance of work, play and learning.
- ☺ To live in a beautiful, peaceful setting with clean water and air.
- ☺ To be a major stabilizing influence in the community and to contribute greatly to community well being and regeneration.
- ☺ Commit to and support a loving relationship with family, and harmony with friends and neighbors.
- ☺ To have financial security and good health (mental, physical, & spiritual).

PRODUCTION

- \$ To support the quality of life defined, we must be involved in enterprises that are profitable. This profit may come from livestock, crops recreation, services, or any other enterprises that does not harm the quality of life we seek.
- \$ Products that we produce will be wholesome, natural and marketable.
- \$ Will produce an aesthetically pleasing environment that provides open space, solitude, clean air and water.

FUTURE LANDSCAPE DESCRIPTION

- ◆ **Riparian Areas, Springs:** Riparian areas will have stable banks with healthy stream side vegetation. Where possible, trees and brush will line the banks. The stream will have clean water and be free of large silt loads. Areas of pools and gravel bars will provide healthy habitat for fish, and other aquatic organisms. Springs will flow year round with clean water.
- ☼ **Rangeland Areas:** Soil surfaces will be covered with litter and growing plants, soils filled with microorganisms and high in organic matter. Soil surface will be covered with many species of grass, forbs, and shrubs. Small areas of heavy brush cover and a variety of successional stages will be planned to support a diversity of wildlife. Energy flow will be excellent in relation to time, area of leaf, and the volume of leaves available to capture sunlight.
- ☺ **Cropland Areas:** Here we will manage for highly productive living soils of great complexity. These soils will be covered with living or dead plant material. Soils will be well aerated and very high in humus. Fields will be small with a wide variety of crops and great diversity of plants and animals will be planned. Optimum levels of sunshine will be harvested within the constraints of the environment.

Changing the Way We Make Decisions

—An Introduction to Holistic Resource Management

By Sandra Halpin

Our decision-making drives everything we do—from the simplest decisions made almost unconsciously, to the bigger decisions we ponder sometimes for years before making. Every time you *choose* (or choose not) to do anything, this affects the world around you.

Most people don't spend a lot of time thinking about how they make decisions—they simply make their decisions the way humans have since the Stone Age: based on expert opinion, past experience, research results, peer pressure, intuition, common sense, cost-effectiveness, profitability, laws and regulations, compromise, sustainability, etc. And it is this process that is largely responsible for the state of the world in which we now live. Some 20-odd past civilizations have failed, and the only thing these civilizations had in common was *the way humans made decisions*.

Chaos or Complexity theorists are beginning to discover a startling new scientific truth: that extinction is not necessarily the result of natural disasters (meteors, ice ages, droughts, etc.) as we once thought, but rather, that extinction is the result of *behaviors*.

Since our actions (behaviors) are determined largely by our decisions, only through changing the way we make decisions will we truly be able to change the way we affect the world in which we live—and ensure that civilization is sustainable in the long run.

Our ecosystem is so complex that, with conventional decision-making, we cannot possibly comprehend or *predict* the myriad affects each decision we make will have

on the ecosystem as a whole.

Holistic Resource Management (Holistic Management) is the only *decision-making process* we know of that ensures each decision made is (simultaneously) ecologically, economically, and socially sound—essential to long-term stability and sustainability. Even the new “integrated resource management” or “ecosystem management” or “sustainable development” approaches, although well intentioned, still rely on conventional decision-making which we know will fail in the long run, as it has throughout history.

What is Holistic Management?

Holistic Management is a whole new management approach that is helping people—individuals, families, businesses and whole communities—urban and rural—improve the quality of their lives and generate real wealth, while simultaneously restoring the environment and enhancing biodiversity.

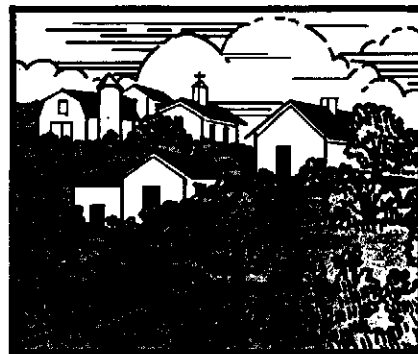
While Holistic Management itself is a relatively simple process, there are several underlying concepts that must be understood in order to practice Holistic Management.

A Whole New Perspective

Holistic Management is based on the theory of Holism, a concept first recognized and articulated in 1926 by South African philosopher and statesman Jan Smuts in his book *Holism and Evolution*. Simply stated, Holism is the idea that nature only functions in wholes, rather than “interconnecting parts”—

continued on page two

in this Issue



“Since we’re all striving for quality in our lives, we might as well figure out just what that means for us, and make sure that what we do delivers it,” says HRM Registered Educator, Noel McNaughton in his story on page 7, “Setting Your Holistic Goal – Step One: Defining Your Quality of Life”

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The CENTER FOR HOLISTIC MANAGEMENT® is a not-for-profit 501(c)(3) organization working to restore the vitality of communities and the natural resources on which they depend. This mission is carried out through a range of activities directed at:

- Sharing learning about the physical world and about restorative, creative and dynamic processes
- Generating the knowledge that real solutions are available to restore the biodiversity upon which all life depends
- Invigorating planning and decision making in communities and family operations
- Enhancing institutional, corporate, and public planning and policy making
- Increasing citizen participation in sound resource management.

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Changing the Way We Make Decisions

continued from page one

and that nature will never be understood by studying the "parts."

For example, if you were to learn everything there is to know about oxygen and hydrogen, you would still have no idea of the properties of water (which is comprised of oxygen and hydrogen). Likewise, we rarely think of a person as a mass of interconnecting parts (arms, legs, organs, etc.) but rather as a *whole* human being. This same human can exist within another whole—a family; and this whole exists within another whole—a community; and so on. Rarely would we refer to a community as a group of "interconnecting parts."

This distinction, while perhaps sounding a bit esoteric, is especially pertinent when trying to comprehend the natural world—our ecosystem. Work done by biologist Robert Paine demonstrates the importance of understanding "wholes within wholes." Paine sectioned off an area of an ocean bay containing 15 different species of marine life. Every day he removed one species—the starfish. Within a year, the total number of species in the area had dropped to eight. Removing one species (starfish) resulted *not* in a loss of one species, but instead, it interrupted a whole, functioning community—and a dramatic loss of biodiversity ensued.

As humans, we cannot possibly comprehend the myriad *relationships* occurring within wholes. To begin practicing Holistic Management, however, we need to begin thinking *holistically*—recognizing that the world only functions in wholes, and that *all* our decisions impact the ecosystem upon which our very existence depends.

Making Holism Practical

Holism is a perspective—a way of looking at the world. We can talk about Holism til the cows come home, but it won't help us learn to actually manage our lives, our land (resources), or our finances any more holistically.

Holistic Management was developed specifically to make Holism *practical*—to provide humans with the practical means to make decisions that more accurately mirror the way nature functions, and thereby ensure that our civilization is truly sustainable over time.

The Holistic Decision-Making Process

Since land and/or resources cannot be managed in isolation from the humans tied to (and dependent on) these resources, in Holistic Management we only manage in "whole" situations (whole farms, whole firms, whole communities, etc.) which includes the people, the resource base, and the wealth that can be generated from this resource base.

Once this "whole" has been defined, Holistic Management then begins by developing a single, "holistic goal" that includes three components:

- 1) the quality of life you and your group desire, based on your values;
- 2) what you need to produce to create this quality of life;
- 3) a description of the resource base as it has to be far into the future in order to sustain what you produce.

All decisions are then tested against this holistic goal—using seven specific testing guidelines—to ensure the quality of life you seek is attained, and that all your decisions are truly *sustainable*—humanly, economically and ecologically. ♪

In This Issue

It is all but impossible to learn to fly an airplane by simply reading instructional books. While this kind of learning is important, you must eventually get in the pilot's seat and *practice* flying. So, too, with Holistic Management. This special issue of the *Quarterly* is designed to get you off the ground—to give you enough information to get started. But you will only become proficient through practice.

The articles in this issue will take you, step by step, through the Holistic Management decision-making process. But Holistic Management is not a "system"—not a neat "formula" that you can memorize and "apply" precisely as the "manual" describes. In fact, there is no manual. Each holistic goal is unique; each person's experience is their own. We encourage exploration, trial and error, and discovery—after all, we learn just as much from what doesn't work as from what does.

Once you get started, it is likely you will want to learn more about Holistic Management, to deepen your understanding and enhance your abilities. There are several avenues for continued learning. Feel free to call us here at the Center anytime we can be of assistance to you on your lifelong journey. And with that, happy flying!

—Sandra Halpin

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The Land Stewardship Letter

Keeping the Land and People Together

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MAY/JUNE 1996

Putting Tools in Their Proper Place

Holistic Resource Management can help maintain the ultimate agricultural balancing act: people, land and capital.

By Brian DeVore

"But lo! Men have become the tools of their tools."

— Henry David Thoreau, *Walden*

There's little doubt Mr. Thoreau wasn't big on having a lot of extra gadgets laying around his modest home on Walden Pond. But what would that cranky 19th century minimalist have thought about an 18-foot gooseneck livestock trailer being pulled by a four-wheel-drive pickup truck?

When Tom and Irene Frantzen bought such a rig in 1982, they considered it a necessity for getting livestock such as hogs to market on a regular schedule. But a couple years ago, the northeastern Iowa farm family came to a harsh realization: the truck and trailer were taking more resources from the farm than they were giving back. From an economic point of view, operating the setup was costing more than \$1 a mile because of high maintenance. It was also diminishing another valuable resource on the farm: the family's quality of life. Tom hated auto maintenance chores about as much as the three Frantzen children disliked cleaning out the trailer. Finally, time spent working on and driving the truck-trailer rig was time away from managing the farm. The Frantzens raise crops and livestock on 336 highly diverse acres using management-intensive, sustainable methods.

After considering all these factors, the



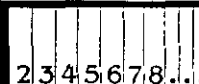
The Brian and Carol Schultz family (see page 11) is using Holistic Management to balance their quality of life with profitability and environmental sustainability (photo by T.L. Gettings).

family got rid of the setup and now hire all of their livestock hauling done.

"Now the minute we have that trailer gate closed, we turn to managing the farm," says Tom.

They replaced the hauling rig with a cart that's pulled behind a tractor. It's used to transport livestock to parts of the farm that provide good grazing but were too out-of-the way before to be utilized. At first glance, it may appear that the Frantzens simply traded one tool for another. But the way the family sees it, they dumped a tool that was getting in the way of sustainability for one that's helping them reach that goal. The new cart helps add value to the farm through

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better utilization of grass (and thus solar energy). Grazing also makes more efficient use of the family's time.

Considered separately, all the factors surrounding the way the Frantzens had been handling livestock may not have led them to make changes (sorry, but an aversion to pitching manure out of a trailer doesn't tip the scales by itself). But the family did something that isn't common on modern farms when a major decision is being wrestled with: they put quality of life and ecological sustainability on the same level as financial health. As a result, when considered as a whole, it became clear the use of the truck and trailer weren't helping them reach the goal of being economically, socially and environmentally viable.

That conclusion came after the family sat down and ran the usefulness of the setup through a unique decision-making process called Holistic Resource Management (HRM). Tom says for the past four years, HRM has proven to be an invaluable ally in helping the family take a look at the farm from a big-picture perspective and then determining which tools are helping them make it sustainable, and which are getting in the way.

Perhaps Thoreau wouldn't understand a trailer with a goose's neck, but he'd surely approve of a system that takes a hard look at the necessity of such a tool.

No Lone Ranger ammo

In general terms, Holistic Resource Management is a process of determining what resources are available, establishing a clear goal and then making decisions based on seven "testing questions." A user of HRM constantly monitors progress being made toward the goal, making adjustments along the way to help reach it. HRM is no silver bullet for failing farms. In a way, it is nothing more than a tool for using tools.

"I look at HRM a lot like a computer," says Brian Schultz, who uses the management tool on his southern Minnesota crop and livestock farm. "It really doesn't do anything new. It just puts it in a format that more people can use."

A recent cartoon in one of those glossy, urbane magazines captured the essence of what happens when people begin thinking holistically. It shows a disheveled man explaining his situation to a woman: "No, I like my job. I like my apartment. I like my friends. I like our

relationship," he says. "I'm just not sure I like what it all adds up to."

Figuring out ways of paying attention to "what it all adds up to" is the central thesis of Holistic Management. In the world of HRM, everything — from a family member to a field to a watershed — is part of a greater whole. Thus, any decision that affects one aspect of this whole, has some kind of impact on the rest. "Holistic" is a philosophical term with Greek origins, and is often mistakenly thought to have religious, "new age" connections. Frankly, if it had been spelled "whole-istic," there would probably be a lot less confusion.

HRM has captured the attention of proponents of a more sustainable food and fiber production system in recent years because of its ability to help farmers through the tough decision making required to step out of the mainstream. Its creator, Allan Savory, did that back in his native Zimbabwe while trying to figure out a way to balance economics and social needs with protection of southern Africa's wilderness.

Savory imported this philosophy to America in the early 1980s, and until

HRM gathering in Aug.

The Land Stewardship Project will be co-sponsoring the 1996 Center for Holistic Management International Annual Gathering, Aug. 16-17 in southeast Minnesota. This event will feature sessions at Rochester's Kahler Hotel and bus tours of area farms practicing HRM. For more information, contact Audrey Arner, LSP, 103 W. Nichols, Montevideo, MN 56265; tele. — (320) 269-2105.

relatively recently it has been used mostly by western cattle producers looking for ways of profitably grazing fragile range lands. Savory is a proponent of using a resource available to all farmers and ranchers — solar energy — as efficiently as possible. It's no surprise then that many of the early HRM practitioners used planned grazing, a method of livestock production that rotates animals among paddocks so they can harvest their food and spread their manure in a more natural, low-input way. As HRM spreads in the Upper Midwest, it brings with it that emphasis on elements of sustainable grazing methods.

But HRM and grazing are not inseparable. Grain farmers, fruit and vegetable growers and even timber producers are

using the decision-making model. People concerned about stemming sprawling growth and using land in a more sustainable manner find HRM to be a valuable tool. In fact, enterprises such as colleges and at least one ballet company have also adopted this management philosophy.

On the same level

But one of the most exciting uses of Holistic Management is in the realm of sustainable agriculture. One significant shortcoming of modern farming is the tools of production often become barriers to sustainability. An example of this is when the extra profit a bigger tractor is supposed to produce through increased productivity gets eaten up by its high initial cost and maintenance expenses. This also happens when a new herbicide increases yields but reduces the quality of life of family members and their neighbors by damaging the environment. In one sense HRM can be an enforcer of one of the golden rules of sustainable agriculture: the solution to one problem should not create new ones along the way.

But farms are complicated organisms, and to realize how one decision can impact everything from profitability to time spent with children to water quality miles downstream requires the ability to look at the operation as a whole, rather than as a series of independent enterprises.

When making decisions, HRM practitioners do just that by taking into account people, capital and their natural resource base. That recognition of the value of *all* resources on an operation is crucial for families working to stay on the land and pass it on to subsequent generations, says Barry Kurtz, a farm business management instructor in southeast Minnesota. He recently took an HRM course because many of his clients were using it.

Kurtz says too many times quality of life issues such as family relationships are overlooked in an attempt to keep a farm financially viable. But to be truly sustainable, an operation cannot separate its cash flow and water quality from a family's ability to communicate.

"I think farm families are going to have to think about it that way if they are going to survive," says Kurtz. "The large farmers are going to be so competitive I think that small farmers are going to have to become efficient by taking everything, the whole, into account." □

Entrepreneurship and Marketing in Sustainable Agriculture

Presented by:

Juli Baker, Center for Rural Affairs, Montello, Wisconsin (Williams Bay, WI)

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Summary by:

Charles Francis, University of Nebraska-Lincoln

Entrepreneurship in agriculture is seen as one of the most accessible and immediate ways for farmers, ranchers, and rural communities to reap a greater portion of the value from their products. In the Midwest, our continuing focus on feed grain production locks us into a business that depends on purchased inputs that increase in price each year while what we sell has a value that is determined by world markets, international currency exchange rates, decisions made by national and multinational corporations, and weather in many parts of the globe. All of these factors are operative beyond the farm gate, and most beyond the community and region. One approach to getting a larger portion of the food dollar back onto the farm and into the community is to develop value-added products and improved marketing skills.

Marketing is a highly competitive arena, but the local farmer, rancher, and people in the nearby community have obvious advantages in sales within the immediate area. Most urban and rural dwellers are anxious to promote local business if given a chance and if the products meet acceptable quality standards. Every dollar spent in the local community circulates several times. This money distribution is another benefit of what could be called a bioregional food system. The closer to home the value is added to a product, the more of this value accrues to families and to the community.

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Developing Entrepreneurial Opportunities

Richard H. Buskirk
Courtney Price
R. Mack Davis

Premier Entrepreneur Programs
Denver, CO

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Traits of Successful Entrepreneurs

Fourteen traits will be discussed. Some are so self-evident that little need be written about them, except to recognize them. Others require more explanation. They are not all of equal importance and there is some overlap among them. We'll try not to be too tedious about this listing, for it does have overtones of a sermon.

► Desire

Unquestionably, you will not be a successful entrepreneur unless you want to be one most fervently. If you don't want success rather badly, you'll not likely do the things it takes to be successful. Desire is the foundation that supports most of the other characteristics that follow. Successful entrepreneurs almost universally report that they wanted to be their own boss so badly that they could "*taste it*." Many of them report that they just cannot stand working for other people. They rebel at authority. They don't take orders easily. They just want "*to do their own thing*."

Example: A group of physicians seeking to escape their problems with malpractice insurance were considering a new venture that looked quite promising, according to the business plan that had been prepared by one of the large accounting firms. The group met for a kickoff meeting. The money was in place. No problem! The management team, experienced in the industry, was in place. No problem!

Big problem...the doctors were not at all sure they wanted to be in that business. They all walked out of the room at the end of four hours, firmly convinced they were doing the right thing—fold the enterprise. They had no business going into the venture with their attitudes toward it and their real lack of dedication and desire for the venture's success.

► Initiative/Aggressiveness

In the entrepreneurial world, nothing happens unless you make it happen. You start everything. If you don't, your world just sits there running up bills. You must have the initiative to begin operations. No one will do it for you. It is not by mere coincidence that our favorite retort to the person who relates to us some wonderful idea is, "DO IT!"

Entrepreneurial Characteristics

Don't talk about it, do it. The world is full of talkers while doers are scarce. Often we encounter some successful entrepreneur whose main claim to fame is simply that he or she took action, plunged into business and worried about it later. Truly, initiative has to be one of the key characteristics of successful people.

Of course, unsuccessful people also had initiative; they went into business, but did not do well. Yes, they did show initiative. But that is not enough. Initiative is a daily, even an hourly, matter. There are all sorts of things that require action. You must do something about them. You must initiate action. Many unsuccessful business people procrastinate about taking action on critical matters. *"It will wait. No need to hurry."* Many things won't wait and there is often a need to hurry. Customers don't favor firms that don't come after their business. As Tom Horton, founder of the publishing firm of Thomas Horton and Daughters, said, *"Everything I have I owe to being ten minutes early."*

Perhaps, the most single show of initiative an entrepreneur makes each day is the simple act of rolling out of bed in the morning. Successful ones hit the deck early and running, looking forward to the challenges ahead. They "take care of business," all business, and know that no one else will do it for them.

► Energy

Energy levels obviously vary tremendously among people. Sometimes it is a matter of health; healthy people definitely have more energy than those who suffer from some malady. Here is not the place to extol the virtues of living a healthful life, but be advised that your health is a vital factor in your success. Sometimes energy seems to be more a matter of temperament. Some people are just "laid back." They don't care to exert themselves any more than necessary. Such people should avoid entrepreneurial endeavors. High energy levels seem to be most common among successful entrepreneurs. They just can't sit still for a minute. They must always be doing something. Often just having one business going is not enough; they will have several going at the same time. When a business becomes boring, they sell it to go look for some new action.

► Low Support Needs

When you work for the typical large corporation, you are surrounded with people ready to support your activities. You have secretaries, researchers, accountants, and all sorts of staff lackeys to assist you with whatever mission you have been charged. As an

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entrepreneur, particularly a beginning one, you have little support. You're it.

One new entrepreneur, when asked what skills were required to start a business, replied, *"You'd better know how to type. I've got to do my own letters."* Unfortunately, some people just cannot operate on their own. They have been pampered too long in large organizations. One of the commonly observed weaknesses in people who leave the corporate world for entrepreneurial endeavors is that they just don't know how to operate in their new environment. They don't understand that few entrepreneurial enterprises can afford much in the way of staff support. In trying to institute their habitual way of managing upon the entrepreneurial organization, they can do much damage.

► Thrives on Ambiguity

Structure and certainty are seldom found in the entrepreneurial world. You must exist and prosper in an environment that is confusing and has few answers. There are so many alternatives from which to choose and few people to tell you which to select and which to shun. Ambiguity destroys many people. They just cannot work in an unstructured environment that continually bombards them with so many confusing clues about what to do. If you cannot accept the ambiguous world as it is and thrive in it, then stay out of your own business. Bear in mind that the true entrepreneur loves ambiguous situations for they present great opportunities for exploitation. While others are frozen into inaction by the confusion, entrepreneurs plunge into the maelstrom with confidence that somehow they will find ways to cope with whatever problems they encounter.

► Perseverance

Call it perseverance, mental toughness, determination or what you will, successful entrepreneurs are determined to win, to be successful.

This creates a sticky problem: when should good judgment prevail over determination to fold a failing endeavor? Yes, there comes a time when it is folly to continue to bang one's head into a stone wall. But when is it? And who's to say that the wall is of stone? The problem is really not so difficult if we put one's goals into proper perspective. While one's determination to be successful may remain unchanged, the route taken may be altered as road blocks appear. The entrepreneur's basic determination is to achieve some fundamental goals, and is not attached to any particular means for reaching them.

Entrepreneurial Characteristics

But even in the matter of goals, some qualifications are necessary. What about people who aim for goals they are incapable of realizing? No problem. Who are we to pass judgment on what a person can or cannot do. Let the market make that judgment. The business world is full of successful people who never in their wildest dreams foresaw the eventual success they enjoy.

Nothing in the world can take the place of persistence. Talent will not; nothing is more common than unsuccessful men with talent. Genius will not; unrewarded genius is almost a proverb. Education will not; the world is full of educated derelicts. Persistence and determination alone are omnipotent. The slogan 'Press On' has solved and always will solve the problems of the human race.

Calvin Coolidge

Determination is one of the key factors that lead to a winning attitude. You must make up your mind that you will not be beaten. You will not allow that to happen. Entrepreneurs report time and again the only thing that forced them to make a success of their business, when it looked hopeless, was that they just could not allow themselves to become a loser. Success was the only alternative.

► Responsibility

Winners realize that if they are to be successful, they are the only ones who can make it happen. No one else is going to do it for them. Until you accept full and total responsibility for your future, you'll not have much of one.

Successful entrepreneurs are so used to taking full responsibility for their lives and everything around them that they think little about it. It comes naturally. They are unlike the hordes of people in large organizations who spend most of their days avoiding responsibility.

► Problem Solving

If you don't like solving problems, particularly ones about which you may know little, then an entrepreneurial career might be difficult

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for you. Often the owner of a business spends most of his or her time troubleshooting, trying to locate the problems that are plaguing the business and then doing something about them.

Some people thrive on problem solving. Others seem to be worn down by the constant strain of conflict and frictions that result from an ongoing series of problems. The person who is not able to face problems and solve them in stride, without allowing them to affect them personally, will be unhappy in entrepreneurship.

► **Persuasive**

Successful entrepreneurs are usually persuasive people. They must persuade other people to do all sorts of things for them: lend them money, work hard for them, buy from them, and sell to them on favorable terms. Persuasion is their main tool. If you are not adept at the art of persuasion, then make certain that you have someone on your team who is. You must have selling skills in the organization.

Note that negotiating skills are just one application of persuasion. Certainly, you must be an able negotiator to be successful in business. You cannot make bad deals and survive for long. The key to negotiation is persuasion. You must persuade the other party to make the deal you want, the deal you need. You must sell your thoughts to the other person. If you feel that you haven't the necessary skills, cheer up. They can be learned if you really want to do so.

► **Self-Discipline**

There are many things that must be done in business which you will not want to do for one reason or another. Some things are just not the type of work you enjoy; perhaps keeping control systems updated is one of them. You must be able to force yourself to do what must be done. The very act of rolling out of bed in the morning may take considerable self-discipline. Just remember, if you can't control yourself, who can?

► **Value of Money**

It is difficult to be successful in business if you pay too much for the things you buy and fail to get enough for the things you sell. You must know value; i.e., the value of money and the value of things. Many successes are based on buying right. If you buy low enough, a profit is insured.

Many failures result in startup ventures when the entrepreneur

spends far too much money on things that have little bearing on success: fancy cars, post offices, big plants, and high living. Successful entrepreneurs, in their early years, are usually careful with their money. They work hard for it and appreciate it.

► **Self-Confidence**

If you aren't confident of your abilities, you aren't apt to go into your own business. It takes a great deal of self-confidence to break away from the pack and go it alone. So it is not surprising to find that most successful entrepreneurs reek of self-confidence. It can also lead to disaster. They can be so confident of their abilities that they come to believe they can be successful doing most anything. Few people are that talented.

The problem arises that initially most people lack self-confidence. The unknown, the future, is somewhat fearful to most rational people. However, the big difference between entrepreneurs and others is that the entrepreneur is able to control these fears and go ahead with the venture. They believe in themselves and have confidence that somehow they will solve whatever problems arise. They don't become paralyzed with fears.

► **Ego Development**

Closely akin to the previous trait of self-confidence, ego development relates to what successful entrepreneurs think of themselves. They like themselves very well, thank you. They are proud of what they have done. They often have well developed egos which can be a problem. Some become difficult to work for. Others come to think that they are always right. While a healthy ego is a good thing, too much of a good thing may not be. A little humility will maintain the balance.

► **Market Awareness**

Entrepreneurs are aware of what is going on in the market. They are attuned to it. They take their directions from the market. The "Marketing" chapters will make much of this critical aspect of business.

Some people claim that perhaps entrepreneurs' most significant discriminating characteristic is their sensitivity to market opportunities. It is true that many people can be surrounded with tremendous market opportunities, yet fail to perceive their existence. One mark of entrepreneurs is that at every turn they see an opportunity to make some money.

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Unfortunate Entrepreneurial Traits

Obviously, characteristics opposite to those previously discussed as being conducive to success in business would be unfortunate. There is no need to cover them here for they are implied in the previous discussion.

► Greed

Entrepreneurial greed can take several forms. Some people are so greedy that they will not share their success with their employees, the ones who helped them be successful. By refusing to pay their employees what they are worth, they lose them, or worse, they are "*ripped off*" by them. Stories abound of successful entrepreneurs whose key people left to form competitive enterprises when the boss refused to "*cut the melon*."

Another form of greed manifests itself in the person who is so eager for profit that he or she won't provide the potential customers with sufficient value. Perhaps product quality has been sacrificed for a few cents more margin. Perhaps the level of service has been lowered to save a few dollars. Whatever the case, the greedy entrepreneur often fails to give the customer sufficient value for the money, thus doesn't do much business.

And then there are the people who are so greedy they never are content with the success they have. While these people may successfully widen the scope of their activities, more often than not such greed pushes them into all sorts of endeavors in which failure awaits.

► Dishonesty

Throughout this book we stress the importance of credibility to your success. In our business system, all sorts of wonderful things can happen to you if other people trust and believe in you. If they don't, you'll have a difficult time. The annals of business are overcrowded with examples of successful people whose careers were ruined by one act of dishonesty. The cynic might hasten to add, "*...that was discovered*." However, it has been our observation that dishonesty has a way of becoming habitual, thus eventually discovered. The banker "*borrows*" some money from an inactive account and gets it back undetected. No one ever knew. So the next time the banker needs money, what is apt to happen? Each time it gets easier, and perhaps

greed moves in to join dishonesty and he takes more. Sooner or later, the banker is discovered.

Example: One distributor, who sold beer to the PXs on military bases, found out one day that he could easily bill them for beer he did not deliver. He got away with it for several years and made a lot of money doing so. Now he is spending some years as guest of the government. He had to get caught sooner or later.

► Paranoia

Repeatedly, would-be entrepreneurs walk into my office with some statement such as, *"I need your advice. I have a product which is a real winner. I can't tell you anything about it because it can be stolen too easily. However,..."* The guy really can't talk to anyone for fear his idea will be stolen. My only reply can be, *"Good-bye. I can't help you if I don't know what you are talking about."*

A variation of this ploy is the person who walks in with a batch of legal papers to sign before he discloses the concept. They are always shocked when I shake my head and return them unsigned saying, *"Why should I sign anything like this? I didn't ask you here."* They always mumble something about their lawyer saying it was the way to do it. The lawyer was right if they were dealing with someone who was motivated to sign the agreement, which is a valid way to protect your concepts when dealing with others who want to learn of your concept.

However, some people are so fearful of being cheated that they cannot deal with other people. Their attitudes are so antagonistic that they get little cooperation from them. And one needs cooperation, lots of it.

But let's not be naive about this matter of protecting your concepts. There are situations in which you would be a fool to disclose your materials without some sort of signed legal agreement.

► Poor People Judgments

It is difficult to be successful in business without help. We use other people—associates, employees, investors, suppliers, and customers. Yet, many failures have resulted from misjudging them. Perhaps they were not as talented as first thought. Perhaps they did not

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have the talents required for the job. Perhaps they were dishonest or lazy. Whatever, people often just do not live up to one's expectations. If you have somehow associated yourself with the wrong people, you'll have some sleepless nights. Rare is the person who cannot recall some painful experiences dealing with unfortunate selections of associates.

On the other hand, an ability to pick the right people is a most valuable skill. Work on it! Try to ignore characteristics in people that are really irrelevant to the tasks they are supposed to do for you. Focus on the person's accomplishments in life, not on appearances. Try to ignore words and evaluate deeds. Above all, prize integrity. No matter the skills an associate possesses, if integrity is lacking, little good will come from the association.

► Impatience

Often it simply takes time, a great deal of time to develop a new enterprise. Some things simply cannot be rushed. It may take you a year to perfect your product, and that delay absolutely drives you up the wall. Often we have heard people say, *"Well, I'll give it a year and if it's not successful, I'll go back to my old job."* Our advice is, *"Stay put. You'll simply waste your time and money, as well as others, with that attitude."*

On the other hand, this is not to say that the entrepreneur should not do everything possible to expedite the development of a new enterprise. Patience should never be used as a cop out to advance the venture. The successful entrepreneur pushes, pushes and pushes some more. The thoughts that must be understood here are that despite all the pushing, it still takes time for the results to manifest themselves. Just because you're working yourself to death and pushing, does not mean results will automatically land at your feet. You may work hard on a large account for six months before seeing results from your efforts.

Moreover, impatience often causes one to do things, take actions, that later prove unfortunate. In your impatience to get an order from a customer, you may grant a price concession that you cannot live with. Your impatience may cause you to hire the wrong people. In your impatience to get your store open, you may sign a disastrous lease. The wise entrepreneur simply cannot allow eagerness to overrule good business judgment.

Patience can be learned. Once you accept that certain things and/or people take longer than you expected, you'll reduce your anxiety and increase your sleep at night. And, too, you'll learn the merits of the old saying, *"Anything worthwhile is worth waiting for."*

► **Lack of Business Know How**

A great many entrepreneurial disasters can be traced solely to the lack of business knowledge. The entrepreneur simply did not know enough about the business venture to be successful. There is a tremendous body of knowledge to be acquired in any line of endeavor. If you don't know how to grant credit wisely, you're apt to lose your enterprise quickly to bad debts. If you do not know how to establish needed control systems, surely disaster is likely around the corner.

► **Lack of Control Systems**

Studies of business failures clearly indicate that one of the biggest causes of bankruptcy is the lack of control systems in the business. The entrepreneur simply did not know how to control costs, control inventories, control cash and control people. Often the accounting systems are either non-existent or a bad joke.

The root of the problem is that the so-called entrepreneurial personality hates control systems. Many entrepreneurs hate to be controlled. They want their freedom. They want to do as they please. Well, that sounds like fun and a most delightful existence, but it doesn't work in the business world. Good businesses are controlled economic activities. You must have control over your costs and your monies and the things you own. If you do not understand control systems and the need for controls, you'll have some unfortunate experiences in the entrepreneurial world.

Conclusion

Much can be learned by studying the characteristics of successful entrepreneurs. While we are often criticized for giving so much attention to the topic, our defense is simple. We believe that the real basis for your future success lies within you, not with the business techniques with which you will be supplied.

Entrepreneurial Internet Resources

WEB Page Title	Site Description	URL Address
Solution Site	Microsoft provides solutions and possibilities for your business	www.microsoft.com/smallbiz
Entrepreneurs on the Web	Business information with links to magazines and journals, government and laws, financial help, service and opportunities, and regional and entrepreneurial organizations	www.eotw.com/
Business Resource Center	Resource for those who are starting or want to better market their business	www.kcilink.com/brc
Idea Cafe	A fun site for planning and ways to improve your existing business	www.ideacafe.com
Small Business and Effective Web Marketing Center	Links to articles about Internet marketing and the use of your business' homepage	www.garlic.com/rfwilson/webmarket/introart.htm
SBA	Learn to start your own business, finance it, and expand	www.sbaonline.sba.gov
Entrepreneurial Edge Online	Online magazine with information about advertising, companies on the move, and legal advice	www.edgeonline.com
Nebraska Business Assistance Center	Nebraska information on business, tax incentives, and the Small Business Administration	www.ded.state.ne.us/assist/assist.html
Let's Talk Business Network	Join the network of entrepreneurs at this "one- stop entrepreneurial community"	www.ltbm.com
AT&T Small Business Info	Learn how to do business on the Internet, links to 800 directories, consulting services, advertising and much more	www.att.com/worldnet/busguide
US West: Your Small Business	Information on accessibility, managing calls and smart choices	www.w3.uswest.com/SBG.HTM
From Product to Profit	Assisting entrepreneurs with key business decisions	foodsci.unl.edu/fpc/market/ent.htm
Dr. Stork's Software Small Business Links	Over 35 links for more than you ever wanted to know about small business from finance to wholesale information	www.goodnet.com/%7Elapke/sblinks.htm

QUEST Internet	Assistance for entrepreneurs in providing businesses with funding options critical to their success	www.briweb.com/quest/index.html
Center for Rural Revitalization and Community Development	Learn about the programs offered and issues in small business involving Nebraska	ianrwww.unl.edu/ianr/agecon/rural/index.htm
Small Business Development Center	National research network for small business owners	www.smallbiz.suny.edu/
Small Business Advancement National Center	Hot picks and links to help your small business -- "...Small Business is Our Business..."	www.sbanet.uca.edu/
Center for Family Enterprise	Learn about how to ensure the survival and growth of your family firm	gwis2.circ.gwu.edu/~cfe/
C-D ROM Outlet	Business and finance titles- order right from the web page	shoplet.com/cdrom/business.html
V.F. Vokey Small Business Services	Information about accounting, business plans, payroll, resumes, and more	www.webcom.com/morandan/Northside/Vokey/welcome.html
Western Entrepreneurial Network	Find out how WEN is helping to create economic independence in the West, along with entrepreneurial training	www.cudenver.edu/public/WEN/
Small Business Resource Center	Compilation of a variety of useful information for entrepreneurs everywhere	www.webcom.com/seaquest/sbrc/welcome.html
Virtual Corp	"Your Online Power Station." Sales, marketing, finance, law, development	iaw.on.ca/vc/vcindex.htm
DeGroot Directions for Small Business Success	"Would having more customers and more sales help your dreams?"	www.sdinter.net/%7Ekdegroot/
Small Business Trade Show Success	Setting show goals, exhibits, contacts and more	www.salesplus.com/trade.html
Resources for Desktop Publishers	Book titles and summaries on small businesses and working at home	www.nlightning.com/dtpsbiblio.html#smallbusi
Advanced Business Consulting Ltd.	Small and home based business articles - read them on-screen	www.webster.sk.ca/users/aic/articles.htm
Inventions & Patents	Information on laws, success stories and Q & A's	patpending.com/patents/

Broadcast E-mail Marketing	Use this site for designing your complete electronic marketing package	www.aracnet.com/~starr/bulk1.htm
Worldwide Entrepreneur World	The business Showcase on the www -- ads, business directories, mail listings	worldentre.com/

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The Role of Marketing in Sustainable Agriculture

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The term sustainable agriculture has been defined in many ways (Allen, et al., Lockeretz, Smit and Smithers). However, most definitions seem to agree in defining sustainability as a characteristic of performance of agricultural systems as a whole rather than attempting to define sustainable agricultural practices, methods, or enterprises. In general, it can be argued, a sustainable agriculture must be ecologically sound, economically viable, and socially responsible (Ikerd, 1994).

Past emphasis on the economic dimension of sustainable agriculture has focused on reducing costs by reducing purchased inputs. Economic comparisons of conventional and sustainable farming systems, for example, have assumed that farmers will continue to produce the same basic commodities for sale in highly competitive national and international agricultural markets. Yields and costs per unit of production are compared for conventional and alternative systems (Ikerd, Monson and Van Dyne, 1992; Repetto and Faeth, 1990; Pimentel, et. al., 1991). Any differences in commodity prices among alternative scenarios are attributed to differences in production levels and market supplies (Knutson, et al., 1990). For example, organic price premiums are either ignored or treated as transitory advantages that will be eliminated by competition (Dobbs, Leddy, and Smolik, 1988; Dobbs and Cole, 1992). However, enhancing market value may be even more important than reducing costs in making ecologically sound systems of farming both economically viable and socially responsible.

A recent comprehensive grassroots assessment of research and educational priorities identified "lack of marketing alternatives" as the key constraint to more sustainable agricultural systems in the southern United States (Worstell, 1995). Marketing has been identified consistently as a priority issue in calls for research and education proposals by Sustainable Agriculture Research and Education (SARE) programs in all regions of the country. However, relatively little useful marketing information has been developed or provided to farmers to assist in their quest for sustainability. Much of the marketing information that has been provided has focused almost exclusively on value-added and niche marketing as strategies to increase profits rather than enhance the overall sustainability of food systems (DeLind, 1994). Relatively little attention has been given to marketing as a means of enhancing overall agricultural sustainability.

The Industrialization of Agricultural Markets

Questions of sustainability arise primarily in relation to the consequence of industrialization. An understanding of this linkage between sustainability and

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industrialization is critical in planning for a sustainable future, regardless of whether the specific subject is marketing, production, or public policy. U.S. agriculture was industrialized to support industrialization of the economy in general. At the turn of the century, America was an agrarian society. Most of our total resources were spent on the necessary tasks of feeding and clothing ourselves. People had to be freed from producing food and fiber to provide workers for the factories and offices of a growing industrial society. The costs of food and fiber had to decline if consumers were to have discretionary income to buy the things that the factories and offices would produce. Agricultural industrialization was a logical means for meeting both objectives.

U.S. agriculture was mechanized, specialized, routinized, and otherwise industrialized making it possible for fewer people to feed more people better for less money. Industrialization began in earnest when tractors replaced horses as sources of power on U.S. farms. The agricultural sector has been among the last to become fully industrialized, but the driving force of change has long been to make farms perform as factories without roofs with fields and feed lots operating as much as possible like factory assembly lines.

The industrial approach to marketing is mass marketing to support mass production. Factories must turn out large quantities of identical, or quite similar, units to achieve the economies of scale associated with assembly-line production. Automobile manufacturing is a prime example of industrial production, and the black Model T Ford is still the "classic" industrial product. Today, automobiles come in a variety of sizes, shapes, colors, and extras, but they are still, with few exceptions, basic commodities produced for mass markets. Millions of dollars are spent on advertising to ensure that masses of consumers will be willing to drive automobiles that can be mass produced by industrial methods. Farms, like factories, produce large quantities of basic commodities -- corn, wheat, soybeans, hogs, cattle -- for mass markets. Agriculture is promoted among consumers as a supplier of low-cost, basic food stuffs to feed the hungry masses.

Industrial strategies of the past century were highly successful in reducing the claim of food and fiber production on the nation's human resources. For example, the 1895 Yearbook of Agriculture indicated that 42 percent of people in the U.S. were employed on farms in 1890 (USDA, 1895). This compares to less than 2 percent of the total U.S. population living on farms a century later. In addition, those living on farms today earn more than half of their income from non-farm sources (USDA, 1990). U.S. consumers now spend just over 11 percent of their income on food, and farmers get only about 22 cents out of each dollar spent for food (Dunham, 1993). About half of the farmer's share goes to pay for purchased inputs, leaving the farmer little more than a dime out of each dollar spent for food.

Paradigms, such as industrialization, become dominant because they are found to be capable of solving problems that previous paradigms could not solve (Baker, 1992). The industrial era, in general, was fostered by a host of interrelated and complex developments, including access to large supplies of affordable fossil fuels. The industrialization of agriculture was made possible by these same developments, but was driven by the nation's necessity for fewer farmers to feed more people at a lower cost. The industrial paradigm succeeded. Food is cheap in the United States, and the farmer's share of food costs is even

cheaper. Farmers and other rural people have been freed from the subsistence living that characterized earlier times. The problems agriculture was industrialized to solve have been solved. If farmers took nothing for their part in food production, average cost of food would only be about ten percent less. And, there aren't many farmers left to move off the farms, if there was anywhere else for them to go.

The initial logic for industrializing agriculture is no longer valid. In addition, the industrialization of agriculture has generated a whole new set of growing economic, environmental, and social concerns that may already outweigh its declining benefits. A growing number of people are looking to a fundamentally different paradigm as they search for answers to the economic, ecologic, and social questions arising from industrial methods of farming. These people need a new paradigm for the creation of economic value, a paradigm that includes marketing as well as production.

The Business of Paradigms

Joel Barker, in his book Paradigms, defines a paradigm as a set of rules that do two things: (1) establishes or defines boundaries and (2) sets standards for success and behavior within the boundaries. He uses the game of tennis as an analogy to illustrate these concepts. Tennis courts are standard in size and out-of-bounds are clearly marked. The ball must hit within these bounds to "stay in play." The ball must be struck with a tennis racket, not a baseball bat or anything else, and the ball is allowed to bounce only once before it is returned over the net.

Paradigms may be simple, as in the case of games, or extremely complex, as in the case of a model for economic development. However, the industrial model has some clearly defined boundaries. The natural environment, including the natural resource base, is considered to be "external," or out of bounds, by industrial managers. Society likewise is considered to be an "external" factor which constrains or sets bounds on what industrial firms can do. Success for an industrial firm is measured in terms of profits and growth. Within the limits allowed by nature and society, industrial firms may take a wide range of actions to maximize short run profits and long run growth. Almost anything that is possible and legal is encouraged if it leads to profits and growth.

Profits and growth are seen as a natural consequence of reducing costs and expanding market share. Industrial firms must be cognizant of consumer preferences, but they search for large groups of consumers who are willing, or can be persuaded, to buy the same basic item. Industrial firms need new mass markets to keep their production cost low and their profits up as they continually strive to expand the scale of their operation.

The new paradigm emerging under the sustainable agriculture umbrella may not be fully understood for some time to come. However, this post-industrial approach to farming is fundamentally different from the industrial paradigm in several ways. The new paradigm for agriculture clearly considers ecologic and social impacts to be "within" rather than "outside" of its boundaries. Ecological soundness and social responsibility are seen as positive goals rather than negative constraints. The new constraints or boundaries are the laws of nature, including human nature.

The new paradigm considers economic, ecologic, and social dimensions of sustainability to be inseparable. Fields, farms, communities, and societies are considered to be wholes that are made up of smaller wholes and make up still larger wholes. Thus, the approach to farm decision-making and management must be "holistic." The challenge is to comprehend the complexities of wholes rather than attempt to reduce wholes to more simple and easily understood elements. Success in the new paradigm is measured against the goal of sustainability rather than profits and growth.

Progress is seen as a consequence of serving the needs and wants of people by means that are ecologically sound and economically viable. Site-specificity is generally accepted as a prerequisite for sustainable farming. Farming systems must be matched with their natural resource base. Sustainable farming systems also must be individualistic. Management and labor requirements must match the talents, abilities, and aspirations of individual farmers. It seems logical that sustainable systems also need to be market specific. Unique sets of production resources, both natural and human, need to be matched with unique groups of consumers -- unique markets -- if systems are to be sustainable.

The new sustainable model implies greater reliance on human resources, in terms of the quality and quantity of labor and management, and relatively less reliance on land and capital. Industrial systems are management extensive, requiring fewer managers per acre or per dollar of capital investment, and little if any management input from hired workers. Sustainability systems, on the other hand, are more management extensive, employing more managers per acre or per dollar of capital investment, and more management participation from hired workers. Thus, successful farming with the new sustainable paradigm would require more farm operators, more productive farm workers, and more farm families than does an industrial system of farming.

Smaller, more diversified farms would become the norm under the sustainable paradigm. However, smaller, diversified farms will be commercially competitive with larger specialized farms only if human resources can be substituted economically for other on-farm resources and commercial inputs. By implication, farmers who succeed with the new paradigm must be more productive as "people." They cannot expect to earn a larger return for their management and labor, thereby reducing their reliance on land and capital, unless they possess unique skills and abilities. Production skills will be critical to overall ecological and economic viability. However, marketing skills may be even more important than production skills in maintaining the economic viability of smaller, diversified farms in the future. The successful employment of people in production and marketing will be critical in maintaining a socially responsible agriculture.

Much of the past emphasis in sustainable agriculture has been on reducing reliance on purchases inputs. However, as indicated previously, input purchases account for about a dime of each dollar consumers spend on food while marketing services account for eighty cents. It seems logical that farmers have more to gain, at least economically, by attempting to capture part of the eighty cents spent for marketing services rather than focus on the dime spent for inputs. However, even greater opportunities may be found in strategies which enhance the final value of products rather than reduce costs of inputs or marketing services. Smaller

farmers may face even greater difficulties competing with industrial firms as providers of marketing services than they have competing as producers. The key to success in marketing products from smaller, diversified farms may be the same as for overall sustainability -- a new paradigm.

The Fundamentals of Marketing

New paradigms do not create new facts but instead provide new frameworks or filters for translating facts into knowledge. Likewise, the fundamentals of economic value are not new, but new opportunities and strategies for creating value through marketing arise from the sustainability paradigm. Effective marketing begins with a basic understanding of the fundamental realities of markets, regardless of one's paradigms.

Marketing, in agriculture, includes all the various activities involved in the transformation of commodities sold by farmers into food and fiber products purchased by consumers. The most obvious aspect of this transformation is a change in physical appearance or form. Form changing activities for agricultural commodities range from washing and grading apples to processing wheat into Wheaties. Another important marketing function is transportation. Agricultural commodities must somehow get from the farms where they are grown to the retail outlets where they are bought, in some cases moving across a country or half-way around the world. Time is another important aspect of marketing. Many agricultural commodities must be harvested at a specific time, but can be stored for later use and in some cases be consumed year-round. Finally, in a specialized economy, most consumers are not producers. Marketing involves the transfer of ownership or possession from those individuals who produce, ultimately, to those individuals who consume the food or utilize the fiber.

Market transformations change the value of commodities by changing their form, place, time, and ownership as they move through the marketing system. Each of these functions creates value but also adds an associated cost. Profits result whenever the value added by marketing functions such as processing, transportation, storage, or brokerage, is greater than the costs of performing those functions. These basic principles of marketing may seem simplistic; however, they are the fundamental concepts upon which vertical expansion of farming into marketing must be built.

Marketing, to most farmers, means commodity marketing. They produce commodities such as corn, wheat, hogs, or cattle. One farmer's No. 2 grade yellow corn is pretty much like any other farmer's No. 2 yellow corn. One cattle feeder's 1100 lb. U.S.D.A choice steers are a lot like steers of a similar weight and grade from any other feed lot. Thus, the commodities one farmer has to offer for sale are freely interchangeable with commodities offered for sale by many other farmers, oftentimes including farmers on another continent. Commodity markets tend to be highly competitive because there are many buyers and sellers of the same basic commodity. Price differences among different market locations rarely exceed transportation costs and price changes over time tend to reflect seasonal or cyclical cost differences.

Commodity marketing decisions are primarily limited to decisions of timing. Farmers can forward price their commodities through private contracts or futures markets, attempting to get a price higher than market price at time of delivery. Or they can store commodities for later sale, hoping that market prices will rise more than their costs of storage. In either case, farmers are matching wits with speculators who make their living buying, pricing, storing, or selling commodities. Most conventional farmers are not particularly good speculators. They make a living by keeping their costs competitive and, thus, being able to stay in business at competitive market prices.

Product marketing is different from commodity marketing. Commodities are alike, but products are different. In marketing jargon, products have distinct quality characteristics and, thus, distinct market values. These differences may be tangible in nature (as in nutrient values of foods) or intangible (as in consumer acceptance created by brand advertising). Differentiation creates a more or less unique market for a product, taking it out of direct competition with other products. The greater the differentiation, the greater the potential for profits. Products that have few good substitutes may command a substantial price premium over less acceptable alternatives. However, consumers will not pay much more for a product that has many good substitutes than they will pay for the substitutes.

Products may be differentiated by anything that affects value. Processing, for example, changes the form of raw commodities. Some processing activities, cattle slaughter for example, result in a different form of generic commodity, such as choice beef. In other cases, however, processors are able to transform commodities into distinct products such as wines from grapes. A supermarket may stock wines from a number of different wineries because the wines are perceived to be different by a sufficient number of wine drinkers to create profitable markets. Processing is only one means of changing the form of a commodity. Fruits sorted for uniformity of size and color, for example, may sell for a premium over the same fruit sold unsorted.

Products may also be differentiated with respect to time. In mid-winter, local greenhouse tomatoes in the Midwest may command a substantial premium over tomatoes from California or Mexico. However, tomatoes from those same greenhouses may have no advantage over local vine-ripe tomatoes in mid-summer. Winter price premiums reflect the lack of good substitutes at that particular time. Vine-ripe tomatoes out-of-season are a differentiated product, but in-season tomatoes are a commodity. An ability to provide products on time, continuously over time, may also differentiate one farmer's products from the others.

Location is another factor which differentiates the value of products. Farmers near population centers have a distinct advantage in most direct marketing strategies. Pick-your-own fruit, vegetable, or berry farms, for example, must be located within reasonable driving distance of a significant population center. Farmer's markets are also logical market outlets for producers of fresh produce from a fairly limited geographic area. Product handling and transportation technologies, however, have reduced the significance of location, either as an advantage or as an obstacle in marketing.

Market advantages associated with individual ownership or possession are perhaps less obvious and less well understood than those associated with form, time, and place. However, values associated with individuality may be far more important than any other in developing sustainable agricultural systems. Different individuals, or groups of individuals, value the same products differently. In other words, the same form or physical quality of product may be valued differently by two different groups of people at any given time and place. Thus, individual farmers can command higher market prices simply by offering their products to the individuals or groups who value them most. Products that are carefully tailored or targeted to meet the specific needs of narrowly segmented markets may command a significant price premium over mass-produced commodities that meet the same generic need. Matching products to the tastes and preferences of specific consumer groups is the essence of successful niche marketing.

Marketing in the Niches

A niche is analogous to a corner, nook, crack, or cranny. A niche represents something that is seen as being different, uncommon, or exceptional. A niche is small only because it is defined in comparison to something larger. A crack in a sidewalk, a niche in one thing, may be far bigger than a grain of sand, the whole of something else. The essence of a niche is its uniqueness relative to its physical surroundings or conceptual context. Thus, a niche market may be defined as a market that is different from the predominant market for the same basic commodity or generic class of products.

Market niches may be identified in terms of form, time, place, or individuality. For example, the market for blue corn may be considered a niche market. The market for local-fresh produce in season may be a niche market. Or Saint Louis, Mo might be a niche market for certain ethnic foods. However, market niches are associated, most fundamentally, with specific individuals or groups of consumers. The people who prefer blue corn chips make up a niche in the corn chip market only because most people prefer chips from white or yellow corn. The people willingly pay more for local-fresh produce in season represent a niche in the fresh produce market, not the particular time of year. And the ethnic communities of people in Saint Louis, not their geographic location, make up niches in the mass consumer market of the Saint Louis region. Niche marketing is about identifying and serving individuals or identifiable groups who have unique tastes and preferences for products that are different from those of the larger populations of which they are part. Niches are often "described" using differences in form, place, or time of delivery. But, market niches are "defined" by differences in tastes and preferences among people.

Industrialization creates market niches. This assertion is based on the premise that people differ in their tastes and preferences. If this is true, we still have different underlying tastes and preferences, even though we have been bribed and persuaded to buy the same basic things to accommodate the needs of an industrial economy. We have been bribed by the lower prices and persuaded by advertising and promotion. By accepting pretty much the same things as other people, not only because we can be "in style," but we can be "in style" at a lower price. Enough people were willing to accept a black Model T Ford to allow ordinary people to ride in style. But, that did not mean that everyone "preferred" a black Model T. Those who were not totally satisfied represented market niches for other car makers. Some

niches grew into mass markets, but others did not. For many people, managing a riding stable may still be more rewarding, personally and financially, than managing an automobile dealership.

The industrialization of agriculture quite likely has created a multitude of niches in markets that are largely undiscovered. Food consumers have been bribed and persuaded into buying mass produced foods through lower prices, advertising, and other forms of promotion. Mass manufacturing and distribution systems employed in food marketing have limited consumer choices to those items that can compete for scarce space in shelves of modern supermarkets. For example, consumers have no choice other than U.S.D.A. choice grade beef, or a single similar quality store brand, in most supermarket meat cases. Fruits and vegetables, while abundant in variety, are generally available from only one or two supplier and one or two qualities of each item offered for sale. Canned and frozen foods may offer several labels, but with very similar products inside the can or box. The variety of different items offered by supermarkets is enormous, but efficiency dictates that substantive choices within generic food groups remain very limited. The emergence of fast food restaurants, likewise, has transformed table-ready beef, chicken and potatoes into a dozen or so manufactured, industrial commodities that can be mass produced for mass consumption. People who are satisfied with products that fit industrial systems of mass production realize a bargain. They get what they want at a lower price. Those who are not satisfied, but just go along, represent potentially profitable niche markets.

Markets for value-added agricultural products are often confused with niche markets. However, most value-added items in supermarkets are more characteristic of mass production than are the basic commodities from which they are made. The markets for services that result in convenience and easy preparation are far larger and more generic than are the markets for beef or broccoli. Those services are mass produced in large, specialized processing firms and are promoted through multimillion dollar advertising budgets. It might be more logical for an individual farmer to compete with IBP in processing beef than to compete with Banquet Foods in producing TV dinners. Many other value-added activities are equally price competitive. Farmers who attempt to add value through processing, transportation, or storage must be willing and able to perform those functions better or at a lower cost than can existing marketing firms, if they expect to make a profit. Even if such farmers are successful, they are not engaging in niche marketing. Instead, they have become successful players in the mass marketing game.

Markets of the Future

The conventional wisdom among those in the agricultural establishment is that trends toward industrial production for mass markets are trends of future for American agriculture. Agriculture is becoming just another industrial sector of our industrial economy. But the world is continually changing. A growing number of people who make their living forecasting the future, the futurist, see a new, post-industrial era where there is room for more than one model or paradigm for economic and human progress (Toffler, 1990; Drucker, 1989; Naisbitt and Aburdene, 1990; Reich, 1992, to name a few).

Noted futurist Alvin Toffler, in his book Powershift, points out that many forecasters simply present unrelated trends, as if they would continue indefinitely, without providing any insight regarding how the trends are interconnected or the forces likely to reverse them. He contends the forces of industrialization have pretty well run their course and already show signs of reversing. He labels the industrial models of economic progress as becoming increasingly obsolete. He claim that old notions of efficiency and productivity are no longer valid. Mass production is no longer a symbol of "modern" business operation. The new "modern" model is to produce customized goods and services aimed at niche markets, to constantly innovate, to focus on value-added products and tailored production.

He goes on to state "the most important economic development of our lifetime has been the rise of a new system of creating wealth, based no longer on muscle but on the mind" (Toffler, p. 9). He contends that "the conventional factors of production -- land, labor, raw materials, and capital -- become less important as knowledge is substituted for them" (Toffler, p. 238). "Because it reduces the need for raw material, labor, time, space, and capital, knowledge becomes the central resource of the advanced economy (Toffler, p. 91).

Toffler also provides some insights into the nature of knowledge-based production. He states that separate and sequential systems of production are being replaced with synthesis and simultaneous systems of production. Synergism is replacing specialization as a source of production efficiency. Tailoring products to desires of specific customers is replacing low price as the source of value. Simultaneity, synthesis, synergism, tailored production -- this is the "mind work" of the future.

Peter Drucker, a noted business consultant and author, talks of the "Post Business Society" in his book, The New Realities. He states "the biggest shift -- bigger by far than the changes in politics, government or economics -- is the shift to the knowledge society. The social center of gravity has shifted to the knowledge worker. All developed countries are becoming post-business, knowledge societies. Looked at one way, this is the logical result of a long evolution in which we moved from working by the sweat of our brow and by muscle to industrial work and finally to knowledge work" (Drucker, 1989, p. 173).

Drucker contends that there is an important, fundamental difference between knowledge work and industrial work. Industrial work is fundamentally a mechanical process, whereas the basic principle of knowledge work is biological. He relates this difference to determining the "right size" of organization required to perform a given task. "Greater performance in a mechanical system is obtained by scaling up. Greater power means greater output: bigger is better. But this does not hold for biological systems. There, size follows function. It would surely be counterproductive for a cockroach to be big, and equally counterproductive for the elephant to be small. As biologists are fond of saying, "The rat knows everything it needs to know to be a successful rat." Whether the rat is more intelligent than the human being is a stupid question; in what it takes to be a successful rat, the rat is way ahead of any other animal, including human beings" (Drucker, 1989, p. 259).

Differences in organizing principles may be critically important in determining the future size and ownership structure of economic enterprises, including farms. Other things

equal, the smallest effective size is best for enterprises based on information and knowledge work. "'Bigger' will be 'better' only if the task cannot be done otherwise" (Drucker, 1989 p. 260).

Some see the future knowledge society as one where large industrial firms will continue to dominate. However, Drucker points out that "in the knowledge society into which we are moving, individuals are central. Knowledge is not impersonal, like money. Knowledge does not reside in a book, a data bank, a software program; they contain only information. Knowledge is always embodied in a person; carried by a person; created, augmented, or improved by a person; used or misused by a person. n The shift to the knowledge society therefore puts the person in the center" (Drucker, 1993, p. 210). Henry Ford is quoted as saying that his biggest problem was that he had to hire "whole people" when all he needed was their "two hands." Knowledge work and industrial work are fundamentally incompatible.

The significance of the above quotes is not that they reflect some inherent truth, but rather their consistency with the paradigm of sustainable agriculture. A sustainable agriculture will require site-specific, individualistic, dynamic, management-intensive, knowledge-base systems of production and distribution. Sustainability will require a matching of size and function reflected in a variety of sizes and types of agricultural enterprises to sustain a productive natural resource base, a healthy economy, and a progressive human society. The emerging paradigm for a sustainable agriculture is fundamentally consistent with the emerging post-industrial paradigm for human progress.

Niche Marketing for Sustainability

The key to successful niche marketing is to find a market that is: (a) sufficiently different from its mass market context to allow a significant premium in price (or a significantly lower cost), (b) large enough to be served profitably, but (c) too small to accommodate methods of mass production and distribution. Industrial suppliers attempt to fill market niches by providing as wide a variety of products and services as they can economically provide. However, much of their differentiation is in packaging, convenience, and other largely superficial differences in the same basic products. The primary advantage of being big arises from the ability to specialize, mechanize, routinize, and realize the economies of scale of "mass" production methods. Whenever industrial suppliers attempt to target niche markets, their production methods must become more like those of small suppliers, and consequently they become more vulnerable to small-firm competition. The smaller the market niche, the greater the competitive advantage for a similarly small supplier.

The basic market assumption of the industrial paradigm is "the consumer is always right." The industrial economy is "consumer driven" in that successful producers must fulfill the needs and wants of consumers. In reality, consumers are considered to be right only if their choices accommodate the needs of the industrial economy. If consumers cannot be bribed, persuaded, or coerced to conform to the requirements of mass production, they are ignored by industrial suppliers. These ignored consumers represent potentially profitable niche markets.

The basic market assumption of the sustainable paradigm is "the needs and wants of both consumers and producers must accommodate long run ecologic, economic, and social sustainability." Niche marketing motivated solely, or mostly, by the desire to increase profits may contribute no more to long run sustainability than does any other form of market segmentation or product differentiation (DeLind, 1994). The role of niche marketing in sustainability is to enhance the economic viability of systems that are ecologically sound and socially responsible and otherwise likely to be sustainable.

Sustainable niche marketing requires a matching of resource management, production, marketing, and consumption in ways that sustain the whole vertical system. No one element of that vertical system is considered supreme, neither consumer nor producer. People must protect and sustain the resource base, but the resource base must support and sustain human society. The economic system must provide the incentives and means for sustaining both resources and people. The diversity in size and type of economic enterprises must match the diversity within the natural resource base and diversity within human society.

If the road to agricultural sustainability leads toward larger numbers of smaller, more diversified farms, then niche marketing represents an opportunity for smaller, diversified farms to expand vertically and to compete commercially with larger, specialized agricultural enterprises. Sustainable niche markets that grow into mass markets will remain sustainable only if the production systems that support them remain sustainable. However in the post industrial era of human progress, niche markets may well become the norm rather than exception. The natural resource base is inherently diverse as are the abilities and aspirations of producers and the tastes and preferences of consumers. A similarly diverse collection of diverse small farms and matching niche markets might logically characterize an agriculture capable of meeting the needs and wants of people by means that are sustainable. Niche marketing may well be a critical key to long run agricultural sustainability.

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Keeping the Land and People Together

Letter

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When the Market has no Hidden Price Tags

All the environmentally sound farming in the world will bring us no closer to sustainability as long as the food it produces remains a faceless commodity

By Brian DeVore

One must be careful whenever the phrase, "it's a win-win situation" is bandied about. But try this one on for size: when Mike and Jennifer Rupprecht sell beef direct to consumers, they make money – about \$200 per animal over what they'd get if they sold it to a large packing plant. And the people they sell it to save money – at least \$250 over what it would cost them to buy the equivalent amount of steaks, roasts and hamburger in the supermarket.

Toss in the fact that the cattle which provide that beef are raised in an environmentally sound manner using management intensive grazing – an important consideration on the steep land the Rupprecht's farm near Lewiston, Minn. – and one can't help but think that this kind of marketing system is a winner all the way around. The consumer gets an affordable, quality product, the farmer gets rewarded for producing it, and the taxpayer isn't strapped with the negative costs of an industrialized food system.

Now, for the "lose-lose" side of the picture. Just as the Rupprecht's have taken an alternative avenue to producing food, their direct marketing venture is not the normal way meat, or any food product for that matter, reaches the consumer's plate in this country. In fact, by 1975, the dominance of the food processing

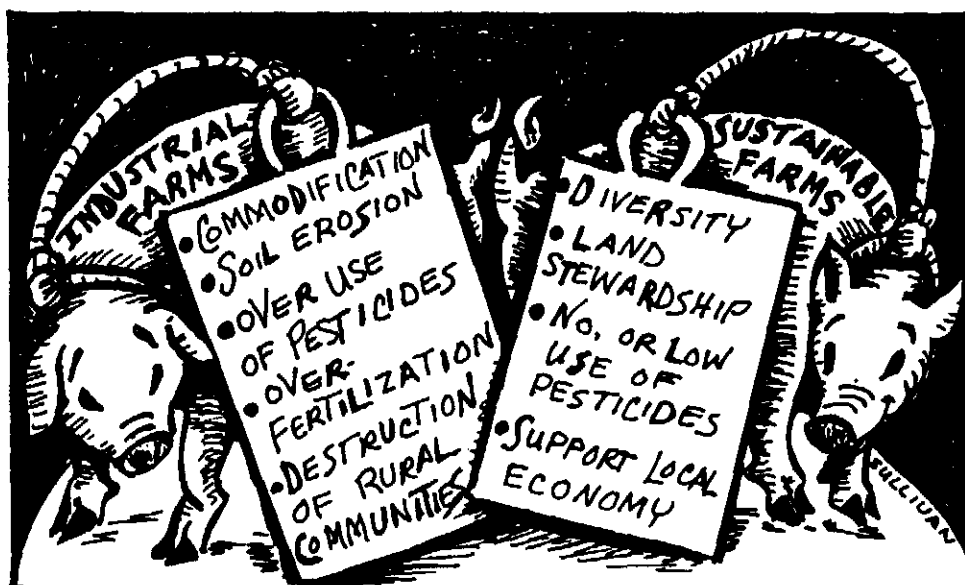


Illustration by Debra Sullivan

industry by a handful of giant, vertically-integrated corporations was causing American consumers to pay between \$10 billion and \$15 billion annually more for their food than they would have in a more competitive system, estimate economists Russell Parker and John Connor. Meanwhile, the farmer's share of the food dollar has shrunk to 21 cents – the rest goes into processing, transportation and marketing. It's gotten to the point where a \$4 box of cereal produces about 6 cents of income for a grain producer.

Between 1971 and 1986, intense concentration of the U.S. beef packing business alone resulted in 3 percent lower fed-cattle prices paid to farmers in some regions of the country, according to an analysis conducted by University of Wisconsin economists. That same analysis found that by 1988, producers in

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all of this country's major beef cattle regions were facing the threat of lower prices because of lack of competition brought on by the dominance of just a few packing firms (IBP, ConAgra and Excel slaughter almost 70 percent of the steers and heifers in this country).

Last year, when prices paid to hog farmers reached a low not seen in two decades, some pork processors enjoyed record earnings. Meanwhile, the price of pork chops did not drop in the local meat case. As far as the farmer is concerned, there is no competitive beef, pork or lamb processing industry left in this country, says University of Missouri rural sociologist William Heffernan.

Our conventional food marketing system costs us in other ways. In this country, food often travels at least 500 and sometimes 1,000 miles or more before it reaches the consumer's plate, burning up fuel in the process and making us dependent on chemicals that keep tomatoes firm and apples shiny during their long jaunts across the country.

To put it simply, the unsustainability of our food system does not stop at the farm gate.

A sustainable agriculture needs a sustainable market

It's become clear that cutting costs on the farm is not enough to ensure an economically sustainable food production system.

"We've gone through an evolution of people very interested in cutting herbicides," says Ron Rosmann, a Harlan, Iowa, farmer and pioneer in the area of on-farm sustainable production research. "Now we're getting to the difficult questions of marketing and how to be rewarded for our good stewardship."

In the short term, steps must be taken to make sure independent farmers have access to conventional markets or there will be no families left on the land to take up sustainable production in the future, say family farm advocates. In the long run, an alternative marketing structure that encourages those farmers who take an ecological – rather than an industrial, commodity-driven approach – to agriculture, must be created. Marketing sustainably produced food through an unsustainable system may make farmers feel better about how they tend the land, but is a losing proposition financially.

Sustainable agriculture production

requires top-rate management skills, the kind of skills not rewarded at the local grain elevator, according to veteran organic crop producer Carmen Fernholz. He says although he's been cutting chemical use for the past 15 years mostly for "philosophical" reasons, there comes a point when a farmer must be rewarded for choosing practices that benefit society.

"The reason I need \$12 a bushel (about double this year's conventional price) for organic soybeans is it's going to take a lot of tender loving care to protect the environment," says Fernholz, who farms near Madison, Minn.

Providing that kind of management requires him to farm fewer acres than normal. Smaller farms means more farm families available to shop on main street.

"There is a cost of keeping those farms and communities, and that's what that \$12 is paying for," he says.

Susan McAllister, a Minnesota-based consultant and teacher who works with sustainable farmers trying to add value to their crops and livestock through marketing, says until recently marketing has taken a back seat to such things as chemical-free weed control and soil conserving production techniques.

"That worries me. When I started talking to sustainable ag people one and a half years ago it just appalled me because no one was talking about marketing," she says. "It's really a putting the cart before the horse type of situation."

Not just a green coat of paint

But supporters of a more sustainable food system warn against trying to hitch the same old horse to the front of a new cart. For example, chemical-free crops can bring good premiums on the "health food" market. However, the higher prices paid by the organic industry are largely dependent upon the fact that there's little of that kind of food available.

Creating a situation where the majority of food is raised without pesticides or petroleum-based fertilizers may help agriculture attain sustainability on one level. But if those organic products simply become part of a more conventional system that requires a lot of processing and packaging as well as long-distance shipping, then producers of that product may be no better off financially than before, says McAllister.

A marketing system that is sustainable in the long-term will require farmers to have greater control of the distribution

network, she says. That means food raised on small- and medium-sized sustainable farms must be discernible from the industrialized products that have many hidden environmental, social and economic price tags attached to them.

Person-to-person food

One way many farmers are differentiating their production is to take it straight to the consumer. This works particularly well with food that does not require a lot of processing to make it edible. Producers of fruits and vegetables do this through farmers' markets, pick-your-own operations and Community Supported Agriculture (CSA) arrangements.

On the meat side, it's nothing new for farmers to sell whole hogs or cattle to neighbors and friends (see story on page 12). And an increasing number of farmers are "adding value" to that meat by having it processed into ready-to-eat portions. Grain is harder to direct-market, requiring a greater investment in a processing and packaging infrastructure.

But even in the case of a product that must take a few side trips between the farm and the consumer, sustainable producers can be successful by finding and promoting a "selling point" that differentiates their food from an industrialized product available at the local mega-store, say marketing experts.

That doesn't mean creating specialty, "niche" items that only an economically elite few can afford. Ways of differentiating a food product can vary from telling customers it's produced on a small, family farm, to offering a totally organic product. People buy food through alternative channels for different reasons, and farmers must be prepared to respond to those various motivations.

Food labels have often been used by busy consumers to help them make choices in the grocery aisle. Kevin Edberg, a marketing expert with the Minnesota Department of Agriculture, says it's difficult to apply a label to food raised sustainably. Consumers are just now identifying and understanding what "certified organic" implies, and they may not be ready for labels that promote the food product as economically and socially sustainable also, he says.

"Boy, you're adding a whole lot of baggage to that label which the consumer may or may not care about."

But Mike Hartmann has found that

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shoppers do care about meeting the person who produces their food. For more than a year now, the Gibbon, Minn., farmer has been marketing his own milk under the Minnesota Organic Milk (MOM's) label. MOM's is the brainchild of Hartmann and two partners; all three are committed to offering food products that are produced sustainably. Hartmann's 35-cow grass-based dairy herd provides most of the milk for the label, which is pasteurized and custom packaged at a small creamery. The distinctive green carton helps promote the way the milk is produced – from the idyllic farm scene pictured on the front, to the text on the back explaining that no growth hormones, antibiotics or synthetic pesticides were used. The carton also explains that the milk is certified organic and comes from cows raised under healthy, humane conditions that support local communities and the environment.

But it's the one-on-one contact



Selling direct to consumers has its rewards, but is a lot harder than shipping hogs off to a packer once a week.

Hartmann finds crucial to promoting the product. He often travels to Minneapolis-St. Paul grocery stores where he shows customers photos of the cows grazing, and fields questions like: "Why do you do it the hard way? Why don't you just make milk from powder?"

Hartmann says urban consumers are often thrilled to meet a "real farmer." In an ideal world, he'd like to give all consumers a personal tour of his operation. Failing that, the outgoing farmer makes efforts to provide a mini, in-store education on the difference between sustainably raised food and more conventional products.

"They see photos of those cows on grass and calves suckling," he says. "And then when they see MOM's milk, they flash back to that picture."

But creating an aura around one's farm can't make up for lack of a good product, says Alice Field, a Zumbrota, Minn., lamb producer. Field is ever-mindful of the value of promotion in direct marketing. Even her answering machine treats the caller to an advertisement for "naturally good, pan-ready" items such as sausage, a meat-based pastry product and various other lamb cuts. Using farmers' markets, food shows and even the Internet, she aggressively pushes across the fact that her lambs are raised in natural conditions by someone who cares.

But no matter how badly consumers may want to support that kind of production, they won't allow their taste buds to play second string to their conscience, says Field.

"I could sell anything to someone the first time because I'm believable. I'm a nonthreatening older woman," she says with a laugh. "But to sell it to them again, I have to have a good product."

Not everyone's a marketer

And despite the rewards, direct marketing is a lot harder than hauling hogs to the buying station once a week or selling corn to the elevator in the fall. It can't be done part-time if it's to be successful, said Field. She started selling

direct several years ago when the prices paid by lamb packers bottomed out. This year the market recovered to the point of tempting a direct-marketer to return to the commodified conventional system.

"It would have been slick and easy to sell my lambs to the South St. Paul stockyards," she says. "But if I'm going to do direct marketing, I need to do it through thick and thin and keep my customers."

That kind of commitment may not be every farmer's cup of tea. Many producers prefer the company of cows over a bunch of curious consumers. If everyone's out direct-marketing food,

who's left back at the farm to produce it? What happens when each individual "niche" is filled?

Supporters of sustainable agriculture say in the long term the key to creating an equally sustainable marketing and distribution system is for farmers to pool their resources, forming networks and cooperatives so they can do collectively what can't be accomplished individually.

There are many examples of this kind of teamwork already taking place – in sustainable as well as conventional agriculture. Madison farmer Fernholz says eventually he would like to sell his hogs under an organic label (there is currently no USDA-approved organic label for meat; although officials say one is in the works), but for now he must maintain access to the conventional market to survive.

"I can keep cutting [production] costs...but some morning I'm going to wake up and there isn't going to be a place for my hogs, because I don't have enough hogs" to satisfy the packer buyer.

Expanding hog production significantly doesn't fit with his goals of being able to manage each aspect of his operation closely. That's why Fernholz sells his hogs through a marketing pool set up by the National Farmers Organization (NFO). NFO contracts with packers, offering them large lots of livestock that actually come from several individual moderate-sized farms.

"Collectively, we have made ourselves one of the largest hog producers in the country," says Fernholz.

There are a growing number of similar networks taking root in the countryside that hope to reserve a place for small and moderate-sized farmers in the conventional marketplace by giving them the clout volume provides.

In the sustainable agriculture realm, one of the most successful cooperative ventures is Coulee Region Organic Produce Pool (CROPP), based in LaFarge, Wis. CROPP is considered the largest organic dairy cooperative in the country, with at least 60 farmers (average herd size is 40 cows) as members and 60 more in transition to becoming certified to sell organic milk. The cooperative retails milk, cheese, butter and eggs under the Organic Valley label.

Similar cooperative efforts have taken root in an effort to market everything from organic fruits and vegetables to "natural" meat. In Oregon, 14 ranchers

Market, see page 11...

...Market, from page 10

have banded together to market their hormone and antibiotic-free cattle to stores in Portland, Seattle, San Francisco and Japan. The network has grown from selling a few head to a 70-head per week, \$4 million business. Promotion of the enterprise, called "Oregon Country Beef," centers around the cattle producers visiting stores to meet with customers.

And throughout the Upper Midwest, farmer-based networks are forming so producers can collectively market their chemical-free wheat, corn and soybeans to processors demanding an increasing amount of production to fill their needs.

Should such networks take farmers into the realm of processing and packaging their own products? Yes, say marketing experts, as long as they don't try to slug it out directly with the Cargills and ConAgras of the world. For example, conventional meat packing plants owned by groups of farmers have not been successful in this country. However, a feasibility study conducted for the National Pork Producers Council last year concluded that there was a niche available for small, farmer-owned plants that offer specialty products like pork raised in natural conditions.

The northeast chapter of the Sustainable Farming Association (SFA) of Minnesota decided last year to take the processing to the farm. Using a \$5,000 grant from the Minnesota Department of Agriculture, the chapter built a mobile poultry slaughtering facility out of an old school bus and used butchering equipment (Minnesota law allows market chickens to be slaughtered on the farm

LSP & marketing

For about year a group of 15 southeast Minnesota farmers has been meeting to discuss ways sustainable producers can create marketing options. Brought together by the Land Stewardship Project's Lewiston office, this group has shared ideas on better ways of direct marketing as well as strategies for accessing consumers through grocery stores.

One of the main project's to come out of the group this year was the *Farmer to Consumer Directory 1995*, a joint publication of LSP and the southeast chapter of Sustainable Farming Association of Minnesota. This brochure lists farms in southeast Minnesota that have sustainably produced food for sale.

LSP's Meridith Levy, who works with the committee, says the farmers are looking at taking their individual efforts one step

where they are produced as long as customers pick the birds up). During 1995, the unit traveled from farm-to-farm, helping slaughter 2,600 chickens owned by 15 to 20 different growers.

It doesn't take a crowd

Effective sustainable marketing networks don't require thousands or even dozens of producers who own their own sophisticated processing, storage and transportation equipment. They can be a simple gathering of neighbors who are offering various products to a particular clientele, says New Market, Minn., marketing consultant Peter Reese.

He says a good example of synergy in sustainable marketing is the typical

further and creating a sustainable marketing network. Such a network is needed to share the duties of approaching and supplying grocery stores, health food stores and other retail outlets. Producers are also finding that a farmer-to-farmer network is needed, for example, so that a chemical-free milk producer can track down organically raised feed-corn.

Some of the farmers are facing situations where if they don't increase their production, they risk losing retail customers who demand large volume on a regular basis.

"The answer then is just to find more producers, rather than an individual farmer caving in to the notion they have to be big to be successful," says Levy.

If you live in southeast Minnesota and are interesting in finding out more about the Southeast Minnesota Alternative Markets Group, contact LSP's Lewiston office at (507) 523-3366.

farmers' market, where consumers come looking for a variety of farm-direct foodstuffs. Farmers who direct market pork often find their customers want chicken or beef, too. Instead of trying to raise every type of product, they can get together with neighbors and offer a smorgasbord, says Reese.

He knows of one farmer who promotes an apple orchard down the road while direct marketing his meat. The orchard, in turn, sends customers up the road to the farmer. Both producers are offering products to the same customer base: people interested in farm-fresh food. Such formal and not-so-formal networks can also take the pressure off a farmer who is not that thrilled about doing the kind of face-to-face promotional activities that come with marketing straight to the consumer. A group of farmers can appoint one of their own to handle the sales chores, or pool their resources to hire someone, says Reese.

A small network may be the next step for the Rupprechts and a handful of other sustainable farmers who have been getting together for the past year in the Lewiston area to discuss marketing (see "LSP & marketing"). The farmers have realized that many customers for chemical-free beef, for example, are demanding other food products as well. In addition, retailers demand the kind of constant supply that may be difficult for one small sustainable farm to provide.

Says Mike: "We need to get our sustainable farmers together and supply these places." □

Marketing resources

The Farmer to Consumer Directory 1995 is a joint publication of the Land Stewardship project and the southeast Minnesota chapter of the Sustainable Farming Association. It lists farmers in Winona, Fillmore, Houston, Olmsted and Wabasha counties who are selling sustainably raised products. For a free copy, contact LSP's Lewiston office at (507) 523-3366.

For a statewide listing of farmers offering meat products for direct sale, the *Specialty Meats Directory: Your Direct Link to Minnesota's Livestock Farmers & Meat Processors*, is an excellent, user-friendly guide. For a free copy, contact the Minnesota Department of Agriculture Marketing Division at (612) 297-2301.

Are you involved with some type of direct marketing initiative? The **Midwest Sustainable Agriculture Working Group (MSAWG)** is putting together a marketing resource notebook that will contain examples, stories and case studies of sustainable agriculture organizations and producers who are selling direct to consumers.

MSAWG would like information on what got you interested in direct marketing, how you got started, best and worst moments, what you wish you'd done differently and anything else you want to share about your marketing initiative.

Send your stories to: Cris Carusi, NE Sustainable Agriculture Society, PO Box 736, Hartington, NE 68739; tele. - (402) 254-2289; fax - (402) 254-6891; e-mail - criscarusi@aol.com

Value-Added Agriculture

"Value - added!" It is the new rage in farming. But does it really hold promise for family farmers, and can it be a means by which the market compensates farmers for resource stewardship?

The answer depends on where the value is added, by whom, and under what terms. Some approaches can deliver on the promise, while others change little, and still others are little more than a guise for industrializing agriculture and dismantling the family farm system.

On the Farm or Off the Farm

The last 80 years have witnessed a dramatic decline in farmers' share of the value added in agriculture and profits associated with it. From 1910 to 1990 the farm share declined from 41 percent of the total to 9 percent, according to analysis by University of Maine Agricultural Economist Stewart Smith. In other words, at the end of the day, only nine cents of each dollar paid by consumers of agricultural products remains in farmers' pockets. Companies that provide inputs to farmers have increased their share to 24 cents. The lions' share (67 cents) is now captured by the companies handling the product after it leaves the farm.

Those changes reflect three factors: 1). Less of the money received by farmers remains in their pockets. More is used for capital expenditures and input purchases. 2). Farmers have focused on production, leaving processing and marketing to others. 3). More is being spent to process, package and advertise food after it leaves the farm.

If the decline in family farm opportunities is to be reversed, farmers must reverse this trend and add more of the value themselves. Following is an overview of some of the most widely pursued post-harvest value-added strategies and their implications.

Landing a Corporate Corn Processing Plant In Town

Value-added often refers to efforts to get an agribusiness to establish a processing plant for the major crop in an area.

There are some benefits to this approach. Jobs are created locally, though not necessarily jobs that reverse the decline in workers' incomes. Benefits to the community are tempered by the fact that the profit from the operation flows out of the community.

If enough crop is consumed, the local price paid to farmers may increase somewhat. This approach does little to reverse family farm decline. Farmers still sell cheap raw commodities with most of the value-added after it leaves their hands. To the extent this approach succeeds in marginally raising crop prices, the gain is bid into land values as large farms bid just as aggressively as they do now to rent or buy land for expansion.

Establishing a Cooperative Processing Plant

A second common value-added approach is formation of a local "closed cooperative" in which farmers invest to build a processing plant for the major crop in their area.

Like attracting a corporate processor to town, this approach can provide some limited benefits in the local job and crop market. A locally owned cooperative has the added benefit of retaining more of the profit in the community.

It provides a means of tapping local capital that would otherwise be invested outside the community as an alternative to enticing outside capital through subsidies and tax breaks. In highly concentrated segments of the food processing industry, the development of new cooperatives can help to ensure competitive pricing.

But like the corporate plant, a cooperative processing plant for an area's major crop would make a very limited contribution to reversing family farm decline. As stockholders in such a plant, family farmers would receive some investment income. Assuming the plant does as well as the average corporation, the investment income will equal what could be earned from the stock market.

Most of the value would continue to be added after the product leaves the farm in an industrial processing facility operated by wage laborers. Little is done to shift the value-added process back to owner operated farms and businesses. If family farmers are to capture the benefit, ultimately the increased value must result from application of their own time, management and skills.

If the cooperative moves from industrial processing to direct competition with farmers in livestock production, it becomes little more than a weapon in the industrial assault on family farming. ValAdCo, a Minnesota cooperative formed by corn producers, has established an 8,750 sow farrowing operation with 50 employees.

In this instance, value-added is simply a guise for moving hog production off owner-operated farms and on to an industrial operation run by wage laborers. Value that would otherwise be added to corn on family farms through hog production is instead being added on an industrial operation.

Bypassing the Marketing Sector

A third value-added approach has been for family farmers to directly take on the role of processor, wholesaler, or retailer to capture a bigger share of the consumer dollar.

This approach may involve a single farmer selling directly to consumers, restaurants, or retail outlets. In other cases, farmers have banded together to share tasks and achieve some economies of size in processing and marketing. One of the farmers takes responsibility for processing, another for contacting retail outlets, one for transportation, etc.

Direct sale to consumers is the surest way to return the largest share of the consumer dollar to the farmer, but not necessarily the best income. Results have been mixed.

Some farmers have found that they cannot not be producer, processor and marketer while operating at a scale that is both efficient and adequate to earn a decent income. Others have used this strategy very successfully, especially those able to keep their costs low by focusing on local markets and innovative marketing strategies.

Growing More Value Into the Crop

A fourth value-added strategy is to produce a higher value product from the start.

This may involve diversification strategies to produce products that are worth more because they are not widely available. It includes production of existing crops with special attributes that make them worth more to a segment of the market. It includes charging a higher price from consumers who support the way in which the crop was produced, such as environmentally conscious consumers.

Examples include lean and natural beef, free range chickens, Berkshire pork, organic foods and food grades of corn. Generally, farmers who receive a premium for such products do so because it takes more from them to produce the product - typically more time or management. If it didn't, all farmers would jump into it and the premium would disappear.

When it works, this approach enables farmers to earn more income from a farm of a given size by applying more of their time, management and skills to produce something for which buyers are willing to pay more.

Farmers pursuing this approach often find that markets for these unique products are poorly developed. They find themselves selling in thin markets with one or two buyers subject to volatile price swings. Or they find themselves developing their own marketing channels at great time and expense.

There appears to be significant growth potential in this approach. Consumers are buying fewer generic products and more specialty products designed to respond to specific demands, often at a premium price. Many of the small market niches that result may be too small for big farms and big companies. That creates opportunities for family farmers and small businesses.

Implications for Sustainability

The high value crop approach has great potential to create market based rewards for resource stewardship. A significant segment of the public is willing to pay some premium for food produced in an environmentally sound way with fewer chemicals, in response to both health and environmental concerns.

The market infrastructure does not exist at this point to fully tap that potential. Developed properly, it could both reward sustainable production systems and enhance family farm opportunities.

Value-added initiatives that create markets for new crops can also support resource stewardship and sustainability by providing farmers with meaningful options to diversify and rotate crops. The benefit is especially great when new markets are created for resource conserving crops. For example, higher paying markets for lean and natural beef increase the profitability of keeping highly erodible land in resource conserving forages.

The existing market structure locks most farmers into producing a very small number of major crops. Efforts to create new uses only for existing major crops worsens the problem. Likewise, expanding commercial uses for crop residues normally left on fields can reduce soil fertility, damage soil structure, and increase soil erosion, unless other steps are taken to compensate for the loss of residue and organic matter.

--Chuck Hassebrook

Editor: Marie Powell

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Understanding Cooperatives: How to Start a Cooperative

Cooperative Information Report 45, Section 1

United States
Department of
Agriculture

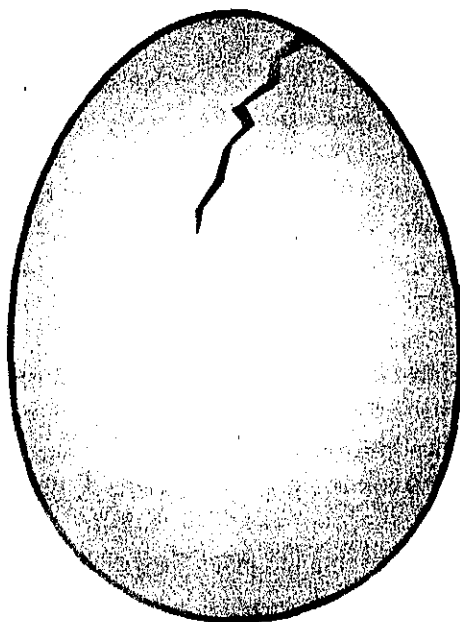
Rural Business
and Cooperative
Development
Service

September 1995

developed by
Galen Rapp
Cooperative
Development
Division

When Should a Cooperative be Organized? Cooperatives are formed in response to an economic need such as providing marketing, processing, bargaining, manufacturing, and purchasing services not currently available, or available only at excessive cost.

If interested in forming a cooperative, learn all you can about the legal, economic, and financial aspects of a cooperative business. Careful planning increases the chances of success.



STAGE 1

IS THERE AN
ECONOMIC NEED?

☐ **YES** - PROCEED TO STAGE 2

☐ **NO** - STOP COOPERATIVE
DEVELOPMENT

Why Groups Organize Cooperatives:

- ◆ To improve bargaining power.
- ◆ To reduce costs.
- ◆ To obtain products or services.
- ◆ To create new and expand existing market opportunities.
- ◆ To improve the qualities of the products or services.
- ◆ To increase income.

Steps in Organizing

Determine the Economic Need

A cooperative is organized in response to a specific problem or opportunity. The idea is often initiated by a small group that meets to discuss the need. The meeting should focus on the economic need and the potential use of a cooperative as a solution. Discussion topics should include:

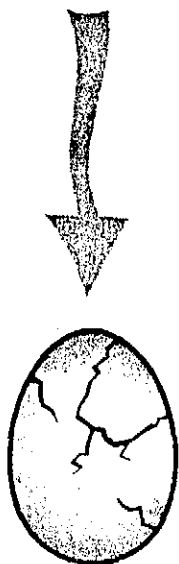
- ◆ What information about the perceived need is readily available?
- ◆ Could a cooperative effort address this need?
- ◆ What information about cooperatives is available?
- ◆ Who can serve as an adviser to the group?
- ◆ Who should be invited to a meeting of potential users?
- ◆ How should potential users be contacted?

If a cooperative seems to offer a solution, a larger meeting of interested potential users may be planned.

Hold Initial Exploratory Meeting

A meeting of potential member-users should be called to decide if interest is

Member participation in decisionmaking activities and sense of cooperative spirit are important for success.



STAGE 2

CAN A COOPERATIVE
OFFER A SOLUTION?

☐ **YES** - PROCEED
TO STAGE 3

☐ **NO** - STOP
COOPERATIVE
DEVELOPMENT.
CONSIDER OTHER
ORGANIZATION
STRUCTURE

sufficient to support a cooperative. The meeting date, time, and place should be publicized in advance. The leadership group should select a chairperson to conduct a meeting and develop an agenda. These items should be discussed:

- ◆ What is the problem.
- ◆ Possible solutions.
- ◆ Cooperative principles and terms.
- ◆ Advantages and disadvantages of a cooperative.
- ◆ What financial and other commitments are expected of user-members.
- ◆ Cooperative organization and feasibility analysis process.
- ◆ Allow time for potential members to ask questions. If the group votes to continue with more detailed study, a steering committee should be selected.

Select a Steering Committee

Steering committee members should have an interest in the cooperative and sound business judgment. They often become the cooperative's incorporators and may serve as its first board of directors. The committee has a two-part job:

- ◆ Deciding the feasibility of the cooperative: Will the proposed cooperative succeed? Will it be valuable to members?
- ◆ Preparing a specific, detailed business plan for the proposed cooperative.

The committee should consult specialists in the areas of law, finance, and cooperative business operations. Two essential studies must be initiated: a member survey and a market analysis or supply analysis.

Conduct a Member Survey and Market or Supply Analysis.

The steering committee must take steps to learn all it can about the cooperative's potential members and what the cooperative can do for them. The survey should explore four areas:

- ◆ *Members' needs*—The cooperative is formed and operated for the sole purpose of meeting members' needs.
- ◆ *Anticipated business volume*—The cooperative must have some assurance of sufficient volume to operate as a business and to plan for facilities and needed equipment.
- ◆ *Location and business or service characteristics of prospective members*—Where, how, and when the cooperative delivers its services is a prime consideration.
- ◆ *Opinions of members*—How do potential members feel about cooperatives and participation in one? Member participation in decisionmaking activities and sense of cooperative spirit are important for success.

The market or supply analysis will determine if the proposed cooperative has an economic role in the marketplace. The analysis will identify which activities are appropriate, business volume, and financial capabilities of the potential cooperative members.

Second Exploratory Meeting

The exploratory meeting reviews results of the member survey and the market/ supply analysis. Based on the information presented, the participants vote to either continue or abandon the project. If they continue, the next step is to prepare a business plan and draft legal documents.



Potential members may be asked to invest earnest money at this point to demonstrate their commitment to the cooperative and to cover some of the organizational costs.

Prepare a Business Plan

Every business should have a business plan. The steering committee should arrange for completion of an in-depth business plan prepared by a professional familiar with cooperative organization. The plan defines the cooperative's operations and other structural issues before the cooperative organization is finalized.

Draft Legal Papers and Incorporate;

The articles of incorporation state the purpose and scope of the cooperative business and give the cooperative a distinct legal standing.

The bylaws state how the cooperative will conduct business and must be consistent with both State statutes and the articles of incorporation. Legal counsel should be consulted on these and other legal documents, such as membership or marketing agreements.

Third Exploratory Member Meeting

At the third exploratory meeting, potential members review the work and recommendations of the steering committee, including the articles of incorporation, bylaws, and any adjustments made to the business plan. Support for the cooperative should again be evaluated by a vote on whether or not to form the cooperative. If affirmative, the incorporators file the articles of incorporation.

First Annual Meeting of Cooperative

At the first meeting of the cooperative, members carry out two very important member responsibilities:

- ◆ Approve the bylaws.
- ◆ Elect the board of directors.

Steering committee members are often board candidates, but other members may also be elected to these leadership positions.

First Board of Directors Meeting

The first meeting of the board of directors should focus on selection of the board officers, committee appointments, and carrying out the business plan. Additional agenda items include arranging debt capital, conducting a membership drive, establishing manager qualifications, and conducting a manager search.

Acquire Capital

The board of directors is responsible for arranging adequate capital. Capital may be raised by members purchasing stock (equity) and borrowing funds (debt) from a lending institution. Members must invest or pledge sufficient capital in the business to demonstrate commitment to the cooperative's success. Exact amounts will depend on activity and lender requirements. Projected cash-flow schedules and financial statements from the business plan are important in determining capital needs and arranging for debt capital.

Hire a Manager

One of the most important duties of the board of directors is to hire a qualified manager who is responsible for day-to-day operations.



STAGE 3
IS THERE MEMBER
INTEREST?

☐ YES - PROCEED
TO STAGE 4

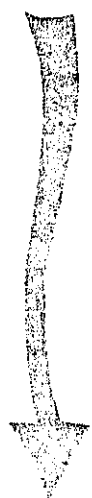
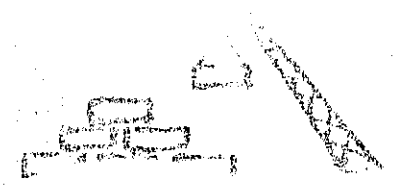
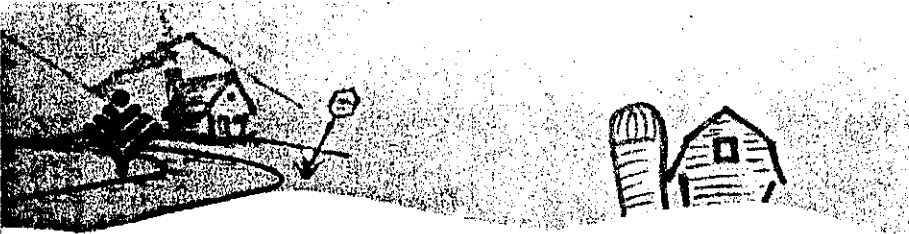
☐ NO - STOP
DEVELOPMENT



STAGE 4
IS COOPERATIVE
PLAN FEASIBLE?

☐ YES - PROCEED
TO STAGE 5

☐ NO - STOP
DEVELOPMENT



STAGE 5

DO MEMBERS COMMIT
CAPITAL AND
BUSINESS VOLUME?
ARE RESOURCES
AVAILABLE?

☐ **YES** - BEGIN
OPERATIONS

Hire Employees, Acquire Facilities, Begin Operations

The manager hires capable employees and advises the board on what facilities and equipment to acquire, within the budget and operation guidelines established by the board.

Important Factors for Cooperative Success

Experience shows that a newly organized cooperative's chances for success can be improved by doing the following:

- ◆ Clearly identifying the economic need.
- ◆ Reaching agreement on the cooperative's mission.
- ◆ Developing good leadership.
- ◆ Gaining the commitment of members to do business with the cooperative.
- ◆ Following sound business practices.

Summary

A cooperative is a unique form of business used by people and businesses for their mutual benefit. Whatever its purpose, starting a cooperative requires

considerable time, energy, and commitment by potential members to finance and use the business and select knowledgeable directors who will hire a competent manager. ■

Where to Get Help

The U.S. Department of Agriculture's Rural Economic and Community Development (RECD) offices in some States have cooperative development specialists on staff who can help you. For additional information, contact USDA's Rural Business and Cooperative Development Service/Cooperative Services, in Washington, D.C. Cooperative Services has a staff of professionals who can help organize a new cooperative and provide technical assistance to existing cooperatives. Write to:

Rural Business and Cooperative Development Service

Cooperative Services
Box 3250

Washington, DC 20250-3250

Phone (202) 720-3350

FAX (202) 690-2750,

Attention: CDD

This circular is one in a continuing series that provides training information and presentations for education resource persons who may or may not be familiar with the cooperative form of business. This series provides the basic background material they need, in a form that can be readily adapted, with limited preparation time, to a lecture or other presentation.

For a complete listing of the series, write to RBCDS—Cooperative Services, U. S. Department of Agriculture, Education and Member Relations Program Area, Ag Box 3253, Washington, DC 20250-3253.

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FARMING ALTERNATIVES

A Guide to Evaluating the Feasibility of New Farm-Based Enterprises

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To simplify information, trade names have been referred to in this publication. No endorsement or criticism is intended of products or companies named or unnamed in this book.

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October, 1988
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Introduction

This *Guide* is written for families and individuals interested in developing a new farm-based enterprise. It is especially helpful for those considering nontraditional enterprises.

Farming Alternatives:

1. Nontraditional crops, livestock, and other farm products;
2. Service, recreation, tourism, food processing, forest/woodlot, and other enterprises based on farm and natural resources;
3. Unconventional production systems such as organic farming or aquaculture; or
4. Direct marketing and other entrepreneurial marketing strategies.

Interest in alternative enterprises has increased in recent years among both farm and nonfarm families. Many farmers are looking for new ventures to generate additional income from their resources. Others are looking to nontraditional enterprises as a way to get started in commercial farming or to help support a rural lifestyle.

There are many opportunities for farming entrepreneurs in the Northeast. Nearby metropolitan areas offer vast and diverse markets for farm produce, as well as opportunities for recreation and tourism-related businesses. Many farmers have already developed profitable, innovative enterprises that capitalize on these markets.

The purpose of this *Guide* is to provide a framework for evaluating the feasibility of a new agricultural or rural-based venture. A step-by-step process will help you assess personal, family, and business goals; inventory your resources; research local and regional markets; analyze production feasibility, profitability, and cash flow of an enterprise idea; and make final decisions.

The topics are presented in a workbook/case study format. Each chapter includes exercises—self-tests, checklists, inventory sheets, and financial statements—that allow you to work on your own enterprise idea and build new skills at the same time. You will certainly gain an overview of the evaluation process by just reading through the *Guide*, but you will benefit most by working through each exercise.

Using the Farming Alternative Worksheets

The worksheets in this book will help you research the new enterprise. Since there is only one copy of each worksheet, it is recommended that you photocopy all of the worksheets. Several of the worksheets will be used more than once, some by more than one member of the family. If you keep the worksheets in the book clean, you will always have an original to go back to if you run out of copies.

If these exercises are completed in depth, you will have a solid basis for preparing the financial and

planning documents needed by a lender. More importantly, you will have gained skills in goal setting, business planning, marketing, and management that you can use over and over as your business grows in the future.

Unfortunately, not all innovations are successful. Starting up a new venture requires resources, careful management, hard work, and assumption of risk. Before committing time and resources to an idea, it is important to look at the feasibility of the enterprise on paper. A careful study of all the factors involved can greatly improve your chances for success.

Before you get started, you should understand that there are several things this *Guide* does **not** do for you. It does not provide technical, financial, or market information on any specific enterprise. It does not recommend or warn against any specific enterprise. It does not do your homework for you, and it does not stand alone. You will need to seek information and assistance from many other sources as you work through the exercises. Your Cooperative Extension agent can help, as can many of the resources referenced throughout the book.

To further your understanding of the material, the *Guide* includes a case study of a fictitious farm family, the Ambers, who are engaged in the process of evaluating alternative enterprises for their dairy farm. Their progress will be reported in each chapter and will provide examples of how the exercises can help in decision making. Before we proceed, meet the Amber Family.

Worksheet 1-1: **Business Qualities Checklist**

Each family member should complete a copy of this worksheet. You may discover that one family member possesses excellent management skills.

DIRECTIONS: Check those that describe YOUR personal qualities:

1. Drive

- ☐ I am curious and enjoy taking a chance.
- ☐ I am enthusiastic and a self-starter.
- ☐ I have plenty of energy and vitality.
- ☐ I persevere and finish what I start.
- ☐ I have self-confidence and the courage to take risks.
- ☐ I am able to and like to work on my own.
- ☐ I enjoy working hard on my own projects.

2. Clarity of thought

- ☐ I am organized and have a thorough plan of action.
- ☐ I seek advice for areas in which I lack knowledge and expertise.
- ☐ I am capable of making good decisions in a short space of time.
- ☐ I have the ability to acquire knowledge about business and finance.
- ☐ I can perform different tasks simultaneously.
- ☐ I have self-discipline and can keep cool under pressure.

3. Imagination

- ☐ I often think of innovative ways to solve problems.
- ☐ I have creative ideas relating to business.
- ☐ I enjoy doing things differently.

4. Leadership

- ☐ I work well with people.
- ☐ I genuinely like people.
- ☐ I enjoy supervising other people.
- ☐ I am responsible and enjoy providing leadership.
- ☐ I keep pledges and enjoy people's trust.

5. Experience

- ☐ I have a high degree of proficiency in a technical area.
- ☐ I have managed a business before.
- ☐ I keep good records of production and finances.
- ☐ I know how to interpret financial statements.

ADDING VALUE TO PRODUCTS ON THE FARM

An introduction from *Making It On the Farm: Increasing Sustainability Through Value-added Processing and Marketing* by Keith Richards and Debby Wechsler

Alyce Birchenough and Doug Wolbert process the milk from their small, south Alabama dairy into 15 different varieties of cheese, as well as sour cream, butter, and cottage cheese, and sell it directly to loyal customers. From cows to consumers there are no middlemen in their business. In fact, from milking to processing to sales counter, their products never leave their single multi-purpose building.

When Lee and Juanita Jones built a second produce stand on their 600 acre farm north of Memphis, Tennessee, they added a commercial kitchen. Here, they produce peach bread, peach-apple cake, strawberry and peach preserves, peach butter, plum and apple jelly, and several other items using fruit from their farm that otherwise would have gone to waste. Although 80 percent of their income is from pick-your-own sales of fresh fruit, the baked goods, jellies, and preserves fill an important niche in the profitability of their farm and are an added attraction at their produce stands.

Ben Burkett and his fellow farmers in the Indian Springs Farmers Association have been marketing their fruit and vegetables directly to consumers and stores in New Orleans and other cities for years. When demand for pre-sliced, packaged vegetables grew, they responded by constructing a processing and marketing facility outside of Petal, Mississippi. Together as a cooperative, these small farmers process and deliver products that consumers want into neighborhoods that have been abandoned by large retail grocers.

Although the farms described above are different in hundreds of ways, the families running them are leading a growing movement; they are all adding value to their crops before selling either directly to consumers or to other markets. Farmers and ranchers are reversing the longtime trend of only producing raw products and letting someone else handle processing, packaging, labeling, and marketing. Instead of letting their profits be eaten up by high input costs and low wholesale prices, many farmers have decided to take a bite out of the middlemen, and bring the dollars for those activities home.

Beyond Cost-Cutting

Farmers have been getting squeezed economically for several decades. From 1982 to 1993 alone, the prices paid by farmers for inputs rose over 23 percent while the prices that farmers received for their products went up less than 8 percent. Even when consumers pay higher prices for food, farmers gain little--they now receive about 21 cents out of every food dollar, the lowest amount in U.S. history. The other 79 cents goes to processors, distributors, transporters, and retailers.

Causes for the loss of economic activity in farming are complex and mostly beyond the control of individual producers. As a response, the message to farmers from the agricultural industry has been loud and clear: lower your costs and increase

productivity. But farmers can only cut costs so far before they have to cut their losses entirely and quit farming.

That's why a growing number of farmers are figuring out ways to seize a bigger piece of the shrinking food dollar. They know that their net profit is dependent on both keeping costs down *and increasing their return*. Either individually or in partnership with others, they are adding economic value to their raw products before sending them off the farm. Then, through innovative marketing strategies and labeling, they often are finding ways to add value even further.

How Are Farmers Adding Value?

Adding value isn't limited to processing milk into cheese or berries into jam, although those are two excellent ways to make more money from your crop. Value is being added through cooking, combining, churning, culturing, grinding, hulling, extracting, drying, smoking, handcrafting, spinning, weaving, labeling, packaging, and through adding information, education or entertainment.

Farmers are also increasing return by creating a regional or unique identity for their products and marketing directly to the public. They are re-building lost linkages to local consumers who are hungry for their products. Where they aren't able to do these activities alone, many farmers are working cooperatively with neighboring farms or in partnerships with other business people in their communities.

Let's look at apples as an example of adding value. Farmers who sell their apples wholesale to a processor may get \$10/bushel. If those same apples are sorted by size and packed into a basket with a fancy farm logo, the farmer may get the equivalent of \$20/bushel from a retail grocery. Cut out the grocer and sell the apples directly to consumers at a roadside stand, and the price may go to \$28/bushel. If the farmer processes the apples into apple butter, then his return may rise to \$36/bushel. By packing the apple butter in a small jar with a label proclaiming a regional identity or organic certification, he might get \$45/bushel. If the farmer gives tours of his orchard, offers camping, and has a festival during harvest season, then the local community becomes involved and the whole farm brings in more money per apple produced. When a farmer begins adding combinations of value-added products and services, the increased offerings and sheer fun of it attracts more consumers and income for the farm.

At each step of the way, though, adding value doesn't come free. The farmer is doing more work, hiring more helpers, buying jars, kettles, sterilizers, and electricity; but it is the *farmer* and his *farm* that is being paid for the extra work and making the profit, not someone else.

*For more information about farm-based value-added enterprises, order **Making It On the Farm: Increasing Sustainability Through Value-added Processing and Marketing**. This 36-page booklet, published by the Southern Sustainable Agriculture Working Group, includes case studies of 12 farmers who are adding value to their farm products, a discussion of 10 keys to success for farm-based value-added operations, and a list of resources. To order, send a check or money order for \$12.00 to SSAWG Publications, PO Box 324, Elkins, AR 72727-0324; phone 501-292-3714.*

1996 GUERRILLA MARKETING HANDBOOK

RJM Marketing
Marketing and Consulting Services
10 Doe Hollow Lane
Belvidere, NJ 07823
(908) 475-4460 ph (908) 475-3555 fax

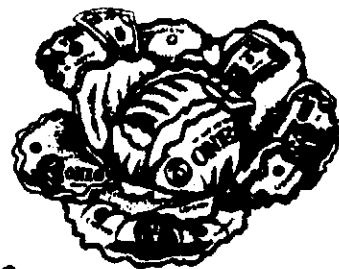
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1996 Guerilla Marketing Handbook

prepared by RJM Marketing
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Is your farm or market garden grossing at least \$4,000 an acre (or more)?
If not, this is the book that shows you how to . . .



Sell What You Sow!

Why grow the good crop if you can't sell it at a profit? Cash in on the consumer demand for luscious-tasting fruits, vegetables and herbs with this how-to book that reveals the tricks of the trade from master marketers around the country. The definitive book on high-value produce marketing—32 chapters plus appendices and resources in an 8 1/2 x 11 inch, 304-page format—*Sell What You Sow!* delivers the kind of hands-on information you need to sell what you grow. Whether you are a market gardener, small- or medium-scale farmer, back-to-the-land homesteader, or part- or full-time grower, this is the book that shows you how to make profits in produce!

Learn how to:

- ✿ Plan for profits by targeting high-end, niche-market outlets and selecting high-value, specialty crops
- ✿ Take the middlemen's share of the pie by direct marketing through farmers markets, roadside markets, pick-your-own operations, rural recreation farms and mail order food buyers
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- ✿ Bring it all home by "sharing the bounty"
- ✿ Enjoy the fruits of your labors with festivals and farm humor
- ✿ Find more information in a comprehensive 425-listing Resources section

"This book is far-and-away the outstanding farm produce marketing text. If you're trying to sell what you grow, this book will quickly pay for itself."

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"Sell What You Sow! is purely practical from beginning to end, filled with nuts-and-bolts knowledge directly applicable to making a living from selling produce."

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—Craig Kolodge, U.C. Extension agent

Yes! Please send *Sell What You Sow!* I am sending \$22.50 + \$2.50 shipping (\$25 total). Canadian residents add \$1 extra for shipping (\$26 total). Foreign orders must be payable in U.S. funds. California residents please add \$1.63 state sales tax (\$26.63 total). If for any reason I am not satisfied, my money will be refunded!

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- Produce Display
- Footnotes
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304 pages
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What Others Are Saying About "Sell What You Sow!". . .

"*Sell What You Sow!* is purely practical from beginning to end, filled with nuts-and-bolts knowledge directly applicable to making a living from selling produce."

—*HortIdeas*

"Of these four books (reviewed in this issue), this is the best. . . This is a hard-headed business primer. . . Gibson's clear goal is to help family farms survive."

—*Successful Farming*

"A tremendously comprehensive and useful book exploring market farming from A to Z. Received high praise from Montana market farmers who reviewed it. We highly recommend this book."

—*Garden City Seeds 1994 Catalog*

"If you want to see what successful marketers are doing across the country, read this book."

—*Kevin Hosey, assistant manager, Knox County Regional Farmers Market, Knoxville, Tennessee*

"With so little available in marketing for specialty crop growers, this book fills a real void. It will undoubtedly be read and reread and used as a reference by numerous growers throughout the country."

—*North Star Gardens Raspberry Resource Catalog*

"*Sell What You Sow!* has helped me tremendously in starting my greenhouse business."

—*Bruce Catlin, Catlin Farms & Enterprises, Emigrant, Montana*

"I reviewed eight or nine books on this subject this year. Each book had its good points, but this one was so much more thorough and complete in the information it contains."

—*Jan Blum, Seeds Blum 1994 Catalog*

"This book is a must for anyone interested in turning a hobby garden or small farm into a money-making enterprise."

—*The Growing EDGE*

"It's all here!" says Bob Hofstetter, *New Farm's* high-value farming expert."

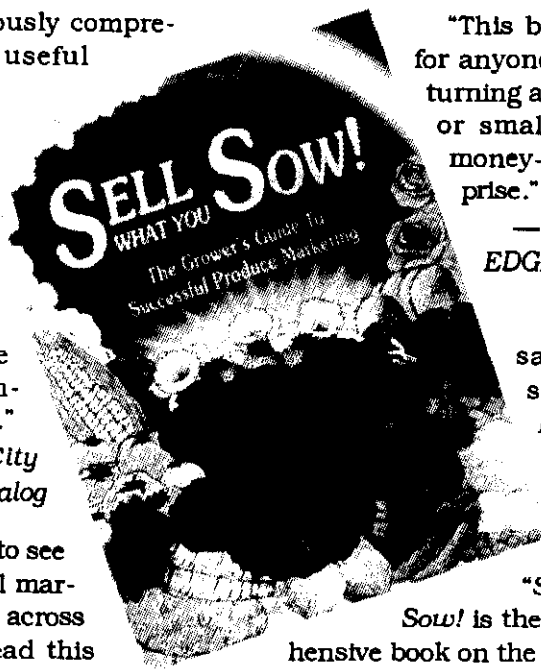
—*New Farm*

"*Sell What You Sow!* is the most comprehensive book on the marketing and sales of agricultural products that I have ever seen."

—*Larry Michel, agricultural instructor, Yuba College, California*

"This book explores options and avenues of direct marketing that we've never even considered, solves problems that we didn't even know existed, teaches you all the tricks and all the spins."

—*New England Farm Bulletin*



Date: Thu, 4 Apr 1996 13:16:16 -0500
To: sanet-mg@amani.ces.ncsu.edu
From: csana@bcn.net (csana)
Subject: CSA of No.America resource list

COMMUNITY SUPPORTED AGRICULTURE of NORTH AMERICA

COMMUNITY SUPPORTED AGRICULTURE is an annual partnership between food producers and food consumers. The goal of this association is to provide a biodiverse variety of local, fresh, field-ripened foods, grown in a socially and ecologically responsible manner. This partnership ensures fair compensation to the farmer, proper land stewardship and essentially nutritious products for today and future generations.

COMMUNITY SUPPORTED AGRICULTURE of NORTH AMERICA is a not for profit, educational, networking and technical assistance organization for existing, aspiring and potential CSA in Canada, the United States, Mexico and the Caribbean.

The 'SEASONAL NEWS', is a quarterly newsletter by, for and about people becoming part of the solution through agriculture supported communities, available for \$21 a year. The newsletter provides technical assistance to CSA organizers activity and ongoing education and inspiration for the community of CSA members. Your subscription supports CSANA's continuing efforts to make the CSA option known and accessible to farmers and the other mainstream population of North America.

___ YES, I want to become part of the solution and also support the continuing work of CSA of North America (CSANA). I am enclosing a check in the amount of \$21 (\$25 for Canada and Mexico) for my newsletter subscription.

___ Sample newsletter \$3 or 'back issues'.

For Newsletter Subscription, Publications on the CSA Resource List and all Tax-Deductible Donations please make checks payable to: CSANA; Indian Line Farm, Box 57, Jugend Road, Great Barrington, Massachusetts, 01230, tel/fax 413-528-4374; email address: csana@bcn.net

Please use U.S. Postal Money Orders and allow for exchange rate and extra postage for items destined to areas outside of the United States.

While CSANA specializes in North American based CSA activity we continue to collect and supply CSA related information to the Four Corners and Far Reaches of this World.

RESOURCE LIST

The "BASIC FORMULA to CREATE COMMUNITY SUPPORTED AGRICULTURE" compiled and written by Robyn Van En, is an 80 pg. handbook/start-up manual which includes sample budgets, job descriptions, community outreach tactics, a bibliography, a list of CSA projects throughout North America and more. \$10 each or multiple copies 10/\$80. ppd. Bookrate. For Canada \$14.50 US (which includes 1st class postage).

The fully updated and expanded edition of the CSA handbook is in progress and will be available in the Autumn of 1996.

The 'list of CSA projects' mentioned above includes name of farm/garden, contact person, address and phone number. \$5.

The 'DETAILED DIRECTORY' listing most of the currently active projects by state with pertinent information on each: variety of crops/production, weeks of distribution, number of shares, etc. \$10.

"IT'S NOT JUST ABOUT VEGETABLES", an 18 minute video interviewing the core group the first vegetable season at Indian Line Farm (July 1986) with a running dialogue of logistics. A little dated but still used to visually introduce the concept to potential sharers. \$35 ppd. Special 4th Class, add \$2 for Priority/ 2 Day Delivery.

"ANNOTATED ARTICLES", a collection of various CSA related articles from over the years annotated and compiled to give 'popular media's' overview of CSA's beginnings, current adaptations and future implications. This packet also includes an extensive, though not conclusive, bibliography list for further reading/research. \$5ppd.

"COMMUNITY SUPPORTED AGRICULTURE: The Producer/Consumer Partnership" by Robyn Van En with Cathy Roth, University of Massachusetts Rural Development Specialist. A brief but thorough description of CSA; how it works, the benefits to agriculture and community, resource list, etc. Full page photos. Used to introduce CSA to potential sharers, local farmers, town planners and other land/agriculture related organizations. Soon to appear on the UMass CSA Homepage/WWW. 8 page publication \$2ppd.

"TOWARD AN AGRICULTURAL ETHIC", written by Bonner McAllester and illustrated by Victoria Reed. A capsulization of a 6 week long study circle to determine the basis of an 'agricultural ethic' in Berkshire County, Massachusetts by a small community group including local farmers, a banker, environmental lawyer, professor of humanities and others. \$1 each or multiple copies upon request from: CSANA or UMASS/ Berkshire County Cooperative Extension, 44 Bank Row, Pittsfield, Ma. 01201.

"FARMS of TOMORROW" by Trauger Groh and Steven McFadden. An in-depth discussion of the philosophy of CSA, as well as seven case studies. 176pg/ \$14 to: Biodynamic Farming and Gardening Assoc. Box 550, Kimberton, Pa. 19442.

On-site and telephone consultation or presentations of the CSA concept can be arranged with Robyn Van En, Co-founder of Community Supported Agriculture and Director of CSA of North America (CSANA). A 'Speakers Bureau' is also being compiled to be able to contact other appropriate presenters in your region.

For general CSA information send a SASE. For any of the above listings please make checks payable to : CSANA, at Indian Line Farm, Box 57, Jugend Road, Great Barrington, Massachusetts 01230.

Community Supported Agriculture

...*Making the Connection*

A 1995 HANDBOOK FOR
PRODUCERS

Presented by:

UNIVERSITY OF CALIFORNIA
COOPERATIVE EXTENSION,
PLACER COUNTY

and

SMALL FARM CENTER
UNIVERSITY OF CALIFORNIA, DAVIS

PRICE: \$25.00

(plus 7.25% tax and
\$5.00 shipping and handling)

Books and manuals on Community Supported Agriculture to date have focused largely on specific farms, and have interested hundreds of growers to start their own projects.

Making the Connection, a new publication from Placer County Cooperative Extension and the Small Farm Center, pulls together the experience of many innovative projects. While describing the diversity of CSA, this handbook for producers also addresses common questions and concerns.

Major topics covered are:

- + *What is CSA*
- + *Developing a CSA*
- + *Finding and keeping members*
- + *Production for CSA*
- + *Managing the Shares*

In addition to the narrative text and examples from CSA farms across the country, *Making the Connection* includes simple forms for use in running CSA projects. Charts for planning production offer handy information, and worksheets will help farmers consider their own situations.

This handbook also provides additional detail of such topics as legal issues of CSAs, writing newsletters, and postharvest handling.

By helping farmers start new projects and improve existing ones, the information in *Making the Connection* allows them to more easily reap the benefits of CSA.

To order your copy, complete the form, detach and mail with your payment, or call (916) 889-7385.

☐ **YES!** I would like to order *Making the Connection*, the CSA Handbook for Producers.

_____ copies @ \$25.00 per copy - _____
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Shipping: _____ copies @ \$5.00 per copy - _____
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UC Cooperative Extension
ATTN: CSA Handbook
11477 E Avenue
Auburn, CA 95603

Get Connected

Join the North American Farmers' Direct Marketing Association and hook into new ideas that will increase your business.

Get these benefits with your membership:

- **FREE** Farm market news and ideas through a complimentary subscription to *The Great Lakes Fruit Growers News* or *The Great Lakes Vegetable Growers News*.
- As a member you can be involved in maintaining a viable North American Farmers' Direct Marketing network.
- Your participation will help to communicate your interests and concerns through the association to have a voice of importance to direct marketers across North America.

YES! I want to join!

Name: _____

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State: _____

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Business description:

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____ Roadside (Seasonal)

____ Farmers Market

____ PYO

____ Other

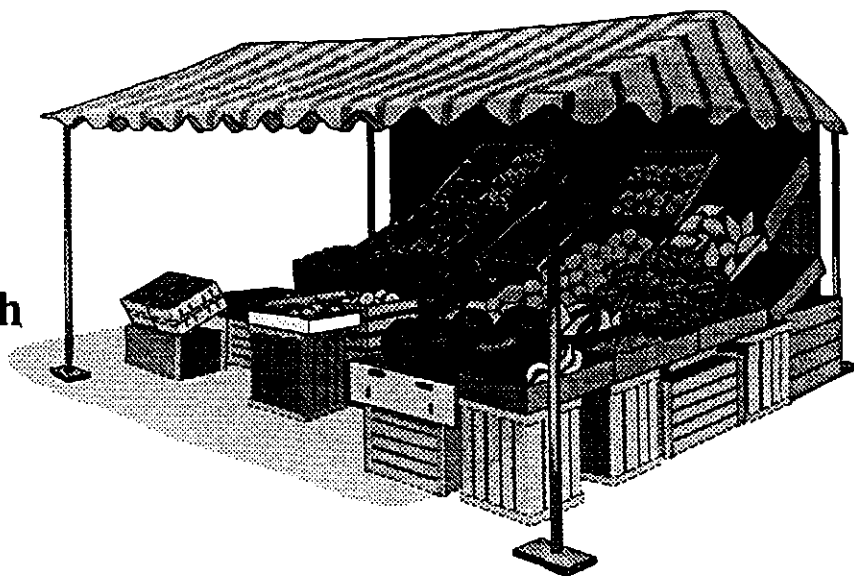
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Vancouver, WA 98660

Total enclosed: _____

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- **Tour** markets of the area and share ideas while riding the bus with other marketers.
- **Participate** in hours of stimulating educational sessions.



PURPOSE OF THE ASSOCIATION

- To encourage and conduct educational and research programs relating to marketing of agricultural products directly to consumers
- To encourage and help coordinate activities of state direct marketing associations, universities, departments of agriculture, and other organizations interested in direct marketing
- To encourage and/or carry out promotional activities designed to foster and expand direct marketing
- To represent the interests of direct marketers to government officials, the general public, and others as appropriate

BENEFITS OF BELONGING

Your participation will make this Association a vital force in the marketing of agricultural products to consumers. Communicate your interests and concerns through the association to have a voice in matters of importance to direct marketers across North America.

Help make the North American Farmers' Direct Marketing Association work to meet your needs.

MEMBERSHIP...YES!

Open to anyone marketing agricultural products direct to consumers including producers, vendors, pick-your-own and roadside stand operators, farmers market vendors, mail order and other marketers that sell to the consumer with the least amount of middle-persons as possible. Additionally, extension and agriculture department staff, suppliers, and other allied industry representatives are invited to become members.

BOARD OF DIRECTORS

The business of the association is conducted by a Board of Directors elected from the membership at the annual meeting held in conjunction with the North American Farmers' Direct Marketing Conference. The Directors include individuals from across North America with a strong interest and active involvement in direct marketing of agricultural products to consumers.

As a member, it is your responsibility to elect directors who can achieve the goals of the Association through proven leadership in direct marketing.

HISTORY OF THE NORTH AMERICAN FARMERS' DIRECT MARKETING ASSOCIATION

This Association arose from the first National Farmers' Direct Marketing Conference held in Des Moines, Iowa in 1986 when a small group of participants was inspired by the tremendous sharing of ideas and expertise that took place among direct marketers from across the country. The tradition of a Conference has continued, promoted and supported by the originators of the Association.

In July 1989, the National Farmers' Direct Marketing Association became incorporated and elected its first Board of Directors. At the National Conference in 1993, the Directors activated the Association by seeking Charter Memberships and collecting dues. Having taken this step, the Directors are now moving towards achieving the goals of the Association.

NORTH AMERICAN FARMERS' DIRECT MARKETING CONFERENCE

The value of bringing together talent and resources at a North American Farmers' Direct Marketing Conference has been proven many times. The North American Conference has gained a following by offering outstanding tours and presentations by leading marketers and experts from North America and Europe.

The North American Conference is held annually in conjunction with a state or regional conference. The North American Conference enhances the local program by attracting more speakers and participants. Pre-and post- conference tours enable conference goers to view direct marketing in different regions.

The greatest benefit of the conference is the networking and sharing of ideas that goes on between sessions, at meals and after hours.

We guarantee you will leave the conference with a dozen new ideas to try and at least that many friends to see again at the next Conference.

North American Conference locations:

1986	Des Moines, IA	1993	Portland, OR
1987	St Louis, MO	1994	St. Charles, IL
1988	Williamsburg, VA	1995	Knoxville, TN
1989	Oakland, CA	1996	Saratoga Sp., NY
1990	Toledo, OH	1997	New Mexico
1991	Parsippany, NJ	1998	British Columbia
1992	St. Paul, MN		

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Compuserve's Cook's Online (Food) Forum Library (Tools & Books)
Genie's cooking library (M1150;3)

On the World Wide Web, which offers the most colorful and interactive edition of the newsletter, FARMER'S MARKET ONLINE (tm) is located at the following URL address:

<http://members.aol.com/marketfarm/farmers-market/>

Weekly issues of the e-mail edition are also available free of charge upon request to: MARKETFARM@aol.com

Set up much like an open-air market, this "virtual" farmer's market has individual "Booths" where sources for fresh fruits and vegetables, herbs, meats, flowers, craft items, books, livestock, and other items are displayed for sale, trade or barter. In most editions the Booths look like this:

THE BOOTHs

NOTICE: Farmer's Market Online (tm) is a news and information service, not a sales agent or middleman. Booth listings are edited for style and length, but otherwise all transactions are the sole business of the buyer and seller, or traders. No warranty is made on the products listed.

ATTENTION SHOPPERS: New this week in our Specialty Food section are some handmade gourmet cheeses from the Mozzarella Company in Dallas, TX. Made from cow's milk, goat's milk and even water buffalo milk, these cheeses are available in half-pound blocks or larger... And, just in time for Christmas, you'll find the "Claxton World Famous Fruitcake" from Hinesville, Georgia. Two-pound

cakes are available for just \$10.60, shipping included... If you want more information about any of the products listed here, you can contact each booth directly or use our Checkout form and we'll pass along your inquiry.

Farm Produce

DATES, Medjool. 1 lb. consumer tray for \$7, case of 12 for \$45, 3 lb. - \$23.50, 5 lb. \$30, 15-lb. bulk \$45, shipping included. Gift packs available. Contact: Greg or Shelly, The Jewel Date Co., 57-023 Highway 111, Thermal CA 92274. PH: 619-399-4474 FX: 619-399-4476 E-Mail: Gdate@aol.com.

MAPLE SYRUP. Pure. \$5.50 pint, \$10 qt. \$18.50 1/2 gal. \$33 gal. + \$5 UPS to cont. U.S. Contact: Maplewood Farm. E-mail: TomBaum@aol.com. Phone: 800/344-1709 or 419/892-2598. Mail: 3160 Rider Rd, Lucas OH 44843.

NUTS, Pecans and Peanuts. Pecans \$8.88/lb. Peanuts \$11.64 for 5 lbs. Contact: N.H. Wright, 205 Fraser Dr., Hinesville, GA 31313. PH: 800-250-3484. E-mail: OAM31313@aol.com.

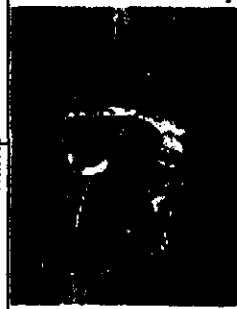
POTATOES, Certified Organic. Reds, Yukon Gold, Desiree. 60c/lb. plus shipping, Priority Mail or UPS. Contact: Mike or Marie Heath, M&M Heath Farms, Rt. 3, Box 487, Buhl, ID 83316. PH: 208-543-4107.

SEEDS, SPROUTING. Certified organic. 25 varieties. "Mum's Grow-at-Home Sprouts." 100g(3.5oz) pkgs. and up. Contact: Jim/Maggie Mumm. E-mail: jim.mumm@sasknet.sk.ca. Mail: Hazelridge Farm, Bx 268, Shellbrook, SK, Canada, S0J 2E0. PH (306) 747-2935; FX (306) 747 3618.

TOMATOES. "Tasty Tomatoes" grown in Israel, greenhouse and vine-ripened. Sold in multiples of 156 11-lb. boxes (1,716 lbs total) at \$1.20/lb. FOB NY within 36 hrs of picking. Other locations, inquire. Contact: Eliezer Baskin, Moshav Ganai Tal, Gush Katif, Israel. E-mail: whant01@ccsg.tau.ac.il. FX: 972-7-846-211.

The World Wide Web edition of FARMER'S MARKET ONLINE

(tm) offers each Booth an extra 250 words of description or background and a small photo of its product at no extra charge. Here's an example:



"Abstract Basket" by Janet Hechmer, Swan Creek Baskets

VALUE ADDED

New products from the same old materials

Iris Income

Home flower gardens are often a source of beauty and relaxation. They can also be a source of income. When Betty McMurtry and her husband, Clyde, cleared the weeds around the home they purchased in Merced, California, they discovered hundreds of irises planted by a previous owner. That was 25 years ago. Betty has been planting and cultivating the iris beds ever since, adding new varieties of dwarfs, intermediates and tall irises to a garden that surrounds her home. With an estimated 70,000 irises in her garden, she sells the plants bare root and in pots to nurseries in a 60-mile radius. The irises are not a major source of income, the cattle ranching McMurtrys told the Merced Sun-Star, but they are a great source of pleasure.

There's also an "Open Market" section for a moderated exchange of ideas and inquiries among readers and a "Shopping Lists" posting space where shoppers can identify products they are trying to find. We want shoppers to find FARMER'S MARKET ONLINE (tm) a valuable resource for locating farm-direct sources of produce, meats, crafts, animals and specialty food products. Shoppers contact producers by e-mail, phone, fax, postal mail or their Web addresses for more information or to place an order for a product.

The Booths, as you've seen, are designed to serve small-scale farms and ranches, or producers of specialty foods, books and crafts. Each Booth consists of a 40-word classified listing of a single product... that appears in all editions of FARMER'S MARKET ONLINE (tm) -- print, e-mail, online forums, Web -- and costs \$10 for 12 weeks.

Sponsorships, on the other hand, are designed for producers, entrepreneurs and cooperatives with **several products**. They provide a low-cost (\$25 per issue!) opportunity for Internet exposure and sales via the World Wide Web, as well as print and e-mail coverage.

Sponsors will have a photo or logo on the FARMER'S MARKET ONLINE (tm) main Web page which can be linked to a catalog or price list, product descriptions and order forms. These can be updated once each month at no extra charge.

Basketmaker Janet Hechmer says, "The beautiful mountains and river valleys of Hancock County, Tennessee are inspiration for my basket creations. The forest surrounding my home is where I find many of the materials for my baskets. I enjoy making baskets that blend traditional techniques with contemporary shapes. Colored reeds of different sizes are woven in among native vines and driftwood. Each basket is unique; no two are exactly alike. The wall basket and abstract basket are formed by the shape of the driftwood I choose."

Each issue of FARMER'S MARKET ONLINE (tm) includes a "Bulletin Board" with news, reviews, special notices, commentary and listings of TV cooking and gardening programs. Here's how it looks:

BULLETIN BOARD

News items of interest to cooks, consumers, farmers, gardeners, ranchers and homesteaders

BOOK STALL

Reviews of books and other publications



PIZZETTE


by Lou Seibert Pappas. Chronicle Books, 1996, \$9.95 (US)

Increasingly popular as appetizers, entrees or even desserts, individual-size pizzas are easily prepared and wonderfully flexible. Mix up a simple dough of flour, yeast, honey, salt and olive oil. Add your favorite toppings or experiment with something new. Bake in a hot oven for a few minutes and serve.

Like a minuet, the basic elements of pizzette can be rearranged in an infinite number of culinary variations, as Lou Pappas demonstrates in this little volume of tips and recipes. Illustrated with whimsical watercolors and bound in a square shape about the size of a pizzetta, the book outlines the basic ingredients and equipment for making pizzetta, describes how to shape and bake the dough, and suggests more than 30 recipes. See the breakfast recipe for "Blueberry Pizzette" in the Farm Kitchen.

Sponsors with e-mail or their own Web pages can arrange to receive orders, questions and comments from shoppers online. Sponsors without online access will receive orders by mail or fax directly from the shopper.

In the e-mail edition of FARMER'S MARKET ONLINE (tm), sponsors will have 50-100 word "storefronts" describing their products and/or service. Fax and print editions will include an "ad" with graphics and/or photos that appear in a space like this:


Backcountry Ecocuisine is a special selection of meals and food items designed for trail travelers of all kinds — backpackers and hikers, mountain bikers, llama trekkers, equestrians, cross-country skiers, boaters/crafters, trailbikers and snowmobilers.
1-800-758-2418 Fax 1-208-882-3655
Paradise Farm Organics, 1000 Wild Iris Lane, Moscow, ID 83843
See Your Advertisement Here in Print Edition!

Compare the cost of joining FARMER'S MARKET ONLINE (tm) with your local newspaper's ad rates. Because FARMER'S MARKET ONLINE (tm) is distributed free of charge and anonymously through many channels, hard readership figures are impossible. But based on the feedback we've received and traffic at the sites where we distribute, we estimate at least 10,000 regular readers worldwide with a special interest in food, cooking, gardening, farming, sustainable agriculture, crafts and/or home-based marketing. And, like we mentioned before, the potential exposure in this new medium is enormous.

BOOTH RESERVATION FARMER'S MARKET ONLINE

205 West 7th, Box 277, Shoshone ID 83362-0277

Term (check one)
 ___ 12 weeks (\$10) ___ 24 weeks (\$20)
 ___ 12 wks w/ print subscription (\$25) ___ 24 wks w/ print subscription (\$50)

Category (check one)
 ___ Farm Produce ___ Specialty Food
 ___ Crafts ___ Pets
 ___ Livestock ___ Books
 ___ Farm Supply

Product (generic name, i.e. apples) _____

Variety (i.e., Macintosh) _____

Quantities available (i.e., 10-lb box) _____

Asking Price Range or Value (including shipping) _____

Contact Name (business or person) _____

Contact Address (postal or e-mail) _____

Contact Phone or Fax _____

E-mail address _____

Example:

MAPLE SYRUP. Pure. \$5.50 pint, \$10 qt, \$18.50 1/2 gal, \$33 gal. + \$7.50 UPS to cont. U.S. Contact: Maplewood Farm. E-mail: TomBaum@aol.com. Phone: 800-344-1709 or 419-892-2598. Mail: 3160 Rider Rd, Lucas OH 44843.

Payment: ___ Check ___ Money Order
 ___ Credit Card: ___ VISA ___ MC ___ DISCOVER ___ AMEX
 CC# _____

Expiration Date _____

Name _____
 Address _____
 City _____ State _____ Country _____ Postal Code _____
 Phone/Fax _____
 Signature (for credit card orders) _____

Using Study Circles in Sustainable Agriculture Training

Presented by:

Deborah Cavanaugh-Grant, University of Illinois (Williams Bay, WI)
Michael Coté, The Ohio State University (Williams Bay, WI)
Deborah Cavanaugh-Grant, University of Illinois (Carrington, ND)

Summary by:

Deborah Cavanaugh-Grant, University of Illinois
Michael Coté, The Ohio State University

As an informal, practical, and effective method for adult learning and social change, the study circle is rooted in the civic movements of 19th-century America, for example, the Chautaugua Literary and Scientific Circles. Study circles are voluntary and highly participatory. They are small-group democracy in action. All viewpoints are taken seriously, and each person has an equal opportunity to participate. The process—democratic discussion among equals—is as important as the content.

A study circle progresses from a session on personal experience (How does the issue affect me?) to sessions providing a broader perspective (What are others saying about the issues?) to a session on action (What can we do about the issue?). Study circles differ from other discussion and listening groups that often do not include intentional learning.

The goal of a study circle is to deepen participants' understanding of an issue by encouraging dialogue and reflection about the values that underlie opinions. Printed materials are often provided as supplements in guiding circle discussions. A typical study circle should include the following:

- Introductions
- Ground rules
- Discussion of personal connection to or interest in the issue
- Laying out a range of views
- Discussion and deliberation
- Summary and common ground
- Evaluation and next steps

According to Henry Blid, Swedish professor of adult education, study circles provide “living” knowledge that is intelligible to learners, whatever their educational background and gives adults a forum to learn analytical and critical skills that can be used to confront myths and prejudices within our society. Blid's principles of learning for study circles include:

- Equality and democracy among circle participants
- Liberation of members' inherent capabilities and innate resources
- Cooperation and companionship
- Study and liberty and member self-determination
- Continuity and planning

- Use of printed study materials
- Active member participation

Study circles can provide everyone interested in the issue of sustainable agriculture a forum for sharing knowledge and understanding and a powerful means for developing personal growth, leadership, and shared responsibility for social change.

Contents:

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The Study Circle Handbook, cover and table of contents, p. 217

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Using Study Circles in Sustainable Agriculture Training

The Shared Leadership, Shared Responsibility Workshop

North Central Sustainable Agriculture Training Program held June 24-26, 1996

George Williams College/Lake Geneva Campus at Williams Bay, Wisconsin

LEARNING METHOD: Presentation and Participatory Learning Using a Mini-Study Circle

PRESENTED BY: Deborah Cavanaugh-Grant and Michael Côté

I. Historical Roots of Study Circles in North America

Small group discussion or study circles is not a new idea in North America. Some form of group meeting to discuss common concerns and share in decision making goes back to the earliest beginning of our democratic institutions. Town meetings have been around since the early 1600s, and continue to function as legal bodies in New England towns today. The first recorded advocate of study groups in America was Ben Franklin, who organized weekly meetings or Juntos to discuss successful business practice. The motto of the Junto's was, "Individuals associated can do more for society, and themselves, than they can in isolation." Samuel Adams, one of America's earliest patriots, organized "Committees of Correspondence" which, along with town meetings, served to engage citizens in discussions about freedom. These discussions ultimately spawned a movement that led to calls for independence and Revolution.

The late 19th and early 20th century saw several adult education movements concerned with citizen education. Among these the Chautaugua Literary and Scientific Circles used study and small group discussion to examine the pressing issues of the day. Later, in the 20th century, Land Grant Universities and the Agricultural Cooperative Extension created models for discussion of public affairs among small groups of rural people. During the Great Depression, the USDA Cooperative Extension Service launched an extensive federally supported "schools of philosophy" program to train farm leaders in 39 states in the organization and leadership of public issue discussion groups. The training program effectively involved over two million farmers in discussion groups.

One other farmer discussion program that arose out of the Depression era was the Ohio Farm Bureau Advisory Council Program. The catalyst for the development of farmer discussion groups into a community action advisory council concept can be traced to Ohio Farm Bureau officials' visits to Antigonish, Nova Scotia to see the work of two priests. Convinced that impoverished fisherfolk and coal miners could help themselves out of their economic plight Fathers Jimmy Thompson and M.M. Coady helped organize informal meetings, known as "Kitchen Clubs", in the homes of parishioners to discuss ways to address rural poverty. Eventually, St. Francis Xavier University assigned its Extension staff to help organize a program of study circles which led to the development of credit unions, cooperative stores, timber mills and canneries. Members built houses and fishing boats for each other. All of these projects were born of the idea that self-help and community action can come from group discussion about local issues concerns.

II. Farmer-based Study Circles

According to Turner (1982) in the Ohio Farm Bureau Story, 1919-1979 , The Ohio Farm Bureau launched its Advisory Council Program in Ohio in 1936 because members felt the need to develop a system that allowed small groups of farmers and rural people to come together to discuss and act on local economic and political issues. The program derived from several visits to Nova Scotia in the mid-1930s by Ohio Farm Bureau officials interested in learning about community self-help programs. Impressed by the cooperative spirit they saw in the rural community-based study circle program in Nova Scotia, the Ohio Farm Bureau launched a campaign to promote farmer-based advisory committees all across Ohio using the slogan "In the front room of your neighbor's home, you build".

The Ohio Farm Bureau Advisory Council Program was designed to help groups of families and friends meet regularly in each others' homes to discuss issues of interest to farmers and rural residents. The Ohio Farm Bureau recognized a fundamental principle of community development that people need a forum to express their concerns and they need to feel that they can make a difference. Supporting a group with a common purpose can get those concerns acted on by the community in some way. According to the Ohio Farm Bureau, Advisory Councils have helped the organization grow into a viable organization by keeping the organization in touch with its members and serving as a foundation for the organization's leaders. The Ohio Farm Bureau provides Advisory Councils with organizational assistance and it regularly informs and gets feedback from its members about current issues of concern to farmers and rural people. The Ohio Farm Bureau currently supports over 1,100 Advisory Councils making the program in all likelihood the largest and most politically powerful network of farmer-based study circle groups for farmers, rural people and friends of agriculture in the country.

The fundamental guidelines governing Advisory Council are as follows:

Each group decides its own meeting dates and locations. Meetings of groups of families of various age groups are held in each others' homes. The home setting provides the opportunity to enjoy "visiting" with friends and neighbors. Friendship and fun are considered a vital part of meetings.

All farmers, rural residents and friends of agriculture are welcome to meetings. A participant need not be a member of the Farm Bureau to attend, and there is no fee to participate.

The Ohio Farm Bureau aims to keep its members well informed about important issues. It prepares and mails a monthly discussion guide to Councils for individual study and group discussion. The Council may choose to discuss other issues of special interest to them. Council minutes and feedback on the discussion guide are mailed to the Ohio Farm

Bureau where they are tabulated, compiled with other Council input and reported back to members in organization's monthly magazine. When appropriate, the results of combined Advisory Council feedback on discussion guide issues are provided to public officials and prepared as news releases. Advisory council input is considered critical in developing Farm Bureau policy positions.

Advisory Councils give members an opportunity to take the "next step" in further collective action in community activities and public affairs.

III. Study Circle's Foundations in Adult Education

By the early 1900s, the concept of study circles made its way to Sweden, where it was adopted as the popular vehicle for adult education. Study circles have become fully integrated in Swedish life and culture with estimates of 3 million adults participating in 320,000 study circles every year. The Swedish experience has contributed greatly to the modern concept of the study circle. Swedish professor of adult education, Henry Blid, maintains that study circles exercise a vital force in modern adult life because they provide "living" knowledge that is intelligible to learners, whatever their educational background, and give adults a forum to learn analytical and critical skills that can be used to confront myths and prejudices within our society. Problems that people face in their own lives frame the content for study circle discussion and understanding.

The modern concept of the study circle has certain defined characteristics and guiding principles, many of them derived from the work of Blid (1989), Oliver (1987) and the SCRC (1990). These are important to understand because they form the basis for conducting effective study circles that give individuals learning opportunities for personal growth and a capacity to work with groups for collective action.

The guiding principles and characteristic of study circles are described as follows:

Every study circle member has an equal voice; everyone "sits in the front row".

Good group dynamics and democratic discussion are facilitated when a study circle has a minimum of 5 and maximum of 20 participants. Every participant has the opportunity to speak and is accepted as an equal, with everyone expected to listen to differing opinions in order to understand others' perspectives.

Participants attend study circles voluntarily, ready to learn and share experiences for discussion.

By listening and sharing knowledge, by learning to understand different perspectives, participants learn how to function together in a group and to discover common values that enable them to work together for change and community action.

Study circles should meet member's needs for practical "living" knowledge that can be applied to problem situations in their lives.

Study circles should "start with where people are". Allow participants time to share their "real world" experiences, and allow participants to determine the agenda for discussion and the outcomes of their collaboration. Study circles teach us that people's experiences, stories, values, opinions are important. They help us better understand the society that we are all a part of.

Study circle learning is collaborative, not competitive.

Collaborative learning implies learning to appreciate other participants, their backgrounds, their opinions, and their values in trying to better understand issues that affect us all.

The process of democratic discussion among equals is as important as the issues that are discussed.

Study circles encourage small groups to learn together through member- led discussion. All study circles meet for at least several sessions, some like the advisory committees described below, continue to meet regularly for years. Study circles are effective when the group has time to work through issues and everyone has the opportunity to participate. Taking the time to come to know each other's views, studying and reflecting on what was read and said, and determining how to respond and act on what was learned enables citizens to practice the art of shared leadership and responsibility.

Study circle materials can be useful catalysts to elicit participants' views and values.

Study materials can serve to stimulate discussion, provide a framework for the discussion, and create opportunities for deeper reflection on the varied perspectives that surround an issue.

Study circles are ""leaderful"" groups of learners.

The group facilitator is neither the teacher nor the expert on the issue. Neither does the facilitator set the agenda for discussion. The facilitator's role is to help the group develop an atmosphere for collaborative learning by encouraging full participation in discussions. Each participant should be encouraged to feel at ease in expressing ideas and listening to those of others. Study circle facilitators and participants have collective knowledge to share on an issue, and the democratic format of study circles encourages collaborative learning and shared leadership and responsibility.

IV. Overview of the Study Circle Process

A typical study circle meeting should provide for the following :

- (1) introductions,
- (2) establish ground rules for discussion,
- (3) individuals' share experiences regarding the issue,
- (4) laying out the group's collective range of views,
- (5) group discussion and deliberation,
- (6) summary of the group's discussion and affirmation of common ground,
- (7) evaluation and action on the next steps.

A series of study circle meetings typically follows the following sequence:

- (1) A study circle normally opens with a session focusing on personal experiences:

Participants are encouraged to ask themselves a self-directed question such as:
How does the issue affect me?

- (2) Succeeding sessions allow participants a broader perspective on the issue:

Participants are encouraged to ask themselves self-directed questions such as:
What are others saying about the issues?
What can I and others do about the issue here?

- (3) Materials for study and reflection can be provided to members as supplements in guiding and enlivening future group discussions.

Some points for helping facilitate a study circle:

- (1) Listen to others carefully.
- (2) Keep an open mind.
- (3) Remain respectful of people who disagree with you.
- (4) Help maintain the flow of the discussion.
- (5) Speak your mind, but don't talk more than your share.
- (6) Feel free to engage other participants in the discussion.
- (7) Make your needs for clarification known to the group.
- (8) Value your own experience and wisdom.
- (9) Challenge ideas that you disagree with in a respectful manner.
- (10) Share responsibility for helping others feel at ease.

The over arching goal of a study circle is to provide participants a deeper understanding of an issue by opening up discussions that focus on the values that underlie people's opinions. Study circles create an environment where listening to others views can lead to an honest examination of our values and where working through difficult issues offers a chance of improving our communities and society. With such great potential to instill individual growth and social change the questions facing the agricultural community are whether we are ready to apply the power of study circles to the issue of sustainability in agriculture? And who will share the responsibility and leadership of taking study circles to the farms, towns, land grant universities, nonprofit organizations and other institutions connecting the many people with an interest in the sustainability of agriculture.

V. Key References:

Ohio Farm Bureau Federation. Farm Bureau Starter Packet. Columbus, OH: Ohio Farm Bureau Federation. Approx 30 pp. (Available from Ohio Farm Bureau Federation, Education Dept., Two Nationwide Plaza, Box 479, Columbus, Ohio 43216, 614-249-2472, price: \$1.50).

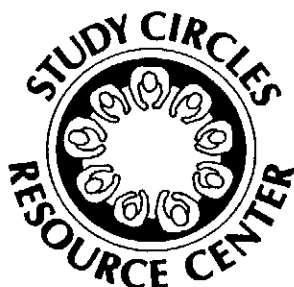
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Study Circles Resource Center (SCRC). The Study Circle Handbook: A Manual for Study Circle Discussion Leaders, Organizers, and Participants (15 pp.); A Guide to Training Study Circle Leaders (27 pp.); and Guidelines for Creating Effective Study Circle Material (19 pp.). (Available from SCRC, P.O. Box 203, Pomfret, CT 06258, (203) 928-2616. No charge for single copies).

Turner, William. Ohio Farm Bureau Story 1919 - 1979. Columbus, OH: Ohio Farm Bureau Federation, Education Dept., Two Nationwide Plaza, Box 479, Columbus, Ohio 43216 Columbus, Ohio, 1982.

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The Study Circle Handbook

**A Manual for Study Circle
Discussion Leaders,
Organizers, and Participants**



A publication of the Study Circles Resource Center, sponsored by Topsfield Foundation, Inc.

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The Study Circle Handbook: A Manual for Study Circle Discussion Leaders, Organizers, and Participants is a publication of the Study Circles Resource Center (SCRC). It is an abridged version of *A Guide to Training Study Circle Leaders*, which also includes detailed suggestions for people conducting training programs. Both *A Guide to Training Study Circle Leaders* and this handbook are available at no charge for small quantities and at cost for larger quantities. You are also welcome to photocopy these programs as needed so long as proper credit is given to SCRC.

The Study Circles Resource Center is a project of the Topsfield Foundation, Inc., a private, nonprofit, nonpartisan foundation dedicated to advancing deliberative democracy and improving the quality of public life in the United States. SCRC carries out this mission by promoting the use of small-group, democratic, highly participatory discussions known as study circles.

In addition to providing how-to publications such as this, SCRC provides:

- **Consultation**, via phone or mail, for persons seeking advice on organizing and leading study circles.
- **Networking services**, including a comprehensive clearinghouse list of topical study circle material produced by a variety of organizations, a quarterly newsletter, and information exchange with thousands of individuals and organizations.
- **Topical discussion programs** on timely issues such as race relations, the death penalty, and foreign policy.
- **Assistance with material development**, by providing how-to publications and, where there is potential for wide use, direct assistance in developing topical study circle material.

For information, contact SCRC at PO Box 203, Pomfret, CT 06258, (860) 928-2616, FAX (860) 928-3713, E-mail <scrc@neca.com>.

Using Networks in Sustainable Agriculture

Presented by:

Andrew Hager, Medford, Wisconsin (Williams Bay, WI and Carrington, ND)

Summary by:

Charles Francis, University of Nebraska-Lincoln

As described by Andrew Hager, University of Wisconsin-Extension, the networking concept is not new. Networks have existed through history whenever people came together to share experiences and decide on future actions. They can range from highly organized structures with boards of directors and elected officers to extremely informal groups that gather on an ad-hoc basis. Hager related the history of the Northcentral Grazier's Network, a group that currently has 283 members, who are interested in forage and pasture improvement in Wisconsin. He defines the structure of the network, the member profile, and the role of the Extension agent and organization as part of the network. Hager further describes the basis for starting and maintaining a network, as it has worked in this group. There are a number of activities that have helped members come together and maintain a focus on relevant topics.

Contents:

Northcentral Grazier's Network: An Overview, A. Hager, p. 221

Research Brief #23 Farmer-to-farmer networks: effective grass-roots sharing, Center for Integrated Agricultural Systems/UW-Madison College of Agriculture and Life Sciences, p. 231

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NORTHCENTRAL GRAZIER'S NETWORK

An Overview

by Andrew Hager
Agricultural Agent - Taylor County, Wisconsin
University of Wisconsin - Extension

1996

Foreword

Networking is not a new concept. Networks have existed since time began. They crop up whenever and wherever people feel the need to compare notes and share experiences. They take various forms, ranging from highly organized structures with officers, boards and the like to groups so loosely formed that tangible evidence of the network's existence can be difficult to find. Northcentral Graziers' Network spends most its time between these two extremes -- sometimes very structured and sometimes very "loose-jointed." The experiences and overview offered herein are not intended to suggest that we're experts in networking -- we're not. We offer our experiences, some discussions of process and a few opinions, in hope of helping others develop networks that serve their needs as well as Northcentral Graziers' Network has served ours.

As you read what follows, you may want to mentally change "Agricultural Agent" to "agency staff," and "grazier" to "farmer," or "producer." Remember, it's not grazing that's important here -- it's **networking!** Use labels that make it relevant to you.

A bit of background and some history.

Taylor County is in Northcentral Wisconsin, where the land transitions from farmland to northern forest. Agriculture is based on production of forages rather than row crops, due to a relatively short growing season and soils that tend to be cold and wet. The local forage resource is marketed through livestock on a value-added basis, with the dairy cow serving as the primary "forage converter."

During the past 30 to 40 years, tremendous technological advances have been made in many areas of our lives and agriculture is no exception. While agriculture has made great strides in food and fiber production, there are times when we spend a lot of money in the process. Adoption of various technologies has changed the face of agriculture to a form that could fairly be called "capital intensive." It takes a lot of money to get into (or stay in) farming these days.

Agriculture, like any other business, cannot afford to subsidize overinvestment because there is a direct correlation between a soil's productivity and that soil's ability to service debt. The aforementioned soil and climate limitations have prompted farmers in Taylor County to search for farming systems that are more in line with what our soils can support (more management-driven and less capital-intensive.) Interest in exploring management-intensive grazing grew, a network formed to support that exploration and the rest is history ... in the making.

Northcentral Graziers' Network had its "formal" beginning in January, 1992. Occasional questions and discussions about the potential of managed grazing made us wonder how widespread the interest was. The first winter meeting was built around the experiences of several grazing practitioners and we honestly had no idea how many

people we should expect to attend. Surprise! -- 86 producers attended and more than 40 of them signed up on the "interested in networking" list. At this stage, the "network" had only two stated purposes:(a) "notify you about events of interest" and (b) "share experiences and exchange information." These initial goals are still seen as the bases for the network's existence. Network events now include the annual Winter Grazing Meeting, bi-monthly pasture walk farm tours from April through November, occasional "van tours" to more distant locations and a variety of on-farm research trials. Northcentral Graziers' Network now has 283 members (farms), with new members signing up as interest in managed grazing continues to grow.

"Bits and Pieces"

How Does it Work?

- Mailing list is most formal/structured part of network
 - notices of activities mailed to "members"
- No dues, no treasury
- No officers (looseknit "steering committee")
 - Steering committee
 - lines up host farms for pasture walks
 - suggests/contacts speakers
 - organizes "van tours"
- Serious effort toward **mentoring**
 - telephone
 - help beginners evaluate their farms
 - share resources (books, fencing equipment)
 - share experiences (good **and** bad)
 - seek and offer constructive criticism
 - they learn together
 - learning curve is steep, at first
 - limited information available from conventional sources
- Network members
 - talk to each other -- A LOT!
 - visit each others farms
 - walk each others pastures
 - share/compare their business' numbers
- Agent/agency role(s)
 - facilitators
 - "opportunity creators"
 - "provocateurs" -- stimulate/promote discussion - **don't lead it**
 - learner/network **member**
 - contributors within own areas of expertise

Where's It Going/How's It Changing?

- Large groups can be too big → reduce learning effectiveness (socializing)
- Large groups are diverse, and need diverse program efforts
 - response - development of sub-groups
- Early adapters have different needs from beginners
 - beginners need/expect mentoring
 - (what do the mentors need?)
- A. Beginners Series
- B. Level 2/Level 3 information for more advanced graziers
(Challenge them -- assume much prior knowledge)
- C. programming specific to sub group interests (financial analysis)

PERHAPS → D. More "segmented"/More networks

- increased "discussion group" function
- increased "neighborhood" focus to discussion groups

So: Northcentral Graziers' Network is:

- diverse
- growing
- experimental
- dynamic
- process driven (needs and learning styles determine methodologies)
- an effective method, for these people, at this point in time
- in no way permanent (will exist only so long as it fills a need)

Mechanics Of Starting and Keeping Our Local Grazing Network Going

Why Network?

- A. What need(s) is the network expected to fulfill?
- B. Whose need(s) is the network expected to fulfill?
- C. Why is the networking method a good idea?

(When, where and how are easy-- You need to know why you're doing this.)
Keep asking A, B, and C -- They'll keep you honest and focused.

Academic/Agency paradigm may get in the way

- information/technology transfer model
 - focuses on external knowledge from experts and how that information should be structured
 - assumes that if people know what experts think should be done, they'll go home and do it
- People use new information when:
 - they've reconciled it with what they already know and believe
 - they've seen someone like themselves use it
 - they've made the objective information subjective
 - the information is directly relevant to their situation

Network

- facilitated learning model
 - starts with the learner
 - selects teaching activities that help the learner build ideas and information in his or her own mind which are likely to be useful in real life situations
 - involve learners in selecting information, etc., to be learned (ensures that you see information, etc., from user's perspective)

Your Role As Teacher/Facilitator/Occasional Leader

- support and assist learners in:
 - understanding perspectives (clarify, ask questions)
 - understanding alternatives (explore, "if this/then that")
 - building skills in making choices
- emphasize helping learners develop competencies
 - less emphasis on teaching content (less teaching of facts)
 - more teaching of process or method (decision making, problem solving, etc.)
 - lead/clarify by asking questions or suggesting areas to be discussed
 - support/affirm (& question) information contributed by group members
 - ensure that everyone who wants to contribute can
 - clarify points if/when you sense confusion
 - summarize main points to be remembered
 - provide information from your own area of expertise
 - help group evaluate accuracy & usefulness of locally held and expert knowledge

This is discussion built around real situations

You might ask:

1. What is the issue/practice/concept? -- Define it
2. What do we need to learn/understand?
3. How does this apply to or work on your farm? and yours?
4. What have your experiences been? What have you seen?
5. How have you changed your farming practices as a result?
6. What are the key things you have to remember in order to do this well?
7. What problems did you encounter?
8. How did you overcome those problems?

Put participants in charge of providing much of the information. Help them validate their indigenous knowledge. Learn from/with them. Let them own it.

Mechanics Of Starting/Maintaining Networks

- How much structure? (KISS principle -- Keep It Sorta' Simple)
- PROCESS**
 - mailing list/data base
 - paper/copying/postage
 - host farms
 - "steering committee"
- Evolve from:
 - You created the first event or opportunity, *to*
 - They told you what they wanted next, *to*
 - They took ownership/made contacts, etc., *to*
 - Events are joint efforts, by varying groups of "doers"
- If you're "just another member/participant" you're not expected to be "the expert"
- When they invite you to events they've organized, they own it
- (Agent - "It's not my network, but I can get you on the mailing list.")
- Keep asking them: What do **they** want?
 - Which part(s) of that can they contribute?
- Keep it on a volunteer basis
 - ("If you're being paid to deliver, I'm a spectator.") (no ownership)
- Much of this is free-style -- Prepare resources to draw on if needed, but don't be disappointed if you don't get to use them all.
- Cultivate an informal, shared climate where:
 - people know each other (get to know)
 - people begin to relate to each other
 - People understand that they are part of the process, i.e., this is not a lecture by you, "the teacher."
- Events:** (Be careful with "trade shows," planned or informal)
 - pasture walk
 - first half - walkabout, host's experiences, perhaps a short speaker (focus on weeds, body scoring, etc.)
 - second half - unstructured freestyle discussion
 - or design grazing system on paper or aerial photo, followed by on-farm walk, talk and redesign session
 - van tours - (swing parlors, flat barn parlors, greenhouse barns)
 - "The Winter Conference" - large group, diverse backgrounds and knowledge levels
 - small group mentoring meeting - 2 to 4 beginners + 1 to 3 "old hands" + you (facilitator)

PHILOSOPHY

Northcentral Graziers' Network: Why does it work?

- network belongs to graziers, not the County Agent
- graziers like network's informality (minimal structure)
- everybody's learning - few/no "experts"

PEOPLE ASPECTS

- Social aspects
 - opportunities to be "neighborly" ("fencing bee")
 - opportunities to see neighbors as colleagues, not competitors
 - reinvention of traditional "working together" (threshing or firewood crews)
 - reduces isolation common to today's farmers
- Network →
 - share numbers
 - measure progress
 - compare benefits of various practices
 - discussion, identification, definition of goals
 - develop and implement PLAN, evaluate results, update PLAN, (compare with neighbors)
 - **Go for it!** (Empowerment) They can do this.

BUSINESS ASPECTS

Networking works because it's farmer-to-farmer and because people are allowed (and encouraged) to participate on their own terms. --- Each walkabout provides each participant with both a group and an individual experience.

Networking is a **PROCESS**, -- a **METHODOLOGY**

Separate advocating an outcome from advocating a process

It's appropriate (almost inevitable) for the "educator" to advocate a process

TRANSLATION:

1. Don't sweat the advocate/neutral educator stuff. It's a non-issue if you understand your role within the network.
2. Don't let agency reporting requirements or outside vested interests (salesmen) influence or direct the network's goals, direction or methods.

Research Brief

#23 Farmer-to-farmer networks: effective grass-roots sharing

Farmer-to-farmer networks are thriving in Wisconsin as a way for farmers to pool ideas, exchange perspectives, and learn from each other. Some 20 Wisconsin networks focus on management intensive rotational grazing, weed and pest management, soil fertility, herd health, or the economics of farming sustainably.

Stephanie Rittmann, a graduate of the University of Wisconsin's Institute for Environmental Studies and former CIAS research assistant, conducted a CIAS-supported, year-long case study of the Lafayette County (WI) Grazing Network and attended dozens of field days and farm walks in Wisconsin, Minnesota, and Montana. From this field work she developed a list of ideas for farmers interested in starting and maintaining an effective network.

The need and the promise

Many of Wisconsin's farmer networks grew out of farmers' and farm families' need to create farming systems that better meet their needs. Networks help

farmers distribute information, offer moral and technical support, and share resource leads. Farmer networks sponsor field days, farm walks, and winter work-

shops that encourage a flow of ideas. Wisconsin networks have established sustainable agriculture libraries, tested the use of computers in making farm decisions, sought funding for on-farm research, developed marketing links with urban centers, and coordinated major conferences on topics of interest to farmers. Most networks hold public events to teach non-farmers about their work.

"Successful farmer-to-farmer networks assume that each person has valuable knowledge and experience to contribute," explains Rittmann. "The supportive and informal atmosphere of networks facilitates the exchange of ideas, information sharing, and testing assumptions."

"The Lafayette County Grazing Network is a wonderful example," she says. "This is a group of people who come together to push the envelope on what they are learning about management intensive rotational grazing. This moves everyone ahead."

Cooperative networks also can help farmers feel less isolated. "This is especially important for farmers whose practices challenge traditional production practices or thinking, as in the case of management intensive rotational grazing," Rittmann points out.

Thus many networks have grown out of members' interest in making change happen: in farming practices, management methods, quality of life, and lifestyles. "Their reported goal is to create an agriculture that's economically, socially, and ecologically sound," she says.

Developing a farmer network: first steps

Like most organizations, farmer networks depend on active, energetic members and shared goals. While each network may have specific needs, the most effective ones tend to share these features:

◆ **Potential members set up an initial planning meeting.** A shared purpose is the glue that adheres most networks. It inspires the group and gives it energy. A planning meeting can be simple—a few people with shared interests coming together to talk about their goals for a network, their plans for the community, and strategies for working together. From there, they can develop a list of common values, aspirations, and purposes. "Experienced farmer networkers said that a lot of formality on the front end isn't nearly as necessary as passion and shared vision," recalls Rittmann.

◆ **The first members develop a core group.** While the size of networks can vary widely, it usually takes the momentum of four or more people to start and maintain a viable one. Most networks have one or two coordinators who do on-the-ground management tasks: keeping members informed of events or acting as contact persons. Additional core members provide leadership through event planning, decision making, or recruiting new members.

Participation needs to be flexible, allowing other members to participate at the level most comfortable for them, whether that's attending an occasional event or committing major time and effort to helping organize a large public gathering. Networks also usually develop a member roster to encourage people to contact each other between visits.

◆ **The network holds regular meetings in person or by phone.** How often a network meets depends on the group's needs, how that fits with the round of seasonal work on members' farms, and the distances members need to travel to get together. A network usually meets frequently at its beginning, as often as every two weeks to build cohesion and momentum. This can be stepped back as the group develops.

Experienced networkers stress the importance of engineering meetings carefully. For example, when planning events and meetings, what outside commit-

**SUCCESSFUL FARMER-TO FARMER NETWORKS
ASSUME EACH PERSON HAS VALUABLE
KNOWLEDGE AND EXPERIENCE TO
CONTRIBUTE. —STEPHANIE RITTMANN**

ments do participants have? What are their on- or off-farm work schedules? Do they need help with child care? Will transportation be needed? This can mean the difference between a successful network and one that doesn't quite get off the ground.

◆ **The core group finds dependable ways to finance the network.** The amount of money a network needs depends on the types of activities the group plans. Depending on the desired level of activity, basic costs can include photocopying, postage, telephone, food for gatherings, laboratory test fees for on-farm research projects, research equipment, and stipends for consultants or coordinators.

There are many ways farmer networks support themselves, but what matters most is that the support be sustainable so the network also can be.

Organizational support. Networks can raise money or reduce administrative costs by establishing valuable relationships with local Extension offices, government agencies, non-profit organizations, local banks, and cooperatives. For example, these groups may sponsor a dinner after a network event or donate money or time for a particular activity.

Membership fees. Establishing the scale of fees may require research into what members are willing to pay and how much is needed for the network. "That budgeting is part of the work of the core group," Rittmann reports, "but it's worth the effort because many networks find that membership fees can be the most reliable long-term source of funding."

Grants. Many government agricultural offices, churches, farmer advocacy groups, and community organizations offer grants to support specific projects or provide short-term organizational support. While helpful for short-term projects, grants aren't dependable in the longer term, so additional fundraising may be necessary.

Maintaining a lively network

Experienced farmer networkers in Wisconsin suggest key ways to maintain an effective network:

◆ **Share responsibilities.** The core group should encourage all members to participate in leading the group, organizing events, or acting as farm hosts or discussion facilitators. Developing these skills is an important part of farmer-to-farmer networking across a broad base. "In this way, members gain a sense of belonging and the skills necessary for continuing the network, should key leaders step down."

◆ **Give everyone a chance to speak.** Most networks have members who are natural talkers and those

who are more quiet. Yet sometimes what looks like a member's "nature" may be a function of how meetings are conducted. Some networks ask one member to be the discussion facilitator at each meeting. Their role is to make sure each person contributes to the discussion. Learning to facilitate discussions is a solid empowerment skill for everyone who values collaborating with others.

◆ **Keep the network informal and flexible.** Most successful networks have an informal, flexible atmosphere that feels spontaneous, creative, and stimulating to its participants. Experienced networkers observe that organizations that are open to change are most likely to survive in the long run. Participants' interests and involvement will change over time. And too much formality can crush spontaneity. So some successful networkers warn against defining group norms, network structure, or individual roles too closely.

◆ **Plan diverse events and activities.** The network's appeal will be broadest and most powerful if it offers a variety of events and activities. Wisconsin's diverse seasons are helpful in this respect. During the growing season, activities may include farm walks, picnics, field days, and on-farm research meetings or sessions. The winter months offer time for workshops, social events, meetings with neighboring networks, farm record analyses, and evaluations of the past season's activities. The more members who can contribute ideas on alternative meeting times, the more likely those farmers who have small children or spouses working off farm are likely to attend.

◆ **Evaluate the network regularly.** "Successful networkers say this may be the most important activity the group can undertake, even though it's most often neglected," Rittmann reports. A simple look back at the network's original goals and the accomplishments and activities designed to meet them will let participants and leaders know whether the network is meeting expectations, needs, and interests. "Evaluation is often misunderstood as an exercise in fault-finding," she points out, "yet it's unparalleled as a way of building trust and commitment through respectful problem solving and guiding a group effort back to its original purpose."

For more information on Wisconsin farmer-to-farmer networks, contact the Center using the information below or visit the CIAS World Wide Web site at <http://www.wisc.edu/cias> for a list of network organizations and contacts.

The Center for Integrated Agricultural Systems (CIAS) brings together university faculty, farmers, policy makers, and others to study relationships between farming practices, farm profitability, the environment, and rural vitality. Located at the University of Wisconsin-Madison, it fosters multidisciplinary inquiry and supports a range of research, curriculum development, and program development projects. For more information on the center, contact:

CIAS, 1450 Linden Drive, UW-Madison, Madison, WI 53706. Phone: (608) 262-5200. Fax: (608) 265-3020 Internet: gale-sinex@aae.wisc.edu Web: <http://www.wisc.edu/cias>

This research update is part of a series. Contact CIAS for other titles. CIAS staff members are grateful for the reviews of this research update by UW-Madison and UW-Extension faculty and CIAS Citizens Advisory Council members. Printed on recycled paper. October, 1996.

Resources for Sustainable Agriculture Education

Summary by:

Charles Francis and Heidi Carter (University of Nebraska-Lincoln)

We are faced with an information explosion in the area of sustainable agriculture. Books, journals, newsletters, training materials, and other resources are available at workshops, in libraries, through the Internet, and wherever people of like ideas meet. With any information challenge, it is becoming more difficult to sort out what is useful than to merely find something related to a topic of interest. This section presents an array of information sources that will help in the search for recommendations or descriptions about the design, functioning, and success of sustainable agricultural systems.

Where do I go for more information?

Sustainable Agriculture Network, c/o Alternative Farming Systems Information Center, Rm 304, NAL/ARS/USDA, 10301 Baltimore Blvd., Beltsville, MD 20705-2351, (p) 301-504-6425, (f) 301-504-6409, (e-mail) san@nalusda.gov, (home page) <http://www.ces.ncsu.edu/san/>

Appropriate Technology Transfer for Rural Areas (ATTRA), PO Box 3657, Fayetteville, AR, 72702, (p) 800-346-9140

Sustainable Agriculture Network Mail Group, (e-mail) sanet-mg@ces.ncsu.edu

Sustainable Agriculture Education Share List Electronic Conference, (e-mail) SAEd-SHARE-L@Cornell.edu

North Central Region Sustainable Agriculture Research and Education Office, 13-A Activities Bldg., University of Nebraska-Lincoln, Lincoln, NE 68583-0840, (p) 402-472-7081, (f) 402-472-0280, (e-mail) sare001@unlvm.unl.edu

Northeast Region Sustainable Agriculture Research and Education Office, University of Vermont, Hills Bldg., Burlington, VT 05405-0082, (p) 802-656-0471, (f) 802-656-4656, (e-mail) msimpson@moose.uvm.edu

Southern Region Sustainable Agriculture Research and Education Office, University of Georgia, Ag Experiment Station, 1109 Experiment St., Griffin, GA 30223-1797, (p) 770-412-4787, (f) 770-412-4789, (e-mail) sareace@gaes.griffin.peachnet.edu

Western Region Sustainable Agriculture Research and Education Office, Utah State University, Plants, Soils & Biomet. Dept., Ag Science Bldg., UMC-4865, Logan, UT 84322-4865, (p) 801-797-2257, (f) 801-797-3376

National Campaign for Sustainable Agriculture, PO Box 396, Pine Bush, NY 12566, (p) 914-744-8448, (f) 914-744-8477, (e-mail) campaign@magiccarpet.com

American Journal of Alternative Agriculture and Alternative Agriculture News, published by the Henry A. Wallace Institute for Alternative Agriculture, 9200 Edmonston Rd., Suite 117, Greenbelt, MD 20770-1551, (p) 301-441-8777

Journal of Sustainable Agriculture, published by Food Products Press, an imprint of the Haworth Press, Inc., 10 Alice St., Binghamton, NY 13904-1580, (p) 800-342-9678, (f) 800-895-0582, (e-mail) getinfo@haworth.com

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Monitoring Sustainable Agriculture with Conventional Financial Data



by Dick Levins

A Land Stewardship Project Publication, *the first in a series* based on the work of the Biological, Social and Financial Monitoring Team.

We normally think of using income and expense figures to measure progress toward the goal of earning profits. Surely, farmers in sustainable agriculture are concerned about feeding their families and paying their bills, but those are not their only goals in life. They set out to protect the land, improve their quality of life, and enhance the communities in which they live.

The way farm progress is monitored must be comprehensive enough to measure progress toward a complete set of goals, that includes, but is not limited to, profitability.

Land Stewardship Project and its partners on the Monitoring Team have for the last few years been experimenting with several ways farmers can make their own observations and draw conclusions about

how they are becoming more sustainable.

Dick Levins, Professor and Extension Agricultural Economist at the University of Minnesota, proposes four indicators to evaluate the sustainability of farming operations. Using farm records or tax reports, farmers can transfer numbers to worksheets provided in the book and evaluate their farms' sustainability.

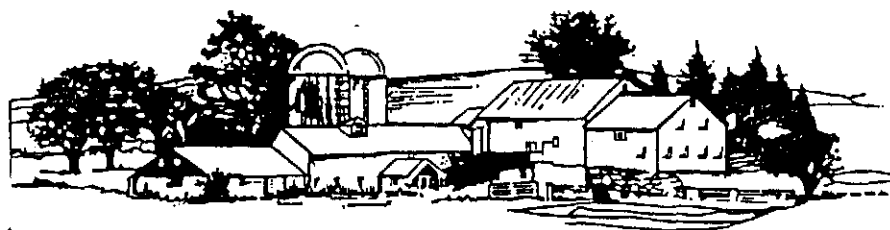
"Dick Levins' creative indicators to evaluate the sustainability of farming operations all outline a new way of looking at agriculture. There is clear courage here in the simplicity set forth by Levins (or any using his new indicators) as he dares to call 'assets' environmental liabilities."

Beth Watershouse
The Minnesota Project

Monitoring Sustainable Agriculture with Conventional Financial Data

by Dick Levins

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Dear Friend of Sustainable Agriculture:

As a participant in the North Central Sustainable Agriculture Training Program, you had the opportunity to hear Dick Levins, Professor and Extension Agricultural Economist at the University of Minnesota, discuss the ideas in his new book, *Monitoring Sustainable Agriculture with Conventional Financial Data* that was published by the Land Stewardship Project (LSP).

This is a guide farmers can use to evaluate how sustainable their farms are, simply by taking numbers off their income tax forms, inserting them on worksheets included in the book and doing some arithmetic. Levins proposes four indicators that, along with profits, measure the sustainability of farming operations: reliance on government programs; use of equipment, chemicals and non-renewable energy; creation of jobs; and balance between feed use and feed production. He also explains why he chose these particular indicators.

This book isn't only for farmers. It would be useful for any class, workshop or discussion dealing with principles of sustainable agriculture. Descriptions of how to use the indicators are straightforward, and examples based on actual farm records illustrate application of the indicators. An economist himself, Levins nevertheless elicits a smile now and then with his wry judgements of how economists think in contrast to "regular people."

Monitoring Sustainable Agriculture with Conventional Financial Data is the first in a series of publications based on the work of the Biological, Social and Financial Monitoring Team. Dick Levins is one of the 25 members of a team working to develop and test an innovative process of on-farm observation and interaction that brings together farmers and other professionals to monitor ecosystem health and economic and social well-being of the farm family. Land Stewardship Project convened the team with an overarching goal of encouraging movement toward sustainable farming systems.

If your organization or department has a newsletter, please list this new publication as an available resource. I also hope you'll order copies of it from LSP. When you do, please call or write to tell me your impressions of it.

Sincerely,

Dana Jackson
Associate Director

Economics of Sustainable Agriculture

David C. White, John B. Braden, and Robert H. Hornbaker

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INTRODUCTION

In the last half of the 20th century, the United States has seen a 38% drop in the share of consumer spending going for food. Over the same period, there have been dramatic increases in agricultural yields, and fewer and fewer farmers are feeding nearly 65% more people in this country and still producing food and fiber for export.¹ In these respects, the success of U.S. agriculture is unparalleled. However, in recent years, many have come to view the success with growing ambivalence.

The technologies underlying the success place great demands on rural environments and natural resources. Soil resources are being lost in many areas far faster than they are naturally regenerated.² Streams, rivers, and lakes, once clear, are brown with the eroded soils.³ Drinking water supplies and aquatic habitats are being threatened by toxic chemicals and excessive levels of nutrients.² In many farming areas, complex terrestrial ecosystems have been replaced by large expanses of relatively sterile cropland.⁴

The technologies used in agriculture are vitally dependent on petroleum and natural gas which are nonrenewable resources.⁵ In areas where irrigation is important, there is increased competition for the water and often increased cost of obtaining it.¹ And, in spite of the ever-increasing quantities of foodstuffs produced by American farmers, as well as the long shelf-lives and attractive appearance of conventionally produced and processed foods, consumer confidence in the safety and healthfulness of the food supply is fragile.⁶ Incidents of suspected chemical contamination of grapes and apples illustrate how suddenly and significantly consumer confidence in food can plummet.

The system that has produced plentiful, seemingly ever cheaper food has also changed the workforce, the capital/labor mix, and the land ownership patterns of agriculture—profoundly altering rural society.⁷ And, the system has come to depend heavily on government assistance. The cost and return trends shown in Figure 1 reveal the degree of that dependence. Since World War II, production expenditures have

increased relative to market revenues, reducing farming profits. At the same time, government payments (essentially shown in Figure 1 by the difference between gross income and market income) have accounted for a growing share of net farm revenues. In a time of mounting concern about government indebtedness, the sustainability of a food production system reliant on government largess may be especially questionable.⁶

Concerns over environmental impacts, resource depletion, safety of conventionally produced food, the vigor of rural society, and the expense of government farm programs all underlie calls for new approaches to agriculture.^{6,8} "Sustainable agriculture" is an umbrella term encompassing the kinds of new approaches to farming being called for; farming in ways that protect the environment, conserve natural resources, reduce the use of potentially toxic chemicals, and increase financial independence.

Sustainable agriculture has certainly come to mean different things to different people, but weaving through the many meanings of the term is a common thread of mistrust of the economic reasoning that produced our conventional agriculture. The suspect economic reasoning has urged the adoption of an industrial production model for agriculture: specialization, labor-saving innovation, and intensified use of purchased inputs. For more than a generation, farmers have heard that synthetic fertilizers and pesticides are vital to their operations. The advice has come from

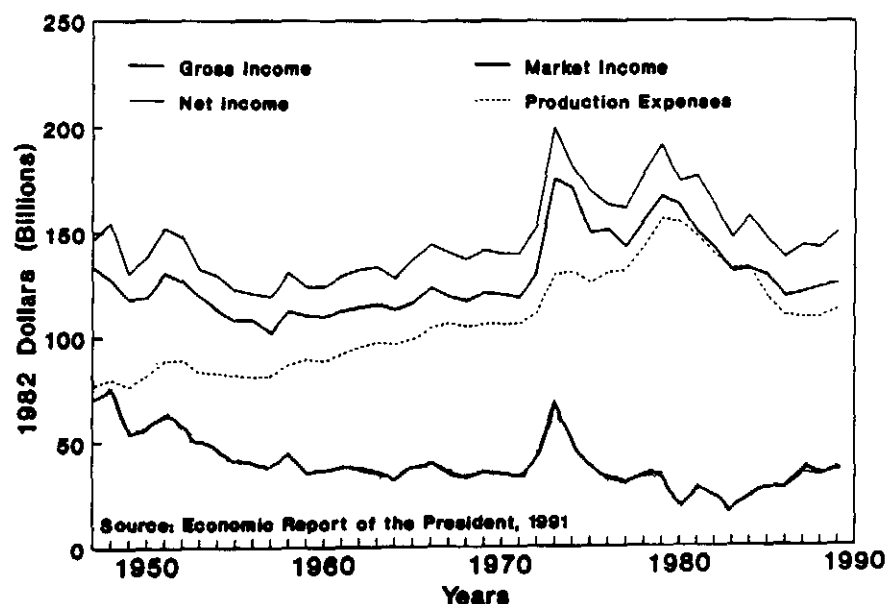


FIGURE 1. Farm income and expenses, 1947 to 1989.

reputable sources—extension advisers, farm managers, and bankers—with convincing economic arguments supporting their advice.

A critical aspect of the current interest in sustainable agriculture is a search for an economic framework that is more complete in its accounting of the trade offs implied by farming and agricultural policies. A framework is sought that somehow acknowledges, elevates in importance, and responds to previously unpriced resource, environmental, and safety impacts of farming while safeguarding the financial future of farmers. An important aspect of the framework is a recognition that agriculture is inseparable from the greater society and cannot be remedied in isolation.

This chapter is devoted to the economic dimensions of agricultural sustainability—from describing a broad conceptual framework within which the problems can be assessed, to discussing the record of efforts to make marginal improvements. It begins with a discussion of how economic theory relates to the general subject of sustainability. The next section presents a framework for understanding sustainability as a moving target and progress toward it as a dynamic, incremental process. Then the literature on applied economic studies of “alternative” production practices is reviewed, including some assessments of the effects of public policies on farming decisions and economics. The chapter is summarized and some conclusions are drawn about the role of economics in the ongoing debate over sustainability.

**Sustainable Agriculture Research and Education (SARE)
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For more information about these projects, contact the grant recipient or the North Central Region SARE Office at 13 Activities Bldg., University of Nebraska-Lincoln, Lincoln, NE 68583-0840. Phone: 402-472-7081

An Economic Analysis of Producer and Industry Level Impacts of Low-Input Agriculture (LNC 88-2). Project Coordinator: James Kliebenstein, Department of Agricultural Economics, Iowa State University, Ames, IA 50011-1070.

Agronomic and Economic Analyses of Alternative Small Grain/Row Crop Production Systems for the Northern Plains (LNC 88-9). Project Coordinator: James D. Smolik, South Dakota State University, Plant Science Department, Box 2109, Brookings, SD 57007.

Whole Farm Economic Analysis of Medium-Sized, Single-Family Dairy Farms that Differ in their Use of Purchased Chemical Inputs (LNC 88-12 and LNC 88-12.1). (*Continuation*) Project Coordinator: Marvin Kamp, Wisconsin Rural Development Center, 1406 Business Highway 18/151 East, Mt. Horeb, WI 53572.

Performance and Economics of a Low Input Feeder Swine Operation (LNC 88-20). Project Coordinator: Carlos Pijoan, College of Veterinary Medicine, C/O ORTTA, 1100 Washington Ave., Suite 201, Minneapolis, MN 55104.

LISA IMPACTS: Social, Economic, and Demographic Impacts of Low-Input/Sustainable Agriculture Practices on Farm and Rural Communities in the Northwest Area (LNC 89-23). Project Coordinator: David L. Watt, Agriculture Economics Department, North Dakota State University, Fargo, ND 58105.

Economic, Ecological and Environmental Analyses of a Farm Under Long-Term LISA Management (LNC 90-2). Project Coordinator: Ben Stinner, The Ohio State University, Ohio Agricultural Research and Development Center, 1680 Madison Ave., Wooster, OH 44691.

Rotational Grazing Systems for Wisconsin and Minnesota Livestock Farmers: An Evaluation of Animal and Forage Performance and Whole Farm Economic Analysis (LNC 90-27). Project Coordinator: Craig Sheaffer, University of Minnesota, Agronomy and Plant Genetics Department, 411 Borlaug Hall, St. Paul, MN 55108

Comparative Economic and Ecological Analyses of Lower Chemical Input Fruit Farms and Other Fruit Farming Systems (LNC 91-37). Project Coordinator: Jeff Dickinson, Stratford Ecological Center, 5353 Williams Rd., Ashville, OH 43103.

Rotational Grazing Systems for Wisconsin and Minnesota Dairy Farmers: An Evaluation of Animal and Forage Performance and Whole-Farm Socio-Economic Analysis (LNC 92-53, See LNC 90-27). Project Coordinator: Denny Caneff, Wisconsin Rural Development Center, 1406 Business Highway 18/151 East, Mt. Horeb, WI 53572.

Economic and Environmental Implications of 1990 Farm Bill Sustainability Provisions in Water Quality Sensitive Areas (LNC 93-55). Project Coordinator: Thomas L. Dobbs, South Dakota State University, Economics Department, Scobey Hall, Box 504A, Brookings, SD 57007.

Economic and Ecological Analyses of Farms and Their Component Practices to Promote Crop Rotation and Cover Crops Systems (LNC 94-70). Project Coordinator: Project Coordinator: Ben Stinner, The Ohio State University, Ohio Agricultural Research and Development Center, 1680 Madison Ave., Wooster, OH 44691.

Sustaining Row Crop and Fine Hardwood Productivity Through Alley Cropping: On-Farm Demonstration, Research and Economic Evaluation of an Integrated System (LNC 94-72). Project Coordinator: Andrew Gillespie, Purdue University, Forestry and Natural Resources Department, 1159 Forestry Bldg., West Lafayette, IN 47907-1159.

Biological, Financial and Social Monitoring to Develop Highly Sustainable Farming Systems (LNC 94-75 & ANC 94-20). Project Coordinator: George Boody, Land Stewardship Project, 14758 Ostlund Trail North, Marine on St. Croix, MN 55047.

Integrated Quality of Life, Economic and Environmental Issues: Agroecosystem Analysis of Amish Farming (LNC 95-91). Project Coordinator: Deborah H. Stinner/Richard H. Moore, The Ohio State University, Ohio Agricultural Research and Development Center, 1680 Madison Ave., Wooster, OH 44691.

Economic Analysis for Grazing Livestock Systems (PNC 94-2). Project Coordinator: Sheila Nordgaard, Sustainable Farming Association of Minnesota-Southeast Chapter, 180 E. Main St., P.O. Box 130, Lewiston, MN 55952.

**Agriculture in Concert with the Environment
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Whole Farm Economic Analysis of Medium-Sized, Single-Family Dairy Farms that Differ in Their Use of Purchased Chemical Inputs (ANC 92-10). Project Coordinator: Marvin Kamp, Wisconsin Rural Development Center, 1406 Business Highway 18/151 East, Mt. Horeb, WI 53572.

Impacts of Agricultural Management Systems on Economic, Environmental, and Wildlife Values of Altered and Unaltered Wetland Areas (ANC 92-11 and ANC 92.11.1) *(Continuation)*. Project Coordinator: Diane Rickerl, Plant Science Department, P.O. Box 2140C, South Dakota State University, Brookings, SD 57007.

Biological, Financial and Social Monitoring to Develop Highly Sustainable Farming Systems (ANC 94-20 & LNC 94-75). Project Coordinator: George Boody, Land Stewardship Project, 14758 Ostlund Trail North, Marine on St. Croix, MN 55047.

**Leopold Center For Sustainable Agriculture
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For more information, contact the Leopold Center For Sustainable Agriculture, 209 Curtiss Hall, Iowa State University, Ames, IA 50011. Phone: 515-294-0626.

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Dr. Mark Honeyman, Iowa state University, Outlying Research Centers.

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Dr. Roger Ginder, Iowa State University, Economics.

92-56

GIS-Based Environmental and Economic Analysis of an Integrated Crop-Livestock Production System in Southern Iowa

Dr. U. Sunday Tim, Iowa State University, Agricultural and Biosystems Engineering.

97-48

Economic and Environmental Evaluation of Crop Management Systems for Sustainable Agriculture

Dr. William D. Batchelor, Iowa State University, Agricultural and Biosystems Engineering.

97-52

Determining the Benefits of Environmental Improvements in Agricultural Production and Their Sustainability: A Community-Based Study of Iowa's Pork Industry

Dr James B. Kliebenstein, 260 Heady Hall, Iowa State University, Economics.

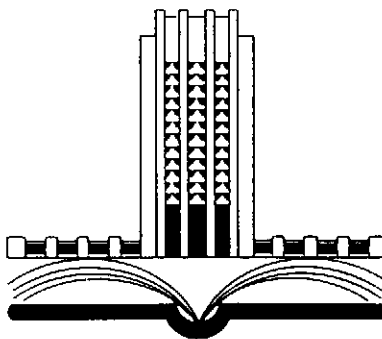
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EVALUATION NOTES

By Kay Rockwell

June 1996

Evaluation Is Not Research

Accountability demands in the 1990s are forcing Cooperative Extension to evaluate programs and document impact on important public issues. Assessing such program outcomes may be challenging to Extension educators because many were trained in basic physical, biological or social science research strategies which may or may not be applicable to evaluation needs.

With research oriented backgrounds, many extension educators might view evaluation as simply applying the scientific method to assessment tasks

because research and evaluation are both grounded in empirical techniques. While researchers and evaluators both engage in a systematic inquiry process; design studies with concern for rigor, reliability, and validity; and draw from previously conducted studies to develop their current work, the intent of research and evaluation are different.

A major aim of basic (disciplinary) research is discovering scientific principles and interventions to develop specific technologies and practices to achieve economic,

social, and environmental ends (Bennett, 1990). A major aim of extension evaluation focuses on outcome assessment to help determine if the technologies, practices, and systems that are designed and implemented do improve economic, social, and environmental conditions.

It may be less confusing to consider research and evaluation as different activities because their aims define very different uses for the output. The following parallel lists adapted from Payne (1994) are a brief but general comparison between research and evaluation.

<u>ACTIVITY</u>	<u>RESEARCH</u>	<u>EVALUATION</u>
1. Problem selection and definition	Responsibility of investigator	Determined by situation and constituents
2. Testing hypotheses	Generally use null hypotheses	Generally use study questions or evaluation goals and objectives
3. Designing methods	Frequently highly quantitative studies that are limited to one method	Use multiple methods that integrate quantitative and qualitative procedures
4. Data collection	Dictated by problem	Heavily influenced by feasibility
5. Control of relevant variables	High	Low
6. Value judgments	Limited to selection of problem	Present in all phases of project
7. Replication of results	High likelihood	Low Likelihood
8. Generalizability of results	Can be high	Usually low

These contrasting emphases between basic research and evaluation point out some important differences; many more differences are implied. The results or conclusions from a high proportion of research studies are aimed at contributing to a general body of knowledge about a particular phenomenon or theory. Generally, evaluations are not tied to theoretical concepts except to the extent that programs are developed within a particular theoretical context. Evaluations are usually undertaken to address specific practical problems and yield information for decision makers. Additional variables that help explain how program evaluation is uniquely different from basic research are:

Nature of goals. In extension education, evaluation goals tend to focus on assessing the educational processes and user's behavior changes rather than formulating the theoretical subject matter for programs.

Breadth of objectives.

Evaluation objectives may vary greatly and might include a focus on (a) documenting the resources used or the educational activities delivered, (b) identifying clientele participation in activities or obtaining their reactions about them, (c) assessing clientele impact related to knowledge, attitudes, skills, aspirations, or practices, or (d) assessing a program's social, economic, or environmental impact.

Complexity of outcomes.

Initiative programming that

focuses on complex social, economic, and environmental conditions often requires complex evaluation objectives from the standpoint of cognitive and performance criteria. The interface between cognitive, affective, and psychomotor variables further complicates the process of identifying, tracking, and evaluating appropriate outcomes.

Focus of total evaluation effort.

While there are expectations to increase the evaluation focus to encompass team efforts in a total program, there are still demands for individual accountability as it relates to specific educational activities.

Context of extension education.

Extension education occurs in a real-life setting with all its unpredictable contingencies and uncontrolled variables. It is within this educational setting that evaluation happens.

Because extension evaluation takes place in real-life settings, influential variables are difficult to control and using routine experimental designs, such as those described by Campbell and Stanley (1963), may be inappropriate. Rather than thinking of evaluation as research, it makes more sense to use Cronbach and Suppes (1969) concept of evaluation which is "disciplined inquiry." This concept calls for evaluation designs that use rigor and systematic examination but allow for methodologies that could range from traditional research designs to speculative goal-free designs. While evaluation needs to be as scientific as possible, one must realize the practical boundaries

in evaluation settings and the political influences that impact upon the evaluation activity.

The Joint Committee on Standards for Educational Evaluation (1981, 1994) developed a detailed set of standards or guidelines for program evaluation which help distinguish evaluation from research. These standards also help evaluation users understand the nature of evaluation and provide criteria for evaluators in assessing educational and training programs, projects, and materials in various settings. While these standards set a basis for self-regulation and accountability among evaluators, they also can be used to define, contract, budget, staff, report and use an evaluation.

The 30 standards are categorized into four groups corresponding to four attributes of sound and fair program evaluation--utility, feasibility, propriety, and accuracy. *The Program Evaluation Standards, 2nd edition: How to Assess Evaluations of Educational Programs* (1994) (a) describes each standard, (b) gives an overview of the standard's meaning, (c) provides guidelines for use, (d) lists common errors, and (e) illustrates the standard's use with descriptive cases. The 30 standards and their descriptions follow.

Program Evaluation Standards

Utility Standards

The utility standards are intended to ensure that an evaluation will serve the information needs of intended users.

- U1 **Stakeholder Identification** Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed.
- U2 **Evaluator Credibility** The persons conducting the evaluation should be both trustworthy and competent to perform the evaluation, so that the evaluation findings achieve maximum credibility and acceptance.
- U3 **Information Scope and Selection** Information collected should be broadly selected to address pertinent questions about the program and be responsive to the needs and interests of clients and other specified stakeholders.
- U4 **Values Identification** The perspectives, procedures, and rationale used to interpret the findings should be carefully described, so that the bases for value judgements are clear.
- U5 **Report Clarity** Evaluation reports should clearly describe the program being evaluated, including its content, and the purposes, procedures, and findings of the evaluation, so that essential information is provided and easily understood.
- U6 **Report Timeliness and Dissemination** Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion.
- U7 **Evaluation Impact** Evaluations should be planned, conducted, and reported in ways that encourage follow-through by stakeholders, so that the likelihood that the evaluation will be used is increased.

Feasibility Standards

The feasibility standards are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal.

- F1 **Practical Procedures** The evaluation procedures should be practical, to keep disruption to a minimum while needed information is obtained.
- F2 **Political Viability** The evaluation should be planned and conducted with anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted.
- F3 **Cost Effectiveness** The valuation should be efficient and produce information of sufficient value, so that the resources expended can be justified.

Propriety Standards

The propriety standards are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.

- P1 **Service Orientation** Evaluations should be designed to assist organizations to address and effectively serve the needs of the full range of targeted participants.
- P2 **Formal Agreements** Obligations of the formal parties to an evaluation (what is to be done, how, by whom, when) should be agreed to in writing, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it.
- P3 **Rights of Human Subjects** Evaluations should be designed and conducted to respect and protect the rights and welfare of human subjects.
- P4 **Human Interactions** Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed.
- P5 **Complete and Fair Assessment** The evaluation should be complete and fair in its examination and recording of strengths and weaknesses of the program being evaluated, so that strengths can be built upon and problem areas addressed.
- P6 **Disclosure of Findings** The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and any others with expressed legal rights to receive the results.
- P7 **Conflict of Interest** Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results.
- P8 **Fiscal Responsibility** The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate.

Accuracy Standards

The accuracy standards are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated.

- A1 **Program Documentation** The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified.
- A2 **Context Analysis** The context in which the program exists should be examined in enough detail, so that its likely influences on the program can be identified.
- A3 **Described Purposes and Procedures** The purposes and procedures of the evaluation should be monitored and described in enough detail, so that they can be identified and assessed.
- A4 **Defensible Information Sources** The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed.
- A5 **Valid Information** The information gathering procedures should be chosen or developed and then implemented so that they will assure that the interpretation arrived at is valid for the intended use.
- A6 **Reliable Information** The information gathering procedures should be chosen or developed and then implemented so that they will assure that the information obtained is sufficiently reliable for the intended use.
- A7 **Systematic Information** The information collected, processed, and reported in an evaluation should be systematically reviewed and any errors found should be corrected.
- A8 **Analysis of Quantitative Information** Quantitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.
- A9 **Analysis of Qualitative Information** Qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.
- A10 **Justified Conclusions** The conclusions reached in an evaluation should be explicitly justified, so that stakeholders can assess them.
- A11 **Impartial Reporting** Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation, so that evaluation reports fairly reflect the evaluation findings.
- A12 **Metaevaluation** The evaluation itself should be formatively and summatively evaluated against these and other pertinent standards, so that its conduct is appropriately guided and, on completion, stakeholders can closely examine its strengths and weaknesses.

While evaluation and research have some common characteristics, it's important to understand the differences between them and judge each according to the function they serve. Evaluation has emerged as a discipline over the last 50 years and should be judged by evaluation standards. The evaluation standards defined by the Joint Committee provide excellent guidance and help in implementing meaningful evaluations and judging their appropriateness.

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EVALUATING PROGRAM IMPACT

By Kay Rockwell

March 1996

Impact: the effectiveness or value of a program. **Impacts** are the lasting and generalized changes that occur because of a given situation such as an activity or group of activities, a program, or a grant.

Impact Levels Bennett and Rockwell (1995) suggest seven levels of evidence that are useful categories in defining program impact (Figure 1 and Table 1). The top three levels, *social, economic, and/or environmental changes; practice change; and "KASA" change* provide evidence of program impact upon individuals and within the community. The middle level, *reactions*, provides evidence of participant satisfaction. The lower three levels, *participants, activities, and resources* provide evidence of program implementation.

End results are changes that occur in the **economic, social, or environmental conditions**. It is the long term effect that results from programming. End results include such outcomes as (a) economic gains for an individual, family or community, (b) adequate health and improved living standard, and (c) a safe drinking water supply. Confirming improved end results provides strong documentation of a program's impact.

Practice change refers to individuals or communities altering behaviors, or practices, in a manner that produces positive changes in social, economic, or environmental conditions. Changing farming practices, eating habits, discipline techniques, and money

management strategies are a few examples of behaviors that may improve economic, social, or environmental conditions. Confirming improved behaviors, or practices, also provides strong documentation of a program's impact.

"KASA" change stands for *knowledge, attitudes, skills, and aspirations*. Increased knowledge happens before behavior changes occur; attitudes (or opinions) shift before behavior changes occur; skills improve before behavior changes occur; and, aspirations to change courses of action happen before behavior changes occur. Confirming "KASA" changes also provides strong documentation of a program's impact.

Reactions focus on how participants feel about the program. End-of-meeting instruments frequently include questions on content, teaching style, and perceived benefits. Obtaining participant reactions helps one improve program delivery but is very weak in documenting impact, or the effects of the program on individuals or communities.

Participation includes describing who the participants are. How many are there? What are their characteristics?

Activities is a list of the methods and techniques used to transfer information to target audiences. **Resources** refer to the staff time devoted to the program and the dollars spent on it. Participation, activities, and resources provide evidence that programs are implemented.

Summary

Stakeholders are expecting Extension faculty to provide evidence of their program's **impact** in the form of social, economic or environmental changes; practice changes; and/or "KASA" changes. Obtaining participants' reactions to programs can be beneficial to the individual faculty member but it generally provides little impact data for stakeholders. Describing the people involved in programs, the types of programs, and the amount of effort and dollars committed to programs illustrate program implementation rather than behavioral change.

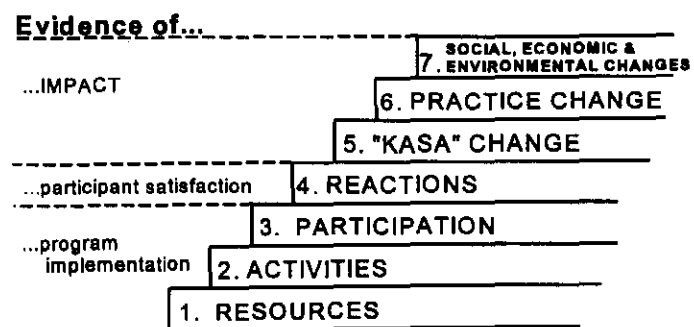


Figure 1. Hierarchy for targeting impact of programs.

EVALUATION OF PROGRAM PERFORMANCE

SEEC



Evidence of impacts on individuals and communities

Have targeted and/or other *social, economic, and environmental conditions* been effected through targeted changes in practices? How has the public (including nonprogram participants) been affected by the program?

Have program participants--individuals, families, and communities--been helped and/or hindered by the results of program induced changes in targeted practices? In what way? To what degree?

Practices



Have participants changed targeted patterns of behavior as a result of program induced knowledge, attitudes, skills, or aspirations? In what way? To what degree?

KASA



Knowledge, attitudes, skill, and aspirations

Knowledge Did participation increase awareness, understanding, and/or problem solving ability as targeted? Relative to what practices?

Attitudes Did participation change outlooks, perspectives, or viewpoints as intended? Relative to which practices?

Skills Did participation increase verbal or physical abilities as targeted? Did participation develop new skills or improve performance as targeted? Regarding which practices?

Aspirations Did participation alter ambitions, hopes, or selected courses of action as intended? Regarding which practices? In what areas?

Evidence of participant satisfaction

Participant reactions



Did participants react to the program as intended? Did they rate the activities as informative, interesting, and applicable? Do they perceive any immediate benefits?

Evidence of program implementation

Participants



How many of the targeted participants became involved in the involved program activities? Which targeted customers participated (descriptive characteristics)? How extensive and intensive was their involvement?

Activities implemented

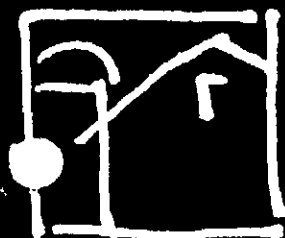


Were the targeted activities implemented as part of the program? Was the targeted content or subject matter used? What promotional strategies worked or failed? Did the delivery and implementation methods work or fail? Did the participatory methods work or fail?

Resources used

Were targeted resources actually expended on the program (time, money, staff)?

Reference: Bennett C. and Rockwell, K. (Draft, December 1995). Targeting Outcomes of Programs (TOP: An Integrated Approach to Planning and Evaluation. For a copy of the reference, contact Kay Rockwell at 313 Ag Hall, University of Nebraska-Lincoln, Lincoln, NE 68583-0703. E-mail: coex003@unlvm.unl.edu



**Alternative Farming Systems
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National Agricultural Library
10301 Baltimore Boulevard
Beltsville, MD 20705-2351**

CURRENT LIST OF INFORMATION PRODUCTS

The publications on this list are available either in hardcopy ☐ or in electronic format ☐. You may order the publications in either format. In addition to these recent publications, many older publications dating from 1992 to the present are also available electronically either on a diskette or on the Internet*. If you wish to have electronic copies on diskette please send one formatted diskette for each 4 publications. Orders for publications may be made by:

E-mail: <afsic@nal.usda.gov>, telephone: 301-504-6559, fax: 301-504-6409 or by surface mail:

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***AFSIC's World Wide Web page:**

<<http://www.nal.usda.gov/afsic>>

***NAL's Electronic Bulletin Board System:**

Agricultural Library Forum (ALF), 301-504-6510; or telnet fedworld.gov

QUICK BIBLIOGRAPHIES:

- ☐ ☐ QB 95-03: *Acid Rain*, K. Schneider, January 1995, 132 p.
- ☐ ☐ QB 94-56: *Allelopathy: The Effects of Chemicals Produced by Plants*, H. Gilbert, September 1994, 50 p.
- ☐ ☐ QB 93-17: *Alternative Farming Systems: Economic Aspects*, K. Schneider, February 1993, 70 p.
- ☐ ☐ QB 93-30: *Beekeeping in the United States*, C. Kopolow, May 1993, 37p.
- ☐ ☐ QB 94-13: *Conservation Tillage*, J. Gates, March 1994, 91 p.
- ☐ ☐ QB 94-52: *Cultural and Mechanical Weed Control*, M. Gold, August 1994, 63 p.
- ☐ ☐ QB 95-02: *Dairy Farm Manure Management*, J. Makuch, January 1995, 33p.
- ☐ ☐ QB 94-51: *Double Cropping and Interplanting*, M. Gold, August 1994, 111 p.
- ☐ ☐ QB 90-63: *Earthworms in Agriculture*, J. Rafats, July 1990, 19 p.
- ☐ ☐ QB 94-54: *Farming in Arid and Semiarid Lands*, C. A. Singer, September 1994, 60 p.
- ☐ ☐ QB 93-57: *Farmland Preservation*, J. Gates, August 1993, 38p.
- ☐ ☐ QB 93-68: *Green Manures and Cover Crops*, J. Gates, September 1993, 71 p.
- ☐ ☐ QB 94-60: *Herbicide Tolerance/Resistance in Plants*, R. Dobert, September 1994, 113 p.
- ☐ ☐ QB 94-55: *Hydroponics - Nutrient Film Techniques*, H. Gilbert, September 1994, 54 p.
- ☐ ☐ QB 93-69: *IPM and Biological Control of Plant Pests: Field Crops*, J. Gates, September, 1993, 83 p.
- ☐ ☐ QB 94-12: *IPM and Biological Control of Plant Pests: Horticultural Crops*, J. Gates, March, 1994, 76 p.
- ☐ ☐ QB 94-35: *Irrigating Efficiently*, J. Makuch & B. Emmert, June 1994, 62 p.
- ☐ ☐ QB 94-38: *Legumes in Crop Rotations*, M. Gold, June 1994, 121 p.
- ☐ ☐ QB 95-11: *Mycorrhizae: Impacts on Production*, K. Schneider, March 1995, 84 p.
- ☐ ☐ QB 95-01: *Nonpoint-Source Pollution Issues*, J. Makuch, January 1995, 51 p.
- ☐ ☐ QB 95-09: *Riparian Zones and Filter Strips in Agricultural Operations*, J. Makuch, February, 1995, 44 p.
- ☐ ☐ QB 90-34: *Shiitake: Cultivated Mushroom*, J. Rafats, March 1990, 23 p.



- ☐ ☐ QB 93-33: *Solar Energy Alternatives for Agriculture*, S. Chapman, May 1993, 64 p.
- ☐ ☐ QB 93-55: *Wastewater Irrigation*, K. Schneider, July 1993, 54p.
- ☐ ☐ QB 93-28: *Wind Energy for Agriculture*, S. Chapman, April 1993, 32p.

OTHER SERIES:

- ☐ ☐ AFSIC Notes No 1: *Adopting Sustainable Alternatives*, C.Tant, J. Gates, J. MacLean, 1991, 4 p.
- ☐ ☐ AFSIC Notes No. 2: *Agriculture and the Environment*, J. Gates, J. MacLean, March 1992, 7 p.
- ☐ ☐ AFSIC Notes No. 3: *Integrated Pest Management-Biological Control: Natural Enemies*, J. Gates, March 1992, 3 p.
- ☐ ☐ AT 93-02: *Community Supported Agriculture (CSA): An Annotated Bibliography and Resource Guide*, S. DeMuth, September 1993, 10 p.
- ☐ ☐ AT 95-01: *Precision Farming*, B. Emmert, J. Gates, J. Makuch, December 1994, 13 p.
- ☐ ☐ SRB 92-04: *Plants for People: The Psychological and Physiological Effects of Plants*, J. Keane, January 1992, 54 p.
- ☐ ☐ SRB 92-08: *Economic Comparisons of Biological and Chemical Pest Control Methods in Agriculture*, K. Norris, R. Cook, J. MacLean, March 1992, 25 p.
- ☐ ☐ SRB 93-01: *Resource Guide to Growing and Using Herbs*, S. DeMuth and AFSIC Staff, November 1992, 15 p.
- ☐ ☐ SRB 94-13: *Biotechnology and Sustainable Agriculture: A Bibliography*, K. Guenther, September 1994, 32 p.
- ☐ ☐ SRB 95-01: *Organic Production: Recent Publications and Current Information Sources*, M. Gold, March 1995, 17 p.
- ☐ ☐ SRB 94-05: *Sustainable Agriculture: Definitions and Terms*, M. Gold, May 1994, 10 p.
- ☐ ☐ SRB 95-02: *Sustainable Agriculture in Print: Current Books*, AFSIC Staff & Volunteer, March 1995, 24 p.
- ☐ ☐ SRB 95-08: *Sustainable Agriculture in Print: Current Periodicals*, S. DeMuth, September 1995, 130 p.
- ☐ ☐ SRB 95-03: *Videocassettes in the NAL Collection Pertaining to Alternative Farming Systems*, R. Stevens & AFSIC Staff, July 1995, 35 p.

UNNUMBERED PUBLICATIONS:

- ☐ ☐ *Calendar of Events Related to Sustainable Agriculture*, A.Clark, updated monthly
- ☐ ☐ *Educational and Training Opportunities in Sustainable Agriculture*, J. Gates, December 1995, 8th ed., 46p.
- ☐ ☐ *Horticultural Journals Currently Received at the National Agricultural Library*, S. DeMuth, April 1993, 49p.
- ☐ ☐ *Tracing the Evolution of Organic/Sustainable Agriculture*, J. Gates, November 1988, 20 p.
- ☐ ☐ Check here if you wish information about the AFSIC series of videotaped oral history interviews with leaders in sustainable agriculture.

The Center also has a limited number of copies of the following publications to distribute:

- ☐ ☐ *Alternative Agriculture*, National Research Council, 1989, 448p.
- ☐ ☐ *Proceedings of the National Integrated Pest Management Forum*, A. Sorensen, May 1994, 86p.

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The publications on this list are available only in electronic format O. If you wish to have electronic copies please send one formatted diskette for each 4 publications.

These publications and other information on alternative farming are also available on the Internet.

QUICK BIBLIOGRAPHIES:

- QB 92-28: *Agroforestry Systems*, J. Gates, February 1992, 89 p.
- QB 92-24: *Air Pollution Effects on Crops and Forests*, J. Gates, February 1992, 101 p.
- QB 93-53: *Alternative Crops*, K. Schneider, August 1993, 34 p.
- QB 92-40: *Amaranth for Food or Feed*, J. Gates, March 1992, 51p.
- QB 92-25: *Breeding and Selecting Crops for Insect Pest Resistance*, J. Gates, February 1992, 117 p.
- QB 92-26: *Drip, Trickle and Surge Irrigation*, J. Gates, February 1992, 73 p.
- QB 92-66: *Ethnobotany and Medicinal Plants*, [part I], S. McCarthy, September 1992, 107 p.
- QB 93-02: *Ethnobotany and Medicinal Plants*, [part II], S. McCarthy, October 1992, 134 p.
- QB 93-66: *Evaluation of Best Management Practices*, B. Emmert & J. Makuch, September 1993, 44 p.
- QB 92-27: *Farming Systems Research*, J. Gates, February 1992 49p.
- QB 94-44: *Fish Farming*, M. Edsall & A. T. Young, July 1994, 32 p.
- QB 93-04: *Forage Legumes*, J. MacLean, November 1992, 67 p.
- QB 93-05: *IPM & Biological Control of Weeds*, J. MacLean, November 1992, 95 p.
- QB 93-64: *Part-time Farming, Small Farms and Farming in the United States*, M. Gold, Sept. 1993, 59 p.
- QB 93-25: *Paulownia: Potential Tree Crop*, E. Brownlee, April 1993, 18 p.
- QB 92-54: *Potential New Crop: Kenaf, Commercial Fiber and Pulp Source*, J. Rafats, July 1992, 38 p.
- QB 93-32: *Riparian Zones and Filter Strips in Agricultural Operations*, J. Makuch, May 1993, 38 P.
- QB 93-50: *Rotational Grazing and Intensive Pasture Management*, J. Gates, August 1993, 39 p.
- QB 92-46: *Small Scale Ethanol Production*, S. Shapiro, April 1992, 42 p
- QB 93-01: *Societal Impacts of Adoption of Alternative Agricultural Practices*, J. MacLean, October 1992, 54 p.
- QB 93-54: *Soil Testing and Plant Analysis for Fertilizer Recommendations*, K. Schneider, July 1993, 50 p.
- QB 93-03: *Sustainable or Alternative Agriculture*, J. Gates, November 1992, 84 p.
- QB 92-56: *Women in Agriculture*, J. Gates, August 1992, 71p.

OTHER SERIES:

- SRB 92-15: *Sustainable Agriculture in Print: Current Books*, AFSIC Staff, August 1992, 29 p.
- SRB 93-04: *Sustainable Agriculture in Print: Current Books*, AFSIC Staff and Volunteer, May 1993, 34 p.
- SRB 94-06: *Sustainable Agriculture in Print: Current Books*, AFSIC Staff and Volunteer, May 1994, 30 p.
- SRB 93-01: *Resource Guide to Growing and Using Herbs*, S. DeMuth & AFSIC Staff, November 1992, 15 p.

UNNUMBERED PUBLICATIONS:

- *Periodicals Pertaining to Alternative Farming Systems*, AFSIC Staff, February 1993, 21 p.

ATTRA serves commercial ag

Under its mandate, ATTRA serves full- or part-time agriculture practitioners on topics concerning sustainable farm production and marketing.

We're sorry, but we cannot handle requests from home gardeners and other people not actually involved in or serving commercial agriculture.

ATTRA also handles only queries about sustainable agriculture topics. Questions about common, basic agricultural practices are best answered by experts in your region or locale, such as the Cooperative Extension Service.

ATTRA prefers to receive information requests via telephone so that we can visit with callers about their information needs. Our hours are 8 a.m. to 5 p.m. Monday through Friday (Central Time Zone).

ATTRA is an NCAT program

ATTRA is a program of the nonprofit National Center for Appropriate Technology (NCAT), which has headquarters at Butte, Montana.

Founded in 1976, NCAT operates a host of nonprofit, public programs dealing with energy conservation, low-income housing, resource efficient housing and sustainable agriculture.

NCAT launched the ATTRA program in 1987 in response to the growing need for a centralized source of technical information about sustainable agriculture.

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A growing number of U.S. farmers searching for a brighter tomorrow on the land are calling Appropriate Technology Transfer for Rural Areas (ATTRA).

ATTRA is the national sustainable farming information center located in the Ozark Mountains at the University of Arkansas at Fayetteville.

Funded by the U.S. Department of the Interior, ATTRA provides information free-of-charge to a clientele which includes farmers, Extension agents, university researchers, farm organizations, agribusinesses and other information providers.

ATTRA's goal is to help U.S. farmers boost profits and provide healthier food for consumers, while becoming better stewards of the precious natural resources and environment of America's farmlands.

Since its inception in 1987, ATTRA's staff of friendly, resourceful specialists has prepared over 73,000 reports for callers on how to:

- ✓Improve farm income with a diversity of crops & livestock
- ✓Reduce dependence on costly off-farm inputs
- ✓Assess new direct marketing methods
- ✓Produce alternative crops and livestock
- ✓Institute organic farming practices
- ✓Incorporate value-added & farm-processed products
- ✓Improve soil fertility & water quality
- ✓Rejuvenate rural America through agricultural enterprise
- ✓And much more!

For help with your sustainable agriculture information needs, call ATTRA Monday through Friday, from 8 a.m. to 5 p.m. (CTZ):

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What happens when you call ATTRA...

Every week, ATTRA receives an average of 250 requests from farmers and other agriculture professionals for information critical to their farming, research and agribusiness needs.

Many first-time callers to ATTRA are surprised that such a service exists — a place where free-of-charge they can tap into a wealth of information on hundreds of sustainable farming topics and receive one-on-one service from a staff of trained specialists. And so, most novice callers become repeat clients.

When you call ATTRA, one of our staff of 25 technical and information specialists will discuss your agricultural pursuits and information needs.

Information packets & custom research

Perhaps you're seeking a comprehensive introduction to a sustainable farming topic. Or maybe you want to pose a question about a specific crop pest, plant disease or agricultural enterprise.

In answering your query, the specialist may send you one or more of ATTRA's information packages.

ATTRA has over 50 of these packets, which range from 10 to 75 pages. They provide indepth introductions to such topics as planning a small agricultural enterprise, soil fertility, nonconventional amendments, and sustainable production of vegetables, fruits, field crops and livestock. These information packages, resource lists and summaries are described in the ATTRA Materials List.

The specialist may determine that your question could best be answered with custom research. Through a host of people, print and electronic sources, one of our specialists will attempt to gather the most comprehensive, up-to-date information to answer your query. You'll receive a personal letter from the specialist explaining his or her findings, along with enclosures about experts in the field and references so you can continue your own research into the topic.

On a typical morning at ATTRA...

● A grain farmer in Pennsylvania seeks information on using green manure crops to control weeds and increase soil fertility.

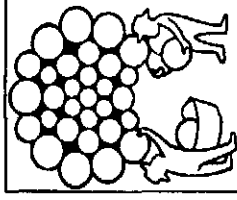
● An Extension agent in North Carolina has been asked by farmers she serves about growing shiitake mushrooms.

● An Illinois farmer wants least-toxic controls for bindweed in wheat and corn.

● A Texas rancher has heard that he can boost pounds of beef per acre with rotational grazing.

● An orchardist in Washington wants information about low-spray apple production.

● A California farmer wants to grow vegetables hydroponically in a greenhouse.



● An Oregon market gardener wants advice about organic controls of cucumber beetles.

● An organic farmer in Iowa needs sources for canola seed.

● A Montana ranch family plan to raise red deer and elk as alternative livestock.

● A Kansas small fruits marketing cooperative seeks info about creating a farmer's market.

● A soybean farmer in Nebraska is searching for ways to reduce the amount of purchased inputs on his crops.

● A Connecticut farmer is interested in tapping into a niche market by raising meat goats.

● And many more!

Tracking latest info for clients

In preparing information packets and custom research cases, our specialists tap into a variety of information sources.

Staff members depend heavily on the ATTRA Resource Center, a unique, specialized collection containing over 3,300 volumes on sustainable farming. The Center subscribes to over 500 agriculture and environmental publications, which are routed through the staff for reading. Also housed in the Center are collections of hard-to-find "grey" literature which includes experiential information, proceedings from farm conferences, case studies, and reports of on-farm research and demonstration projects.

ATTRA has amassed an extensive electronic compilation of sustainable agriculture information, consisting of data cited in its 73,000-plus cases com

piled since 1987.

Via Internet, the specialists are able to access over 300 electronic databases and monitor many computer listservs and sustainable agriculture discussion groups. They also have computer access via Telnet to holdings in university libraries across the U.S.

Firsthand information

ATTRA specialists in their daily work visit with farmers, agricultural scientists, agribusiness suppliers and other farm researchers across the U.S. for first-hand information about developing academic and on-farm research and product information. And our staff travels extensively in the U.S. each year to many conferences, field days, workshops and symposiums to share and increase their expertise in sustainable agriculture.

We invite you to give ATTRA a call!

To meet our ATTRA staff, please turn to center of brochure.

ATTRA Materials List



Appropriate Technology Transfer for Rural Areas February, 1996

ATTRA is a national sustainable agriculture information service designed for use by commercial farmers. ATTRA also offers technical assistance and information free of charge to Extension agents, agricultural support groups, researchers, educators, and agribusiness.

ATTRA specializes in responding to specific sustainable practices or enterprise questions. Our staff will research the question, summarize findings in writing, and compile supporting literature as appropriate to accompany the report which a caller receives by mail.

In addition to providing customized research, we offer three types of standard materials which are often updated: Information Packages, Current Topics in Sustainable

Agriculture, and Resource Lists. To order them, please call ATTRA's toll-free number 1-800-346-9140.

An Information Package contains a 5- to 20- page topic review written by ATTRA specialists and may also include enclosures, bibliographies, and supply sources.

A Current Topic is shorter than an Information Package and usually focuses more on a particular topic of interest rather than providing an overview, and contains few, if any, enclosures for further reading.

A Resource List is designed to make networking easier for organizations, individuals, and companies interested in sustainable agriculture.



Fruit and Nut Crops:

Organic/Low-Spray Apple Production	66 pages
Diseases, pests, resources, researchers, varieties, geographical considerations, marketing	
*Bananas: Organic Production	6 pages
Plantation design, polyculture, fertility, diseases (Sigatoka and others), and pests	
Organic Blueberry Production	8 pages
Highbush, fertility, insect pests, diseases	
Organic Culture of Blackberries and Raspberries	40 pp
Diseases, pests, resistant varieties	
*Citrus: Organic Production	6 pages
Fertility and soil management, weeds, pests, diseases	
Overview of Organic Fruit Production	15 pages
Fertilization, pests, weed control, obstacles	
Organic Grape Production	56 pages
Diseases, pests, resistant varieties, resources	
*Pawpaw Production	8 pages
Culture, research, emerging markets, pesticidal properties	
Organic/Low-Spray Peach Production	28 pages
Geographical limitations, diseases, pests, resistant varieties	
Sustainable Pecan Production	19 pages
Pecan culture and economics (native groves and planted orchards), northern varieties, weed control, legumes, fertilization, agroforestry, pests, diseases, resources	
Strawberries: Organic & IPM Options	34 pages
Weeds, pest, diseases, resources, resistant varieties	

Vegetable Crops:

Organic Greenhouse Vegetable Production	25 pages
The greenhouse vegetable industry, proposed USDA standards, soil culture, hydroponics, bag culture, straw bale culture, shallow bed culture, economics, resources	
Hydroponic Vegetable Production	67 pages
Liquid and aggregate systems, bag culture, non-circulating systems, shallow bed culture, organic methods (hydro-organics, aquaponics, bioponics), recipes, resources	
*Organic Hard Squash, Pumpkins, and Gourds	5 pages
Fertility, weed control, diseases, pests, pollination problems.	
*Organic Sweet Corn Production	14 pages
Organic farming and certification programs, varieties, fertility, rotation and weed control, insects, diseases, postharvest handling, economics, resources	
*Organic Tomato Production	35 pages
Organic farming and certification programs, variety selection, crop rotation, fertility, weeds, training systems, insects, diseases, resources	
Sustainable Vegetable Production	47 pages
Shift to sustainable methods, caring for the land, pest management, specialized equipment, harvest and postharvest, marketing & economics	
<u>Other Crops:</u>	
Alternative Field Crops	70 pages
Considerations before diversifying, marketing alternative crops, and sources of additional information	

** Current Topics in Sustainable Agriculture*

Other Crops:

Field Grown Cut & Dried Flower Prod./Marketing 96pp
Marketing, climate, trade organizations, conferences, literature, species list

Herb Production and Marketing 8 pages
Marketing strategies, trade organizations, literature, conferences, consultants, resource list

Farming Systems

Cover Crops and Green Manures 64 pages
Uses, benefits, vegetation management, limitations, publications, seed sources, bibliography

*Farmscaping to Enhance Biological Control 17 pages
Description and benefits of farmscaping, strategies and techniques. Tables include Plants that Attract Beneficials, Pests and Associated Beneficial Insects, and Seed Blends to Attract Beneficial Insects (with suppliers)

*Sustainable Fire Ant Management 6 pages
Brief history of pest, biocontrol options, least toxic controls, baits, future controls, references and further reading

Tools and Techniques for Market Gardening 60 pages
Soil preparation, transplant production, seeders, small-scale, low cost, weed control

Integrated Pest Management 21 pages
Uses, benefits, IPM and sustainable agriculture, monitoring, economic thresholds, planning, tools & options, microbial pesticides, useful information resources

*Alternative Nematode Control 4 pages
Nematode suppressive cover crops, crop rotations, soil solarization and steaming, nematode suppressive soil amendments and references

Planning a Small Agricultural Enterprise 37 pages
Resource evaluation, regulations, budgeting, market research, information resources

*Radionics in Agriculture 17 pages
Introduction and history of radionics, radionic instruments for plant and animal diagnosis and treatment, uses (analysis, evaluation of materials, vitalization), resources

Season Extension Techniques/Market Gardeners 51 pp
Floating row covers, poly tunnels, cultural techniques, plastic mulches

Weed Management-Agronomic Crops 12 pages
Prevention, monitoring, cultural, mechanical, chemical and biological control, benefits

Livestock

Evaluating an Aquacultural Enterprise 13 pages
Considerations (physical, biological, financial), culture and species options, resource lists

Sustainable Beef Production 51 pages
Feeding options, health, pests & parasite control, breeds, reproduction, environmental concerns

Sustainable Chicken Production 71 pages
Housing, breeds, feeding, health, marketing

Sustainable Dairy Production 36 pages
Effective decision-making, feeding, manure management, herd health, marketing opportunities

*Grass-Based & Seasonal Dairying 38 pages
Pasture as primary feed source for dairy cattle; seasonal production to reduce feed costs

Sustainable Hog Production 47 pages
Breed selection, feeding, waste management, facilities, health, animal welfare

*On-Farm Cheese Processing 2 pages
Cow, goat and sheep dairies, sources of equipment and advice, inoculants.

Marketing

Organic Certification 23 pages
How it works, legal requirements, types of programs

Marketing Organic Livestock Products 37 pages
Resource evaluation, regulations, budgeting, market research, information resources

Soils

*Albrecht/Reams Biological Fertility Systems 11 pages
Biological farming, Dr. William Albrecht, base saturation, Dr. Carey Reams, Biological Theory of Ionization, nutrient ratios, refractometers, foliar feeding, resources

Farm-Scale Composting 80 pages
Moisture, aeration, heating microbes, windrow, C:N, materials, uses, economics

Nonconventional Soil Amendments 15 pages
Mineral powders, plant and animal byproducts, seaweed, growth regulators, inoculants, enzymes/activators, micronutrients, dusts/powders

Sustainable Soil Management 96 pages
Assessing soil health, organic matter and humus management, organic amendments, soil testing, aggregation and tilth, fertilizers. Appendices on soil biology and components.

Resource Lists

Internships/Apprenticeships/Sustainable Curricula 11 pp
Sustainable Agriculture Organizations/Publications 24 pp
University Programs and Contacts 10 pp
Videos/Slides/Tapes on Sustainable Agriculture 24 pp

* *Current Topics in Sustainable Agriculture*

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SAN's On-Line Connection

Sanet conference. SAN has an electronic mail group, sanet-mg, with more than 650 individuals interested in—and knowledgeable about—sustainable agriculture. On any given day, participants can read an electronic newsletter, help answer questions on a number of topics or share opinions, ideas and information.

Chuck Otte, Gary County Extension, Junction City, Kan., likes sanet's ability to tap a broad spectrum of people involved in agriculture with unusual questions that "the 'normal information delivery system' seems unable to handle."

"The wealth of resources and people that can be reached through sanet is fantastic," he adds. *"They are very willing to share whatever information they have when questions are asked. I wish every farmer was hooked up to it!"*

A typical question on sanet comes from Meg Moynihan of Minnesota: *"Help! I'm looking for a source of 'Hubam' sweet clover—a white-blossomed annual sweet clover. If anyone has an idea of whom I might call to latch on to 50 lbs. or so, please let me know."*

To subscribe, send the message **subscribe sanet-mg** to the Internet address: almanac@ces.ncsu.edu. For information about other Internet services, use the attached form to order "Getting Started Electronically" (free).

SAN on the World Wide Web. SAN's home page can be found at <http://www.ces.ncsu.edu/san/>

Information on diskette. Most SAN publications plus summaries of SARE/ACE research are also available on 3.5-inch diskettes. Included are the text and easy-to-use software by FolioViews™. With this system, you can search for the exact information or the contact you need, and copy the text right to your computer.

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Internet

The Sustainable Agriculture Network (SAN)

is a cooperative effort of university, government, farm, business and non-profit organizations dedicated to the exchange of scientific and practical information on sustainable agricultural systems. The network supports the exchange of information with a variety of printed and electronic communication tools. SAN is funded by the USDA's Sustainable Agriculture Research and Education program.

Publishing With a Purpose

Discover more profitable and environmentally sound farming practices. SAN publications and services put you in touch with the people and information you need.

Who?

Sustainable Agriculture Directory of Expertise

Find more than 700 people and organizations with expertise on how to farm more safely and more profitably. *The Directory* helps you tap into the wealth of information about sustainable agriculture that's in the minds of farmers, scientists and other experts. It includes people from every state, and from a variety of disciplines and backgrounds. Within each entry you'll find information about how to contact the person or group, plus their major areas of expertise and the information resources they have available.

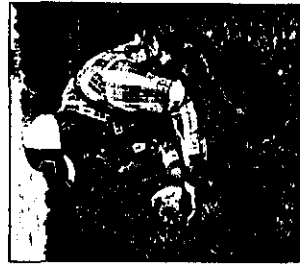


Photo courtesy Bob Nichols/USDA

Calendar of Sustainable Agriculture Events

Updated bimonthly, the calendar lists meetings, conferences and other activities. It also reminds you about the current schedule of regional SARE/ACE granting cycles.



T.L. Gettings

What?

Showcase of Sustainable Agriculture Information and Educational Materials

This booklet describes publications in sustainable agriculture. Included are biological pest controls, livestock practices, research trends, information networks and weed management.



Mary Gold

SARE Project Overview

This yearly review highlights accomplishments of the Sustainable Agriculture Research and Education (SARE) program.



T.L. Gettings

How?

Managing Cover Crops Profitably

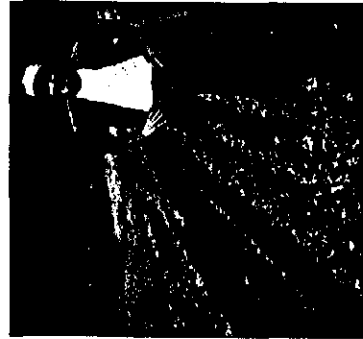
This practical handbook introduces cover crop selection, benefits, management and specialists to farmers. It is indexed, detailed, and easy to use.



T.L. Gettings

The Real Dirt—Farmers Tell About Organic And Low-Input Practices In The Northeast

In a practical, farmer-oriented way, this 264-page book offers firsthand knowledge about the many biological, cultural, mechanical and even chemical tools available to farmers. Funded by the Northeast SARE region.



T.L. Gettings

How To Order Information From SAN Books • Flyers • Software

Send this form with a check or purchase order to:
Sustainable Agriculture Publications, Hills Building,
UVM, Burlington VT 05405-0082. To inquire about bulk discounts and rush orders, phone: (802) 656-0471.

Quantity Total

The Sustainable Agriculture Directory of Expertise—\$18.95

Choose either ☐ print or ☐ Folio™ software

Managing Cover Crops Profitably—\$9.95

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The Real Dirt

Farmers Tell About Organic And Low-Input Practices In The Northeast—\$13.95
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Profitable Dairy Options

Grazing, Marketing, Nutrient Management—FREE
Bulletin

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Interdisciplinary Approach

An interdisciplinary approach is necessary to address the many-faceted problems facing the introduction of alternative enterprises. The CAPAP is made possible by the participation of departments within the Colleges of Agriculture and Natural Resources. Individuals from industry, government and the farming community have also contributed to the development of the CAPAP.

How Can the Center Help You?

The task of generating and evaluating new ideas for agriculture and natural resources is an enormous one and we welcome your input. If you have a proposal that needs evaluation, the Center is interested in helping you develop that idea. In addition to evaluating new ideas, the CAPAP acts as a facilitator for alternative product research. Several research projects are underway or are being considered. The Center also acts as an information resource for the Minnesota Extension Service, providing current research information to the public. Fact sheets on alternatives have been developed. Symposia on specific topics, with published proceedings, are offered periodically.

For further information, contact:

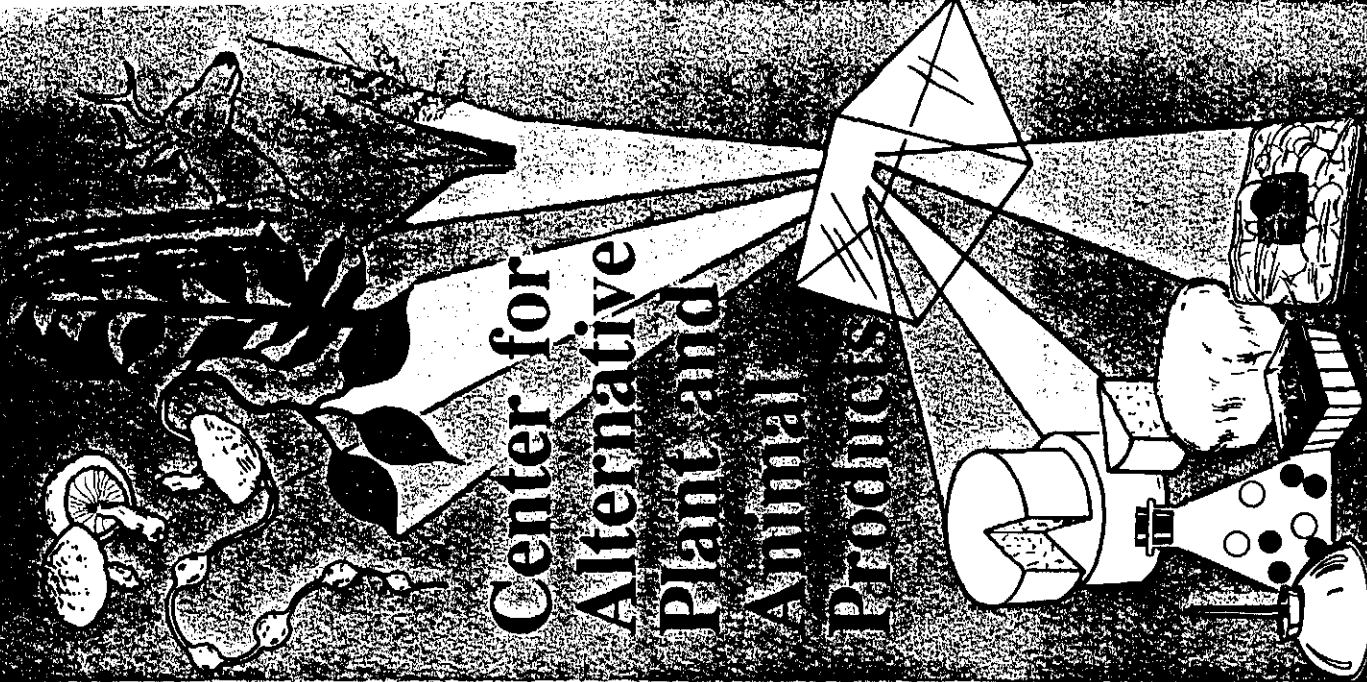
Center for Alternative
Plant and Animal Products
305 Alderman Hall
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Issued in furtherance of cooperative extension work in agriculture and home economics acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Patrick J. Borich, Director of Minnesota Extension Service, University of Minnesota, St. Paul, MN 55108. The University of Minnesota, including the Minnesota Extension Service is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation.

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Center for Alternative
Plant and Animal Products
305 Alderman Hall
University of Minnesota
St. Paul, MN 55108

Center for Alternative Plant and Animal Products



Center for Alternative Plant and Animal Products

What is the Center?

The Center for Alternative Plant and Animal Products (CAPAP) was created to aid in the development of new and alternative crop and livestock enterprises. The Center provides a University of Minnesota focus for 1) generating, receiving and evaluating new product ideas, 2) facilitating alternative product research and development efforts, and 3) disseminating information to the public on alternative plant and animal products.

Why a Center at This Time?

Current economic conditions have presented severe challenges to the resourcefulness of American agriculture. Resounding successes have resulted from record-breaking production gains during the last few decades, but there is a growing realization that increases in productivity of traditional crops may only serve to aggravate our economic problems rather than relieve them. A significant portion of our difficulties can be traced to the relatively narrow base of plant and animal species currently being utilized. Environmental and quality concerns have also stimulated interest in alternative plants and animals. The number of strategies available for the profitability and sustainability of many family farms appear to be limited. In addition, information on alternatives, when available, often remains poorly distributed.

Philosophy

Diversification of the cropping base and development of new products from existing crops are recognized as important sources of economic growth for the rural economy. Alternative animal enterprises also offer the potential of increased profits for farmers. Farmers, woodland owners, industrialists, entrepreneurs, and researchers generate hundreds of ideas in order to address this need. Some of these ideas die because of lack of sufficient scrutiny, information, marketing, or appropriate research. Other ideas are prematurely promoted and fail for lack of sufficient information concerning production, utilization, or marketing. The CAPAP believes that all ideas need to be carefully evaluated and an information base created, processed, and disseminated systematically. Because a single alternative enterprise will not satisfy all needs, the development of many market viable options and strategies is the goal of the Center for Alternative Plant and Animal Products.

What Is an Alternative Plant or Animal Product?

An alternative crop is either a species new to a region, such as amaranth, adzuki beans, shiitake, or blueberries, or an existing crop such as millet, buckwheat, or broccoli, which shows increased economic promise.

An alternative animal enterprise could be a species new to a region such as red deer or angora goats; a new use for an established animal such as dairy sheep; or a new production system such as aquaculture.

Some of these alternatives can be produced immediately without severe constraints, but have marketing or processing difficulties. Other alternatives, such as wild species of plants and animals, may be difficult to produce commercially.

New product development may be one of the benefits of increased research into alternative plants and animals. Finding different ways to utilize new and traditional minor crops may generate new industrial compounds or food items.

Functions of the Center

The Center functions as a multi-disciplinary forum to address specific needs related to the development of alternative products.

The areas of emphasis are:

1. Idea Generation and Feasibility Evaluation

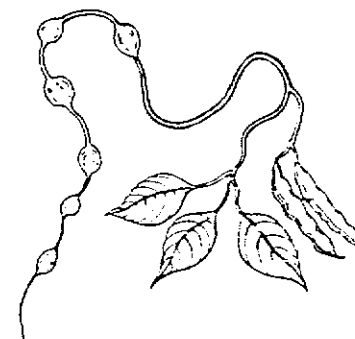
- Brainstorming sessions
- Evaluation and analysis of proposals
- Identification of research areas

2. Short-term and Long-term Research and Development Projects

- Detailed literature reviews
- Grant proposal writing, review and coordination
- Interdisciplinary and cooperative research on new plant and animal products

3. Information Dissemination

- Symposia with published proceedings
- Timely publications on individual plant and animal alternatives.
- Enterprise database
- A source of information for extension personnel and others.



UNIVERSITY OF MINNESOTA

Twin Cities Campus

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College of Agricultural, Food,
and Environmental Sciences*

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Fax: 612-625-4237*

PUBLICATION LIST

CAPAP Publications:

(Send check to the Center at the above address)

Alternative Agricultural Opportunities: A Bibliography (106 pages)	\$ 5.00
Alternative Field Crops Manual (chapters covering over 50 different crops)	45.00
Bio-Options (the Center newsletter, issued quarterly, annual subscription)	10.00

Research-Based Production Guides:

(Send check to Extension Special Programs, 405 Coffey Hall, 1420 Eckles Ave.,
University of Minnesota, St. Paul MN 55108)

Alternative Livestock Conference Proceedings (341 pages)	\$40.00
Lupin, Production and Utilization Guide (27 pages)	10.00
Production of Belgian Endive (Witloof) in Minnesota (25 pages)	5.00
Commercial Field Production of Cut and Dried Flowers (207 pages)	20.00
Grain Legumes as Alternative Crops (194 pages)	20.00
Shiitake Mushrooms (217 pages)	20.00
Soybean Utilization Alternatives (427 pages)	30.00
Deer Farming (47 pages)	11.00
North American Dairy Sheep Symposium (192 pages)	17.00
Organic Meat Symposium (96 pages)	17.00
Wood Based Economic Development in the Lake States (201 pages)	20.00
Amaranth: Production, Processing and Marketing (200 pages)	20.00
Prospects for Lupins in North America (191 pages)	20.00
Value Added Meat Products (54 pages)	10.00

Make checks payable to the University of Minnesota. Indicate publication titles and quantity of each publication requested. Don't forget to include your name, return address, and zip code.