AN INTEGRATIVE RURAL DEVELOPMENT WORKSHOP EFFORT

Project Report on Cooperative Agreement
Between the Western Rural Development Center
And the Rural Development Service, USDA

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by

Donald M. Sorensen, Dale K. Pfau,
Howard Tankersley, and John P. Snyder*

In August 1976, the Western Rural Development Center and the Rural Development Service, USDA, entered into a cooperative agreement to develop a training program for federal, state and local government employees. Specifically, the purposes of this workshop were: (1) to demonstrate how professionals can alter their behaviors to develop open, honest relationships with rural people so that federal programs and private institutions will serve their felt needs; and (2) to assure that the needs of all groups in the community receive due consideration. Arguments supporting this assertion appear later in the report.

The cooperative agreement intended to capitalize upon the process workshop format evolving from the seven-year experience of the Western Regional Workshop on Individual and Community Development. The doctoral dissertation, Professionally Managing the Dynamics of Community Development Activities, Dale K. Pfau (Colorado State University, Fall 1977), delineates the major propositions on which the workshops were based.

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The agreement's objective was to refine this workshop format so that Rural Development Service subject matters could become an integral part of the learning experience offered. During the course of this project the workshop leaders attempted to integrate RDS subject matters with demonstrations of professional behaviors that foster human development in rural settings. The workshops were planned and conducted in a manner consistent with the human development process which would be demonstrated in the workshops. The initial concern was to identify problems faced by professionals attempting to link their agency's programs with community needs. The second concern was to identify important subject matters which help to address these problems. As a result of two general pre-planning sessions held in the autumn of 1976, numerous personal interactions with professionals involved in Rural Development Training (either as presentors or participants) were documented. Their inputs provided valuable subject matters for integration into the workshop model.

The first test workshop was held at the Baca Grande Inn near Crestone, Colorado, May 9-13, 1977. Twenty-seven representatives of federal, state and local agencies with programs in rural development participated in the workshop. Careful review of participant and staff evaluations of the initial workshop resulted in certain refinements and modifications for incorporation into planning a second test workshop. The second workshop was held at the Franciscan Renewal Center in Scottsdale, Arizona, December 5-9, 1977. Twenty-seven professionals working in agencies having resources for rural development attended from twelve states. The experiences of these two workshops and a dozen similar training efforts were combined to develop the proposed workshop model. Part I details the rationale, format, theoretical base, and procedures
for setting up and conducting a workshop designed to integrate selected rural development topics with ways that professionals can behave to foster development processes in communities. Part II specifies the criteria for selecting the specific subject matter incorporated into the workshop. Part III includes documents used as reference materials related to the individual subject matter presentations.

PART I A PROCESS-ORIENTED RURAL DEVELOPMENT WORKSHOP

Introduction

Beginning With Participant Problems

Professional development assistance to rural communities often appears to be provided on the basis of two underlying assumptions. The first assumption is that the professional and his/her agency can solve problems for the individual and the community. Secondly, the way to solve a problem for an individual or community is to define the problem for them and then give them the solution. As a consequence of these assumptions, both problem definition and proposed solutions are constrained to those which fall within the programs of the professional's agency. This approach is consistent with the way professionals have been taught (through lectures and carefully controlled exercises with predetermined outcomes) and with the expectations of the agency—to sell or support the agency's programs.

The implication of the above is that professionals need a training program which avoids the constraints inherent in the more traditional approaches to dealing with rural development. The challenge to those involved in designing and conducting such a workshop is to employ processes and procedures
consistent with the ways people in communities effectively interact, learn and develop. This workshop offers participants a learning experience designed to demonstrate how professionals can behave, consistent with the ways people in communities effectively interact, learn and develop. Therefore, the workshop begins with the participants' problems. The participants' problems provide the basis for sharing insights and theoretical concepts which they can use to analyze and seek solutions to the problems they own. In pre-workshop correspondence, each participant is requested to briefly outline a problem situation in which he/she is personally involved. The problems provide a focal point for applying and testing concepts shared by staff. They also provide staff the information needed to determine appropriate structure and timing for specific subject presentations throughout the workshop.

To achieve the intended result of increasing the effectiveness of professionals involved in rural development, the workshop staff is guided by the assumptions in the following section.

Workshop Assumptions

The underlying assumptions for these rural development workshops, developed and tested through this project and a dozen similar efforts, relate to the nature of individual development, the nature of community development, and the manner in which a workshop can be conducted to maximize participants' learning.

Assumptions About Individual Development

1. People develop through personal discovery. Development and discovery involve collecting, analyzing and internalizing data. Internalizing new data
leads to discovery of new knowledge. In teaching, the teacher can provide data, assist the individual in his/her analysis and provide the opportunity for internalizing data.

2. The personal learning process is stimulated most by demonstration. Students emulate their teacher. They learn as much or more from how the teacher acts—what they see the teacher do—as from what the teacher says, the visuals or artifacts the teacher shows them, or the materials the teacher provides them to read. Therefore, to optimize learning in any teaching situation, the student must see that the teacher's actions are consistent with what he says.

3. When developing their communities, people first go through a process of self-development. Discovery of new knowledge leads to new understandings, new feeling, and, therefore, growth. This growth leads to discovery and definition of problems, alternatives and solutions, and it establishes a new basis for interacting with others.

4. In the final analysis, the individual is responsible for his own learning and development, including the establishment and pursuit of his own goals/objectives.

5. People work to satisfy their needs and gratify their wants. Needs can be satisfied through human effort. Wants can be gratified through human effort, but they cannot be satisfied.

Assumptions About Community Development

1. Community problems grow out of unmet needs and ungratified wants of people in the community.

2. People are personally motivated to solve problems they own—problems they can define, which they see affecting them and to which they can see solutions.
3. Only those people who own problems can solve them.

4. Through a careful process of analysis, people in communities grow to realize that they have among their members most of the resources needed to solve their problems.

5. The role of the professional is to carefully walk through the process of analysis with people in defining, putting into perspective and proposing solutions for solving peoples' problems, as opposed to getting the communities' citizens to help solve the professional problems, i.e., gaining support for the agency's/organization's programs or enhancing the professionals' status or position with their agencies/organizations.

6. Democratic (shared) leadership, and the resulting cooperative efforts of people involved, demonstrates the most effective group approach for long-run mutual benefit.

Assumptions About the Workshop

1. The workshop will provide a shared leadership experience for everyone involved. Ultimately, each individual in the workshop will decide his/her level of involvement in the workshop.

2. If the workshop is effective it will:
   - Allow all participants the freedom and encouragement to become personally involved.
   - Allow and encourage participants to utilize their own insights and personal competencies.
   - Allow and encourage participants to gain from each other's insights and personal competencies.

3. The workshop core staff will strive to conduct the workshop in consistence with the underlying assumptions—what is said, what is shown and
what the staff demonstrates. Furthermore, the staff will strive to openly accept feedback regarding the level of consistency in what they are saying, showing and demonstrating.

Staff Objectives for the Workshop

The staff hold two principal objectives when conducting the Rural Development Workshop. The first objective is to help the participant find answers to the following kinds of questions--commonly found among agency employees working in development in rural areas--or to other questions/concerns they bring to the workshop.

-Why don't local citizens or governing bodies accept the expert's advice, even after they have agreed to hear him or after they have employed him, and even though his advice is technically correct?
-Under what conditions do people accept advice?
-How can the professional help people through the decision making process in rural development matters?
-How can the professional relate his agency's resources to other institutional resources to cooperatively strengthen rural development efforts?
-Why do some communities work cooperatively and effectively to develop their potential while others fail to do so?
-How can the community use programs and projects of federal and state agencies to serve the needs of all groups in the community? Why don't they serve these needs?
-How do people become involved in community development in rural areas? What does citizen participation mean? How is it effected?
What does the professional working in agencies for rural development provide that is useful to the community? How can the professional be more effective? What does he/she provide that isn't of use to the rural community?

How can the agency employee be effective without incurring the wrath of the local power structure or the agency/organization?

The second objective is to share with participants some carefully tested tools the practitioner in rural development can use to:

- Analyze and understand individual and community problems.
- Become more effective in interacting with people in communities.
- Develop his/her own skills in using these tools.
- Become more effective in examining and relating the concepts of development to his/her work in rural communities.

**Workshop Structure**

The workshop structure provides for: (1) general sessions which introduce subject matter concepts and share reports from laboratory group work; and (2) laboratory group sessions in which participants use analytical tools and rural development subject matters to (a) examine and analyze their own individual and community problems, and (b) help each other address these individual and community problems through sharing insights and special knowledge. In addition, the workshop structure includes a regularly scheduled staff meeting following adjournment of the daily sessions. This meeting, open to participants, is crucial to assessing workshop progress and planning for appropriate next steps. Group facilitators report on their individual laboratory group work sessions. Special concerns, assessments of group effectiveness and suggested subject matter presentations needed for group
progress are shared with staff. Based on facilitator and core staff observations, specific needed topics are defined and scheduled. Staff meetings also help facilitators deal with concerns about their own roles and gain further understanding and confidence in carrying out their responsibilities in the workshop. Additional staff meetings are held as needed throughout the workshop--often over the lunch or breakfast table.

Workshop Schedule and Agenda

Workshop staff developed a generalized schedule for the workshop. This schedule provides time blocks for lecturettes and discussions in general sessions. It provides time for analyzing the participants' individual and community problems in laboratory sessions using workshop tools and rural development subject matters shared with participants. The schedule also provides time for staff meetings.

The daily agenda grows out of the workshop itself as participants' needs surface during the week. The agenda, developed as the workshop progresses, is based on emerging and anticipated needs of participants. Based on the experience of the Scottsdale Workshop, the following example of a workshop schedule demonstrates how its particular agenda may unfold in a week-long workshop.

Sunday
8:00 A.M. - 12:00 N. Core staff meeting to review workshop planning and address issues to finalize core staff preparation.
1:00 P.M. - 5:00 P.M. Facilitator staff session with core staff to share workshop planning information, to set forth clear expectations for facilitating staff, and to train staff in specified functions related to the role.
Sunday (Cont'd)

7:00 P.M. - 9:00 P.M.
Get acquainted and refreshment time: Introduction of participants and staff.

Monday

8:30 A.M.
General Session:
- Introduction, workshop background, staff expectations, sharing participants' expectations and underlying assumptions of the workshop.
- Lecture #1 - The Rural Setting

10:00 A.M.
Small laboratory group meetings. Facilitators help participants begin to share prepared problem situations brought by each participant.
Lunch

1:00 P.M.
Whole group session - Feedback from small group sessions.

- Lecture #2 - Vertical-Horizontal Integration
Small laboratory group meetings - Participants select a problem situation shared by one of the group members to begin using tools and subject matters presented for analysis.

4:00 P.M.
Whole group session - Feedback from small laboratory group sessions.

4:30 P.M.
Adjourn - Staff meeting for facilitators and core staff, review day's events, activity and progress of small groups and needed topics for next day's workshop sessions.
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<th>Activity</th>
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<tr>
<td>Monday</td>
<td>Independent inquiry - Core staff meeting.</td>
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<tr>
<td>7:00 P.M.</td>
<td>Whole group session - Check for further feedback.</td>
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<tr>
<td>Tuesday</td>
<td>Lecturette #3 - How the Professional Operates With People in the Community.</td>
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<tr>
<td>8:30 A.M.</td>
<td>Small laboratory group meetings, continue with problem analysis, perhaps shifting to other participants' problems. Testing tools and concepts in the process.</td>
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<tr>
<td>10:00 A.M.</td>
<td>Lunch</td>
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<tr>
<td>Noon</td>
<td>Whole group session - Check back with small group reports.</td>
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<tr>
<td>1:00 P.M.</td>
<td>Lecturette #4 - Decision Making in Community Groups.</td>
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<td>2:30 P.M.</td>
<td>Small laboratory group meetings, continue problem analysis, further incorporation inputs by core staff and specific insights and knowledge of individual participants in group.</td>
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<tr>
<td>4:00 P.M.</td>
<td>Whole group session - Check back, report from small groups and attend to any social functions being planned or other maintenance matters.</td>
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<tr>
<td>4:30 P.M.</td>
<td>Adjourn - Staff meeting for facilitators and core staff.</td>
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<tr>
<td>7:00 P.M.</td>
<td>Independent inquiry - Core staff meeting.</td>
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Wednesday

8:30 A.M.  Whole group session - Check for further feedback.

10:00 A.M. Small laboratory group meetings, continue with helping with each other's problems and applying workshop concepts to them.

Noon Lunch

1:00 P.M. Whole group session - Check back with small group reports.
- Lecturette #6 - Citizen/Community Involvement.

2:30 P.M. Small laboratory group meetings, continue problem analysis.

4:00 P.M. Whole group session - Check back, report on small group programs and any special concerns.

4:30 P.M. Adjourn - Staff meeting with facilitators and core staff.

7:00 P.M. Independent inquiry - Core staff meeting.

Thursday

8:30 A.M. Whole group session - Check for further small group reports.
- Lecturette #7 - Working with Institutions and Agencies.

10:00 A.M. Small laboratory group meetings, continue analysis and integration of new subject matters introduced.
Thursday (cont'd)

Noon
Lunch
1:00 P.M.
Whole group session - Check back with small group reports.
-Lecturette #8 - Power and Leadership in Communities.
2:30 P.M.
Small laboratory group meetings - Continue analysis and sharing help on problems of participants.
4:00 P.M.
Whole group session - Report on small group activity.
4:30 P.M.
Adjourn - Staff meeting with facilitators and core staff.
7:00 P.M.
Independent inquiry - Social event for workshop wrap-up and core staff meeting.

Friday

8:30 A.M.
Whole group session - Check for further group feedback (if necessary).
-Lecturette #9 - Individual Wants and Needs.
-Workshop assessment for participants and staff.
10:00 A.M.
Small laboratory group meetings.
-Written summary statement of individual participant assessment of workshop experience.
11:00 A.M.
Whole group session - Share participants' own learnings, check on degree to which expectations have been met.
Noon
Adjourn workshop.
Workshop Procedures

The following procedures set forth responsibilities to be carried out by staff involved in planning and conducting the Rural Development Workshop.

Leadership
The workshop will be conducted in accordance with principles of democratic (shared) leadership that encourages cooperative efforts.

Decision Making
Decisions will be made by consensus rather than by parliamentary procedures. (Consensus is defined as the convergent trend of thinking as a group.)

Subject Matter or Content
Topics will be scheduled in accordance with participant needs as determined by the staff through interaction with participants.

References/Reading Materials
A list of references related to the concepts/assumptions/assertions examined in the workshop will be provided each participant. A limited number of these references will be available from staff. Reference materials specific to individual lecturelettes will be available to all participants for additions to their personal information files.

Core Staff Availability
The core staff will make every effort to meet with individuals or groups of participants at any time.

Local Arrangements Staff
The local arrangements staff will make every effort to facilitate the plans of the workshop groups and individuals.
Workshop Preparation

Staff preparation for an effective rural development workshop requires special attention to developing promotional materials and participant recruitment. In addition, facilitating staff members must be selected and arrangements made to train them prior to the arrival of participants at the workshop. Working closely with local arrangements staff, the workshop coordinator must locate and approve adequate facilities and support equipment.

Brochure and Recruitment

A major challenge to staff is to develop a promotional brochure that precisely states the workshop objectives and clearly indicates what participants can expect to gain through the workshop experience. A brief statement of staff objectives provides an appropriate introduction.

The staff will share a carefully tested tool for analyzing individual and community problems and human interactions. This tool is central to the planning, conduct and evaluation of the workshop. It should be set forth as the tool for understanding the integration of professional behaviors with special rural development subject matter. It will be used to determine the scheduling of rural development subject matter. The staff should convey the expectation that participants will use the tools and concepts introduced to work through the problems they bring to the workshop and to analyze and solve group problems that arise in the course of the workshop. Further clarification could be provided through specification of workshop structure and format. The main point is that potential attendees need to know that staff are preparing to share with them a particular tool for analyzing: (1) individual and community problems and (2) specific, selected subject matters in rural development; and that the staff will demonstrate and encourage
the use of professional behaviors that have been proven highly effective in furthering individual and community development in rural America.

The brochure should request that participants bring with them an incident from their experience. It should be one that concerns them at the present time and about which they would like to gain some further insights. An incident may be defined as an interaction between people that produced a misunderstanding or breakdown in communication. Problems arise when several incidents accumulate with the above outcomes. The incidents will provide the point of departure for study and application of the analytical tool, the professional behaviors demonstrated and the special rural development subject matter shared by the staff. In beginning with isolated incidents, participants will learn to define their problems with greater clarity and to form new perspectives. Participants should be encouraged to bring their selected incidents in written form. Written incidents should be condensed to a single, typewritten page or less.

In the brochure, place, dates, staff members, sponsorship and local accommodations and workshop fees should be clearly but concisely stated.

Recruitment is the companion concern related to brochure preparation. The audience to be attracted will depend upon the needs and desires of those sponsoring the training. A workshop planned in cooperation with a single agency such as the Soil Conservation Service for their professional field staff would probably recruit through state, regional or federal management personnel. A workshop planned in collaboration with a state or regional entity may appeal to a wide range of agencies and organizations working in rural development. In this case, recruitment would need to be directed toward management personnel and field staff employees in a number of different
agencies. The title and specific focus of the workshop should be selected to accommodate the specific interests of the target clientele. Specific rural development subject matters selected and prepared for input should be tailored to the unique interests or concerns of the target clientele. Inputs on use or application of the analytical tool and professional behaviors demonstrated should also be tailored to the target clientele for each workshop. Generally, the focus and title of these workshops should be, "Managing the Dynamics of Change ---------."
have observed to possess the requisite qualifications. If this requirement cannot be met, the number of participants in the workshop must be reduced to allow core staff to facilitate small group efforts.

Training for facilitators should begin as soon as they have accepted assignment. The documents in Part III of this report should be made available for their study and preparation. Communication between core staff and facilitator staff prior to the workshop can serve to clarify expectations and other aspects of the training planned. One day prior to participant arrival at a scheduled workshop should be set aside for facilitator training. This period of time (in addition to meeting time for final core staff preparations) will permit core staff to address unresolved concerns and further clarify and demonstrate behaviors expected of facilitating staff. Facilitating staff will be instructed to assist with small laboratory group work sessions by clarifying communications among participants, helping them carry out workshop assignments and applying tools and concepts to their problem situations. Documentation will be demonstrated by core staff. Facilitators will be expected to report to general staff meetings the current situation within the group and suggest appropriate next topics needed. While it is expected that facilitators will provide important and essential inputs regarding their groups' progress throughout the workshop, the final decisions will fall to core staff. Throughout the workshop, core staff should provide opportunity to assess facilitators' progress and to work with them on concerns they have related to their function. In essence, the facilitating staff are involved in a workshop of their own, albeit at a higher level of intensity and involvement than other participants.
Facilities and Support Equipment

The facilities needed for conduct of the workshop include: (1) a single room large enough for conduct of whole group meetings and presentations in an informal or conference setting; (2) a number of smaller meeting rooms to accommodate 10-15 persons for laboratory group work. If 60 participants attend, five smaller rooms would be required for small group work. It is preferable to have these rooms fairly close together.

The principal items of support equipment needed consist of flipcharts, stands, newsprint pads, felt-tipped pens and masking tape for each of the meeting rooms. If possible, blackboards should be available. Certain staff presentations may require slide or movie projectors, and necessary equipment should be on hand. Coffee and other refreshments should be available at all times so that structured coffee breaks will not interfere with the pattern underway in the workshop.

Academic Credit for the Workshop

Increasingly, professionals working for agencies and organizations having resources for rural development are urged or commanded to work toward advanced academic degrees. Therefore, they seek opportunities to gain academic credit for their learning experience. A week-long intensive educational effort accompanied by a requirement for a paper will probably qualify the participant for one semester-hour credit. The required paper would be consistent with the learning expected from the workshop. If credit is offered, it is probably most economical to set up registration and payment through departments of continuing education with a participating college or university. The workshop will need to be listed under the guidance of a faculty member of the institution.
Workshop Evaluation

Those responsible for planning and conducting a rural development workshop desire information regarding the impact of their efforts on participants. To measure effectiveness of the training program, an evaluation must be conducted in a manner consistent with the pattern for the workshop. Thus, to document participants' response, every caution must be used to avoid receiving only the "desired" response. To obtain quality data, the evaluation process must seek responses reflecting the participants' own feelings about what they consider to be significant factors in the workshop.

Evaluating may be done at the conclusion of the workshop, at a later date, or both. In any case, it is essential to request participants to share their feelings without staff structuring their reactions by specific questions. Participants will thus be free to reflect those factors or aspects of the workshop most significant to them. If other aspects of the workshop are not mentioned by the participants in their initial response, then staff can ask specific questions. Assessment of the data gathered can then be made in relating to workshop objectives. Whenever participants provide information for evaluation, staff must exercise utmost caution to capture their meanings precisely to avoid misreading and misinterpretation of response.

Caution is needed in assessment based on participant response at the conclusion of the workshop. Sometimes participants will reflect their own discomfort with having been so intensely involved in working on their problem situations in the workshop and recognizing their contribution to the problem. Hence, a workshop that will be very meaningful to the individual in application will appear to be a negative experience at the time. An effort to help people to relate to problems they face and to apply tools for analysis may elicit
a negative response. It is tough for anyone to examine his/her role in problem situations. Thus, while it may appear negative at the time, the training may well be like having a bad tooth pulled; it hurts a little momentarily, but the long-term benefits are significant.

PART II THE SELECTION AND INTEGRATION OF SUBJECT MATTER LECTURETTES

Lecturelettes are selected and materials prepared on topics potentially useful to workshop participants. These include lectureettes on specific rural development subjects, lectureettes on how professionals can behave to foster development, and lectureettes on the analytical tool the core staff will share. Consistent with workshop design, core staff continually seek participant input to assess progress and needs where appropriate staff presentations can be made. Generally, staff will have available a number of lectureettes which exceed planned time slots so that flexibility is maintained. Following the Scottsdale Test Workshop, a careful appraisal of lecturette presentation and their probable order has been undertaken. As a consequence, this part of the report outlines the suggested order of lectureettes and the purpose of their inclusion. The first two lectureettes set the stage and cast the vein within which the structure of the workshop will be developed. However, subsequent lectureettes are determined by careful assessment of participants' needs in which participant feedback has been included.
Lecturette #1 The Rural Setting

Given the sponsorship of the workshop by the Rural Development Service, USDA, and the experience gained through the two test workshops, it appears most consistent with the workshop model to begin with a staff input on the nature of rural development as viewed from a federal perspective. This introductory overview allows the Rural Development Service representative to share with participants their perspectives on the nature of rural development.

The purposes of this lecturette are:
- To establish a common understanding among participants of rural areas.
- To broaden the participants' knowledge of significant issues and situations in rural areas.
- To initiate an understanding of the principles of rural development.

This unit is best presented as a visually augmented lecturette followed by discussion in order to gain a better understanding of participants' perspectives concerning rural areas and rural development. Lecturette topics should concern themselves with a brief review of rural conditions, stages of development, and anticipated growth trends. The approach should be modified to address the most immediate concerns of the participants.

Possible Support Materials


- Public Affairs Leadership Packet, Facilitator Guide and a Series of Educational Materials, available from Pennsylvania State University, Community Affairs Extension, 204 Weaver Building, University Park, Pennsylvania 16802.

- "Peoples Choice" Booklet, Survey Technique, available from Director of Community Resources Development, VPI and State University, 120 Hutcheson Hall, Blacksburg, Virginia 24061.
Lecturette #2 An Introduction to the Vertical-Horizontal Perspective and Its Use

The purpose of this lecturette is to provide participants a frame of reference for use in analysis of interrelationships among people and between people and organizations. This lecturette provides a basic vertical-horizontal vector analysis chart as a common basis for subsequent staff presentations and discussions of the complex and confusing behavior patterns emerging in human situations. The presentation includes a set of pictures which move from static models through dynamic ones to arrive at the vertical-horizontal vector analysis chart and then beyond to show how the chart is used as a tool.

From experience gained in two test workshops and in subsequent attempts to effectively share vertical-horizontal vector analysis, the actual presentation has been modified considerably. Consistent with participant evaluations, the vector analysis chart would be presented early in the workshop. The chart is presented with enough detail that participants can begin using it as a common communication reference point.

Lecturette #3 How the Professional Operates With People in the Community

Lecturette #3 was introduced for the purpose of helping participants understand how personal behavior of the professional could effectively encourage and strengthen integration of formal and informal patterns and the growth and development of people and the rural community. By gaining an understanding of the professional role and the various behavior bids, the participant gains an understanding of the response he can expect. For example, if the professional must compete with other organizations or formal structures,
his behavior will need to be competitive. On the other hand, if his intent is to cooperate with other agencies and formal systems, then he must display behaviors that are consistent with that desire—his behavior will need to be cooperative if he is to encourage interagency linkages. This lecturette allows the participant to link back this topic to the chart presented in Lecturette #2. The professional role can, therefore, be analyzed as to consistency with the formal and informal patterns and its contribution to flow of information between and integration of the two patterns for growth and development.

Lecturette #4. Decision Making in Community Groups

The purpose of this lecturette is to help participants to gain an understanding of the functional aspects of some decision making processes and the roles of citizens in development efforts.

This unit is best presented as a graphic supported lecturette based on "Decision Making in Community Groups" as a basic document. Emphasis throughout the lecturette should be directed toward the democratic decision making process as only one of several such processes applicable to community decision making.

Possible Support Materials


**Lecturette #5 Provision of the Rural Development Act of 1972**

The purpose of this lecturette is to respond to participant requests for information on a specific piece of federal legislation. It is a vertical presentation of information delineating provisions of the Act. This type of lecturette is put into the workshop only upon valid requests from participants since it is a telling exercise explaining a hard-and-fast law rather than sharing information concerning rural development program ideas. All titles of the Act are reviewed together with level of funding appropriated and expected program results.

**Lecturette #6 Citizen/Community Involvement**

The purpose of this lecturette is to further participants' understanding of the nature of citizen/community participation and involvement in public decision making. The lecturette emphasizes the difference between involvement and participation and how the two are related to systems of community leadership. The lecturette integrates democratic decision making processes, community leadership functions, organization and public agency management needs, and the roles of the professional in dealing with both the community and his/her organization or agency.
Lecturette #7 Working With Institutions

The purpose of this lecturette is to increase knowledge and skills in working with and accessing the resources of other institutions, organizations, firms and agencies.

The objectives may be achieved through a lecturette and discussion or a graphic supported general discussion. If a lecturette is considered, "Working With Institutions," provides a basic reference for such a presentation. With either lecturette or discussion, the components should include:

- The nature of institutions.
- Establishing contact.
- Accessing resources.
- Developing and managing multi-institutional networks.

Possible Support Materials

Lecturette #8  Power and Leadership in Communities

The purpose of this lecturette is to further participants' understanding of the differences between power systems and leadership systems in the community. The lecturette points out how power is acquired. The lecturette asserts that power is either inherited, awarded, or taken and is to be found in the formal, or vertical, structure of the community. The lecturette also asserts that leadership grows out of the horizontal, informal, structure of the community - the informal patterns of interaction. Power represents control, leadership represents influence. People cannot select power figures in the community. Power figures are imposed upon the community. People in communities do determine who their leaders shall be and how much influence they shall have. Understanding power structures and leadership helps participants relate their own roles and the functions of their agency or organization to these systems. This knowledge is essential in dealing effectively with these systems to foster community development.

Lecturette #9  Individual Wants and Needs

The purpose of this lecturette is to enable participants to relate the community development perspective to the economic system of which individuals and communities are a part. The distinction between wants and needs highlights the economic phenomenon of capitalizing on human needs to create wants which are insatiable.
Individual needs are inherent (ref. Maslow). Individual wants grow out of interaction with other people and institutions—both the formal and informal patterns of interaction. Community needs grow out of formal patterns of interaction. Institutions capitalize on wants of individuals and communities to further their own programs. Furthermore, the professional is rewarded for how well he promotes the programs of the agency.

The crux of the matter is that needs can be satisfied, but wants cannot, since they are beyond basic need level. When is more enough?

PART III REFERENCE MATERIALS FOR THE WORKSHOP

The following reference papers serve as background to lectures presented in the workshop. The list of references is provided for participants who wish to pursue topics in more depth when they return to their home work station.


9. Howard Tankersley, "Some Thoughts About Federal Programs and Community Development, and About the Role of the CD Professional."


11. Donald K. Darnell, "On the Art of Herding."


13. List of Other Community Development References.

These reference materials are incorporated in this report on the following pages.
MANAGING THE DYNAMICS OF INTEGRATION
IN COMMUNITY DEVELOPMENT

by
Dale K. Pfau and Donald M. Sorensen

Paper presented at Society for Applied Anthropology
Annual Meeting, Merida, Yucatan, Mexico, April 8, 1978
MANAGING THE DYNAMICS OF INTEGRATION
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(Give a man a fish and you feed him for a day, help him
learn to fish and he can feed himself for a lifetime)

---Chinese Proverb Paraphrased

In an ongoing community educational effort spanning a period of more
than ten years, an ecological method of development for individuals, groups
and communities has emerged. Continuing tests of this method in addition
to those documented in Pfau's doctoral dissertation are based upon situa-
tions involved in rural development in the United States. Implications
for more universal application are inherent in the findings emerging from
this educational effort. The authors of this paper have conducted numerous
training sessions and workshops utilizing this method with domestic pro-
fessional change agents of public and private organizations having resources
for rural development in the United States. As a consequence of this
training experience, it is obvious the method has important implications
for the training of both United States and foreign professionals in appropi-
ate behaviors for effective work in developing countries. The United States

1Paper presented at the annual meetings of the Society for Applied
Anthropology, Merida (Yucatan), Mexico, April 8, 1978.

2Sedgwick County Extension Director and Professor of Economics/
Extension Specialist, Community Development, respectively, Colorado State
University.
professional working abroad in developmental activities often encounters severe difficulties when confronted with cultural, social and political systems different than those found at home. Their training experiences usually have done little to help them learn how to determine and understand the special meanings and perceptions embedded in a particular culture and its institutions. Likewise, training of foreign students in the United States may not provide the necessary elements to permit indigenous professionals to effectively relate acquired knowledge when returning to their native land. The ecological method, therefore, has significant implications for the training of both United States and indigenous professionals working in communities where they have responsibility for managing the dynamics of change activities. The utility of the ecological method described in this paper lies in its potential for the development of more effective behavior by indigenous professionals themselves -- "helping them learn to fish."

The genesis of this community educational effort grew out of attempts to help rural community individuals avoid shouting matches which continually disrupted their efforts to solve locally based developmental problems. Some of these situations included water drainage disputes, school consolidation problems, solid waste disposal planning and development of water use systems. The initial discovery revolved around documenting on paper the feelings, concerns and viewpoints of personally involved individuals. The repeated tests over several years represent an effort to determine, conceptualize and articulate why this seemingly simple activity was so effective when applied with individuals working on a common problem. This paper then represents our best effort, to date, to provide the rationale underlying the ecological method.
AN ECOLOGICAL APPROACH TO DEVELOPMENT

Presentations of some of the facets involved in the ecological method are displayed graphically through a set of illustrations. The first illustration (Figure 1) is used to point out that individuals see things from differing and often opposite perceptions. Thus, to some, the illustration reveals the face of an old woman while to others the picture of a young lady appears. The important idea is that different people see things from different perceptions and, further, that it is possible to shift from one perceptual view to the other. This phenomenon becomes useful for understanding the interface of two primary systems common to all individuals. The two systems are termed formal and informal in keeping with their basic nature.

A static view of the formal and informal systems and personal shift in responsibility related to these systems is illustrated in Figure 2. The two systems and an individual's role position and, therefore, individual responsibilities to the two systems is statically displayed. In the formal system, to the left hand side of the illustration, an individual is expected to conform more to formal dictates. Consequently, the system puts more responsibility upon individuals to demonstrate formal behaviors.

On the right hand side of the illustration is the informal system. An individual responds informally to his/her peers and others. The informal system is more accepting of an individual occupying lower role levels of formality when that individual acts more consistent with the informal system.

The two systems are mirror opposites having a different language and therefore differing "appropriate" behavior. Behavior in one system is, within degrees, inappropriate to the other. For example, when an individual
is applauded for performance in the formal system, it is considered an accolade or compliment while the same applause in the informal system is more of a put-down or disparaging gesture the greater the degree of informality in the setting. Calling someone a "dummmy" is intolerable in the formal system but is complimentary to each other informally. This figure represents a static view of the formal and informal systems and points out the differing individual responsibilities consistent with each system. Different language and different behavior bids are required to effectively interact in carrying out the responsibilities and expectations placed on individuals by society. However, this model being a static one cannot accommodate the dynamics of functional and structural change. To do so requires the introduction of a dynamic model.
Figure 3 represents a dynamic view of individual functional relationships to both the informal and formal systems. Dynamics of the opposite motion of the two systems is illustrated by the counter-clockwise direction of the inner circle and the clockwise direction of the outer circle functionally operating as a result of the natural clockwise movement of the individual. The individual is characterized by the small circle between the two larger ones. The individual is naturally structured to interact functionally with both systems. If the interaction is functioning smoothly, the individual is integrating effectively with both systems. Difficulty is encountered if an individual opts to hang too closely with one system or the other. If, for example, the individual opts for strong alliance with the formal system, this will tend to build up friction or communication breakdown between the individual and the informal system. Conversely, the person opting for disfunctional informal behavior creates friction between
himself and the formal system. In either case, an attempt to attach oneself too closely to one of the systems and ignore the other leads to friction and disintegration.

This dynamic model of relationships between the individual and the two systems cannot adequately display the complex behavior required for individuals to function integratively. Thus, a vectoral analysis chart is used to analyze and understand integrative human behavior.

The vertical-horizontal vector analysis chart of Figure 4 can be used to graphically display complex personal behavior involved in integrating the formal (vertical) and informal (horizontal) patterns through the vehicle of communication. The chart illustrates how integration of formal and informal patterns occur over time. Through the use of this chart, disfunctional and disintegrative behavior can be charted, more precisely defined and more completely understood. The professional role is seen as a catalytic one assisting in the functional interface of the cooperative and competitive patterns. The net result, the diagonal broken line, represents the integration of the two patterns which becomes observable as development.

Figure 5 is a picture displaying the vertical-horizontal vector analysis chart as analogous to a magnifying glass. It is presented as a tool for use in more clearly and precisely observing the complex human behaviors involved in personal, group and community development.

Figure 6 displays a progression of behavioral complexity resulting from disfunctional communication and the subsequent non-integration of the vertical and horizontal patterns. Disfunctional communication which compounds this complexity also directly leads to disintegration of previously achieved development. At the left side of Figure 6, an interaction is
C = Catalyst (earnestly seeking to understand precisely what another means and thus indirectly helping others to grasp the meaning.)

F = Facilitator (earnestly seeking to discover with people all the possible alternatives and thus helping people uncover new alternatives or information.)

R = Resource (earnestly sharing special information with people which they are seeking or offering to share that which one thinks will be of help.)

Neutrality = earnestly sharing one's information or resources with others without requiring them to use it in certain ways (tying strings).
Figure 6

A Problem

A cluster of related problems

An Event

A cluster of related events

An Interaction

A transfer of information between two people

illustrated as the integration of the two patterns through effective communication and sharing of information. An interaction also may lack effective communication resulting in missed meanings. The second component on Figure 6 represents an event which grows out of a series of attempted interactions, most of which are missed meanings. The third level, a problem situation, then emerges from a cluster of related events. Finally, as a cluster of problems accumulate, they create a social issue. The basis for resolving such issues is to reduce the complexity through reestablishment of effective
interaction among individuals and entities involved. While it is conceivable that many issues have become too complex to be resolved via the documenting method, it is also conceivable that had the method been used, the issue may not have developed to such disfunctional proportions.

Figure 7

Figure 7 displays the range of steps observed as behavior patterns existing between a competitive stance and a cooperative (developmental) stance between two entities. Interaction is illustrated by the arrow turning in to integrate with the lower circle. The two overlapping entities in the lower circle depict perceptual overlap or shared meaning
by the two. The arrow coming straight down (ACT) represents a decision, behavior or action which assumes shared meaning did occur. An invalid assumption at the point of action leads naturally to the next higher arrow which is a reaction unless interaction is reestablished. A reaction is a negative response to the other entity resulting from misinformation. An overreaction results from further and continuing distortion of information. Ultimately, if distortion persists, counteraction results wherein two entities counteract and behave to discredit each other's information. Competition represents total separation of the two entities.

**THE FUNCTION OF DOCUMENTATION**

Communication of personal meanings determines the nature of the inter-relationship between people. If meanings are not shared or they are misinterpreted (i.e., perceptual overlap does not occur), interaction is blocked leading to action, reaction, overreaction and counteraction by people as the level of miscommunication escalates. Conversely, effective interaction results from shared meanings which are carefully tested by each participant in an interactional relationship. Effective interactions (documenting meaning) requires each individual to reverse their perceptual field in order to gain the other's precise meaning. The extent to which meanings are shared determines the degree of perceptual overlap, hence, the resulting cooperative behavior of people. Documenting meanings by the professional contributes in two important ways to the ability of people to clarify and share meanings. It provides the necessary field reversal for the group until its members can begin to accomplish this for themselves (listen to what each other means) and at the same time, the professional is obtaining necessary
information ecologically from the setting. The functional aspects of the documentation process are the essence of the horizontal patterns. Perceptual overlap is the process that links entities (people) together. The development of the horizontal pattern between people is characterized by three overlapping processes which develop from the simple to the more complex (see Figure 8). Documentation serves to strengthen both the horizontal pattern and the vertical pattern simultaneously in that the documentation of feelings between individuals and the resulting perceptual overlap requires the development of word symbols or other structures. These structures strengthen the vertical pattern in that they are word symbols or other structural symbols which embody the meaning that is shared between the interacting individuals or entities. Thus, functional integrity of the two patterns leads to development and orderly change for people, groups and communities.
ASSISTING LOCAL COMMUNITIES IN THE UTILIZATION
OF INSTITUTIONAL RESOURCES

The documenting process (the ecological method) gleans the special situational information that professionals need to know to make available the most essential and specific institutional resources needed by the community. The ecological method presented in this paper is a highly refined approach for use by professionals to assist local communities assimilate and utilize the institutional resources of the society. Together the professional and the community arrive at a greater knowledge and understanding of the institutional resources needed and how these resources can be effectively utilized in the local situation. Thus, while the ecological method helps the natural community processes to function more effectively and comprehensively, it also reveals the resource needs of the community. In addition to both of these strengths, the method concurrently helps in the identification and marshalling of local community resources including local leadership capabilities.

CONCLUSION

In conclusion, it is urgent that professionals be specifically trained in the documenting process (ecological method) because apparently similar training at best results in getting down on paper what people say - not what they mean. Professionals are more inclined, due to their unique, highly specialized training, to interpret from their own perceptual framework rather than to document meanings from the perceptions of others. The approach presented in this paper leads the professional out of his paradigmatic
vocabulary (specific jargon) into a common language developed jointly with community people in a problem solving situation.

Another implication perhaps not immediately obvious from the above discussion is the use of the ecological method in administrative efforts in staff and program development for helping groups arrive at sound decisions. Specifically, agency use of the method (as the Ministry of Agriculture) would assist greatly in developing and revitalizing program efforts. Using the documenting approach in revitalizing a program is the most effective way to modify and channel program efforts for meeting the specific human needs of any locale.

Reference

PROFESSIONALLY MANAGING THE DYNAMICS
OF COMMUNITY DEVELOPMENT ACTIVITIES

Chapters IV and V
Unpublished Ph.D. Dissertation
Colorado State University, Fall 1977

Dale K. Pfau
IV. APPLICATION OF THE METHOD AND RESULTS

The initial case study which employed the documenting method and applied the theory discussed above was a problem of water drainage across Highway 138 just west of Julesburg, Colorado. This study is being reported for the purpose of illustrating the application and integration of theories related to bureaucracies, groups, leadership, communication and ecological methodology.

In the early spring of 1969 the State Highway Department began improvements in the nature of an additional overlay on Highway 138 where the highway passed through the town of Julesburg. This operation would in effect raise the existing highway from three-to four inches, which was expected to compound already existing water drainage problems. The drainage problems along this section of the highway had increased in complexity for some 25 or more years and had been compounded with ongoing improvements either of an agricultural or roadway improvement nature. Previous efforts by local citizens to solve this problem had failed to the point that each local storm of two or more inches of precipitation resulted in inundating crops, homes, and businesses as ponding water was unable to move effectively and efficiently to the South Platte River.

About this same time, the County of Sedgwick was becoming active in establishing and adopting planning procedures which allowed
for and supported local committees working on their own problems through drawing up their own plans.

The author approached the farmers west of Julesburg, informing them of the State Highway Department's current activity and the stage of development of the county planning efforts.

An attempt was made to persuade these people, whom the author had worked with on other projects, that, "Now was the time for something to be done." They in turn countered with the experience that each effort to arrive at a solution in earlier years wound up in a "shouting match" (each side trying to force the other to see it their way) and that they (the farmers) didn't care to go through it again.

The author, in turn, countered with the point that they had never had the opportunity to take the problem through the county planning process, which could give their views more credibility.

The farmers finally agreed to try one more time and suggested some others they felt were interested in the problem and might agree to serve on the committee. This group, when assembled, was formally appointed as a subcommittee to the Sedgwick County Planning Commission. At each meeting, being quite unaware of the intricacies of the problem itself and having been told that we needed something on paper to present to the State Highway Department when they agreed to meet, I tried as best I could to capture on paper what the members of the Committee were telling me about the problem.
Capturing the individual meaning of each individual's ideas on paper provided the method to develop an integrated reality (integrity) for the group. This effort was consistent with Bronfenbrenner's propositions relative to maintaining the ecological integrity of the setting, working on real rather than simulated problems, assessing each individual perception of the problem, and the requirements for reciprocity.

The document, which began with capturing individual assessments of the problem, changed at each meeting as individual meanings were captured more precisely or as new thoughts (data) were submitted and recorded. Following each meeting, copies of the documented results were mailed to each member for his reflection prior to the next meeting. This process can be viewed as a series of documents, each different in a developing sense as the amount of data about the problem increased and was tested. This specific process is necessary to provide for the propositions related to phenomenological analysis and validity (4 and 4a).

As this process continued and as the document grew, the Committee members began to express concern over not having the viewpoints of other affected groups, such as the City Council and the Board of County Commissioners included in the document. Meetings were arranged with these bodies individually and their concerns and viewpoints included in the developing document. This development
provided for the requirements set forth in the propositions related to dealing with the total functional social system (Proposition 7).

The cooperative aspects of this process continued throughout three meetings held with State Highway personnel at which they were presented with the document (it was read aloud for correction as at each preceding meeting), and their corrections or additions were solicited, checked, and included.

Documenting the inputs from farmers, city and county officials, and state officials was necessary in order to meet the requirements as specified in Propositions 8 and 9. These propositions relate to interactions within a subsystem and interactions among subsystems reflecting the total system affected by the research problem.

The resulting document, which in final form became a plan for action, as well as an agreement between the involved subsystems, and the ultimate completion of the plan, met the requirements for Proposition 11 (the organization of the elements of place, time, roles, and activities that define the requirements of a system in order to bring about planned positive changes). The final results in terms of task accomplishment were the completion of the project in six months (from the first meeting of the subcommittee to the completion of the 4' X 8' concrete waterway under Highway 138), a sense of real accomplishment on the part of the members of the Committee, and the realization by the State Highway Department that if all
field aside long enough to capture as accurately as possible the perceptual field of the presenter and to write it down). This activity is depicted as a shift from clockwise to counterclockwise behavior and back clockwise as he paraphrases back and provides the necessary conditions for a horizontal or cooperative shift in which all parties can work together to capture the special meaning being offered.

The information gained by the professional (documentor) was then used to make the appropriate "next step" decisions in an effort to help the group. This is depicted by the figure-eight (8) pattern. This process assisted group members to integrate information almost within the same moment of test of verification.

The interaction resulting from a continuation of this effort moved through a series of processes, each somewhat more complex in terms of the information being transmitted. These processes from the less to more complex are labeled the communicating, educating, and developing processes, as follows (Figure 4).

The integration of the formal and informal patterns in the case study allowed the individual persons and formal entities to assemble their resources to achieve a solution to the problem of water drainage. The result (the diagonal dotted line) is a more cooperative and mutually beneficial outcome than is the case in the more common competitive win-or-lose type of effort set up by conflict between the subsystems involved. During the professional activity of the
Figure 3. The Figure 8 and Field Reversal.
field aside long enough to capture as accurately as possible the perceptual field of the presenter and to write it down. This activity is depicted as a shift from clockwise to counterclockwise behavior and back clockwise as he paraphrases back and provides the necessary conditions for a horizontal or cooperative shift in which all parties can work together to capture the special meaning being offered.

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Figure 4. Horizontal Processes of Increasing Complexity.
documentor in documenting the meaning presented for group integration, the professional moved through a series of recurring but different sub-roles in which the shift from one to the next in a counterclockwise fashion was dictated by the developing needs of the group. The sub-roles are defined as the catalyst, the facilitator, and finally, the resource role at the completion of each cycle (Figure 5).
Figure 5. Sub-roles Consistent with Group Processes.
Catalyst
Facilitator
Resource
V. SUMMARY AND CONCLUSIONS

In summary, it is apparent that the literature reviewed under the topic of bureaucracy describes what so commonly happens in contemporary society. Charting or integrating this literature into the vertical-horizontal chart lets us see that the bureaucracies or government tend to become more vertically skewed (Figure 6, dotted line (A)), more inflexible, rigid, turned in, and maintenance-oriented and that their response to the needs of society (Figure 6, dotted line (B)) is subverted in favor of response to their own maintenance.

Increasingly, the frustrated bureaucratic effort follows the line A on Figure 6 rather than line B on Figure 6 and the maintenance needs of the system forces closure of the feedback mechanism C (Figure 7), which can no longer function to keep the system responsive to local needs. These efforts made by government as seen at the local level hampers rather than helps, creating added pressures back upon the bureaucracy in turn requiring even greater maintenance activity and compounding of the total problem. The theories of bureaucracy integrated into the vertical-horizontal chart describe what so frequently happens, but not how to alter the course of the events.

The theory of group processes and behavior, when integrated into the vertical-horizontal chart, describes the contrast between productive or cooperative groups in which members are working
Figure 6. Vertical Skew and Vertical-Horizontal Balance.

Figure 7. Feedback Mechanism.
together with those where members are competing with each other. The counterclockwise motion of the cooperative group is viewed as revolving at a faster pace than is possible in a group where individual members are competing with one another. The literature helps us understand the increased strength of the cooperative group and its increased productivity, but does not help us understand how a competitive group changes to a cooperative one.

The literature on leadership, when integrated into the vertical-horizontal chart, describes the actions of leaders and allows us to understand the way a democratic leader through the figure-eight pattern assembles information based on the needs of the group and utilizes that information to make sound decisions (Figure 8). It also helps us see why decisions, which failed to accomplish what was intended by not being field-based, retard group functions and are viewed as unsound by members, constituents, or others (Figure 9, line A). The leader theory does little to explain how the leader, professional or bureau gains the information necessary to formulate sound field-based decisions.

The literature on communication, when integrated into the vertical-horizontal chart, helps us see how important accurate information is to the effective function of a group; the fact that effective or ineffective communication strongly affects the quality of information transmitted and that communication has something to do with
Figure 8. Leader Field Reversal Supporting the Counterclockwise Group Processes.

Figure 9. Unsound Decisions and Vertical Spin Off.
competitive or cooperative attitudes. This literature also implies that "meaning" is an important part of effective communication. The literature is not as clear on how the quality of communication can be positively affected in a work group.

The integration of these theoretical perspectives into the chart, when viewed in terms of the documenting process, allows us to see how an effectively functioning unit or sub-unit accomplishes these tasks and gives us a frame of reference with which we can more adequately capitalize on the mutual benefits. The leader, professional, or documentor (Figure 10), having a vertical status position and who operates in a clockwise motion, reverses his field (B), that is, captures the perceptual field of others through a special listening process which gets at the actual meaning of the transmitters (significant field actors) (C) and incorporates these perceptual patterns with his own in making final decisions relative to direction. In the case of a task group in the field, the documentation incorporates these perceptions into a document which eventually becomes a plan for accomplishment of a task.

The integrating aspects of the documenting process thus allow us to integrate the respective theories into a more functional and comprehensive one which provides insights on how the processes can be tendered to insure more purposive and effective management of community development activities.
Figure 10. Integrating Aspects of the Documenting Method.
The conclusions of this study were that when a change agent operates in a counterclockwise manner with groups with which he works professionally, catalytically capturing on paper the specific meanings of the information presented by individual members, first paraphrasing what the member said and second by reading back what was written until the presenter agrees that the words written capture the special meaning he wishes to transmit to the group, then the agent did in fact: (1) aid the group in a precise analysis of any given problem; (2) refine and improve the communication skills of the group as well as his own skills; (3) aid in the development of the group and its members through the integration of both the vertical and horizontal processes; and (4) assist the group in accomplishing their objectives.

Throughout the case studies listed in Appendix I and from personal interactions with individuals and work with other small groups the documenting method was tested, refined and retested. Through trial and error and many discussions of the processes with interested participants and colleagues, other refinements and conclusions developed as follows:

(1) The method worked best where the members of the group with which it was being applied, were mutually interested in the same problem.
(2) The length of each session was set at one and one-half hours with no limit on the number of separate meetings that could be held.

(3) Recorded, tested statements, that is those statements by group members that were recorded on paper and carefully tested with that member for precise meaning, were no longer identified with the members name. Listing the name of each person who had made a specific statement appeared less productive than listing only the statements made.

(4) A copy of the recordings was mailed to each member the following day.

(5) The group was formally asked at the end of each meeting if they wanted to meet again and when they wanted to meet.

(6) As soon as it appeared that most of the points the members wanted to make were recorded, they were assembled in a narrative form which again was checked very carefully at each meeting and rewritten until the members of the group all agreed that the wording conveyed the meaning they intended.

(7) As the narrative developed, it was arranged in sections as follows:
(a) The background
(b) The problem
(c) Alternative solutions
(d) Appendices

(8) From the documented information used to develop the
four sections, efforts were made to extract and capture
the immediate, intermediate, and long range objectives
associated with the task at hand.

During the refinement of the method, several situations were
encountered where the use of the method appeared to be disruptive to
the groups, and the attempts by the documentor to clarify the mean-
ings of statements made by group members were interruptive or
tension-increasing rather than tension-reducing. After careful
analysis of these situations, it was found that the intervening variable
appeared to be the group status of the documentor relative to the
perceived group status of other members of the group. It was found
that if the documentor was other than the chairman of the group and
was perceived as a member of the group itself, (a peer of other
members) the documenting efforts were far less effective or helpful
to either group communication or task accomplishment. It was also
found that the spokesman or chairman of a group could assume the
documentor role with very productive results. The chairman could
assign the documentor status role to a person (ask them to document
the meeting) if the person asked to do so was not a bonafide (peer) member of that group. In the latter case, the group membership status blocked the documentor's role as mentioned before even though the formal assignment had been made.

In general, it was found that the method appeared less effective in groups that included some professional persons (doctors, lawyers, etc.) or in groups composed predominantly of professionals (Ph.D.'s, specialists, etc.). It is suspected that again status of the documentor plays a part. This suspicion is supported in part in one case observed in Wisconsin in 1976 where the State community resource development leader and the University Rural Sociologist (Curtis Geer, Jr. and Don Johnson respectively) demonstrated the method by documenting and checking the meanings of 50 or more professional field workers with the same effectiveness I had observed with county groups. The status of these individuals allowed them to easily use the method with professionals.

The documenting technique was also observed as less effective in groups where there were members who were specifically trying to "sell" an idea or solution and who were trying to manipulate the group into "buying" their idea (lack of a mutual interest). The technique disrupted that process and generally left those individuals very frustrated and upset; consequently, their efforts quickly became obvious to more and more members of the group. People who were
"tagged" in this manner were referred to as "wheeler dealers" by the other members of the group.
INTEGRATIVE LEADERSHIP IN COMMUNITY DEVELOPMENT

by

Donald M. Sorensen and Dale K. Pfau

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Introduction

There is a critical need for professionals working with groups in communities to demonstrate and thereby foster leadership which will help integrate the functional and structural dimensions of the American community. Currently, the lack of functional or integrative leadership is contributing to the loss of a sense of community and the inability of people to take collective action to provide for the effective integration of vitally needed goods and services. Professionals are becoming frustrated by the limited effectiveness of their attempts to provide expertise and other resource inputs to the community. In fact, their attempts often impede the development of individuals and groups with whom they work. This is so because they have come to assume they can solve problems for people. They have been lead to believe the way to solve problems is to first define them for the community, then provide solutions for community adoption. Encountering difficulty in making their inputs accessible for assimilation by the community, the professional often further compounds the problem by increasing the intensity of directive, formal inputs to the situation. This leadership style is consistent with the way professionals have been taught by observing the demonstration of others in leadership capacities through lectures, workshops, and

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2Associate Professor/Extension Specialist, Department of Economics and County Extension Director respectively, Colorado State University, Cooperative Extension Service.
meetings. From our perspective, this kind of leadership may well be termed the "rawhide concept of leadership"—you simply round them up and head them out.

The kind of leadership we find needed today is of quite a different orientation. Our experience has lead us to believe that leadership must be oriented toward facilitating the natural processes whereby individuals in groups and communities share meanings as a basis for developing trust and the necessary personal commitment for taking democratic social action. Essentially, people who own the problems must work out the solutions. Thus, we feel it is critical that the professional develop knowledge, skill, and commitment for initiating and demonstrating functional or integrative leadership that will help people meet their individual and collective needs. In this paper, we present a perspective on functional or integrative leadership. If understood and practiced by professionals, this style of leadership would free them to make their expertise more effectively available for use by the community and would free community people to capitalize on all available information.

This paper begins with a brief conceptual framework based on the communities' formal and informal patterns. An explanation of integrative leadership is provided within the context of these patterns. We then examine the disintegrative or disfunctional nature of other more traditional leadership styles. We conclude with suggestions for professionals wanting to be more effective in their work with individuals, groups, and communities.

**Horizontal and Vertical Patterns**

The concept of leadership demonstrated through the Western Regional Workshop on Individual and Community Development and presented in this paper is intimately interrelated with the patterns of social relationships expressed initially by Warren as horizontal and vertical and by Tonnies
as Gemeinshaft and Gesellshaft. That is, the horizontal (Gemeinshaft) patterns are those of an informal nature and relate to concepts of sharing, listening, cooperating, and other functional behavior. The vertical (Gesellshaft) patterns are of a formal nature and are consistent with concepts of directing, deciding, talking, competing, and other structural behavior. Except as these two patterns are integrated in a functional sense, development cannot take place. That the patterns are integrated functionally means that structural or formal order grows out of and is continually modified by the functional or informal patterns. The adequate integration of the formal and informal patterns results in democratic development and manageable change.

**Integrative Leadership**

For the horizontal and vertical patterns to become functionally integrated means that the professional must be able to choose the perspective from which to initiate interaction. Being a part of the formal or structural order of the society provides the professional a choice in where to begin. The professional can choose either to support the formal patterns by making direct inputs into the situation or can choose to support the informal patterns by listening first to what others in the group are saying and carefully checking their precise meanings. The effective professional is the one who chooses to begin by listening carefully and documenting precisely the meanings of individuals within the group. He, therefore, insures that the essence of the meanings being offered by his clientele are being caught. By doing so, he gains first hand insights into the precise nature of the problem owned by his clientele and the resources needed to solve the problem. The effective assimilation of the professional's formal input depends directly upon the quality of listening he demonstrates first in attempting to gain the meanings being offered by those with whom he is working.
Beginning from this listening perspective, the professional occupies the first of three interrelated and overlapping roles. This initial role is defined as that of catalyst. The catalyst role together with the facilitator and resource roles are illustrated graphically in relation to the vertical (formal) and horizontal (informal) patterns defined in the previous section.

The first role is termed the catalyst role, catalyst meaning that something which has a critical part in the formulation of something else without becoming an integral part of what is developed. The catalyst role, representing a shift to a neutral position between the formal and informal patterns allows the professional to serve as documentor in helping group members share what each other means without allowing his own meaning to become a part of the process at that time. By documenting, the professional is earnestly seeking to understand precisely what another means and through his efforts to paraphrase back what it is he understood, others are helped to grasp the meanings being offered. In the catalyst role, therefore, the professional is laying aside temporarily his formal technical expertise and at the same time remaining
as non-judgemental as possible with regard to the perspectives offered by those with whom he is working. This relatively neutral stance with regard to formal and informal dimensions allows the professional to focus on the task of helping capture the meanings of another and to clarify those meanings so that the group begins developing a common intellectual and emotional base for cooperating to assimilate available information and develop the structure for initiating collective social action.

The second role is that of facilitator. The catalyst role gradually gives way when appropriate to the facilitator role as the professional begins helping the group search for other dimensions of the problem at hand. The shift occurs as the professional steps out of the neutral role of documentor and offers a suggested alternative or source of information for exploration by the group. It is a quasi-resource role, but is primarily informal since it is non-directive in intent; i.e., the professional is facilitating group choice and direction. He is neither "selling" any one alternative nor favoring the selection of a particular choice.

If the documentor's suggestions or questions lead to specific information inputs or the alternative he offered is included in group deliberations, even without his necessary recognition of it, he shifts or is shifted by the group into the resource role. In the resource role, the professional provides or otherwise makes available to the group a specifically identified and needed resource input. Once this input is provided, the wise professional shifts quickly back into the catalyst role to help the group in discussion and integration of the resource input he has just made. Thus, the more precise and, therefore, significant the professional's resource input, the shorter time spent in the resource role and the sooner the cycle repeats itself.
Thus, functional leadership involves the ability to shift among three closely interrelated professional roles. Consistent with the roles illustrated on the above diagram, the shift between roles occurs in a counterclockwise direction. First, the professional shifts from the resource to the catalyst, then to the facilitator, and back to the resource role. The ability and sensitivity to make these role shifts is critical to the assimilation of the professional's expertise by the community and to the successful integration of resources available within the community.

The Nature of Disfunctional Leadership

Since the professional comes from the vertical or formal perspective, he may choose to begin working with people by attempting to make his inputs before listening precisely to learn of the group's concern, thus, he begins a clockwise direction by staying in the resource role. This behavior is consistent with the way the professional has been taught through example in demonstrations of leadership. Through his professional training, he has been lead to believe that he has the essential problems identified and, therefore, the needed expertise for solving the problem for people. This reliance on the expert to solve problems is reinforced by the professional's own tendency to seek out other professionals to solve his legal, marital, financial, and related personal problems. Going back further, the professor is sometimes seen as solving the students' problems. The professional tends to see his responsibility as the giving of information to people which will solve their problem. When the professional makes input into the situation without first checking carefully the precise meanings of others, he is not sharing meanings with them—he is giving them his alone. He is telling them what to do to solve the problem. Thus, he teaches how to solve other peoples problems, not how to solve their own problems. When a lack of productivity is perceived in the professional's effort, he becomes increasingly frustrated.
As his frustration grows and begins to surface, it adds to the tension and frustration within the group because he has not listened to their meanings initially. In order to get something going, the professional increases the intensity and frequency of his directive and formal inputs and may make attempts to influence or intimidate which only intensifies the existing frustration. If this condition persists and the professional cannot back away from the trap he is in, then the breakdown of communication reaches a point where productivity stops and the group disintegrates. The type of leadership displayed by the professional who knowingly or unknowingly must stay within his formal resource role is defined as authoritarian. Authoritarian leadership reflects a professional perspective that suggests people in the community are unknowledgeable and incapable of worthwhile endeavor and productive accomplishment. Alternatively, this type of leadership reflects the professional attitude that he has the knowledge and ability to solve people's problems. Authoritarian leadership, therefore, does not provide healthy development of either horizontal or vertical patterns. Consequently, integration does not take place and individual and group development is impeded or denied.

At the other extreme we find the frustrated professional who through time has found the expertise he offers from the vertical or formal perspective to be ineffective in fostering individual and community development. He eventually becomes afraid to or is apathetic about offering his expertise to the group at the time it is needed. This type of leadership can be termed laisse-faire since the professional abdicates his responsibility to make input which can help the group develop and become more effective in the development of community. Laisse-faire leadership denies both the professional and the group the opportunity to experience emotional and intellectual development. Integration of functional and structural patterns does not occur as
rapidly where available guidance and direction is not offered to the group.

Consequently, neither the authoritarian nor the laisse-faire types of leadership can effectively result in long-run development for individuals, groups, or communities. Again, functional leadership which is predicated upon the counter clockwise shift through the roles of catalyst, facilitator, and resource provides the professional the opportunity to begin from a fresh perspective and thereby enhance his effectiveness in fostering community integration.

Conclusions

Given the formal or vertical orientation of our disciplinary and life long training, it is not surprising that we, the professionals, are continuously tempted from our internalized models to be directive and trapped into being authoritarian in our approach. The challenge, then, is to effectively withstand the temptation to prematurely make our input. To yield to this temptation means we preclude others from getting involved and our resource inputs therefore becomes disfunctional to the development of individuals, groups, and communities. In essence, we deny individuals the excitement of discovery in the problem solving process. Rather than offer direct answers, the professional can wisely choose to be more indirect by first checking the meanings offered by members of the group so that his resource inputs precisely meet clearly articulated and understood needs. Functional leadership means that the professional roles are viewed as, moving in a counter clockwise direction from resource to catalyst to facilitator, then back to resource. In this way, a structure is demonstrated which encourages the discussion of individual and group needs wherein the professional or others can raise facilitative questions and explore together the problem situation.
The foundation for functional leadership is the documentation process. We have found that the documentation process is effective in helping individuals clarify their meanings and in helping others share those meanings. By writing down on a note pad his version of what the documentor thought the person meant, then reading this back to check it with the person, the professional is able to check for precise meanings. If the person acknowledges that his meanings have been captured by the documentor, then the group moves ahead. If further clarification is offered by the individual seeking to have his meaning heard, the correction can be made until precise meanings are reflected in the document. The document, through continual rewrite, eventually becomes an evolving structure which articulates the problems, alternative solutions, and courses of action. Thus, by capturing on paper the meanings people offer in groups in attempting to analyze and solve problems, the professional is helping the group pull together all the relevant information and resources present among them. Being able to shift to the facilitator and resource roles where appropriate, then back to the catalyst, the professional's own resource inputs become effectively integrated into the developing structure for problem solving and decision making.

The professional who develops the knowledge, skill, and commitment to demonstrate and foster functional and integrative leadership will experience personal and professional development along with those with whom he works. He will not only experience personal and professional development with them, but will experience the richness of personal discovery. As a result, everyone experiences increased ability to integrate knowledge in action, leading to individual and group development. In the process, the professional helps bring about manageable change through democratic social action as well as benefiting personally.
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ORGANIZATIONAL AND INSTITUTIONAL ASPECTS OF COMMUNITY:
SOME CONCEPTUAL PERSPECTIVES

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Donald M. Sorensen and L. M. Hartman
Organizational and Institutional Aspects of Community: Some Conceptual Perspectives

Donald M. Sorensen and L. M. Hartman

The hope that the pursuit of goodness and virtue can be postponed until we have attained universal prosperity and that by the single-minded pursuit of wealth, without bothering our heads about spiritual and moral questions, we could establish peace on earth, is an unrealistic, unscientific, and irrational hope. The exclusion of wisdom from economics, science, and technology was something which we could perhaps get away with for a little while, as long as we were relatively unsuccessful; but now that we have become very successful, the problem of spiritual and moral truth moves into the central position.

E. F. Schumacher (p. 30)

There is a need for social science researchers and community development practitioners to focus on the fundamental problem of the loss of a sense of community in American life (sense of community is defined as the existence of shared meaning and trust among individuals). We see the problems of environmental quality, provision of public services, and concerns about other factors considered to be in the rubric of quality of life as symptomatic of this fundamental breakdown in community. The erosion of community is being accompanied by increasing attempts to maintain or strengthen organizational-institutional structures. We see these attempts as furthering the destruction of community. Rather than serving community-determined needs, professionals often unwittingly further community breakdown by serving institutional and organizational interests that impinge upon the freedom and dignity of human beings. This paper suggests that a more responsible involvement by the professional can help reverse the trend toward structural decay.

The first part of the paper develops a brief conceptual framework for an analysis of the community development situation. The second part elaborates the insights from this framework in an analytic, descriptive, and illustrative way. We conclude with some recommendations for university people derived from the analysis.

A Conceptual Statement

The conceptual framework is based on an empirically testable proposition: the basis for democratic social action is through shared meaning. Shared meanings are the essence of what is meant when one speaks of the cultural tradition. The continuing development of shared meanings is the dynamic of human evolution. Weber, in his classic Theory of Social and Economic Organization, develops a conceptual framework for the analysis of social organization premised on the concept of verstehen, or intersubjective understanding. The possibility of communicating presumes that the communicators start with some level of shared meaning; otherwise, communication is impossible. The only alternative to shared meanings for the existence of human order is force and behavioral conditioning. Historical evidence indicates that use of force to maintain order is a very unstable state.

Fromm in his book Escape From Freedom views modern societies as moving toward authoritarianism and force as sharing of meaning deteriorates among members of those societies. The concept of freedom is inextricably interrelated with the concept of shared meaning. Like freedom, meanings cannot be imposed upon an individual but must grow out of his own experience. Individuals must be free to make choices so that experience leads to the development of subjective meaning. The possibility of freedom implies trust among individuals who are significant and important to each other, and trust implies shared mean-

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meaning. This leads us to the concept of community. The sense of community is defined by the existence of shared meanings and trust between individuals. As we have developed the argument, the sense of community is basic to the possibility of freedom and democratic action. Conversely, the sense of community is developed by freedom and democratic action and is synonymous with the concepts of trust and shared meanings.

Interpreting the current state of affairs in terms of the above propositions, one observes that the sense of community in rural America is being destroyed by centralized organizational structures. Economic, governmental, educational, and other centralized organizations are extending into the local community and are taking over the local functional action prerogative. This structural phenomenon evolves in a dominant framework of meaning focused on efficiency and utilitarian ends. This framework of meaning is internal to organizational structure (i.e., it meets organizational needs) and is not developed in a sharing relationship with the organizations’ clientele. The evolution of centralized organizational structure is analyzed below in terms of concepts derived from our empirically testable proposition. According to Weber’s conceptual scheme, a structural order develops out of common agreement upon desired ends and the apparent means to achieve the end; that is, effective structural order evolves out of human interaction in which people share meanings. This formal, structural, or vertical (we use the terms interchangeably) order is legitimized by the value agreement based in community. One must assume that our modern organization-institutional system evolved out of communities where some degree of agreement on ends and means existed. These formal structures have now taken over and are destroying community because the community has lost control over them. What was the historical nature of this process? Sufficient for the analysis here is the assertion that the agreed-upon ends of a techno-economic nature resulted in an urban-industrial society where communication and sharing of meaning broke down. Bell’s new book, The Cultural Contradictions of Capitalism, contains an excellent treatment of this phenomenon. In the twentieth century, rural America is losing community. As communication and sharing of meanings break down, means become ends within the formal structure. When the sense of meanings associated with the ends are lost, then mere expediency becomes the rule for action. In the process, efficiency, rationality, etc., become the ends for the organization, and communication is closed in to the organization itself. Serving the needs of its clientele or the community is of secondary importance. When one says the system has taken over, what is implied is that the internal order of the organization or institution provides its own justification, and for individuals to survive, they must conform to that order.

Conforming to an order, i.e., an imposed set of arbitrary rules and criteria for action, precludes the individual from developing shared meanings, which is one meaning of alienation. Alienation occurs when people are unable to share in determining what the rules are going to be. The individual must repress his own feelings simply to conform, and he is thus shut off from development of his own sense of value and meaning. Destructive and competitive self-interest or apathy and cynicism are the inevitable result, as Fromm and other humanistic-existential psychologists have so clearly reported. Developing community implies revitalizing the communication process within people who are alienated, i.e., those who are suffering from repressed feelings that result in apathetic or cynical attitudes and characterized by “dropping out” or by destructive and competitive behaviors. Communication processes involve both shared meanings and trust. The development of this process is not spontaneous, as the analysis above would indicate, but must be brought about by self-conscious leadership. Therefore, development of effective communication requires a “third party” where alienation has occurred.

Some Historical and Systematic Processes in the Loss of Community

Man’s adaptation to his environment has been and is a process of community development. Throughout this process, man has created institutions and organizations in response to mutually shared human needs. The structural order in our early towns and villages was based on functional needs of the community as determined by local people and therefore had legitimacy and purpose. Essentially, control, ownership, and operation of these institutions were at the local level. There was a real sense
of community integration as functional needs provided the basis for structural development. This integration of functional (i.e., the face-to-face exploration and sharing of meaning) and structural (i.e., action according to agreed-upon or traditional meanings) dimensions gave people a sense of identity within the local community and, having found meaning in their life relationships, afforded legitimacy to local institutions. Implicit in the above is the belief that people in local community had a sense of shared destiny in addition to their identification with the larger society.

The consensually determined goal of economic development provided overall societal organization, but continued pursuit of that goal and the tremendous growth of organizations born of it has resulted in systematization and has brought about profound changes in the nature of the relationship between the structural order and the local community in America. Through time, a highly complex private economic and public support system has evolved in which concentration of capital, centralization of decision making, specialization of labor, and bureaucratization of organization are the predominant features. Carried to its logical conclusion, pursuit of economic efficiency means that increased control and predictability of events is essential. This means concentration of decision making and control of as many variables as possible, thus creating power to reduce uncertainty. Pursuit of these rational, calculating ends means that institutions and organizations have become self-enclosed social systems with internal criteria for measuring performance. No longer is primary attention given to determining the needs of people or to measuring the effectiveness in meeting these needs. Rather, pursuit of their own organizational self-interest means that primary attention is given to internal efficiency and control. Internal efficiency means the organization must be able to influence or even determine demand to minimize risk and uncertainty. Controlling both production and demand assures the maximization of profits.

The problems at the local community level become almost impossible to resolve as business, government, religious, and other institutions/organizations become systematized and operate solely from a narrow self-interest perspective. In pursuit of self-interest, competition rather than cooperative endeavor becomes the dominant reality. Problems are identified in self-interest terms, and conflict ensues as, for example, one group feels a new sewer system is needed and another feels a new library would be the best use of public resources. The problem is resolved through the exercise of power by the dominant interest group with little concern for the impact of their action on other interests. The community is torn apart, and no one experiences full satisfaction with the result.

If the various interest groups of the community could turn outward in an open sense of sharing with others in the discovery and exploration of feelings, then community priorities that people feel good about could be worked out because they become a cooperating part of, not competitive to, community action. This kind of interpersonal communication has largely broken down in local communities. As a result meaningful sharing of meanings stops, resulting in alienation, loss of freedom, and the capacity to act. Unfortunately, government bureaucracies with their "top down" designed programs and professionals with their narrow specialized disciplinary expertise further exacerbate the problem by serving special interest groups in or outside the community without first determining what it is the community really needs.

Conclusions

If the above assessment represents an accurate description of the contemporary scene, then we are confronted with a desperate need for renewing the communicating process so that shared meanings again provide the basis for determining human values. Somehow leadership must function so as to help people begin to share meanings and thus to establish their own control over their lives.

Many concerned social scientists, community development practitioners, and other professionals want earnestly to be more effective in helping to bring about human and community development in America. Unfortunately, the only model they know to attempt this is the one demonstrated to them through the highly structured and formal training programs that provided their professional credentials. They have been taught to believe that they can define people's problems for them, tell people the appropriate solutions, and thereby solve problems for people. Thus, the professional, based on the only meaning he has, develops programs that he thinks the community needs. He becomes perplexed when his expertise
fails to become assimilated by the community. The professional finds the institution/organization that he serves unable to respond to the leadership challenge. Certainly the church could be suggested as a source of this vitally needed leadership, yet organized modern religion has itself tended to become systematized with emphasis on religious form. Having abdicated its mission to help people find and share meanings for their lives, the modern church has lost its position of developmental leadership for modern man. So long as the universities, social scientists, and community development practitioners continue to maintain primarily an associational and disciplinary orientation, our involvement in community is likely to further the alienation process rather than foster integrating forces. Again, this is so because we force our cognitive framework for analysis and action upon community people.

As noted above, the social scientist or community development practitioner already has his own preconceived way of viewing the world from the perspective of his own discipline and has decided what he can do for people before arriving in the community. Values are not something he has been taught to be concerned with because they are determined externally from his discipline. Therefore, the expertise he brings is an abstracted body of specialized knowledge he knows the people need. It is considered unnecessary and, in fact, bothersome to try to relate to people in a sharing, uncertain relationship in which both community people and the professional work out their meanings and establish need priorities. When people are unresponsive or openly hostile to outside intervention by professionals, the social scientist or the community development practitioner naively attaches such terms as aesthetic, rural radicalism, provincialism, or stupidity to these reactions. However, the professional’s lack of sensitivity is a result of his formal training and the expectations placed upon him. Therefore, he has not discovered how to free himself from the formal or vertical perspective that leaves him trapped and unable to make his expertise available for assimilation by the community. By remaining unresponsive, people in community are attempting only to protect themselves from further alienating forces represented by the professional. The professional often is not sufficiently integrated himself to feel secure in letting the problems of the community determine his participation and insists on staying securely within his formal professional role. Moreover, he expects people to relate to him at his level of cognition, which itself is alienating and grossly inadequate to addressing the fundamental needs of the community.

The professional who develops the knowledge, skill, and commitment necessary to human development can choose to initiate functional leadership necessary for helping people share meanings in an open atmosphere where values and cognitions evolve through mutual effort. The professional can begin by helping people communicate effectively so that their meanings are heard and shared by other members of the community. Individuals have to relate effectively in order to share, they must share in order to develop and know their own feelings, their feelings must provide the basis for human values, and they must have a sense of values that provides a basis for action and a fully integrating and functioning personality.

We suggest beginning by facilitating the sharing of meanings, including our own, in a mutual effort to establish structures for serving human ends. This means establishing a new methodology that transcends the traditional quantitative, technical and non-evaluative content of our relationship with people in community as the primary focus. This does not mean that the current structural order is of no use; it means that a more horizontal approach in which community people and organizational representatives and academic persons are mutually open to each other can lead to a reification of human relationships and to an enhanced organizational-institutional responsiveness for fostering development of creative human potential.

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DECISION MAKING IN COMMUNITY GROUPS

Discussion Developed for Presentation

at the

Rural Development Workshop

Franciscan Renewal Center

Scottsdale, Arizona

December 5-9, 1977

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Introduction - There are about as many studies of decisionmaking as there are decisionmakers. This being the case the development of this paper must proceed with, both an understanding of what went before and a certain sense of humility and humor.

In keeping with this spirit there appears at the end of this paper a brief, and I suggest useful bibliography of other efforts to examine decisionmaking. Additionally allow me to preface this paper by noting that the content of these pages is based on my relatively few years of observation and involvement in such decisionmaking.

Finally to put the paper in its proper perspective it should be noted that my views have been developed more often through the observation of and involvement in failure than in successful decisionmaking exercises.

Situation - Decisionmaking at its best is a structured examination of a situation taking into account all variables, investigating the various options available, and directing the allocation of resources in support of an approach which will optimize their utility in the achievement of a preordained objective. Despite the validity of that statement it contains two major flaws.

1. Few people are able to or care to understand what it says.
2. The conditions required to implement it seldom exist.

The second flaw is the more serious of the two and deserves some consideration. Decisions depend on the conditions which exist during the process by which the decision is reached. Conditions usually present include:

1. Public decisions tend to produce rather than be guided by goals.
2. The information necessary for the decision is often incomplete.
3. There is no agreed upon process for reaching such decisions.
4. All the necessary or right people are seldom involved - the necessary or right people include their effect by the decision as well as those who support the decisions if it is to be implemented.

(Bob Child - President of Central Development Associates, Carbondale Illinois, I think states this dilemma best in paraphrasing a former Illinois resident. Bob states, "All the people need to involved some of the time, some of the people need to be involved all the time, but all the people do not need to be involved all the time.")

5. Decisionmaking is made difficult as often by an overload of information as by a lack of information.
Note - DATA is not necessarily INFORMATION

6. Good decisions poorly presented appear to be poor decisions.

7. Value systems are often more important than facts as factors affecting decisions.

8. Often the more comprehensive we make the decision the more incremental it becomes since our sensitivity to both anticipated and unanticipated impacts is dulled by the false security that the decision was comprehensive.

An Approach - Given all this it might be easy to conclude that most decisions are poorly made and the more effort we put into a decision-making process the more certain is its failure. That is not necessarily the case. One of the main reasons that many decisions and the processes we use to reach them succeed is that most decisions are based on a system approach format although it is seldom identified as such.

The following components are involved in most decisions:

Goals - Without becoming bogged down in symantics, let me define goal as some thing or a condition we hope to achieve via the allocation of some form of resource. In short, goals are a statement in conceptional terms of what we are willing to give up in order to gain or achieve what we wish. For purposes of this paper, the term goal and objective are synonymous although that is not always the case.

Problems - This in the content of a community or public decision could be called an issue, or a situation. Whatever term is used, it describes a condition which some members of the community wish to eliminate, preserve, or modify through the allocation, withdrawal, or withholding of resources.

Resources - Most easily defined as something which is available and which may be allocated toward some end. In the economist's terms resources are land, labor, or capital in the broadest sense of the term.

Analysis - The separation of a thing, idea, etc. into its parts so as to find out their nature, proportion, function, and interrelationship.

Synthesis - To bring together the various parts or elements so as to form a whole.

Decision - A judgement reached or given.

Design - To plan a scheme in a skillful way.

Presentation - To offer for consideration.
Implementation - To carry into effect.

These components are often sited in discussions of decision making with evaluation added at one or more points in the process. Graphically these components are most often depicted in two ways:

A. Linear pathway

Goal
↓
Problem
↓
Resource
↓
Analysis
↓
Synthesis
↓
Decision
↓
Design
↓
Presentation
↓
Implementation
↓
Evaluation

or as a

B. Circular pathway

Goal

Problem

Evaluation

Implementation

Presentation

Design

Decision

Synthesis

Analysis

Resource
Many of you have seen or used these models in program planning and plan of work exercises.

Because of the condition under which most public decisions occur, neither the linear nor the circular approach is adequate since much is taken into account served of the usually existent conditions. I would suggest an organization of the components as follows:

This suggests that:

1. The process might begin from a point of goal, problem, or as it often does from resources.

2. Consideration and analysis of each component impacts upon and modifies the others.

3. The process may require re-examinations of each component before suitable sets of goals, problems, and resources are identified and isolated.

This process, undertaken a number of times, produces a series of options and the process then continues in this manner.
Given this construct, the problems posed by the conditions under which most public decisions are reached, are considered and the opportunity to eliminate or substantially reduce their negative impact is present.

**Thoughts on the model and its application:**

The model presented is like all models an abstraction of, rather than a mirror image of reality. As such it is most appropriately utilized as a mental reference and guide rather than as a blueprint to be delinently pursued.

In making use of this reference it is important to correctly identify where you, your agency, or the groups with whom you are working are in, in the decision-making process.

One of the most common mistakes made by community groups and individuals in this regard concerns public hearings. Many attend and speak at public hearings under the impression that they are making input at the goal-problem-resource-analysis stage when in reality most public hearings are held at the design-presentation stage of the process.

Other cautions include the fault of using the process to support a decision already made. Each of us has made this mistake from time to time, that is having already made a decision and undergoing this type of process to merely support one’s wisdom.

Realize that given the right inputs even this model will not protect you from reaching your answer, right or wrong. If you've already made a decision or if the agency or group with whom you are working has their mind made up or is employing a value system that can produce only one answer, save both effort and time - get on with it.
If the decision is a good one this will not waste time; if the decision is not a good one, this process won't save you. In other words, the model, (via proper manipulation) will only serve to support your or their decision however right or wrong it may be. Finally this process will not resolve conflict but properly employed, it should serve to focus that conflict toward and around relevant points.

Summary - Most agencies, groups and individuals employ some form of systematic approach to decisionmaking. Many of these approaches encounter difficulty because they fail to consider the conditions under which these decisions are made.

This paper has attempted to:

1. Outline conditions which are often present and which effect the decisionmaking process concerning public issues.

2. Suggests a generalized model of decisionmaking that considers these conditions.

3. Provides a brief discussion of the model's limitations.
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WORKING WITH INSTITUTIONS

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I. Introduction

The term institution is one of those words for which each of us has a somewhat different meaning. Since this is the case, it is necessary to begin by defining the term in the context in which I will use it during the balance of the paper.

I define institutions as groupings of people and resources to do things which are usually not possible when attempted by individuals. Such a general definition of the term allows its use for any grouping of people, from the small institutions, such as families to the very large institutions, such as the federal government. For purposes of classification, we generally divide institutions into three categories, public, quasi public, and private. Additionally, it is important to realize that institutions exist at all levels. For simplicity we will look at three levels, local, state, and national.

Institutions are created and exist for a purpose. Among these purposes, we include: planning, regulation; promotion/production, education; technical assistance/service, finance.

Like it or not, all institutions have biases that lie along one or more of our three major value systems, those being: economic, social, and environmental.

Therefore on any given rural development issue, we have an interaction among institutions within the various sectors and at the
various levels, having one or more of the six purposes defined and operating within the framework of one of the three major value systems. Diagram 1 attempts to illustrate this complexity.

What results is obviously a very complicated and often confusing set of interrelationships. Although this poses several problems, what can be worse is an issue or need in which no institutions are involved, particularly if that issue or need is one with which you happen to be concerned. What I would like to discuss is how to work with institutions particularly in terms of gaining their involvement in an issue, and in managing the involvement of one or more institutions toward a productive end.

II. The Nature and Role of Institutions
We have already mentioned that institutions are:
1. Creations of society,
2. They exist for one or more of the purposes we have defined,
3. They are composed of people and resources,
4. They exist in all sectors of society and at all levels.

A. Institutions are Creations of Society
Because institutions are created by and composed of people, I feel they tend to exhibit people like characteristics.
1. They are mortal, they are born, they grow into adulthood, they become senile, and they die, but at any stage they usually have the will to survive.
2. They also tend to have personalities. The larger and more complex the institution becomes, the more personalities it may exhibit at any given point in time.
3. Like people, institutions interact with society and develop supporters and detractors - friends and enemies, if you will.
4. This occurs because like people, institutions have beliefs and values under which they operate.
5. Most important, institutions are people who believe in and are proud of what they do.

B. Institutions exist for one or more purposes.
   1. These purposes are usually defined in the context of one of the six areas already mentioned.
   2. These purposes are subject to redefinition and change in the long run, but are usually very static in the short run.
   3. The structure of the institution is based on the institutions purpose, eg, regulatory institutions such as those that exist in government, are usually formal and often vertical - a chain of command exists within the institution. Other institutions particularly smaller and new institutions tend to be horizontal and rather informal with decision making decentralized.
   4. Because institutions have a defined purpose, they tend to suffer from a sort of institutionalized tunnel vision, ie., they look at and define problems in the context of their ability to solve them. An example of such tunnel vision, would be when I in working with Extension, look at problem in a rural area and automatically begin thinking about the education and technical assistance programs which we could provide to enhance that community's ability to develop. Someone from Farmers Home Administration in looking at the same community, would see ways in which the financial resources of his or her institution could be brought to bear upon that community's problem. Although both of our services might be of assistance, neither of us maybe looking at the most centrally critical problem of the community, particularly if the problem is not one to which our institution can relate.
   5. Rewards in institutions are based on achieving the stated objectives. Again, my performance in Extension is based
on the number and quality of educational programs that I
develop and implement, likewise those working with Farmers
Home Administration are evaluated on their ability to
develop and successfully administer loans and grants.

C. Institutions are composed of people and resources. It has
been my experience that the type of people and the nature of
the resources in any given institution are determined by the
institutions purpose and its past successes in achieving those
purposes. Institutions successfully achieving their purposes
tend to garner an increased quantity of resources and are able
to improve the capability of their personnel. Institutions
having less success over the time tend to suffer a shrinking
resource base and decline in quality of personnel. Again
institutions are people.

D. Institutions exist in all sectors and at all levels. As a
result, there will be institutions of similar purpose at
difference levels and sectors and at the same levels and
sectors producing competitive situations. We generally think
of this competitive situation as fostering improved services
for those people served by the institutions. For instance,
persons living in communities having several banks and savings
institutions, have access to a wider variety of financial
services than persons living in a community with only one bank
or savings and loan association.

In summary, in dealing with institutions it is important to keep in
mind that institutions are creations of society, that they exist
for one or more purposes. They are composed of people and resources,
and they exist in all sectors and at all levels in society.
III. Contacting Institutions

Prior to contacting any institution in an effort to gain their involvement on an issue, it is essential to know what you want, what type of assistance you seek and how much you are willing to compromise in order to get it. Once you have settled these questions, and if no institutions are already involved, it is time to go institution hunting. Institutions as we have mentioned are classified in three ways according to purpose, according to sector, and according to level, local, state or national. If we were to create a matrix similar to that shown in Diagram 2, and were to classify available institutions in those compartments where we have interest, we would be able to identify one or more institutions that could probably be of assistance. Once the proper institution has been identified, the process of getting the institution involved begins.

NOTE: If you are having difficulty identifying an institution, you may require the services of an informational, educational, or service type of institution to help you track down the type of assistance you are seeking.

Such institutions existing in your community or county include libraries, colleges, Cooperative Extension, and a variety of church, service, and public institutions involved in providing these services.

From my experience, success in getting an institution involved is dependent upon:

1. **Common interest** - making sure that you and the institution in question have a similar interest and goal. That is if you were looking for financial assistance to initiate a health care center, make sure the institution you are contacting is interested in providing finances for the development of such centers.
2. **Chance of Success** - Institutions, particularly successful ones, got that way by succeeding. It is important that you are able to show that with their involvement, your project has a very good chance of success.

These are the two most important criteria that I use but there are several other critical considerations.

1. Know the programs of the institution in question and how they operate. The more about an institution’s programs you know the easier it is to discuss common interest with persons in that institution.

2. Know the appropriate level to make contact. In deciding this two things are necessary to understand and both deal with structure.

   a. Is the structure formal or informal? An institution with a formal structure will have a well defined series of access points and decision making levels. A study of their organizational chart will provide valuable information on how to make contact. Conversely, those institutions which are informally organized, will require additional investigation before appropriate contact persons are identified. In other words, find out who is making the decisions about the allocation of resources and how you get to them.

   b. Is the institution's structure vertical, i.e., a chain of command, or horizontal, i.e., decentralized decision making. In the vertical organization, the strategy is to make contact as high up the decision making ladder as possible. In the horizontal type of institutional structure, access can generally be made at a variety of points, all affording equal opportunity of success.
3. Know the institution well enough to assure that your effort is at their scale. In terms of money, if your project needs $1,000 a major foundation would probably not consider a request that small. For a local community club, a request for this amount of money may be beyond their scale of assistance, no matter how common the goal. It is important to look at past efforts of the institution in question, to identify the level of resources they commit to a given project.

4. Know the scope of the institution’s efforts and define your project in terms of their scope. In other words, if an institution is primarily interested in providing primary medical services to a minority group in isolated rural communities, they will probably not be as interested in a project to provide regional health care to the general public even though the types of communities and the minority populations in which they are interested exist within the region. Even though your interests may be in common, the scope of the institution’s interests and your interests are quite different reducing the probability of their involvement.

5. Make every effort to set the stage for the institution’s involvement. I found success here by strengthening the weak points of their effort, is, if they have difficulty in creating and sustaining local involvement in projects, and if you, or the group with which you are involved, can in developing a proposal for assistance, demonstrate you ability to do these things, you increase the institution’s chances of success and their interest. In other words, help them do their thing for you.

6. Whenever possible make it obvious how by working with you, the institution can achieve their goals.

7. Do everything possible to make their first involvement in your effort one of enjoyable discovery. In other words, make them the hero.

8. Structure your contact to allow a no today to become a yes tomorrow.
IV. Involving Institutions

Having selected the institution, studied their history, nature, and structure, identified an appropriate access point, and structured your approach, a relationship with the institution can be established.

A. It is important to remember that a relationship is established, not between you and an institution, but between you and someone serving as an access to that institution. It is therefore helpful to begin on a people to people basis and show interest in the access person as some one who is important.

B. Before beginning to attempt the development of a relationship between you and the institution, decide whether you want that relationship to be on a partnership or on a client basis, and then act accordingly.

1. If you wish to establish a partnership type of relation with an institution in some very common venture, then your approach is one of being able to demonstrate how your efforts can assist in making the project a success.

2. If you are willing to establish a relationship on a client basis, then you would develop a relationship by demonstrating how central your project is to the institution’s purpose and why your project is more deserving than others competing for their assistance.

C. Be prepared to adjust programs to better suit the institution’s purpose. The questions you have to ask yourself here are

1. How much are you willing to concede in terms of your goals to gain their assistance?

2. How much are you willing to share with them in terms of project design, involvement, and credit for success?
D. Make the institution's first move toward involvement in your project obvious and easy. A rule of thumb here is be aggressive but don't be over anxious to nail down a commitment.

E. Be consistent - minimize surprises that may turn them off. This requires both honesty and clarity in presenting your situation, the level of your commitment, and the resources you are committing to the project.

F. Use their involvement to build a relationship rather than to exploit it. Institutions like people don't like to feel used. An institution who gets this feeling over a project usually won't come back for a second chance.

G. Continually nurture the people to people aspect of the relationship. Remember other equally deserving individuals and groups are seeking the assistance and resources of this institution. Keep them interested in your project or they will become interested in someone else's.

V. Multiple Institution Involvement
Because one institution seldom has all the resources for assistance you need, it is usually necessary to gain the involvement of more than one if your project is to be successful. Although institutions can and do relate to one another, there are several reasons why such cooperation is less frequent than desired.
These reasons include:

1. Internal reward structures. A financial institution does not generally reward its personnel in assisting another institution achieve a non financial related purpose.

2. Turf maintenance fears, ie, allowing someone else to capture your program is one of the most common reasons why institutions tend not to cooperate.
3. Lack of understanding common goals. The tunnel vision we discussed earlier often precludes one institution from seeing the relevance of another institution's involvement in a community problem or issue.

The most successful developers are those who can develop and advantageously use inter institutional networks. The British call such an institutional network, ie, agencies cooperating on the same project, a reticulum and they term those who develop and utilize this reticulum toward positive goals a reticulist. In this country such people have been called public enterpreucurs, facilitators, linkers, go betweens, and other names, some less complimentary than those listed.

However, those persons who have developed these skills are usually described as successful, despite the fact that the people involved aren't quite sure what they do. Reticulists methods vary according to the individual, but their strategies are similar.

1. They work to reduce the various barriers to cooperation between institutions. They do this by creating interinstitutional trust.

2. They achieve this increased trust by clarifying one institution's roles to the other institutions involved.

3. They define the problem in segments, capitalizing on tunnel vision and complimenting special inputs of each institution.

4. Where necessary, they make positive use of the competitive situation, in this way they simplify institutional involvement.

5. They maintain the network developed and they direct the credit for success to those agencies involved.

6. Most importantly they coordinate the involvement of institutions to maximize the institution's efforts efficiency.

7. They are often seen taking pictures at ribbon cutting ceremonies and they generally have ulcers.
Who are these people?

They are often associated with an agency or institution which understands the necessity of interinstitutional involvement.

They are often elected leaders who have the ability and/or the authority to create such interinstitutional networks.

They are often volunteer leaders who are well enough versed in the problem, and in the role of the various institutions to be involved to create the understanding among the institutions necessary to develop and maintain such a network.

Finally, if you are really interested in rural development and have the necessary sincerity, vision, and patience, they can be you.
BIBLIOGRAPHY


SOME THOUGHTS ON EVALUATING CD PROGRAMS IN EXTENSION

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SOME THOUGHTS ON EVALUATING CD PROGRAMS IN EXTENSION

Program evaluation is usually accomplished for one or more of three basic purposes: (1) to make program adjustments to increase the effectiveness of the program underway or to increase the probability of success with the next effort we undertake; (2) to determine the "worth" of staff members to justify salary adjustments, promotions, terminations, and/or other personnel actions; and (3) to justify expenditures for programs to those who award or administer funds.

The dictionary defines Evaluate: to ascertain the value of. A cursory examination of the literature reveals that evaluation requires three basic functions which may be articulated as three stages of an evaluation process:

1. Documenting - furnishing evidence of needs, procedures, inputs and outputs or results.

2. Arraying - displaying evidence documented in a logical or rational order.

3. Appraising - analyzing and setting value on the evidence arrayed.

Many evaluation systems have been described in the literature but, I assert, that all fit into a continuum containing four family distinct types. The continuum runs from Cost/Benefit Analysis, where dollar costs and benefits are measured on cardinal scales, to Classical Operations Management where an ordinal scale of costs is displayed against an ordinal scale of effects or achievements. Cost/Benefit Analysis is always done in a formal sense and is documented while Classical Operations Management is often done without documenting anything and is carried on in the Manager or Supervisor's head.

Documenting and Arraying are always the responsibility of the professional or manager. The Appraising function is the responsibility of the professional or manager in Cost/Benefit Analysis only. Appraising must be done by the decision-maker, those who award or administer funds, in the other three types of
evaluation systems discussed here. We must presume that there will be a direct correlation between the skill of the professional or manager in documenting and arraying and the decisions reached.

The four systems on the continuum are as follows:

1. **Cost/Benefit Analysis** - Dollar costs are displayed against dollar benefits and Cost/Benefit Ratios are computed. The ratio suggests that costs exceed benefits or benefits exceed costs but it does not identify the incidence of costs and benefits or who pays and who benefits.

2. **Cost/Effectiveness Analysis** - Dollar costs are displayed against a cardinal scale of effects, kill ratios and other number games. Cost/Effectiveness analysis numbers games allow computation of per-unit costs which allows the decision-maker to determine for himself whether or not the effects are worth the dollar costs. This type of evaluation sometimes defines the incidence of costs and effects.

3. **Program Appraisal** - A cardinal scale of dollar or other costs is arrayed against achievements. The incidence of costs and benefits is usually defined. The decision-maker must determine for himself the value of achievements and often he must determine for himself the value of the costs. This system allows for inclusion of social and political as well as economic costs.

4. **Classical Operations Management** - An ordinal scale of social and/or political costs are arrayed against an ordinal scale of social and/or political effects or achievements. The incidence of costs and benefits are always defined. Examples of these costs and benefits would be: (1) the cost of detente (political culpability) arrayed against the value of detente (absence of cold war); (2) the cost of promoting an outsider to the office of Dean (impact on the faculty) arrayed against the value of such promotion (new blood in the college).

In evaluating extension and research efforts effectively, we will probably utilize Program Appraisal to satisfy the need for justifying program expenditures to decision-makers. We will probably use both Program Appraisal and Classical Operations Management to determine the "worth" of staff members and/or to make program adjustments. The balance of this paper relates to using Program Appraisal to evaluate Community Development programs in Extension.

Four kinds of analyses which are consistent with the concepts of Program Appraisal have been described in evaluation literature.

- **Context Analysis** - establishes program goals and objectives. This is an analysis of the situation or the context in which a program becomes operational.

- **Input Analysis** - articulates what it is that the professionals do in a community development efforts.

- **Process Analysis** - analysis of factors contributing to success or failure of an effort (communications patterns, emergence of mutual agreements, guides and policies, steps leading to legitimation of the effort) and identification of intermediate outputs from the professional's activity.
- Impact Analysis - estimations of program impact on the community.

In this framework for evaluation, Context Analysis must begin at the time community problems are identified by the professional and it must proceed through the time he defines his objectives. This situation statement, as it has been called in the past by some extension program development people, must become a part of each evaluation of the CD program or project.

Input Analysis must proceed from the time the professional(s) begins to establish objectives and undertake activity with the community. It forms the record of activities, behaviors, roles performed, and/or the functions of the professional(s). This analysis should articulate what it is that professionals do to assist communities in solving their problems.

Process Analysis will be done, for the most part, after the fact or upon reflection but it must be done against some set of pre-determined notions about what the professional or what extension is trying to do—what the extension objectives are.

Impact Analysis will be done after the fact and must express the perceptions of the people in the community as well as the views of the professional(s).

Extension's Objectives

It must be obvious to anyone working in Extension that we have had difficulties in evaluating community development work. It is the author's contention that the reason for this lies in the fact that we have attempted to evaluate extension’s progress toward achieving the community's objectives. How can anyone be expected to evaluate his progress against someone else's objectives? It is critical, therefore, that we keep distinguishable the difference between the communities' objectives and our objectives as Extension community development professionals. In evaluating Extension community development programs, we must evaluate our progress against our objectives. Improvements in housing, community facilities and services, manpower development programs, education, job opportunities, environment, recreation, government operations or community operations may result from our efforts, but these are objectives of those people we work with. Our objectives relate to providing information and technical assistance, developing leadership, developing effective organizations, and providing technical assistance.

These are the things which Extension can do—what it was established to do. Improving community facilities and services, manpower development, improving job opportunities, providing for housing, health care, and such things are functions assigned by law or by local custom to the local and/or state government or to private firms. They are, therefore, rational objectives of local and state government, private firms and local citizens groups. Extension's objectives, to be consistent with what Extension was established to do, must relate to lending assistance to local people, governing bodies and firms to achieve their objectives. Therefore, I assert that what Extension does is:

- Provide information and education.
- Provide technical assistance. (The difference between providing technical assistance and information and education is the same as the difference between my keeping financial records for you—technical assistance—and my teaching you how to keep your financial records—education).

- Identify and mobilize leaders and demonstrate effective democratic leadership.

- Demonstrate effective organization and help create effective organizations or alliances of existing organizations. Our objectives must be consistent with what we do.

**Community Development**

Community development has been described in various ways but most writings will agree that, however it is articulated, it involves helping people in communities to:

- Identify, define and articulate problems.
- Identify, define and articulate alternatives for solving problems.
- Select between the alternatives.
- Organize to implement the solutions they choose.
- Evaluate and re-initiate the process.

Sometimes these things are done on an ad-hoc basis with a group of citizens who desire to solve only one problem. Sometimes it is done on a continuing basis as with a city council, county commission, COG, RC&D project, area development commission, etc.

If extension provides information and education, provides technical assistance, and demonstrates effective organization and democratic leadership; and if extension CD programs are designed to help people identify and solve problems which they own, then it seems rational that extension's CD objectives must relate to these functions and not to the objectives of the community. A community's progress toward achieving its objectives are indicators of our progress toward achieving our objectives. But, the community's objectives are not our objectives.

**Evaluation**

In order to evaluate our objectives, we will need to express them in terms that make them measurable, which suggest criteria by which we can evaluate them, and which express what it is that we can accomplish with our audiences. We can evaluate only those objectives which express or recognize the capabilities of extension. The degree to which communities we work with achieve their objectives is only one of the indicators of the degree to which we have achieved our objectives. There are others. If we will keep these arguments in mind as we design evaluation systems we will be able to develop the capability to display the following kinds of information from our evaluation:

- the reasons why we became involved with a community.
- what it was that the CD professional(s) did to assist the community.
- who was assisted, who received the benefits.
what went right and what went wrong, what we should do different next
time and what we can learn from the experience that adds to the body
of knowledge about CD.

- what the impact of the effort was on the community assisted.

What more does anyone desire from evaluation?

Within the framework discussed above, Content Analysis should provide the
answer to why we became involved; Input Analysis should tell us what it was
that the professionals did or what they are doing; Process Analysis should tell
us what went right or wrong within the framework of whatever CD process we are
using; and Impact Analysis should tell us what the community got out of
Extension's effort. It should be recognized, by now, that either of these
analyses may proceed independently of the others.

**Context Analysis** - This analysis should answer two simple questions: (1) what
is the situation which gives rise to the need for this kind of assistance, who
needs what, when, where, why, how and who decided? (2) what are the objectives
of extension or the individual in lending assistance with this problem or need,
what community development needs can the professional meet?

**Input Analysis** - A description of what was planned and what was actually done
by the professional in achieving or pursuing the objectives.

- a. Technical assistance provided - the kind, to whom it was provided,
   and the subject matter involved.

- b. Information and educational assistance provided - the kind, to whom,
   and the subject matter involved.

- c. Organizations developed or assisted - number and composition of
   organizations created. Identify existing organizations assisted,
   the kinds of assistance given, and the subject matter involved.

- d. Leaders identified, mobilized, trained or assisted, numbers and com-
   position. The man-years of leadership contributed to the community
   by those assisted.

- e. Identification of organizations or individuals providing the profes-
   sional assistance and the kind of assistance provided.

**Process Analysis** - Analysis of factors contributing to success or failure of
the effort and identification of the intermediate outputs resulting from the
professionals' inputs.

- Problems and needs of the community that were identified, articulated,
  analyzed, and/or documented. Priorities given.

- Alternatives for meeting needs or problems that were identified, ar-
  ticulated, documented. Alternatives that were selected.

- Solutions implemented or toward which action has been taken by the com-
  munity, or project proposals on which decisions were made to take no
  action.
Communications patterns that emerged, mutual agreements that emerged, changes in membership on groups involved in the effort, sanctions offered or imposed on the effort and by whom, guides and policies developed, steps leading to legitimation of the effort.

- Increases or decreases in the ability of the community to clearly define and articulate needs and gain understanding by all segments of the community.

- Increases or decreases in the ability of the community to generate an appropriate range of relevant information.

- Increases or decreases in the ability of the community to clearly define and articulate objectives based on their expressed needs.

- Increase or decrease in the quality of communicating and documentation of needs, problems and the decisions reached within the community.

- Acceptance of the documentation by outside agencies, individuals, firms or groups, or by the general population of the community.

**Impact Analysis** - estimations of program impact on the community.

- Facilities and/or services obtained or improved.

- Community objectives achieved.

- Impact on the people in the community as judged by the people in the community on individuals; community government and governing processes; relations between government and citizens; community sub-systems - cultural or economic; on relations between the community and adjoining communities.

- Alterations or adjustments in organizations or institutions:

  - In programs or projects; in composition of membership in purpose; in leadership and in apparent viability.

The concepts of evaluation expressed here are consistent with those embodied in Lynn Davies, et.al, in cooperation with Washington State Univ., the Western Region Extension Committee on CRD, the Western RD Center and the Extension Service, USDA. The study resulted in an evaluation system called, "Shared Process Evaluation System" or SHAPES. The system is based on analyzing the spatial and time relationships between people and events in a development effort or program. These concepts are also consistent with those embodied in Bennett and Nelson's study, "Analyzing Impacts of Community Development."

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SOME THOUGHTS ON CITIZEN INVOLVEMENT IN PUBLIC DECISION MAKING

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SOME THOUGHTS ON CITIZEN INVOLVEMENT IN PUBLIC DECISION MAKING

THE CONCERN

Public officials in municipalities, counties, parishes, regional bodies, States and national governments are seeking answers to the issue or question of public involvement or participation in decision making. Citizens in uncounted communities are demanding participation or involvement in community or public decision making. Lawsuits against public decisions are increasing in frequency and judgments against the elected or appointed decision makers are not uncommon. According to Fasano 1/ this phenomenon has its roots in the fact that governing units are making more and more quasi-judicial rather than legislative decisions, which are seen by citizens as favoring one person or faction of the community over another in the distribution of benefits and costs.

This is all part of a national public issue which exists in America today, in the year of our 200th anniversary. I call this issue "Our Governing Crisis". The elements of the issue are:
- dissatisfaction with governing decisions at the local, State and federal levels.
- perceived lack of participation/involvement in governing processes.
- disenchantment with public leaders.
- inability of the individual to relate to big government, big business and big labor.

The indicators of the issue are:
- increase in the number of court suits against governmental decisions.
- lack of trust of elected and appointed public officials.
- organization of new local, regional and national political parties.
- increase in number of recall petitions and elections in recent years.
- large percentage of turnovers in local, State and national elections.
- increase in activity of radical organizations.
- increase in the severity of radical response to governmental action.
- leading political figures refusing to stand for re-election at local, State and national levels.
- taxpayers revolts.
- increase in number and success of "consumer" organizations.
- perceptions of lack of participation reflected in community studies.
A summary of the issue may be contained in the statement from an uncooperative respondent to a community survey in Kentucky 2/.

"I am sure that everyone in Kentucky, myself included, would be happy to complete a questionnaire if there were any chance whatsoever that it would be seriously considered by our legislators or anyone in any position to change anything."

The same study concludes that Government/Citizen relations is seen as the most important community problem by 65% of the population in the Commonwealth of Kentucky.

Similar conclusions may be drawn from studies in the Western Region 3/ and in the Northeastern Region 4/ of the nation, as well as in individual States across America. Ostrom writes about it in his book, "The Intellectual Crisis in American Public Administration." 5/

The basic social-psychological phenomenon with which we are dealing is alienation—alienation from the economic and political systems which govern our communities and our nation. In this paper, we address alienation from political systems only, even though it is improbable that we can modify either without modifying them both. Representative democracy demands that supreme power be retained by those who are governed and that it be exercised through a system of representation. If one accepts that government, in a representative democracy, is effective only to the extent that it represents the will of the people who are governed, one must conclude that government today is quite ineffective—it does not represent the will of the people, at least people who are governed do not perceive or trust that it does. If government today does not represent the will of the people, then the people do not exercise supreme power, therefore, we do not have a democracy. Equally important is the notion that if people do not perceive they exercise supreme power through their representatives, then in fact, they do not. People's behaviors will be consistent with their perceptions. In this paper, representative democracy is seen as a pragmatic or workable form of participatory democracy. As Harlan Cleveland 6/ implies in his paper, How Does the Planner Get Everybody in on the Act and Still Get Some Action? A purist form of participatory democracy demands that everyone be his own spokesman or representative thus eliminating the probability of achieving any level of consensus and leading effectively to anarchy—no effective decision making or governmental action.
A cursory review of the nation's newspapers during the past few years reveals a heirarchy of responses by citizens to governmental decisions and actions they consider unacceptable. The first is alienation-withdrawl from the political or social system. The second response is criticism-individual at first and then widespread and organized. The third response is initiation of court suits. The fourth, individual rebellion. Fifth comes organized rebellion - small and then larger groups. And sixth, membership in and support of "radical" organizations. All these, in the eyes of the participants, are attempts to govern themselves-to exercise that supreme power reserved to the citizens in a democracy.

The motivation for individual involvement in responses to unacceptable governing decisions is in the first response-alienation. In the absence of alienation, people will not participate in the 2nd, 3rd, 4th, 5th and 6th responses. Therefore, the solution to our problem or issue of "Our Governing Crisis" is to eliminate the alienation of people in the making of governmental decision and the taking of action. This will require that we behave in such fashion that citizens can participate, and that they perceive they are participating, in the process of making public policy or community decisions and taking action.

This means we must re-institute representative democracy as our form of government. We must have citizen participation in the governing process. Such participation must represent the great majority of the community's citizens, and it must facilitate the making of more effective decisions rather than to make it more difficult to make decisions or result in the making of less effective decisions as discussed by Sampson /7/ in his paper, Citizen Involvement in Planning.

THE THESIS

In exploring citizen involvement and participation, I wish to share with you my observations on two interrelated phenomena-involvement/participation and leadership/power in communities.

Participation versus Involvement

Involvement and participation are often used interchangeably and/or synonymously. They are neither interchangeable nor synonymous.
Involvement - requires that the individual be present and visibly interacting with others in a group which is making a decision or which is advising those who must make community decisions. The individual must be listening, debating/discussing, voting, sharing knowledge, searching for or synthesizing knowledge, blocking, evading, agreeing, denying, coping, disagreeing, etc., in order to be involved. He must be in a position to be rewarded, incriminated or punished for his actions or the decision emanating from the group.

Participation - does not necessarily require the presence or the visible interaction with others in the group making a decision. An individual can participate without being present. That is, he can participate vicariously - through a representative. Vicarious is defined in Webster's as: performed or suffered by one person with results accruing to the benefit or advantage of another; or enjoyed by one person through his sympathetic participation in the experience of another person.

An individual may participate in person and actively without becoming involved. The auditor of a college course, the observer in the council meeting, the technical expert or consultant giving advice, are all examples of participation without involvement.

The person who is participating in person without being involved never gets himself into a position where he can be incriminated/punished for his actions and or the decisions of the group. He may observe, consult, advise, facilitate, but he always holds himself apart from those who are involved-he never becomes committed, visibly, to the group decision or action until after it is clearly a popular one at which time he sometimes seeks identity with it.

A person can participate vicariously only to the extent he is sympathetic with the person involved who is supposed to represent him. Only if I can give license (authority or liberty) to someone to represent me will I be able to participate vicariously in decision making. The key to whether or not citizens perceive that they are participating in decision making in a representative democracy (a form of participative democracy) is whether or not the people involved are licensed by the citizens, and by how many. It makes no difference how representatives are licensed. The critical issue is whether or not they are licensed and by whom-the few (the powerful minorities or power systems) or the many (the great majority of all citizens in the community).
Most citizens demanding participation are not demanding involvement. They are demanding vicarious participation. They are demanding that citizens of their choice be involved. Such people may be equally and effectively disenfranchised either by: (1) disallowing in-person participation; or (2) failing to assure that those involved in the making of decisions, or that those to whom decision makers are listening, are truly representatives of all the citizens in the community.

The involvement of members of the leadership systems will provide for vicarious participation of the greatest majority of all the community's citizens. The problem is that we usually involve members of the power systems instead of members of the leadership systems in the communities' governing processes. People do not choose the members of power systems. Therefore, power systems do not represent them.

The notion of leadership systems and power systems suggests a pluralistic concept of the community. That is, in my estimation, the only rational concept of communities in today's world.

Leadership/Power in Communities

Leadership and power are often used together in discussing community decision making. They are used as though they were synonymous or interchangeable. They are neither. Leadership and power systems in the community are different things. Power systems in communities are usually not visible except at the lowest levels and they are usually controlled by yet higher status power actors from outside the community. They are vertically oriented.

Leadership and power are separate phenomena occurring in the same place at the same time and often influencing the same people. My dictionary defines Power as the exercise of control. It defines Leadership as guiding or conducting; showing the way.

Differences Between Power and Leadership - Impact on People

If power is strong and effectively used, the people of the community must either bend to the will of power holders or be neutralized or destroyed by it. Or, they must destroy or neutralize the source of power or the persons exercising power. Citizens in the community who are not members of a power system are always in the position of having to react to power systems whether or not they wish to. They cannot choose to ignore them unless they are willing to let the power systems work their will.
People follow leaders willingly and voluntarily or they do not follow them at all. Followers will not prevent a leader from going in his chosen direction, they simply don't go along. People will voluntarily follow their chosen leaders so long as the leaders are representative of (have sympathetic relationship with) the people, so long as leaders keep faith with their followers, and so long as leaders follow the path chosen in consonance with their peers -- those they represent. If leadership becomes ineffective or if leaders break faith with their followers, the people will simply choose new leaders, either consciously or unconsciously.

Leadership and power are both found in systems (alliances of people) within the community, town, county or nation. In the terminology of those social scientists who follow Warren's Structural/Functional model, power is found in the structure of the community and leadership in the functions of the community - or power in the formalized and leadership in the informal relationships of local citizens. Therefore, power actors may be identified by observing the structural or formalized patterns of activity (organizing, planning, taking official action or formalized decision making, budgeting and other such tasks) in the community and leaders of observing the functional or informal (interpersonal and inter-group communicating) activities.

**Nature of Power and Power Systems**

Power systems operate by controlling economic and natural resources and, through these, the behaviors of lieutenants and lower level people. Power stems from owning or controlling knowledge or information and economic or natural resources. Power is never earned. It is awarded, inherited or taken. It is exercised and maintained by using the control of these resources to manipulate the political and economic systems in the community.

The most permanent power is that which stems from direct control of economic and natural resources. This is most often inherited. Less permanent is that which is awarded to people by political or social action of the masses - the election process or by action of greater power figures. The least permanent is that which is taken by the leader who elevates himself or allows members of the established power system to "elevate" him.

Positions of power are best maintained by protecting the status quo - that is, no change in the identity of, or the relationships between, those who shall determine when, where and how power will be used; and no change in
the nature or rate of change in the community. Therefore, power systems operate best and most often to block, not to create, unless creating is in the best political or economic interests of those in the power system (i.e., it increases power or advantage). When power systems become visible, they become less effective. Power systems operate best to protect the private interest often at the expense of, and only accidently in the interest of, the public or common good. This is consistent with Adam Smith's notion of "an invisible hand."

**Nature of Community Leadership and Leadership Systems**

Leadership systems operate by effectively representing the citizens of the community who are not in, or who don't consider themselves to be in, any power system. Leadership systems are obvious to the community resident. Leadership is *earned* by demonstrating a sympathetic relationship with those who the leader represents or with whom he works and by demonstrating social and political skills essential to being an effective representative. The leader does not seek to control the behaviors of those who follow him. He seeks to *share his knowledge and skills* with them and to participate with them in selecting the paths to follow.

Positions of leadership are maintained by being in the forefront of the directions those the leader represents are moving and by maintaining an honest sympathetic relationship with followers. Therefore, leadership operates best to effect creative change which is in the public interest or for the common good.

**Integrating Power and Leadership in the Community**

Only the true leaders, those who citizens of the community have licensed to represent them, have a sympathetic relationship with the citizens. The power system does not. The leadership system in the community is the system which can offset the influence of the power system in the community. Power cannot control unless people are willing to be controlled—-that is, they perceive the power system position to be for the common good or they perceive the costs of ignoring or resisting the power system to be too great. Under effective leadership, the citizens can offset the power system, destroy the effect of using power, without destroying the people who have power or they can destroy the source of power or the people who hold it.
A major difference between community leadership systems and power systems in the community is the role that status plays in each. Status—the relationships between members of the power system—is nearly always formalized. Members are conscious of status and strive to enhance their own.

Status is the indicator of how much power an individual or sub-group holds. In leadership systems, status holds but little importance. Often those leaders who are held in high regard by their peers are not aware of it. Effective leaders do not seek status. In fact, a current study of leadership and citizen involvement in Indiana suggests that unselfishness may be a condition of effective leadership.

My observations have convinced me that effective leaders, over long periods of time (5-20 years), seldom relate leadership to status. They are more likely to relate leadership to responsibility as a citizen among peers. Power wielders usually relate status and accompanying "privilege" to positions of power. Power figures seek status and seek to enjoy the accompanying "privilege." People who seek to "become leaders" in order to enjoy "status and privilege" are really seeking to become part of the power system. True community leaders earn their positions by their actions and effectiveness over time, not by campaigning to be leaders. I've observed that very effective community leaders were not aware that others saw them as leaders prior to my notifying them of their selection, through processes CD workers employ for identifying leadership in communities. I've also observed that people in communities will often follow others without consciously identifying them as leaders until someone calls it to their attention. For those reasons, many of our efforts to identify leaders by reputational survey and other means have led us to identify power actors instead of leaders.

A Departure—Leaders Becoming Power Actors

A problem inherent in effective public action, which results in offsetting or neutralizing the impact of power systems, is the propensity for successful leaders to build alternative power systems in the community based on successful political action, rather than to continue behaving as leaders. Successful leaders in actions against power systems often aspire to formalize or structure an organization to continue doing battle with existing power systems, thus creating yet another power system. Power gained in this manner must be classified as taken and fragile at best. "A leader behaving in this manner usually finds that as the structural needs of the organization are met and he devotes time to serving these needs, he finds himself at odds or breaking faith with his
followers in order to serve the structural needs of the organization. Therefore, he has become a power figure and not a leader and as soon as he fails, he will be sitting alone and at the mercy of those who hold the more permanent inherited power."

Another Departure--Leadership in Power Systems

Leadership exists within power structures. Some members of power systems provide the same useful function to other members of that system as leaders provide for any community. Leaders in power systems work for the common good of the members of that power system (community) just as leaders in towns, cities, neighborhoods, counties, groups, work for the common good of members of these communities. Here we are concerned with the relationships between community power systems and those citizens of a community who are not members of those power systems.

It may sound to the casual reader that I am suggesting that Power or Power Systems are bad. I am not. They are simply phenomena with which anyone concerned over social, political or economic issues must deal. They are useful to society in general for without someone's performing the "management functions" of structuring, planning, deciding, formalizing decisions, taking formal action, designing projects, budgeting and monitoring progress, nothing can get done. A careful re-reading of the paper to this point should demonstrate that I have not suggested that power is bad, just that it is different from leadership and that it serves different people and different interest. What is bad is that we too often confuse power systems and leadership systems and wind up serving the interests of power systems to the detriment of the rest of the citizens in the community.

Relationship to Citizen Participation/Involvement

Few serious thinkers can question whether or not we should have a representative form of democracy, and without citizen participation we don't. The issue, to me, is defining the conditions under which citizens can participate.

When our nation first began, those elected to municipal, county, State and national offices were known by the majority of their electorate or by friends or leaders who they trusted. Today we don't know them nor do our trusted friends. We know only the TV or press images of such people at the national and State levels, and of municipal and county people in the larger populated areas. We seldom meet them before they are elected and not as often after they are elected.
Exposure to the public on TV, in the newspaper, on billboards requires money--large amounts of it. Those who own money determine who shall be exposed to the public. The electorate's options in national and State elections are limited through screening of candidates who are empathetic with the designs of small groups of power or money holders. The electorate, on election day can do little but choose between those candidates who make it through the screens. Therefore, we do not participate in governing through the election process except at the local level of government in the smallest communities. Current adjustments to these conditions include things ranging from tax funding of national elections to beefing up the range of functions and the capacity to function effectively of local government.

Numerous organizations have sprung up to offset the effects of the screening system in national and State elections or large city elections, and to offer, they claim, alternatives for the elector in addition to those he has had in the past. (NOW, WOW, Common Cause, Small Town Incorporated, consumers unions of all kinds, etc.) All are offering to support and allow participation in decision making in the processes of governing. Some are succeeding with people who have previously considered themselves disenfranchised. Many more are failing.

Another adjustment, most used by State and local governments is the organization of advisory bodies of various kinds. Some are working and some are not. Where they are not working, i.e., local citizens still do not perceive they are participating, frustration has increased among elected and appointed officials and among citizens. Where advisory bodies have worked, there has been a noticeable decrease in the number of problems governing bodies have in making decisions and taking action.

In my observation, the difference between those "consumer" organizations and those "advisory" boards which have worked and those which have not is in the perceptions held by citizens or members. The difference in success and failure is the same as the difference between success and failure in a representative democracy. In either case, the great majority of citizens of the city, town, county, neighborhood, region, nation or the great majority of the members of the organization must perceive that they are participating, either in person or vicariously, in the making of decisions.

Summary and Conclusions

It is absolutely impossible for all citizens, or even a majority of citizens in a community to be involved in the making of decisions and taking of action--
the community governing process. It is possible for the great majority to participate vicariously. To assure that the great majority of citizens can participate vicariously in decision making--in the governing process--it is necessary for the elective body or decision makers to identify and listen to the leadership systems in the community rather than the power systems. The leaders chosen by local citizens in informal ways have the sympathetic relationship with community's citizens--the power system does not.

The number of people who are licensed as leaders will depend upon the size, complexity and nature of the community including things such as heterogeneity/homogeneity, cultures represented, variety and level of economic activities, etc. In communities, no single individual will be seen as a leader for all phases of community activity, nor will any individual be seen as a leader or for any single area of community activity by all sub-groups in the community. Different people will surface as leaders among different sub-sets in the community and for different areas of community life or activity.

It is ticklish business for the stranger in town or for members of the elected or appointed governing bodies or agencies to identify the leadership system. The resident who is not in the community power system knows who he and the others trust and look to for leadership on each area of community activity. The need is to get these people to share this knowledge with those who must appoint advisory bodies, consulting groups, commissions, or boards which advise on community decisions and actions. And, to get those who must make such appointments to identify and appoint the appropriate leaders from the community rather than people from power systems.

Reputational Surveys and Decision Analyses have been used in the past to identify leaders. Sometimes such efforts have succeeded in doing just that. But, more often, such efforts have resulted in identifying members of power systems. Reputational survey questions relating to "who gets things done" when asked of local citizens will result in identification of power actors. Decision analysis is but another form of reputational survey, in my estimation. It identifies, after the fact, who held visible and high status positions in causing something or some things to happen. Many reputational surveys of the past do the same thing. Reputational surveys deal with people's opinions or observations. Decision analysis deals with "documented" evidence from official records and/or news accounts.
Decision analysis and reputational survey—asking "who gets things done" (who is visible in the structural activities of the community) will identify the high status power actors and their lieutenants. Reputational surveys, asking "What are the community issues you consider important and who do you trust to represent your views in resolving them," (who do you communicate with on an interpersonal and intergroup basis) will result in identifying those leaders to whom people look for specific kinds of community activities—those people with whom they have a sympathetic relationship. However, since communities are pluralistic in nature, if the leadership system—that set of leaders who are licensed by the great majority of the community members—is to be found, the investigator will need to contact members of each of the sub-sets or groups within the community. The whites cannot speak for the blacks, the middle class cannot speak for the poor, the uneducated cannot speak for the educated, conservationists cannot speak for the developers, the east side cannot speak for the west side, farmers cannot speak for the small businessman, men cannot speak for women, adults cannot speak for youth and governing officials cannot speak for anybody. The investigator will need to gain responses to specific kinds of community concerns and activities and he must gain them from all sub-sets within the community.

If and when local governing bodies begin identifying the communities' leadership systems, most of us in universities, agencies of state and federal government, and agencies of local governments will find that we are not in these systems. People in the kinds of positions most of us hold are more likely to be seen by a community's citizens as members of power systems than as members of leadership systems. Citizens elect power figures in our elections (structured decision making activities). They choose leaders in informal ways (interpersonal and inter-group communicating).

In fact, we are members of community power systems which control some of the resources essential to affect change, with tentacles stretching from the state capital to the local hamlet and from the county to Washington, D.C. with arms reaching into the highest levels of power in the private sector. We, as well as the county or parish commission, the city council, the regional planning commission, must identify and work with the leadership systems in local communities if we are serious about citizen involvement and/or participation in the processes of governing our local communities, our states and our nation. We must
never make the mistake of assuming we are members of the leadership systems. Such error leads us into thinking that the next lower echelon of a bureaucracy comprises the "grass roots" of our social system. It must all begin at home in our local communities and with us. Therefore, we must first share with each other the knowledge contained herein, we must learn to trust it, to understand it and then we must share it with local governing officials. Or, we must generate other more accurate and/or complete knowledge about citizen involvement and participation.

I just wanted to share these thoughts with you. I am hopeful that someone will want to argue about them or expand upon them. If not, I have failed.
NOTES

1. This notion is strongly stated in Fasano v. Board of County Commissioners of Washington County, Oregon, 507, P.2d 23 "Parties at the hearing before the county governing body are entitled to an opportunity to be heard, to an opportunity to present and rebut evidence, to a tribunal that is impartial in the matter--i.e., having had no pre-hearing or ex parte contacts concerning the question at issue--and to a record made and adequate findings executed."


3. Tankersley, Development of an Extension Function for the Western Region Area Development Center; Western Rural Development Center, Oregon State University, Corvallis, 1973.


8. Evaluation of Community Development Activities; (Eliciting Citizen Participation in CD Efforts), a Special Project, Agricultural Economics Department, Cooperative Extension Service, ES-USDA, Purdue University, West Lafayette, Indiana, 1975.
SOME THOUGHTS ABOUT FEDERAL PROGRAMS AND COMMUNITY DEVELOPMENT;
AND ABOUT THE ROLE OF THE CD PROFESSIONAL

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SOME THOUGHTS ABOUT FEDERAL PROGRAMS AND COMMUNITY DEVELOPMENT; AND ABOUT THE ROLE OF THE CD PROFESSIONAL

Federal assistance to local communities in their community development efforts is almost always given through professional employees of one or more agencies. Such assistance (or interference as it is often seen) as is lent is most often given on the assumptions that: (1) the professional, armed with the gifts, grants, loans or other aid from his agency can solve problems for the community; and (2) the way to solve problems for a community is to define the problem(s) for them, tell them the solution(s), and provide grants, loans or gifts to implement the solution(s). This approach absolves local citizens, leaders, and/or the officials of all responsibility for anything except to rubber stamp the applications. If it is seen as desirable by local people, the elected officials can take credit for providing it at low cost. If it is seen as undesirable, local officials can claim that they are only meeting the "requirements" of federal programs or regulations. Neither the problems nor the solutions, in these cases, are owned by local people, only by the agency and its employees. Thus, CD workers in federal programs most often operate as "problem area specialists."

According to Roland Warren, in his book Perspectives on the American Community (1966), problem area specialists are task oriented. They focus on a particular task to be accomplished--a new clinic, a new social service, a new water system, etc. They are highly specialized and expert in some special field. The problem area specialist's agency has a mission such as developing new clinics, or new social services, or new water systems. He is likely, in other words, to know better than the community's citizens what the community needs. Thus, he is paternalistic. His paternalism is consistent with the mission of his agency which is defined in the legislation creating the program he is promoting. His success in the agency may be measured by how well he helps the agency meet its organizational objectives.

The problem area specialist may be democratically oriented with respect to group self determination, but by the very nature of his role, he cannot encourage the community to consider all the possible alternatives for community improvement. He comes to the community to "sell" clinics, new social services
Federal Programs' Weaknesses

Many Federal programs have been created, especially since 1960, in an attempt to address specific problems. Most of these programs have provided categorical grants-in-aid to local governments. Despite a substantial number of singularly successful local efforts funded by these programs, they suffer from a number of serious weaknesses.

Neglect of State and Local Institutional Capacity

Most important from an institutional perspective, these programs have not built adequate capacity at the State level or fully effective capacity at the local level for managing rural development.

For example, in 1974, only $40 million of the $48 billion in Federal operational (program assistance) funds directed to State and local governments was targeted toward improving policy or resource management across functional lines. At the State level, the problem of building adequate capacity has been aggravated by the fact that these programs were largely operated on a Federal-to-local basis.

One serious consequence of the lack of concern for capacity to manage rural development at the State level has been a lack of State-level support for rural development. Federal interest in creating capacity at the local level during 1961-1972 was reflected in requirements and incentives for the creation of multi-county units, usually of a functional character, for planning and related program purposes. Area wide servicing arrangements had been growing in popularity and these Federal initiatives triggered creation of an assortment of substate areas by State and local governments. Occasionally, but not usually, Federal, State, and local efforts produced a single multi-county body. Generally, however, the result has been diverse, overlapping boundaries. The multiple units have been a serious impediment to effective use of the limited resources available for development purposes, a problem that is acute in rural areas.

Development Tools

Federal programs have concentrated planning attention and funding heavily on public facilities investments which have significantly improved the public infrastructure in many parts of rural America, but have not stimulated substantial private sector employment. Only a relatively limited set of incentives to the private sector has been used to encourage business and industry to
Some agencies and some professionals subscribe to an alternative concept of community development. This, too, is described by Warren. He discusses the non-specialist, or the process person as a community developer. The process person's chief concern is with what happens to the interrelated parts of the community in planning, coordinating and changing. He is permissive and equalitarian, rather than paternalistic. His orientation is toward the relationship of the parts of the community to each other. He is interested primarily in what happens to the acting people and groups in the community. His attention is on how they determine what to accomplish and how they organize to accomplish it. He is most interested in facilitating the efforts of the community to find "right" solutions to the problems they own. In doing so, he places greater weight on the rightness of whatever decision the community makes in a democratic manner than on whether or not a problem gets solved. He tends toward ethical relativism, being less sure of what is "right" and being unwilling to impose his "right," as he sees it, on others. In other words, he is unwilling to share his technical knowledge, except about group processes, with the community.

The problem I see in all this is that neither of these concepts holds an answer for effective development in the community. The "problem area specialist," supported by his agency, disrupts the local scene and thus disrupts local power systems, vested interests, and eventually becomes "poison" to local citizens who share with him the ill will of those affected if he is successful in achieving his aims. He is seen by his agency superiors as a boaterocker because the agency feels the repercussions leveled against the professional. The "process person," in failing to deal effectively and realistically with the power and leadership systems in the community will find the efforts of the group he is working with blocked effectively at every turn. Therefore, the people he works with become discouraged and often cynical. He will become disenchanted with "community action," he may succumb to cynicism, he may drop out or become alienated, and/or he may become a "problem area specialist."

The basic problem stems from CD workers to opt for one of the other of the extremes identified above. The need is to integrate the two concepts into one set of behaviors that will result in effective professional and agency assistance to the development efforts in a community without making the CD professional persona-non-grata in the community, and without disrupting the development processes at work already in the community. Such integration requires that we look at some assumptions that are different from those posed previously. We must consider some different assumptions about CD, professionals' roles in it and how federal agencies can help.
1. Only those people who own problems or feel they own problems can solve those problems.

2. The role of the professional in dealing with individuals or communities is to help those who own problems to find their own solutions, rather than to find or provide ready-made solutions for them.

3. Volunteer participants in CD activities are there to solve their problems of how to have a more livable or viable community; to learn how their community can cope with the outside (sometimes federal) demands made on it; or to learn how to, or to receive assistance in, dealing with controversial issues within the community.

4. Every person wants to improve personal effectiveness or productivity and every community wants to improve its viability. They will do so if they can find out how.

This fourth assumption addresses the issue of motivation. CD professionals and agency administrators become concerned about how we "motivate" citizens to increase the viability or livability of their communities. These concerns grow out of the professional's needs or his agency's needs to be heard, to be in control, to be seen or recognized, to be supported by the public, to meet agency objectives or to have people rely on them.

These are the agency's or the employee's needs, therefore, he wants people to help him meet his and his agency's needs and if they don't seem interested, he becomes concerned about "motivating" them to do so. The professional owns these needs, the people in communities do not.

Individuals and community groups want to work on their problems--problems they own--problems which they will enjoy direct benefits from solving. People are motivated the day they are born: first to seek gratification of the physical needs, and then to seek satisfaction of the social or humanistic needs. Individual and community problems relate to satisfying these needs, therefore, the professional's role is limited to assisting individuals and community groups in identifying and defining their problems. When we find people unwilling to work on problems which we, as professionals or agency representatives see, one of four conditions must exist: (1) they don't see it as a problem (they don't own it); (2) if they see it as a problem, it is of less importance to them than something else; (3) they don't see any possibility of solving the problem; or (4) the costs of solving the problem as seen as being too great.
5. People in communities or groups have within that community or group nearly all of the knowledge, skills and resources essential to solving most of their own community or group problems.

Effective development is based on sharing the knowledges and skills of the individuals within the community or group. The professional or agency representative can help this to happen. To be successful, he must start with this.

It seems to me that the best approach to federal agency involvement in community development is to provide a development experience which:

- allows all participants, including agency representatives or employees freedom, and encourages them, to become deeply and personally involved in integrating the needs of the organizations (agencies) with the needs identified by the community's citizens.

- allows and encourages the community's citizens to capitalize on their own experiences and strengths and upon their own resources first in implementing needed changes.

- allows the community's citizens and the agency's employee(s) or representative(s) to gain from each others experiences and strengths.

- allows the community's citizens to gain from each others experiences and knowledge first; to identify information, knowledge, or resource gaps; and then to gain from the outside (federal agencies) those resources, that knowledge or information needed.

The federal agency role, then, is to provide that knowledge, that information, or those resources which can be constructively used without disrupting the process of development in the community.

Making this happen is the challenge and the responsibility of the CD professional. These are the different results that may be expected from operating on the different assumptions identified earlier.

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RURAL DEVELOPMENT ISSUES

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RURAL DEVELOPMENT ISSUES

Problems of Rural America

In 1970, nearly 65 million people lived in the nonmetropolitan areas of this country, and several million more Americans lived in largely rural sections of our metropolitan areas. Since 1970, these nonmetropolitan areas have been showing significant growth, at a rate of 6.6 percent compared with 4.1 percent for metropolitan areas. From 1970 to 1975, they absorbed nearly 37 percent of the population growth and roughly 40 percent of the growth in nonfarm employment that occurred nationally. Despite progress in rural areas, however, rural people continue to be disadvantaged in terms of wage levels, median family income levels, employment opportunities, adequacy of housing, access to health care and other essential public facilities and services, and institutional capacity to support local decision making.

Rural areas contain a disproportionate share of the poor, with one in six nonmetropolitan residents living in poverty, compared with one in nine in metropolitan areas. Much of the rural poverty is concentrated in the South. Many areas in other regions contain continuing pockets of poverty. Many areas are also particularly susceptible to structural economic changes and have no capacity or tools to cope with these changes on a long-or short-term basis. Some of those areas are suffering from stagnation or decline. At the same time, in other areas, growth is both creating new opportunities and raising concerns about sustaining the quality of rural life.

Because of the diversity of problems and dispersed settlement patterns of rural people, it is unusually difficult and costly for them to organize effective advocacy to get national attention for problems they confront, either of disadvantage or growth. Rural communities find it excessively costly to participate effectively in important decisions of Federal agencies, in regard to both assistance programs and regulations which substantially affect their lives and their futures. (Commercial farmers, though small in number, are, of course, a notable exception to the lack of effective advocacy.) Many rural areas are also deficient with respect to the technical means and institutional capacities to alter or eliminate the factors causing underdevelopment and unemployment or to cope with the undesirable effects of growth.
or water systems. He thus leans toward the ethical absolutist side, toward the side which "knows" what is "right" and wants the "right" to prevail. Therefore, he feels justified in selling whatever he is peddling at the moment.

If he is successful in activating his program, in inducing the community to construct, with agency participation, a water system, new clinic, or to start a new social service, the impact of his work is bound to be disruptive as the power structure, balance of agency functions, and other existing relationships are disturbed by the institutional innovation. His loyal group, those citizens who helped put across the improvement, may have created antagonisms in the process and also will share in the repercussions of the change.

This "problem area specialist" concept of community development is subscribed to, consciously or unconsciously, by most of the academic disciplines and by most agencies of government. The concept is consistent with the way most professionals are "trained" and with the "license" or degrees awarded to students at the end of a prescribed course of study.

These specialists' behaviors are reinforced, initially by agencies employing such people because these behaviors, the selling of clinics, new social services, water systems, etc., are consistent with the organizational needs of the agency.

Professional assistance to individuals and communities, given on the assumptions discussed previously, are usually offered via one of two approaches. The straightforward approach is to request an audience with units of government or other power figures and/or community leaders to discuss the professional's ideas. Social gamesmanship is another approach. In this approach, audiences with local organizations or governing bodies are obtained and carefully controlled exercises are undertaken. Leading questions, calculated to elicit the predetermined response, are asked or other variations of the social game "I'm Only Trying to Help You" described by Eric Berne in Games People Play (1967), are played. The purpose of the games approach is to create the illusion that the agency is only responding to the needs identified by the community's leaders or governing officials. These behaviors on the part of CD professionals are consistent with: (1) the way they have been taught in their professional training--through lectures and carefully controlled exercises, by an "expert" who is sanctioned (licensed) by an institution, discipline or agency; (2) the role of the "problem area specialist;" and (3) the need of the agency to meet its programmed objectives.
invest in new employment creation for rural America. There is no evidence that these incentives have resulted in a change in the overall level of distribution of private investment.

Federal programs have also significantly underinvested in human resource development in rural areas. Most manpower, education, and training efforts, for example, have been concentrated in urban areas. Similarly, investment in technological innovation that effectively addresses the unique and diverse needs of rural areas has been, apart from support for agriculture and forestry, negligible in contrast to the need. In short, existing programs do not use a wide enough range of development tools, nor provide an adequate framework for either a proper mix of tools or to allow such a mix to be tailored to the unique and diverse needs of specific areas of rural America.

Limited Attention to Targeting

The Federal Government has also found it difficult to target resources on the problems of special groups in rural America. Among those most seriously affected have been the Indians, poor Blacks, and Hispanics. With limited funding and an understandable desire on the part of program managers to make cost-effective use of the funds, there has been a tendency to make public investments in the "best of the worst" areas. Thus, many of the disadvantaged rural people have failed to benefit from these programs.

Knowledge Needs

The existing fragmented programmatic approach also has caused several deficiencies in the knowledge base necessary to plan and manage both policy and programs. Insufficient intellectual capital has hitherto been devoted to understanding the causal forces, nature, and extent of rural development problems, and more currently, the presumed opportunities that may be associated with the movement of increasing numbers of people to rural areas. Institutional, physical, financial, and human resource capacity are required for development. Because of the diversity of rural areas, both problems and the resources required for development vary widely among regions and areas. An adequate rural data base does not yet exist to fully illuminate these differences and the relationships among them. Improvements in this regard are underway but more emphasis is needed. Despite this, in rural development as with other issues, policy choices must be made in face of considerable uncertainty.
No Federal Focus

Finally, and of critical importance, despite the growth of Federal assistance programs directed to rural areas and problems, there is no Federal focus for rural development policy. In fact, rural development policymaking is as fragmented as rural people are dispersed. Rural areas are often ignored in the rulemaking and regulatory processes of Federal agencies and indeed in the design of delivery systems for programs as well. The two functions, providing a policy focus and acting as advocate, are related, but they may not be synonymous.

Rural and urban areas are aspects of a single economic and social system. Both share common problems (e.g., income and employment deficiencies). Each has different advantages and deficiencies that reflect the Nation's historical values and development patterns, resource base, and spatial distribution of activities. Clearly, macroeconomic policies will be of critical importance for both rural and urban areas, but their employment and production effects in spatial terms may vary substantially. Specific rural, as well as urban, development programs may also have macroeconomic policy implications. However, macroeconomic policies and macroindicators on a national scale are not sufficient to cope with the serious distributional problems involved in economic growth and the delivery of both public and private goods and services.

Undoubtedly, with the many issues to be dealt with in balancing concerns for economic growth with other concerns for the quality of the environment, there is need for a policy focus on national development. Within the national focus, it would seem desirable for specific attention to be devoted to the needs of rural as well as urban areas, and within each, especially to the most disadvantaged. The practical, political, and operational issues involved, as well as the kind of empathy required for effective action, are remarkably different. Very different policy management and implementation systems are required to deal with small dispersed communities on the one hand and large densely packed urban places on the other.

Of course, there are many specific issues involved in pursuing complementary rural and urban development strategies. One that is frequently raised is that of defining in spatial terms the boundary for rural as contrasted with urban program efforts. But, apart from the coalitions essential for effective
legislation for either rural or urban problems, this is a question on which
reasonable administrators can be brought into agreement. Division in terms
of metropolitan and nonmetropolitan areas, adjusted for obviously rural
parts of the former, is quite feasible except to those who would council
perfection.

Objectives of Rural Development

Three critical factors combine to differentiate rural settlements and
activities for public policy purposes:

(1) Rural areas are diverse. Some hold little promise of providing an
acceptable level of living for their residents. Others are struggling
to respond to structural changes both favorable and unfavorable.

(2) Rural communities are smaller and their populations are more widely
dispersed. Thus, institutional obstacles to development require
special attention.

(3) Technologies (both physical and social-organizational) developed for
densely settled urban populations are often inappropriate for rural
areas.

It is assumed that there is a national commitment to maintain reasonable
opportunities for individuals to choose among a wide variety of life styles
and places and to assure that these choices are not inordinately costly in
terms of decent opportunities to work and live. Given this assumption, and
recognizing the diversity of rural conditions, three objectives are proposed
for a rural development strategy.

-Expand economic opportunity through improved access to better jobs and
income for low-income and underemployed rural people, and assist in adjust-
ment to structural economic change that results (or is likely to result)
in chronic unemployment.

-Provide access to a minimum acceptable level of essential public facilities
and social services for all rural people.

-Strengthen the planning, management, and decision making capacity of
public (and private) institutions concerned with economic opportunity
and quality of life in rural America.

There is widespread acceptance of the first objective, "expanding economic
opportunities." It is especially relevant in areas of the South with large
concentrations of low-income rural people and in those rural communities in all parts of the country that are negatively impacted by structural changes in the economy.

Despite considerable agreement on the objective, questions have been raised with respect to the factors that give rise to rural underdevelopment, the information required to target Federal programs, and the adequacy of the tools available to effect the desired outcome. In effect, as discussed later in this summary, these questions constitute an agenda for further intensive and urgent examination.

The second rural development objective, "providing access to essential services and facilities," adds to that agenda since strong doubts have been expressed about its appropriateness. Obviously, equal access to a metropolitan range of service cannot be provided and standards of what is acceptable will vary. Issues of both social efficiency and equity must be considered with respect to all investments in rural areas. However, serious deficiencies in education and training, health care, and other essential services persist in many rural areas and will have important consequences both for people in those areas and for society as a whole. The aim is to provide access to specified services that are functionally appropriate to rural conditions, not to provide the entire range of urban amenities.

With the third objective, "strengthening public and private institutions" concerned with the rural development process, there appears to be widespread agreement. As will be discussed subsequently, the initial stress is on the need for a policy focus and on a rural advocate within the Executive Branch and on assisting the States in enhancing the capacity for rural development policy management.

Nature of the Policy Framework Needed for Rural Development

There are three essential elements of an adequate framework for rural development policy formulation and implementation. These are: (1) articulation at least in broad outline of a national growth and development policy; (2) establishment of the main direction and emphasis of a rural development strategy within the context of national growth and development policy; and (3) definition of common problems and the programmatic actions required to deal with them. The steps underway or needed to address each of these elements are briefly discussed.
National Growth and Development Policy

The White House Conference on Balanced National Growth and Economic Development is scheduled for February 1978, with the report scheduled for some months later. The Conference will be concerned with an economic development strategy for cities, rural areas, and regions. Both the urban growth report of HUD and the rural goals report of USDA are expected to derive insights and information from the Conference. Meanwhile, an interdepartmental task force chaired by the Secretary of HUD is working with White House participation to define a comprehensive urban strategy. Obviously, both rural and urban policy will be conditioned by a national growth and economic development policy should it emerge. In the meantime, there is need for activity in the rural areas paralleling that in the urban if national policy is to reflect a balanced consideration of both.

Rural Development Strategy Options

The remainder of this paper identifies a number of options that might significantly increase the effectiveness of Federal rural development efforts, but the options require further detailed study before sufficient information will be available to allow a considered choice among them.

Within the context of a common focus on nonmetropolitan America and a concept of the development process which includes economic, social, and government capacity development, the following questions also need to be addressed:

(1) Excluding organizational changes, how can Federal economic development efforts be made more effective?
   a. Should the current mix of Federal assistance among human resource investments, public facilities (infrastructure) investments, and private sector incentives be changed?
   b. What additional mechanisms to encourage private sector job creation in rural areas should be adopted?
   c. How can Federal economic development efforts be better targeted on the rural disadvantaged; especially Indians, poor Blacks, and Hispanics?

(2) What organizational changes would contribute to a more effective economic development effort?
(3) How can specific meaning be given to the Federal concern to assure access to minimum acceptable levels of essential facilities and services to all rural residents?
   a. What are the essential facilities and services, recognizing not only people's needs but likely budget constraints?
   b. What kind of a process would contribute to establishing useful and meaningful minimum levels?
   c. Should specific quantitative goals and criteria for targeting Federal resources be adopted?

(4) How should the Federal Government contribute to building an improved institutional capacity to deal with rural development issues?
   a. What are the options for providing a Federal organizational and policy focus for rural development?
   b. What should be the role of Federal, State, and local governments in the planning and implementation process of programs for rural development?
   c. What position should the Administration take with regard to the multistate regional commissions and the multicounty substate districts?
   d. What should be the role of nongovernmental public interest organizations?

Report on the Status and Needs of Rural America

In the context of the ongoing examination of national growth and economic development and the evolving policy of the Administration, a comprehensive and authoritative public report on the status and needs of rural America and the programmatic initiatives required to deal with those needs could make a positive contribution. It has been a decade since the last such report (The People Left Behind, 1968).

The Rural Development Act provides the authority for the Secretary (or his designee) to seek data from other Federal agencies or levels of government which might be relevant to rural development. More useful information about the state of rural America is needed, especially in terms of the impact of Federal (and other) programs. Recent reports contain information which is too highly aggregated and lack an evaluative dimension.

The Secretary of Agriculture could, under the Rural Development Act, mobilize data resources and research capability to produce an authoritative report. Such a report ought to be as comprehensive as possible with appropriate judgments and recommendations in order to provide the foundation for more
focused Federal, State, and local action. Data and information collection need not be limited to Federal Agencies; it is especially important that opportunity be provided for full participation of State and local government and public interest group representatives. The Administration has stated its intention to confer widely before Federal programs are launched, putting an end to the idea that "the Feds know best." This approach recognizes that both the report and the method by which it is developed should provide explicit recognition of the significant differences that exist across the United States. The report, of course, also should help to undergird the rural dimension of the Administration's evolving national growth and economic development positions.

**Need for Integrated Rural Development Policy Management Process**

Over the longer run, effective rural development requires a more continuous and integrated policy formulation and implementation process involving all levels of government and a number of Federal agencies. Such a process will involve a series of related steps. Some involve possible organizational or procedural changes within the Federal system. Others may involve a reordering of Federal, State, and local responsibilities and increased planning, management, and decision making capacity for rural development. Still others may require changes in the tools available to accomplish rural development, including the enhancement of technical and data sources to support the effort. Key initial steps in achieving a more integrated policy management process include: (1) providing a rural development policy focus within the White House and the Executive Office of the President; (2) evolution in the rural development advocacy role of USDA; (3) strengthening institutional capacity at the State and local level to participate in the intergovernmental policy management process as well as to effectively formulate and implement policy within their own jurisdictions. Our conclusions with respect to these specific steps follow.

**Rural Development Advocate Role for USDA**

The Rural Development Act of 1972 directed the Secretary of Agriculture to provide leadership and coordination within the Executive Branch and assume responsibility for coordinating a nationwide rural development program utilizing the services of Executive Branch departments and agencies, bureaus, offices, and services of the Department of Agriculture in coordination with rural development programs of State and local governments. The Secretary was instructed to
establish specific goals for rural development and to report annually on progress. He was also authorized to initiate or expand research and development programs related to problems of rural development.

The Act gave the Secretary of Agriculture no new authority over rural development programs outside the Department of Agriculture. It did make him responsible for promoting what is essentially voluntary cooperation among relevant departments and agencies. It provided him with a legislative basis for requesting information about rural development from sister Federal agencies and departments as well as from organizations of State and local government.

In effect, the Rural Development Act of 1972 envisions the Secretary of Agriculture as a rural advocate within the Executive Branch. The Act provides the Secretary a significant opportunity to pursue more effective policy direction for rural development in the United States.

**State and Local Institutional Capacity**

There seems little disagreement over the fact that States should play a key role in implementing a national rural development policy. Development activities at the State level have grown increasingly complex and significant in the past 15 years. The new social and economic programs of the 1960's resulted in important changes in the Federal Government's relationships with the States. Throughout the country, a broader view of development has begun to emerge; it is no longer conceived simply in terms of attracting more industry. This broader view of economic development was important in the concept of rural development that took significant legislative form in the Rural Development Act of 1972. As development issues have become more complex, they have required the attention and decisions not of a single agency, but rather of many agencies and political jurisdictions. These changes have increased the importance of the States' role.

However, a number of serious questions have been raised about their ability to take on this role. In fact, after a number of years of Federal support for capacity building to multicounty and substate districts and cities, the States may now be the weakest element in the attempt to establish a meaningful intergovernmental policy management process for rural development.

A critical requirement for effective policy and action at the State level is to involve all relevant State agencies, substate regional organizations,
and the elected leadership of counties and cities in the process from the outset. From the rural development perspective, at least, States need the equivalent of a governor's development council in which rural is an important dimension. The role of the council would be not only to bring together the State policymakers to decide on development issues, but also to build a constituency for the adoption and implementation of a development plan and program for the State. Effective leadership by the governor is essential and this, in turn, requires that he or she have access to an adequate policy management staff to work with the State agencies and outside groups.

In those States where the governor is seeking to exercise effective policy management over the development process, the Federal Government, through an appropriate rural development agency, should be prepared to provide funds for an adequate policy management staff. EDA's State economic planning program is one important building block in creating the policy management capacity for governors and their cabinet. Other departments of the Federal Government should join in this particular capacity building effort. However, financial assistance is only one element in developing the capacity of States. Another major component is consistency in the manner in which the Federal Government deals with States and local governments in its rural development programs. Additional options to be considered are:

1. Delineation of a single set of substate districts by the States and operation of all Federal development programs through these districts.
2. Creation of a national set of multistate regional commissions that encompass the entire country. The functions of the commissions should include not only planning, but also implementation of a set of development programs.
3. Federal support for voluntary multistate organizations created by the States for planning and implementation of development programs.

An Expanded Role for Private Enterprise Is Indicated

In order to significantly expand the role of private enterprise--to create a partnership--in meeting the goals of rural development, new initiatives will be needed. Among the options that deserve serious consideration are the following:

- Establishment of a National Development Bank with authority to operate throughout nonmetropolitan America as well as in the distressed major core cities.
- Differential tax incentives that favor investments in poor rural areas and those with chronic unemployment problems (as well as the distressed core cities of many older metropolitan areas).
- Wage and output incentives to encourage private expansion of employment opportunities.

**Interim Joint Program Initiatives Are Feasible and Desirable**

Interagency efforts are most successful when there is a common, agreed-upon objective that can be accomplished within a relatively short time-period. Concurrent with efforts to more precisely define rural development policy, it is worth exploring whether limited objectives might be established with respect to one or more functions for which USDA has a significant responsibility for current programs in which other agencies also have a stake.

One possibility is in the housing field, in which both the Farmers Home Administration and the Department of Housing and Urban Development have a major stake.

A second is the provision of technical assistance to small communities (Extension Service, RDS through Section 111, CSA, Regional Commissions, ACTION, Department of Housing and Urban Development). Joint funding efforts could lead to the redefinition of objectives and the reallocation of functions as well as test the "climate" for interagency cooperation and serve as a transitional step in more fully developing the Secretary's role. The need to relate technical assistance activities is recognized in established programs in other departments or agencies and provides an excellent opportunity to use existing USDA networks to promote rural development activities.

A third area is the development of a more adequate rural data base. The Rural Development Act of 1972 requires the Executive Branch to establish goals for rural America and to report progress toward achieving them. The previous Administration set qualitative goals but did not address the problem of creating a data base. Today, no data base exists for adequately assessing detailed conditions in rural areas, the changes taking place, or the relative impact and effectiveness of Federal programs. Such a data base should be created. The creation of a rural development data base would require substantial participation by numerous technical people (research, statistical, and operational) in several departments and agencies over an extended period of time. The work
could most effectively be undertaken through a jointly funded Interagency Rural Development Data Base Project.

Finally, a joint initiative to begin to provide the means to more effectively meet the technology requirements of rural America could be very productive.

These technology requirements, with the exception of those of agriculture and forestry, have received too little attention. The physical and social technologies involved in rural community facilities and the delivery of services to rural areas have largely been transplanted from the urban setting for which they were developed. Interagency collaboration is needed to develop a program for the design of technologies, including service delivery systems, specifically for application in the rural setting and for the dissemination of information regarding rural technologies to rural areas. The elements of such a program might include the creation of a National Institute of Rural Research and Development, with authority to conduct research and development and to make grants to public and private institutions for such purposes; and a Rural Development Demonstration and Technical Assistance Fund to make grants to local units to demonstrate the application of innovative technology and to assist other units in the adoption of that which has proved successful. The activities provided for in Title V of the Rural Development Act and the regional Rural Development Centers, underfunded at present, are significant building blocks for this process.
ON THE ART OF HERDING

Slightly revised from an original Translation

by Donald K. Darnell

Note: This translation of an ancient manuscript in an unknown language had recently been completed by the use of highly sophisticated redundancy analysis. The author is also unknown, but the age of the manuscript and the content suggest Noah as a likely source.

Having had recently what is, hopefully, a unique experience, and at the moment having nothing better to do, I have decided to set down what I have learned about the Art of Herding both for my own amusement and for the benefit of my sons and theirs.

The first thing I would mention is that almost all animals love freedom and cannot be expected to submit passively to the desire and direction of a herder. They are not inclined to understand why they should go from where they are to another point, or why anyone should direct them to do so. They are, therefore, naturally inclined to evasive action and seeming perversity. The direct route to the objective is not always the most effective route, for if they are permitted to meander as is their normal wont, they will of their own will seek the high ground and the richer fodder, though they may not choose the path prescribed by the herder. If a mild manner and a light hand allow them to choose their own course (if not the objective), they will arrive sooner and in better form and spirit. Abrupt movement, loud noise, or any hint of urgency is apt to cause them to scatter in all directions or elect some course that leads to delay or even destruction.

A second point about the lot before I turn to the particular kinds of beasts. Upon finding what it is that a kind of beast desires, but mark a path with that in some abundance and seek a vantage point from which you may secure him and reassure him when he has led himself where he would not be driven. Food and drink or the company of their kind will often serve, but some there are which seem to want nothing so much as their own freedom, that neither salt nor tea will entice. In that event, the illusion of escape will be avidly pursued.

I was in my youth taught certain sequences of movements which I have come to think of as a herder's dance. Such things now appear to be of more value in amusing other herders after their flocks are penned than in penning
the flocks. I have, in fact, known some herders to become so immersed in the performance of these rites that their flocks were lost. I do not, therefore, deign to describe that other art but do insist, in every case, that the herder must be swift of eye and fleet of foot, and that he must know his beast. And, if he has enough of the latter he may do with less of the former. And so it is that old men and small boys are often set to the same task, the one to accomplish with wisdom what the other achieves with the vigor of youth. Better it would be if vigor did not depart until wisdom had arrived, but so it is with any art.

I will now set down some things about specific kinds of beasts. As we cannot delay the departure of vigor, we must hurry the arrival of wisdom if the art of herding is ever to be perfected.

Of domestic beasts I would say nought, for one may usually know the individual beast so well that any general rule would do more to blunt common sense than to sharpen the understanding.

Of fowls, domestic and otherwise. Although not properly considered beasts, all that I have said before may be applied to fowls of all kinds. They are, however, more inclined to fright than most and require such gentleness and patience that I have found it better to catch them on the roost, bind their feet together, and transport them by other means. To attempt greater kindness is almost certainly exasperating and on one occasion did cause the fowl to suffocate themselves in a pile. They were then no good to me, nor to themselves, nor to continue their kind.

Of serpents. These are, perhaps, the most difficult beasts to herd as they are seemingly the most apathetic. They require sustenance only infrequently and are content to lie up and sleep the greater part of the time. They seem incapable of movement early in the day when other beasts are the most lively. Then, in the heat of the day when sleep comes on the weary, they are inclined to go quietly each his own way. Yet, as a group in the world of beasts, they seem to have survived longer than any other.

Of giraffes and other tall beasts. The giraffe, though he seems an ungainly beast, is a mighty runner and difficult to handle. His head, though seeming small, is filled with lofty thoughts; his fodder is beyond the reach of most beasts so that he thrives where others starve and wastes away on that which is good forage for the common herd. The greater problem with herding the giraffe is, however, that from his towering view he often sees the herder's bluff for what it is. He is, for all these reasons, best handled in small numbers and with considerable support.
Of bears and other furry beasts. Those beasts whose skins are worn chiefly for ornament, and especially bears, cannot properly be herded, but they may be driven. They are more easily driven downwind, for the scent of the unknown is more frightening to them than the sight of the familiar. If one must herd bears or others of that kind, tis best he know that they are well fed and which way the wind blows else they may fare better than he. Except that grizzly bears are best left to do as they please.

Of monkeys and other climbing beasts. Since the usual fare of these beasts is mostly found in vines and trees, they must be permitted to browse there, or they must be provided for. Since they collect their own fare with greater ease than it can be collected for them, in the long run it is better to deal with them on their own terms as the lesser inconvenience.

What is said of monkeys may be said of most beasts. They are easier to control out of their natural habitat. For when they are removed from their natural forest or plain, wherein they are self sufficient, they become dependent upon the herder for their very existence. And the price of such dependence is submission to the herder's control.

I find the writing of this journal more strain than I had thought, so I will end it with a note on how it may be completed. I have found it useful to ask young men for advice on the herding of sundry beasts. What they lack in experience they often replace with imagination. Strangely, they often show surprising wisdom for their years, and stranger still, the advice they give may even be applied to the management of men. For man, having been created on the last day, seems to possess every quirk of every other beast. And in any crowd of any number some will be found which follow the rule of another beast that came before.

There are those which are prone to fright and suffocation; those which are prone to define for themselves that which is best and each go his own way; those who are tall enough to see the herders dance for what it is; those for which the means of sustenance is of a nature that it is exceedingly difficult for the herder to provide; those which must be driven but only at great risk to the herder; and those which are best left to do as they please.

It is well that you consider what I have set down and add to it, for our continuance may depend on the development of the art.
The Fool

Discoveries of any great moment in mathematics and other disciplines once they are discovered are seen to be extremely simple and obvious, and make everybody including the discoverer appear foolish for not having discovered them before. It is all too often forgotten that the ancient symbol for the prenescience of the world is a fool, and that foolishness, being a divine state, is not a condition to be either proud or ashamed of.

Unfortunately, we find systems of education today which have departed so far from the plain truth, that they now teach us to be proud of what we know and ashamed of ignorance. This is doubly corrupt. It is corrupt not only because pride is in itself a mortal sin, but also because to teach pride in knowledge is to put up an effective barrier against any advance on what is already known, since it makes us ashamed to look beyond the bounds imposed by one's ignorance.

To any person prepared to enter with respect into the realm of his great and universal ignorance, the secrets of being will eventually unfold, and they will do so in a measure according to his freedom from natural and indoctrinated shame in his respect for their revelation.

In the face of the strong, and indeed violent, social pressures against it, few people have been prepared to take this simple and satisfying course towards sanity. And, in a society where prominent psychiatrist can advertise that, given the chance, he would have treated Newton to electric shock therapy, who can blame any person for being afraid to do so?

To arrive at the simplest truth, as Newton knew and practiced, requires years of contemplation. Not activity—not reasoning, not calculating, not busy behavior of any kind, not reading, not talking, not making an effort. Not thinking, simply hearing in mind what it is one needs to know. And, yet those with the courage to tread this path to real discovery are not only offered practically no guidance on how to do so, they are actively discouraged and have to set about it in secret, pretending meanwhile to be diligently involved in the frantic diversions and to conform with the deadening personal opinions which are being continually thrust upon them.

In these circumstances, the discoveries any person is able to undertake, represent the places where, in the face of induced psychoses, he has, by his
own faltering and unaided efforts, returned to sanity, painfully and even
dangerously, maybe, but nonetheless returned, however, fruitfully.

Or, Axiom 2 - The law of crossing - The value of a crossing made again
is not the value of the crossing.

Or, In this sense, in respect of its own information, the universe must
expand to escape the telescopes through which we, who are it, are trying to
capture it, -- which is us. The snake eats itself. The dog chases its tail.

Or, Coming across it thus again in the light of what we had to do to
render it acceptable.

We see that our journey was in its preconception unnecessary although its
formal course once we had set out upon it was inevitable.

Quotes from the book, Laws of Form, by G. Spencer Brown, published by George
Allen E. Unwen/455-6550. Trumpcard Zero "The Fool" from a contemporary tarot
deck flowed out from Lama/cook book fund, Box 442, Corrales, New Mexico, USA,
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