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The rural-urban interface : challenges for the extension system

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To the Graduate Council:

I am submitting herewith a dissertation written by Ray W. Burden entitled "The rural-urban interface : challenges for the extension system." I have examined the final electronic copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Education, with a major in Educational Administration.

Norma Mertz, Major Professor

We have read this dissertation and recommend its acceptance:

Grady Bogue, Robert B. Cunningham, Randol Waters, Roy Lesley

Accepted for the Council:

Carolyn R. Hodges

Vice Provost and Dean of the Graduate School

(Original signatures are on file with official student records.)


To the Graduate Council:

I am submitting herewith a dissertation written by Ray W. Burden, Jr. entitled "The Rural-Urban Interface: Challenges for the Extension System." I have examined the final paper copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Education, with a major in Educational Administration and Policy Studies.




Dr. Norma Mertz, Major Professor

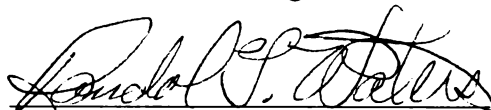
We have read this dissertation
and recommend its acceptance:




Dr. Grady Bogue



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Acceptance for the Council:



Vice Provost and Dean of Graduate
Studies

**THE RURAL-URBAN INTERFACE:
CHALLENGES FOR THE EXTENSION SYSTEM**

A Dissertation

Presented for the

Doctor of Education Degree

The University of Tennessee, Knoxville

Ray W. Burden, Jr.

May 2002

DEDICATION

This dissertation is dedicated to my wife,

Bonnie Burden,

and my daughter,

Lani Burden

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I would like to take this opportunity to express my sincere thanks and appreciation to the faculty of the University of Tennessee's Department of Educational Administration and Cultural Studies. To my dissertation committee, Norma Mertz, Grady Bogue, Robert Cunningham, Randol Waters, and Roy Lessly, I offer my deepest thanks for their input, guidance and assistance in preparing this dissertation.

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ABSTRACT

The purpose of the study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner. The research questions guiding the study were: How did each of the two selected county Extension Services successfully change their service orientation from rural/agricultural to urban/suburban; and what were the common success factors that can be identified from the two case studies?

Case study method was used to secure the richest, thickest data and the widest array of insights into the phenomenon of successful transition from rural to urban. Drawing on recommendations from knowledgeable individuals within the Extension Service system, Waukesha county, Wisconsin and Gwinnett county, Georgia were chosen as exemplars of the successful transition.

Data were gathered from in-depth interviews with county and state faculty and staff, including Extension Service and county government officials, and written documents which were then analyzed using a coding schema to identify thematic areas. Then the cases were examined for common themes.

Three broad factors (themes) were identified as critical to the successful transition in Waukesha county: leadership, forced change, and the influence of changing demographics. Three broad themes were also identified as critical to the successful transition in Gwinnett county: leadership, gradual change, and an appreciation for the traditional role of Extension.

In comparing the two cases, both counties reached the same end, having arrived there from diametrically different places. The presence of a persistent, strong, guiding and enduring leadership appears to be the sole commonality between the two cases.

TABLE OF CONTENTS

Chapter	Page
I. INTRODUCTION	1
Background.	4
Problem Statement	5
Purpose of Study	5
Research Questions	5
Significance of Study	6
Delimitations	6
Limitations.	6
Overview of Design and Methods	7
Definitions	9
Organization of Study	10
II. REVIEW OF LITERATURE	12
History of the Extension Service.	12
Extension Service Positional Papers and Impact Reports.	23
Urbanization.	29
Organizational Change	32
Leadership.	33
Case Studies of Organizational Change.	43
Internal Factors of Organizational Change.	47
Cultural Change.	48
III. METHODS AND PROCEDURES.	54
Methods	54
Research Design	54
Population.	55
Methods.	55
Procedure.	57
Data Collection and Analysis	60
Validity and Reliability	65
IV. UNIVERSITY OF WISCONSIN – EXTENSION, WAUKESHA COUNTY	71

V.	UNIVERSITY OF GEORGIA COOPERATIVE EXTENSION SERVICE, GWINNETT COUNTY	113
VI.	COMPARISON OF CASES	141
	Waukesha County	141
	Factors	142
	Leadership.	142
	Forced Change	150
	Demographics	151
	Gwinnett County.	152
	Factors.	153
	Leadership	153
	Gradual Change.	156
	Appreciation for Traditional Role of Extension	157
	Comparing Waukesha and Gwinnett County Cases	159
VII.	SUMMARY, DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS.	167
	Summary of Findings.	168
	Discussion.	170
	Conclusions.	179
	Recommendations for Further Research.	179
	REFERENCES	181
	APPENDIX.	186
	VITA	229

LIST OF TABLES

<u>Label</u>	<u>Title</u>	<u>Page</u>
1	Documents Utilized in Research	61
2	Initial thematic Categories with Sub-categories for Waukesha County	63
3	Initial Thematic Categories with Sub-categories for Gwinnett County	63

CHAPTER I

INTRODUCTION

Since the early 1920s, the population of the United States has become increasingly urbanized. This growth began to accelerate rapidly in the years immediately following World War II and reached current levels during the 1960s. Census data reflects this dramatic increase in urban areas between 1920 and 1970 (Appendix A). Since 1970, the greatest increase in population has been in those counties containing or associated with large urban centers (also known as “suburbs”). Along with this urban expansion, there has been the emergence of the “transition county”. This is a county which is undergoing a major change in land-use from rural/agricultural to “bedroom community” and finally urban or suburban (Berry, Leonardo & Bieri, 1976). This change has not only impacted existing demographics but has also impacted local funding and programming for the county Agricultural or Cooperative Extension Service.

Since its inception in 1914 through the Smith-Lever Act (Appendix B), the Extension Service has been traditionally associated with rural America and assisting families in the areas of agriculture, home economics (now called family and consumer science), youth development (primarily through its 4-H program) and community resource development (or CRD). However, in the basic legislation that established the Extension Service through the land-grant colleges in each state and territory, there was no distinction made between city and county or rural and urban. The legislation simply stated that each state would provide for the education of its citizens in the areas of agriculture, home economics and later, in community resource development. As the

states began to develop individual Extension Services following the passage of the Smith-Lever Act (some being called Agricultural and others called Cooperative Extension Services), there were no limitations as to the type of county (rural or urban) to which the services were to be offered. Each county had to establish a "County Extension Office," which proceeded slowly for several reasons, not the least of which was that the individual counties (both urban and rural) had to establish and maintain partial funding of the local county Extension Service office and personnel (Kelsey & Hearne, 1963).

The early programs in both rural and urban counties were similar in that programs on food safety, basic nutrition, vegetable growing and even in many of the urban counties of the first half of the twentieth century, basic agricultural practices of beef, dairy, swine, sheep and poultry production, were utilized by many residents. As the economic and climate-related agricultural crisis of the late 1920's and early 1930's peaked, the enormous shift from farms to cities began changing the face of America (Kelsey & Hearne, 1963). By 1950, over 60% of the population of the United States lived in urban communities. Eastern and mid-western cities that had long been major population centers expanded and grew even larger. Areas of the western United States also saw steady increases in growth patterns and major population centers developed up and down the west coast (Henderson, 1997).

This growth had continued unchanged through the Great Depression of the 1930's, World War II and on into the 1970's. As the cities began to sprawl out from their traditional boundaries, the surrounding counties that had long been supplying these cities with many of their agricultural products began facing a new challenge. Much of the land

necessary for the increased urban areas was coming from land that had been previously used for the cultivation of crops and livestock production (Henderson 1997).

As these counties changed in demographics and land-use, so did the needs of the residents. The new residents were not tied to agriculture as were many of the long time citizens, although many of the residents might have been the first generation “off the farm”. These new residents demanded services that many of these formally rural counties had not been providing. Nowhere was this more obvious than with the services and programs requested of the local county Extension Services. With personnel, usually called County Extension Agents, trained in and holding degrees in agriculture and home economics, many clients, Agents and local government officials, began to question the need for or viability of a county Extension Service.

As the public demand for accountability began to grow in the 1970’s and 1980’s, the need for continued funding of the local county Extension Service offices in these “transition” counties was questioned by many local residents. For some county and state Extension Services, this scrutiny began the process of revitalization and redirection to provide programming that met the needs of their changing urban and suburban clientele. For other counties involved in this transition, it became a time of great consternation and upheaval (Smith, 1991).

Considered by some to be one of the few true examples of federalism, the Extension Service has managed to maintain its role as the public service provider for the land-grant system throughout its 85 year history. However, in doing so, the Extension

Service has been faced with the challenge of meeting the needs of a changing clientele in many areas.

Background

A cooperative effort between the USDA, state government (via the state land-grant universities) and local county government, the various state Extension Services have had to deal with serious questions from local and state governments concerning agency mission in so-called transition and urban counties. Although no state has ever totally eliminated their Extension Service, there has developed a wide variety of options for addressing the issue of local programming and maintaining funding for urban counties. States such as Texas and Wisconsin have implemented urban initiatives as an additional section within the existing administrative framework of their respective Extension Services. Other states, such as Tennessee and Georgia, make no distinction or separation for urban counties.

Programming by the Extension Services has developed to include special emphasis areas dealing with limited resource and food stamp families, inner-city youth programs, urban horticultural programs (such as the Master Gardener program), and assisting local county and or city governments to develop grants for economic development. Funding options range from a 50%-50% partnership between local and state/federal bodies (as in Hamilton county, Tennessee) to near 90% local funding (as in New York City). The process whereby these transition and urban counties have been successful in adapting their programs to meet these changing conditions is an area in which little or no comprehensive studies have been conducted.

Problem Statement

As the United States has become more urbanized over the last 50 years State Extension Services, administered through the Land Grant Universities, have been forced to re-examine their mission and to attempt to respond to a clientele-base with very different and sometimes challenging needs. Some state Extension Services have successfully made the changes necessary to serve the urban-suburban clientele. Others continue to struggle to manage that transition. These challenges have forced the local county Extension faculties and staffs to deal with issues for which many were not or have not been adequately trained or prepared.

The critical question then, is how did those counties that have made this transition successfully, do so?

Purpose of the Study

The purpose of this study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner.

Research Questions

1. How did each of the two selected county Extension Services successfully change their service orientation from rural/agricultural to urban/suburban?
2. What were the common success factors that can be identified from the two case studies?

Significance of Study

At the current time there is a nationwide need within the various Extension Services, particularly at the county level, for information on successful transition and maintenance of programs in urban areas. Presently, there are virtually no empirical studies on how local Extension Services have made the transition from serving primarily rural needs to serving urban needs. This study will document the process used by two county Extension Services who have made the transition in what is considered to be an exemplary manner. Further, this study will provide insights into the transition process of Extension Services as well as provide models of the transition process and identify common success factors in that process, for use by other Extension Services seeking to make the transition.

Delimitations

This study was delimited to two counties in the United States - Gwinnett county, Georgia (metro Atlanta), and Waukesha county, Wisconsin (metro Milwaukee).

Limitations

Because I am currently a County Extension Agent with the University of Tennessee Agricultural Extension Service, I was working as an “insider”. Although this certainly assisted me in developing the relationships and contacts that were necessary to conduct this study, it also raised questions about my objectivity. Every effort was made to gather and analyze the data objectively, and to be aware of the potential effects of my insider status. Nevertheless, it remains a potential limitation.

Although I selected exemplars of successful transition for this study, there may have been personnel, political and economic issues of a local nature that influenced the successful transition by a county Extension Service from rural to urban demographics. These differences may not allow for generalizing the process to other counties undergoing a similar transition from rural to urban demographics.

Overview of Design and Methods

Case study method was selected for the study in order to secure the richest, thickest data and the widest array of insights into the phenomenon of successful transition from rural to urban. The complexity of the Extension Service and the need to answer the question of “how” the two selected counties made the transition provided further impetus to select case study method for this research (Merriam, 1998 and Yin, 1994).

The choice of the two counties was based on recommendations from three state and one national-level program director and coordinators currently working within the Extension Service system. Based on the recommendations of these individuals, a list of three possible sites common to all of the recommendations was developed. After reviewing estimated research costs, travel time, and geographical locations of the proposed sites, the final selections were made.

Multiple sources of data provided the depth and richness of information that was necessary to develop the holistic story of the two case studies. Data gathered included in-depth interviews with county and state faculty and staff including Extension Service and county government officials and analysis of written documents. In each of the two selected counties, interviews were used to obtain detailed information from (multiple)

knowledgeable sources (e.g. those involved in the process) about the transition process. All interviews were conducted on site at the two selected county Extension offices. County and state documents reviewed included yearly reports generated by the local county Extension offices, state level Extension reports (especially those focusing on programs and changes that took place in the selected urban counties), U. S. Census Bureau records of the selected counties covering the period studied, newspaper articles, photographs, yearly reports, and annual narrative reports that provided insights into local or state level activities targeting changing clientele. Documents were utilized to provide additional sources of data related to the transition process, to add depth and context to the interviews and to verify what was learned in the interviews.

The interview protocol used in the study was intentionally designed to pose only a few open-ended questions. Probes were used to gain clarification and greater depth in the exposition and to explore aspects that were not addressed. The initial questions and probing of responses were used to build a story of the transition process as seen by the interviewees. All interviews were recorded and interviewer notes were taken.

Each case study was analyzed individually using a coding schema such as that described by Coffey and Atkinson (1996) to identify thematic areas in the interview transcripts, interview notes, historical documents, photographs and other sources of data. Data manipulation involved the thematic triangulation of in-depth interviews of Extension staff and faculty, in-depth interviews of local government officials and document analysis. Common themes were then identified in each of the data sources. Thematic identification provided a basis from which the story of how each Extension

Service made the successful transition from a rural to urban county in an exemplary manner.

By comparing the thematic issues identified in the two individual case studies, a stream of similar processes that were utilized in both counties was developed. From these similar themes, the common processes implemented by the two counties in making a successful transition from rural/agricultural to urban/suburban was developed.

Definitions

Clientele - Clientele are individuals who participate in or receive the benefits of Extension programs.

County Extension Agent - Also called County Extension Faculty; County based faculty or staff that are part of a state's Extension Service administered through a state land-grant institution.

CSREES - Cooperative State Research, Education, and Extension Service; a branch of the USDA that is administratively responsible for coordination of research, education and Extension Service activities between those states and institutions involved in the land-grant system.

Extension Coordinator – May also be called County or Area Extension Coordinator; administrative coordinator and/or manager for a local Extension Service office.

Land-grant University - University established via the Morrill Act of 1862 (and subsequent acts in 1890 and later as part of the Native American Education Act) to provide education, research and outreach (or Extension) in each state and territory in the areas of agriculture and the "mechanical arts".

NASULGAC - National Association of State Universities and Land-grant Colleges

Stakeholders - Individuals who have a special interest in Extension Service activities.

Stakeholders may or may not also be clientele.

USDA - United States Department of Agriculture

Organization of Study

This study is organized in seven chapters. Chapter one contains a general overview of the research project. Included in this chapter are the following sections: Introduction, Statement of Problem, Purpose Statement, Research Questions, Significance, Delimitations, Limitations, Overview of the Study Design, Definitions and the Organization of the Study.

Chapter two provides a critical review of the literature. This chapter focuses on four areas of literature: the history of the Extension Service, Urbanization, Organizational Change Studies, and Position papers and impact reports by Extension Service faculty.

Chapter three details the research methods utilized in the study. Included in this chapter are details on case study method, and how it was used in the study, procedures used in the conduct of the study, and data collection and analysis. Additionally, the issue of researcher bias is addressed

Chapter four is a case study of the Waukesha County Extension Service. This chapter addresses the process that the Waukesha Extension Service underwent in changing from a rural-agricultural service orientation to an urban/suburban service orientation.

Chapter five is a case study of the Gwinnett County Cooperative Extension Service. This chapter addresses the process that the Gwinnett Extension Service underwent in changing from a rural-agricultural service orientation to an urban/suburban service orientation.

Chapter six is the analysis of the two case studies. In this chapter, the second research question, “What were the common success factors that can be identified from the two case studies?” is addressed.

Chapter seven includes four sections: a Summary, Discussion, Conclusions, and Recommendations for further research.

CHAPTER II

REVIEW OF LITERATURE

Although there are no studies which describe the Extension Service and urbanization, there is a body of literature dealing with urbanization, theories of organizational change, and position papers and program descriptions about the Extension Service. Selected works within these areas were used as the literature base for the study. The literature is presented in four sections: History of the Extension Service, Extension Service Position Papers and Impact Reports, Urbanization, and Organizational Change.

History of the Extension Service

The formation of the Extension Service in 1914 by the passage of the Smith-Lever Act may actually be said to be the culmination of over 125 years of societies, institutes and organizations devoted to increasing the knowledge of farm families in the areas of agricultural and family life skills. With the establishment of the Society for Promoting Agriculture in Philadelphia in 1785, and the Massachusetts Society for Promoting Agriculture (circa 1790), there was widespread development of educational events and programs designed to improve the efficiency of the American farmer. During the early years of the nineteenth century, Columbia University and Rensselaer Institute developed programs in which individuals were trained in sciences for the “common purposes of life” (Kelsey and Hearne, 1963, 13).

By the middle of the nineteenth century, institutes were being developed by local and state governments to provide the latest information to farmers on practices of crop and livestock production. These farmers’ institutes included a variety of topics and lasted

from one to three or four days. In some areas, colleges and universities provided lectures to local farmers. One such example was the Yale Scientific School in New Haven, Connecticut (Kelsey & Hearne, 1963).

One of the most significant occurrences in higher education and the development of the Extension Service was the passage by Congress of the Morrill Land-Grant Act in 1862. This Act provided for the establishment of an institution of higher education in each state whose main purpose was to “teach such branches of learning as are related to agriculture and mechanic arts...” for the “...practical education of the industrial classes...” (Brunner & Yang, 1949, 4-5). With the establishment of the land-grant system across the United States, the farmers’ institutes began to flourish. By 1890 institutes were being held on a permanent basis in twenty six states with many including sessions on topics such as food preparation, nutrition, meal planning and a variety of other family-life skills. In 1899, all states except one were holding farmers’ institutes on a regular basis. These institutes were conducted by the state land-grant colleges of agriculture (Kelsey & Hearne, 1963).

In 1890, the second Morrill Act was passed which further increased the land-grant system by laying the foundation for the development of the historically black land-grant institutes. These institutes became involved in the development of extension-type programming with programs and institutes aimed at the African-American farm family (Kelsey & Hearn, 1963).

Shortly after the turn of the century several states, including Pennsylvania, New York, Illinois and Iowa, had developed a state Extension System through their respective

land-grant institutions. In all of these cases, programs expanded to include not only agricultural institutes for farmers, but also programs for homemakers and youth. In much the same manner as the farmers' institutes had grown, so did the state programs. By 1907, thirty-nine state land-grant colleges were involved in extension-type work (Brunner & Yang, 1949).

Another milestone in the development of the Extension Service was the Country Life Commission in 1908. Appointed by President Theodore Roosevelt, the Commission was charged with making recommendations on a "remedy" for the apparent disparity between rural and urban peoples. In doing so, the Commission found that the basic problem was the overall "lack of a proper kind of education" (Brunner & Yang, 1949, 11) for rural Americans. To deal with this difference in educational opportunity, the Commission recommended the establishment of some form of continuing education for all rural residents – youth and adults. The Commission cited the efforts already underway by the state colleges of agriculture and the U. S. Department of Agriculture (which by this time had also become involved to a limited degree in extension education) as providing the most effective and efficient means of meeting the aims and goals of the Commission (Brunner & Yang, 1949).

A discussion of the development of the Extension Service would not be complete without at least a mention of one individual – Seaman A. Knapp. Knapp is credited with the development of the demonstration farm method of teaching. From the late eighteen hundreds until his death in 1911, Dr. Knapp pioneered many of the innovative educational techniques that would eventually become the mainstay of delivering

Extension programming. Originally from New York, he moved to Iowa shortly after the Civil War. While in Iowa he utilized innovative farming techniques on his own farm increasing production above averages for the area. Also while in Iowa he began teaching at Iowa State College and actually served a short term as the institution's president (Kelsey & Hearne, 1963).

In 1886, Knapp moved to Louisiana where he was involved in the agricultural development of a large tract of land. Although local farmers were reluctant to incorporate many of his innovations, Knapp persisted by bringing in farmers from northern farms and demonstrating the various techniques he was attempting to implement (Kelsey & Hearne, 1963). When the boll weevil infested southern cotton fields around the turn of the century, Dr. Knapp received \$40,000 to provide educational assistance to farmers in the battle against the weevil. Working primarily with cotton growers in Louisiana, Texas and Arkansas, he helped establish county staff, who were called agents, to work with the 7,000 farmers in the three states. In 1906, with the assistance of Dr. Knapp, W. C. Stallings was appointed County Agent in Smith county, Texas, becoming the first official Extension Agent (Kelsey & Hearne, 1963).

During the late nineteenth and early twentieth century, there was growing support for the establishment of a nation wide system of extension educational programs. By 1913, with the successes of Dr. Knapp and the farmers' institutes, support had increased to the point that sixteen bills were introduced into Congress for the establishment of a federally supported Extension Service. Land-grant colleges had thrown their support behind such a proposal in 1908, thus clearing the way for the program. Representative

Asbury Lever of South Carolina introduced one of the bills in 1913. Lever's bill was seen by many educators and government officials as being more closely related to the mission and philosophy of the land-grant institutions. Georgia Senator Hoke Smith co-authored the final bill that was approved by Congress in 1914. Thus the bill establishing the Cooperative Agricultural Extension Service became known as the Smith-Lever Act (Brunner & Yang, 1949).

Although the early impetus for establishing the Extension Service was based on the needs of a rural population, many aspects of family life skills and youth development that became a part of the Extension educational programs were seen as needed by residents in both rural and urban areas. Programs dealing with food and nutrition, food safety and preparation, food preservation and storage, along with youth programs devoted to citizenship, leadership and community service, were not seen as unique to rural life (Kelsey & Hearne, 1963).

From the inception of the Extension Service system in 1914 until the early 1960's, Extension was an active and vital part of everyday life in most rural counties across the United States. With the post-war boom of the late forties and fifties, there were significant changes in the type of services required by its clientele.

As the United States emerged from World War II, the Extension Service, like much of American society, was to undergo critical evaluation by stakeholders and government officials. This evaluation first took the form of a 1946 United States Department of Agriculture (USDA) report entitled, *Report of the Committee on the Scope of Extension's Educational Responsibilities* (or more commonly called the *Kepner*

Report). This report was the first of what was to become several significant examinations of the purpose and mission of the Extension Service (Sanderson, 1988).

The *Kepner Report* held that the Extension Service had a much wider clientele to serve than had been the tradition for the first thirty years of its existence. The committee, made up of State and Federal Extension Service leaders, specified that Extension was intended to be an all inclusive agency and not just one designed to focus on rural and/or farm families. This can be clearly seen in the report's conclusion that Extension should include, as part of its national initiatives, a focus on economic issues, cultural values, and social relationships. All of these were seen by the committee as necessary "...so that America's understanding would encompass the increasingly urban and international dimensions of the postwar world" (Sanderson, 1988).

Shortly after the *Kepner Report*, a joint report by the USDA and the Association of Land-Grant Colleges and Universities, titled the *Joint Committee report on Extension Programs, Policies, and Goals*, was released in 1948. This report, in a fashion similar to that of the *Kepner Report*, urged the expansion of Extension programming into all areas of American society. The report emphasized that all Americans, regardless of where they lived and worked, faced similar challenges such as understanding public policy and dealing with human relations. Although these were areas that were not perceived as traditional Extension program areas, the committee urged the Extension Service to develop initiatives that would deal directly with these topics (Sanderson, 1988).

A decade later, in 1958, the Extension Committee on Organization and Policy (ECOP) published a report commonly called the *Scope Report*. In this report, the

Extension Service was seen as having to serve an ever changing clientele and provide an ever widening scope of programs. It was this diverse audience and program initiatives that led the *Scope Report* to conclude that the Extension Service should set as priorities: increasing agricultural efficiency, a greater emphasis on conservation of natural resources, increased awareness of the interrelationship of farm and home, family and life-skills developments, increased use of experiential techniques in youth development programs, community and resource development, and public policy education (Sanderson, 1988).

The *Scope Report* emphasized Extension's increasingly diverse clientele. No longer were Extension professionals working almost exclusively with rural clientele. In the decade following World War II, Extension programs broadened to include an expanded agricultural base (such as commodity groups, processors, distributors, and retailers) as well as urban residents. The challenge to the Extension Service was how, with the inclusion of these "newer" clientele groups, to continue to meet the needs of its traditional clientele base (rural farm and non-farm families) while at the same time providing quality programming for the new non-traditional clientele (Sanderson, 1988).

Between 1960 and 1965, specific legislation was passed by Congress to address a variety of problems facing urban, limited resource, and minority populations. Utilizing funds based on grants-in-aid, Congress was able to direct Extension's efforts to the needs of urban and inner-city residents. Programming efforts expanded to include community resource development, limited-resource nutrition education programs and expanded urban 4-H programs (Sanderson, 1988).

State Extension Directors came together in 1966 along with the United States Department of Agriculture and the National Association of State Universities and Land Grant Colleges (NASULGC) in an effort to provide "...a top level analysis of Extension's present posture and the role it may be expected to perform in the decade ahead" (Albrecht, 1968, iii-iv). The result of this initial meeting was a Joint United States Department of Agriculture and National Association of State Universities and Land Grant Colleges Study Committee on Cooperative Extension in 1968. This committee was charged by the Secretary of Agriculture and the Executive Committee of NASULGC, with addressing the future of the Extension Service. In the Committee's report, titled *A People and a Spirit: A Report of the Joint USDA-NASULGC Study Committee on Cooperative Extension*, there were several statements and sections that dealt directly with the issues of urban Extension programs. Identifying the development of specific urban Extension programs in some states, the Committee noted that many of the concerns of urban and suburban citizens were shared with rural residents. Thus, the Joint Committee recommended that Extension conduct quality of life programs for both urban and rural clientele, increase the emphasis on social and behavioral sciences, provide a commitment to central city residents, and "...increase its [the Extension Service] emphasis on programs designed to motivate and otherwise assist the disadvantaged and the alienated"(Albrecht, 1968, 92-93).

The report by the USDA and NASULGC Joint Committee on the Future of Cooperative Extension, *Extension in the '80's: A perspective for the Future of the Cooperative Extension Service*, in 1983, emphasized the accuracy of the earlier Extension

reports. The challenges raised in previous reports concerning increases in technology, continued urbanization, international cooperation and the need for addressing limited resource clientele and urban youth, were seen as not only accurate, but critical areas for future emphasis by the Extension Service (Aldrich, 1983).

Extension in the '80s recommended several priority areas for Extension within its six primary program areas. The committee urged an increase in programs in the management of natural resources and the environment, leadership development for small communities and small businesses, individual leadership development for urban and rural citizens, youth development without regard to geographic or socioeconomic status (including the increased use of paraprofessionals and volunteers to carry-out programs), and the promotion of international understanding within the United States (Aldrich, 1983).

The joint committee also called for an increase and strengthening of the ties between the partners which make-up the Extension Service - local governments, Extension Service and state land-grant institutions - especially the latter. The report called for university administrators to place continuing education and life-long learning on a plane equal to that of research and academics. This was seen by some as a reaffirmation of the role of the Extension Service in the tripartite mission of the land-grant system (Aldrich, 1983).

Immediately prior to the release of the 1983 report, there was mounting pressure from both within the federal government and the private sector to reevaluate the purpose and mission of the land-grant system (and specifically the Extension Service). This

pressure led the General Accounting Office (GAO) to recommend to Congress in a report entitled *Cooperative Extension Service's Mission and Federal Role Need Congressional Clarification* (1981), that Congress undertake a sweeping and wide ranging examination of the Extension Service. Among other items, the GAO urged Congress to update the mission statement of the Extension Service, clarify the audiences which the Extension Service should target and serve, and develop a formal, consistent system for the planning, implementation, and evaluation of Extension programs (Sanderson, 1988).

In November 1987 there appeared still another report on the future of the Extension Service. The Futures Task Force to the Extension Committee on Organization and Policy - USDA (ECOP), issued the report, *Extension in Transition: Bridging the Gap Between Vision and Reality*. This report was the result of five different hearings held across the United States. Participants from over thirty states included commercial and private agricultural producers, family farms, part-time agricultural producers, national agricultural associations, rural and urban families, and university administrators. The result of the hearings was a list of thirty two recommendations. These recommendations ranged from restating the mission of the Extension Service to renewing the three-way mission of the land-grant university and expanding the traditional role of Extension's youth program - 4-H (Geasler, 1987).

The *Working with Our Publics*, a 1988 ECOP publication supported by a W. K. Kellogg Foundation grant, viewed the *Transition* report as offering "...a powerful set of recommendations about Extension's future." Of the thirty two recommendations cited in

the *Transition* report, the ECOP publication cited the following five areas as possibly having the greatest impact:

- Restatement of Extension's mission in order to emphasize the national status of the Extension Service and its ties directly to land-grant universities.
- The full resources of the land-grant institution must be opened for inclusion into Extension programming.
- Extension must become more diverse and flexible in its staffing and organizational make-up.
- A county level presence must be maintained by all Extension Services.
- Programming should be generated from and based on local needs of clientele rather than dictated by traditional programs and audiences (Sanderson, 1988).

As each of these reports was released and assimilated by the Extension Service, there were varying degrees of acceptance and rejection on both the state and national level. The state responses to each report varied widely by geographical area. Federal response also varied with the decade and political trends of the time. Responses to these reports sometimes resulted in intense introspection on the part of Extension as well as continued scrutiny by federal, state and local governments. In some states, the Extension Service has undergone changes that have, in some cases, been of such an extreme nature as to result in an adverse climate for Extension for a period of time. In others, the reassessments and reevaluations have resulted in an increased understanding of and support for Extension programs (Sanderson, 1988).

Extension Service Positional Papers and Impact Reports

Although there have been no definitive studies on the Extension Service and its successful transition at the county level from rural to urban, there are numerous reports and position papers covering this topic.

In 1991, Keith Smith, then the Director of the Ohio Cooperative Extension Service, wrote an article for the Journal of Extension, *Philosophy Diversions - Which Road?* questioning whether the Extension Service was actually making a connection between the philosophy of the land-grant system (teaching, research, and out-reach), the espoused mission of the Extension Service, and what was actually being done by county Extension Service units. Smith outlined five areas in which he argued Extension must become more involved in order to meet the needs of a changing clientele:

- Become more aligned with the philosophies of the land-grant institutions. Smith warned against an “ivory tower” mindset that could or would be fatal to both the institution and to Extension.
- Expand its issues based programming. Extension must increase the diversity of local clientele input in the development of county-level programs. This would, in turn, better prepare Extension faculty and staff for future challenges caused by demographic changes.
- Balance the needs of its traditional audience with the needs of emerging audiences. To ignore either group might be to “throw out the baby with the bath water.”

- Utilize innovative staffing patterns. Extension staff must be seen as educators by what was now a more informed and educated clientele. Thus it is critical for Extension to provide the highest quality staff possible to address local needs.
- Be willing to make decisions in an effective and timely fashion. Leaders must also have the foresight and the ability to adapt quickly. (1991)

In 1992, Chester Fehlis, then Assistant Director for County Programs with the Texas Agricultural Extension Service, wrote in the *Journal of Extension* about the necessity for the state Extension Services to fully address the needs of urban areas. Noting that issues such as water quality, conservation and waste management were seen by both rural and urban clientele as critical issues, he reported that the two groups differed widely in what they perceived the specific problems to be. Conservation was important to both urban clientele and rural clientele. However, there were significant differences in each group's definition of and approach to dealing with conservation issues. Such differences were used to illustrate how urban clientele and rural clientele differed in perceptions. This insight led Fehlis and the Texas Agricultural Extension Service (TAEX) to establish a task force to address its position on urban programming.

As a result of telephone surveys of residents of metropolitan Texas counties, on-site visits to these counties and a search of literature, the task force developed a list of seven "challenges and concerns" for TAEX staff and faculty:

- Administrators were challenged to "establish an environment for understanding and appreciation of both rural and urban educational programming efforts."

- Faculty and staff in urban areas were urged to "balance" proactive and reactive programming concerns.
- Because of the visibility of Extension programs in urban areas due to media sources, accountability for urban Extension programs should become a high priority.
- Due to the diversity within many urban counties, a wide array of delivery methods for programs was encouraged.
- Extension administrators were encouraged to reconsider the degree requirements, background, and experiences of urban faculty and provide additional in-service training opportunities for existing urban staff.
- The United States Department of Agriculture was urged to provide the leadership for establishing a nationwide network for urban Extension faculty.
- A commitment to issues-based programming by urban faculty with a high degree of emphasis on teamwork was seen as critical to providing the effective programs necessary in urban counties.
- An increased emphasis on volunteer development and volunteer management was seen as necessary for urban counties. The increased use of paraprofessional staff and volunteers under the supervision of urban faculty was seen as one solution to providing a wider array of programming for urban counties. (Fehlis, 1992)

As a result of the above recommendations, TAEX implemented an "Urban Initiative" for all major metropolitan counties in April, 1991. This initiative involved not only urban Extension faculty and staff but also county leaders, stakeholders and

government officials (Fehlis, 1992). The urban initiative involved both administrative and programmatic changes that were targeted to a specific urban county. This allowed the local county Extension office in Texas to face the changes that urbanization brought. At the heart of this initiative was the desire for the TAEX to continue to be viewed as providing effective educational programs in all Texas counties (1992).

The challenges and diversity cited by the Texas initiative have also been a concern for other Extension faculty across the nation. Writing in 1991, Soneeta Grogan, Extension Specialist with the Illinois Cooperative Extension Service, described several areas of concern for Extension, in particular, a need to focus on the increasing minority population within the United States. Grogan challenged both administrators and county faculty/staff to begin expanding the involvement of minorities in all phases of Extension programs and to increase educational opportunities for existing faculty and staff to gain a wider understanding of and appreciation for the diversity of the urban audience. She also urged administrators to begin actively recruiting and employing more minorities for those areas with large non-traditional Extension clientele (1991).

Going further, Grogan encouraged Extension faculty and staff to take advantage of professional continuing educational opportunities dealing with limited resource families and diversity, and urged networking with other agencies and organizations within the community already working with and serving low income families and minorities. By increasing the involvement of Extension personnel with these groups, Grogan felt Extension would be prepared for the future challenges facing the programming needs of urban clientele (1991).

In 1992, Panshin wrote of the necessity for Extension to remain viable within urban areas. According to Panshin, although Extension's roots were deeply entrenched in rural, agricultural America, that was no longer where the majority of Americans lived (nor had it been for quite some time), and it was crucial to the long-term survival of the Extension system to not have a dual program - one for urban counties and one for rural/agricultural counties. He saw the survival of the Extension Service dependent on the support and viability of Extension programming in all areas, regardless of demographics. Panshin made a case for the inclusion of traditional based programming but with a distinctly urban approach. Addressing programming needs by utilizing the traditional strengths of Extension would, according to Panshin, provide a unique Extension approach for urban issues. Also, by not emphasizing the differences between rural and urban (which Panshin argued may only be perceived differences), traditional support for Extension would be maintained and "new" support generated (Panshin, 1992).

Lamm expressed similar feelings in an article in the *Journal of Extension* (1992). He pointed out that in at least one western state the use of the terms "urban" and "rural" were no longer in use. Referring back to the issues cited by Barry et. al., (1976), he noted that the conflicts between "old timers" – rural - and "new comers" – urban - could be seen as a basis for conflicts in transition counties. By lessening these distinctions, the resulting conflicts and challenges might be lessened (Lamm, 1992).

In 1995, a nation-wide study was conducted by faculty from 3 land-grant universities on the public perception of Extension (Warner et. al., 1996). A random sample of the general public was surveyed by telephone with 1, 124 adults cooperating

(or 60% of those contacted). Results from this survey indicated that six out of seven individuals in the United States were aware of at least one Extension program. However, this same survey revealed that only 45% of those surveyed were aware of the organizational name - Extension. Another interesting result was the response to a question concerning the distribution of tax dollars among the three branches of the land-grant university - teaching, research and outreach. On average, respondents indicated they would spend about 45% on teaching (on-campus), 30% on outreach and 25% on research. There was no significant difference by respondent age, education, residence, income, or ethnicity. The encouraging results were that over 80% of the respondents were aware of at least one Extension program and that respondents understood the importance of outreach as a part of the total land-grant mission as demonstrated by the budget allocation response (30% for outreach).

At the same time, there were some findings that were “unsettling” (1996). Urban residents, youth, and limited-resource individuals and families indicated a low awareness of Extension despite the widespread development of programs targeting these groups. Also, when compared to a similar study conducted in 1982, annual use of the Extension Service had declined from 12% to 8%, although what the authors termed “long-term” usage (based on the question of ever having used the Extension Service) had not changed.

The results of the study indicated overall widespread acceptance and support for Extension programs among a variety of different groups. However the study suggested that Extension had not yet adequately and successfully reached the majority of urban

residents, and the authors encouraged coalition building among individuals and groups with a diversity of needs and expectations (Warner, et. al., 1996).

Based on the preceding review of Extension position papers, it becomes clear that Extension has not fully developed a clearly defined position on issues surrounding urbanization. Although there are many instances of calls for more in-depth studies and research concerning urbanization and Extension's response, there remains a void in the body of knowledge dealing with this issue. These position papers provided a starting point from which research questions and inquiry were developed.

Urbanization

Since 1930, the United States has seen a significant shift in population from rural areas to urban and suburban areas. This change, traceable through Census Bureau data beginning in the nineteen twenties and continuing into the present (Appendix A), adds validity to the Joint Committee's recommendations on increasing Extension programming opportunities in urban areas. In reviewing census data, Porter and Doherty (1981), reported that net migration patterns showed significant outward migration from urban areas to non-metropolitan counties (Appendix C). As the population shifted from highly centralized urban counties to what were then rural areas, there was a significant impact on the rural counties as they attempted to assimilate this "new" population. Porter and Doherty (1981) identified the consequences of this growth in rural counties:

- The increased populations and resulting push for changes impacted the lifestyle and well-being of the agricultural community and the residents of the small towns in the path of the growth.

- Individuals and families that migrated to the “country” often found services and facilities lacking or much less than what they were accustomed to.
- Resulting demands for additional services and facilities often created severe financial hardships for the newly emerging urban/suburban counties.

These changes often created conflicts between established residents and “newcomers”. Problems arose dealing with land-use restrictions, road development, demands on and for fire and police protection and, of course, the educational system (Porter & Doherty, 1981).

Many of the conflicts experienced by local residents in the changing counties were outlined in a study by Berry, Leonardo, and Bieri (1976), *The Farmer's Response to Urbanization: A Study of the Middle Atlantic States*, which was conducted for the Regional Science Research Institute. The study was an analysis of Census Bureau data and then-current literature dealing with land-use changes and their impact on residents and lifestyles. Berry et. al. (1976) noted that there were at least three reasons cited by agricultural producers for preserving agriculture in urban or suburban areas. Some of these reasons were in direct contradiction to expectations held by newly arriving urban citizens while others were the very reason that urban residents wished to relocate to non-urban counties. The three most significant reasons were:

- Agriculture is seen by many individuals as a more “pastoral” occupation as opposed to the drudgery of urban wage earners.
- The aesthetics of agriculture enhance the entire region although they are only a part of the total aesthetics of an area.

- The perceived “ideal...harmony” which occurs between human use of the land and the natural processes of the land (Berry, et. al., 1976, 7).

They also noted several what they called “spillover” effects from the urbanization of rural counties. These effects were a direct result of the impact of urban residents on the traditional lifestyle of the rural counties. The five most significant impacts were: regulation of agricultural activities, increased taxation, air pollution, destruction of crops and equipment, and use of eminent domain to obtain farmland for public use. These issues, according to the researchers, acted to increase the misunderstandings and widen the gulf between “old timers” and “new comers” (Berry et al., 1976).

In Henderson’s (1997) *Urbanization of Rural America*, the author noted the relative quickness, essentially one generation (from 1920 to 1950) in the shift from a rural agrarian society to an urban-based society. With little or no planning the United States suddenly found itself with large population centers which was quite a change from the rural based society of less than one hundred years previously. It was during this same generation, following World War II, that the development of the automobile encouraged the spread of urbanization from densely packed centers to more widely-spread suburban areas. This led to the advent of a “mobile” workforce that allowed citizens of the United States to live virtually anywhere and still work in an urban center.

Harlan Hahn had earlier (1971) completed a detailed case study of the impact of urbanization on the state of Iowa – at that time, a state still primarily agricultural. Hahn pointed out that many of the differences between rural and urban areas could be ascribed to differences in: occupational status, education, ethnic origins, income and what he calls

other social and economic variables. Hahn argued, however, that there did not appear to be any distinctive or definitive factor that could be labeled as truly urban or truly rural (Hahn, 1971).

Not all interactions between rural and urban residents involved conflict. In his study of Iowa, Hahn (1971) discovered that coalitions were often formed between the apparently divergent interest groups of rural and urban organizations. This coalition forming appears to have been limited mostly to short lived single-issue groups.

Long-time residents and “new comers” are not the only groups that must face challenges created by the transition from a rural/agricultural community to an urban/suburban community. Those agencies and organizations charged with addressing the needs of a county’s residents, such as the Extension Service, are also faced with a variety of changes that may include organizational changes.

Organizational Change

When an agency undergoes changes associated with a change in demographics, many of the challenges it faces are within its own organization. The manner in which organizations successfully cope with and adapt to these internal changes is pertinent to understanding successful organizational change.

The literature dealing with organizational change covers a myriad of topics and approaches. Of particular relevance to this study is the literature that deals with private industry and governmental agency change and consolidation. Just as large corporations are located in a variety of locations in the United States, the Extension Service is located in all fifty states. Also relevant, is literature dealing with the impact of cultural change

within organizations. Finally, the role that leadership plays in organizations and the impact it has on organizational change is certainly worthy of study.

Leadership

Leadership, and its subsequent impact on management strategies, is viewed as one of the most critical factors in the change process (Hult, 1998; Kouzes and Posner, 1995; Bolman and Deal, 1997). Zell (1997) makes a case that strong leadership at the top of an organization is essential if not critical to bringing about organizational change. Top management must be willing to fundamentally change all aspects of an organization, which can and does create great risk for management. Also, top management must be committed to "pushing" power and authority downward within an organization (1997). Ault et. al. (1998) state that the change a "democratic" management design brings about within an organization leads to a reduced emphasis on upper level management to lead, control and/or coordinate the mission of an organization. Staff and management share the responsibility for the objectives of the organization. This is especially pertinent to the Extension Service where county programming is developed and based on local needs.

Bolman and Deal (1997) provide several important insights about the relationship between leadership and authority that is key to understanding the change process. Although both leadership and authority are built on legitimacy and a voluntary acceptance, there are many times when authority can act as an impediment to leadership. This occurs when authority places too many constraints on leadership. These constraints occur when, according to Bolman and Deal, "...people expect too much" (1997, p. 295).

Bolman and Deal (1997) also describe the difference between what they see as management and leadership. Management is, according to the authors, where the emphasis is placed on the structure of an organization such as planning and organizing. They describe leadership, however, as providing a long-term view of for an organization. Leadership will, according to Bolman and Deal, look out-side as well as inside the organization. Leadership tends to emphasize vision, is politically astute and readily faces challenges (1997, p. 295).

Further, Bolman and Deal cite three characteristics that are common to all effective leaders: vision, commitment and the ability to inspire (1997, p. 297-298). A good leader understands her or his own strength and will build teams regardless of the fashion or style of leadership that is exhibited. Further, they define vision in an effective leader as having the ability to establish a vision and set standards for performance within an organization. Vision also provides the effective leader with the tools to create a focus for the vision she or he has for the organization. The commitment of an effective leader is demonstrated in the leader truly caring about the organization and its well-being. An effective leader must, according to Bolman and Deal, have the ability to inspire trust and build relationships that act together to create a dynamic organization.

Leadership can be divided into four frameworks within which different leadership styles may be viewed according to Bolman and Deal: structural, human resource, political and symbolic (1997, p. 303-316). Each framework has distinctive characteristics that assist in the understanding and identification of an individual leader. The structural framework is characterized by a tendency for the leader to be rigid and authoritative but

with “powerful and enduring” impacts on an organization (1997, p. 303). The structural leader usually exhibits these four characteristics: investigate and understand a situation before reacting; demonstrate a willingness to rethink relationships between structure, strategy and environment; tendency is to focus on implementation; and, experiment, evaluate and adopt (1997, p. 306-308).

The human resource framework, according to Bolman and Deal, is characterized by openness, mutuality, and coaching (1997, p. 308). This leader also acts as a facilitator and catalyst to motivate and empower. The human resource leader is characterized by a belief in people and communicates that belief to other individuals. He or she remains visible as a leader and accessible by other members of the organization. Finally, the human resource leader empowers others to make decisions and accept challenges on their own.

The third framework of leadership is what Bolman and Deal call political (1997, p. 311). They describe the political leader as exhibiting a clear understanding of what she or he wants and what he or she can get from any situation. Further, the political leader: assesses the distribution of power and interests within an organization before acting; builds links to key stakeholders for added support; and uses persuasion, negotiation, and if necessary, coercion to insure that her or his agenda is carried out (1997, p. 311).

Finally, Bolman and Deal describe what they call the symbolic framework where a leader is constantly interpreting and reinterpreting experiences to use in making decisions (1997, p. 313). They suggest that the symbolic leader will use various symbols associated with the organization or a widely held belief to literally hold the attention of a

group. Symbolic leadership also frames experiences in symbols to emphasize their beliefs. The symbolic leader will also develop and communicate her or his vision to the organization and will utilize stories or histories or emphasize visions in order to inspire hope within an organization (1997, p. 316).

The sharing of power between management and staff is also seen as critical to successful transition within an organization, regardless of the reason for that transition (Zell, 1997). In order for an organization to maintain a quick response to needs and challenges occurring during periods of change, it is crucial for the decision-making process to be shared between management and "front-line" staff. According to Zell (1997), both management and staff must literally change the leadership paradigm under which the current or old organization operates. This can create a delicate balance for leadership by giving up control while attempting to avoid a sense of alienation by staff.

Zell (1997) also sees that one of the failures in reorganization and/or change within an organization is the unsuccessful attempt by both management and staff to become fully integrated in the change process. This failure leads to a lack of "buy-in" on the part of both management and staff.

Not all of the crucial factors lie within the control of the leadership and staff of an organization. There are external factors that must be taken into consideration and accounted for in the change process. Hult (1987) suggests that it is critical to look beyond the agency or organization that is undergoing the change. Outside players and stakeholders critically impact the organization as they change their opinion of an agency's or organization's structure and mission.

McLennan (1989) provides some interesting insights into some of the common approaches of leadership in organizations facing change. He divides leadership's reaction to change into three responses: unilateral, shared and delegated (1989, p. 138). McLennan distinguishes each of these responses by relating the responses to what he describes as a "power distribution continuum."

Unilateral responses are characterized by the problem being identified by the upper levels of administration within an organization and all action directed downward to introduce the change. The actions associated with the response to change may take one of three forms:

- Decree – This is the autocratic approach and is essentially a one-way directive.
- Replacement – Simply put, key personnel are replaced in an effort to bring about "...sweeping and basic changes" (1989, p. 139).
- Structure – The attempt here is to provide a sort of ergonomics. Relying on the basic assumption that individuals react to the structures and technology that are close to them, this approach to change was very popular in the past and is receiving renewed interest by behavioral scientist. (1998)

McLennan's (1998) second response to change, the sharing of power, falls somewhere in the middle of the power distribution continuum. Although there is still a clear authority figure within the organization, there is a sharing of the power and true interaction. Shared power as a response to change is characterized by the following two forms:

- Group Decision Making – Although the problems are identified in a top-down manner, all levels within an organization are involved in developing the approaches and solutions to changes. This results, according to McLennan, in more commitment to carrying out the solution(s).

- Group Problem Solving – It is from group discussion and interaction that identification of problems occurs and a plan of action to address those problems is developed. Unlike the group decision-making where the problems are identified in a top-down manner, there is opportunity for all levels to participate in the identification of problems. (1998)

At the opposite extreme from the unilateral response is that of delegated authority. McLennan (1998) views this approach as one in which virtually all of the responsibility for defining and developing a response is delegated from upper-level authority within the organization to the rank and file. The emphasis here is on the development of knowledge and skills as opposed to solutions. Leadership within an organization takes on the role as more of a teacher as opposed to the traditional role of a supervisor (1998).

In his work, *Organizational Change*, Collins (1998) looked at the literature on change and found distinct differences in the insights they offered on leadership and organization change. He offered what he called a, “framework for analysis” (1998, p. 35) by dividing the literature on leadership into four approaches: Hero-manager reflections and biographies, Guru works, student-oriented texts, and critical monographs and research studies.

The first approach, hero-manager literature, according to Collins, includes a vast array of individuals. Through their own experiences in management, these individuals have been accepted as ideological leaders in the field of change. These hero-managers offer very personalized views of their struggles, successes, challenges and opportunities associated with change and its management. Such individuals as Iacocca (Chrysler) and Geneen (ITT) are cited as examples of the hero-manger. Collins suggests that although all of the individuals associated with this particular genre of change are well known and widely read, many of their pronouncements "...tend to be both incomplete and distortions of events" (1998, p. 40).

Collins' second approach involves the study of leadership and organizational change is what he terms guru works. Calling on the traditional definition of a guru as "... a person with great knowledge and wisdom" (1998, p. 41), Collins sees gurus as those individuals whose claim of authority stems not from (to use a common phrase) a "been there, done that" position such as the hero-manager would, but from their position of knowledge and a background in research. The gurus of change are the academicians of organizational theory according to Collins.

Collin's third approach is that of the student-oriented texts. This area, by Collins own admission, "... does not represent a neat or easily bounded category" (1998, p. 55). He distinguishes between the so-called "self-help" books focusing on organizational theory and change from those books which are considered to be part of the mainstream of textbooks on the topics of organizations and change. Collins cites several individual authors in this category, e. g., Leigh, Carnall and Plant. He sees these individuals as

approaching the field of organizational theory and change from a rational and process-oriented approach. According to Collins, the text focus normally results in an approach to the study of organizations and change that centers on “triggers” (1998, p. 57). These change triggers may be internal (within the organization) or external (environmental).

Collin’s final approach is that of the critical monographs and research studies. Collins suggests that this final area is one which provides “... a scholarly, critical alternative to the three categories... already discussed...” (1998, p. 67). It is this approach, based on accepted methodological procedures that, Collins argues, will provide valid and informative insights into the study of organizations and change (1998).

Collins (1998) continued by sorting the actual theories of organizations and change into the following viewpoints:

- Unitarist – This theoretical approach views organizations and the change process from a distinctly teamwork approach. Collins suggests that these theorist rely heavily on the concepts of common goals and interests within an organization for their theoretical models. Conflict is viewed as being disruptive to the natural flow of commonality within an organization.
- Pluralist – This viewpoint differs sharply with the unitarist view in that conflict is seen as providing a basis for advancing and developing within a society or organization. To the pluralist, conflict becomes the key to the dynamics of change.
- Radical – Collins suggests that this view of organizations and change treats the conflict that is applauded by the pluralist as providing a smoke-screen for the

shortcomings and inequalities within organizations and society. Conflict from the radical viewpoint fails to provide the constructive change insisted upon by the pluralist. Instead, the radical view of conflict is that conflict is simply another example of the inequalities within an organization.

- Marxist – Although similar in view to the radical, the Marxist views organizations and change from an almost exclusively economic position. The key for the Marxist theorist of organization and change rests predominately with, as Collins states, “...who owns and controls the productive technology of the day” (1998, p. 162). The basic tenant for the Marxist is the employment relationship within organizations and society.

In addition to these four viewpoints, Collins (1998) also provides a definition of four types of change: orthodox, planned or rationalist, emergent, and choice management or processual. Each of these provides a basis for understanding the change process. The orthodox viewpoint of change is one that relies heavily on the influence of both internal and external stimuli. These stimuli – technology, people, tasks and administrative structures – may each have an impact on the other stimuli. For example: A change in technology may well impact the number of individuals involved in an organization as well as its over-all administrative structure.

The planned or rationalist viewpoint to change is characterized by the organization’s deliberate action to instigate change. Change, according to the planned or rationalist viewpoint, is a process that occurs as a result of premeditated actions on the part of the organization. Many times the planned change involves group activities and procedures

designed to enlist the support and, to some degree, buy in, from the rank and file membership of the organization (Collins, 1998).

Another viewpoint described by Collins (1998), is what he calls emergent. Collins describes the emergent viewpoint as being created by necessity. As Collins states "... managers develop *ad hoc* and responsive approaches to planning and managing change simply because the processes of change are so complex and difficult to model" (1998, p. 60). The *ad hoc* response to change results in little or no goal planning on the part of management within the organization. As such, the emergent viewpoint of change results in organizational leadership being reduced to the role of a firefighter – unable to provide any long-lasting and long ranging goals. In the emergent viewpoint, organizational planning becomes reactive and thus is not truly planning but rather a temporary fix (1998).

Collins last viewpoint of change is what he calls "choice management" or "processual" (1998, p. 61). This particular viewpoint of change consists of three processes within an organization that are interdependent: choice process, trajectory process, and change process (p. 61). Each of these processes is characterized by the organizational leadership's response to change. In the choice viewpoint, leadership must make a decision as to the type and range of the change.

The trajectory process requires the organizational leadership to provide a continuation of the choice process. Leadership must consider and develop a plan that details the present and future purpose and direction of the organization (Collins, 1998). In the trajectory process organizational leadership makes the decisions on how it will approach

changes – autocratic, democratic, top-down or bottom-up. It is at this stage that leadership, in Collins words, “...must consider mechanisms for achieving their preferred approaches and must, in this complex and emergent world, consider carefully the outcomes of the process they have managed” (1998, p. 62).

Case Studies of Organizational Change

In Hult's case studies of three governmental agencies (1987), he determined that there were five external preexisting (or background) factors crucial to successful change within an organization: contingency, instability of policy context, technical uncertainty, salience of relevant policy issues, and scarcity of resources (1987, p. 182). Each of these factors, all of which are external to the organization, can produce uncertainty within an organization as it undergoes change. By successfully addressing each of these areas, an organization may limit the influence of these external factors during the change process. These external factors impacting successful agency or organizational changes are similar to the "client-server" environment Ault, et. al. (1998) described.

In a case study of the Champion Corporation covering eleven years, Ault, Walton and Childers (1998) described the changes that Champion underwent as it dealt with outdated facilities, “traditional” management, poor financial performance, and a highly adversarial union. At the end of the period, Champion had made an “extraordinary transformation” (Ault, et. al., 1998, xv) in the very basic ways it operated and in the direction that it took in the business world. Andy Sigler, Champion CEO, described the philosophy that emerged at Champion that allowed it to effectively make the changes

necessary for the corporation's survival, "An institution has to find a way to question itself about its core and its direction. We have to create a forum where things are constantly kicked around and the givens are examined" (Ault, et. al. 1998, p.139).

Faced with a negative business environment, Champion Corporation began a process of change from a centrally controlled traditional corporation, to conducting business based on team work within the organization. Several factors over a period of ten years led to the decision by Champion to make these changes (Ault, et. al., 1998, p. 14).

In the mid-1970's, Champion had undertaken efforts to develop greater employee involvement in making business decisions. This was, according to Ault (1998), a response to prevailing management philosophies of the time. In 1980, Champion faced a strike at one of their plants that resulted in fiscal losses and management changes. In 1984, Champion merged with St. Regis Paper Company, a former competitor, again resulting in additional management and labor-force changes. These changes included the incorporation and development of partnerships with clients and their clients' clients, and a more "global" assessment of Champion's position in the business world. The focus of Champion also shifted as a result of the changes implemented by its management. Champion became more concerned with creating value rather than maintaining an "everything for everyone" mentality.

Then in 1985, Champion was involved in the start-up of a major new facility. This new facility was not only designed to be more technically efficient but was planned to enhance the social aspects of the plant such as the environment, worker involvement, and

safety (Ault, et. al., 1998, p.14). Finally there was a concurrent rise in office supply retail outlets competing for the paper product needs of the small business customer (1998, p. 145).

Ault (1998) and co-authors concluded that new objectives within an organization would result in the elimination of "sacred cows", an increased openness and expression of differences, increased ability to think "outside the box", an increased focus by mid-level managers, increased upward influence in the organizational hierarchy, and an increase in outward orientation and awareness of clientele needs, duplicative practices and stakeholder interests (p. 143).

Zell (1997) conducted a similar case study of the Hewlett-Packard Corporation. As with the Ault study, this was a study of a geographically wide-spread corporation dealing with a variety of challenges – personnel, clientele, economic, and technological which they successfully met. Much as Ault et. al. (1998), attempted in the Champion study, Zell (1997) addressed various challenges with the company, focusing on Hewlett-Packard's Surface Mount Center and the Test and Measurement Group. The Surface Mount Center was located in Roseville, CA and the Test and Measurement Group was located in Santa Clara, CA. Each of these divisions was facing a great deal of pressure from competition in the technical manufacturing industry during the 1980's and early 1990's. To meet the challenges of staying competitive, Hewlett-Packard began an intense process of redesigning the company's entire approach to management.

Based on her case study of Hewlett-Packard, Zell (1997) concluded that there were several prerequisites that must exist before an organization and the individuals

associated with that organization can undergo successful change. Employees must have a sense of security and a feeling that they are being treated fairly. They (the employees) must feel that management and peers can be trusted. Additionally, employees must believe they will be compensated for their efforts. All of this leads to a positive commitment by the individual to work through the change process within the organization.

Zell (1997) argued that when designing and implementing reorganization an agency or institution must be reorganized as a system. Approaching reorganization from a systems perspective, she suggested, helps to ensure that, "...an organization's business processes, its structure, and its culture are aligned toward a common mission" (1997, p. 135). When reorganizing, a systems approach insures that multiple impact areas are incorporated into the change process. Further, it is critical for the staff of the organization to be fully involved in the change. By involving staff, one can ensure that the process of change, the structure of the organization and the culture of the organization will all remain centered on a common or shared objective. By including non-management staff in the redesign process, organizations can see an increase in employee knowledge and commitment to the new design of the organization (1997). In short, according to Zell, the staff of an organization must lead the changes and be included as full "partners" in the process (1997, p. 161). In a fashion similar to DePree's (1989) challenge to leadership that it be engaging and encouraging, so Zell (1997) believes that management must engage employees. Through engagement of staff, an organization is better equipped to successfully meet the challenges of change.

Internal Factors of Organizational Change

Organizational change is not limited to large, overt structural shifts. Change within an organization is also impacted through factors that are internal to the change. There is a continuum of change that Bennis has identified as the “eight species” (1961, p.154): planned, indoctrination, coercive, technocratic, interactional, emulative, and natural with planned changed on one end and non-deliberate and happenstance natural change on the other. Planned change includes mutual goal setting with an equal sharing of power. Natural change is characterized by a complete lack of planning and direction: it just happens. As an organization undergoes change, Bennis suggested that the type of change it employed was a direct reflection of the organization’s degree of responsiveness to employees and stakeholders.

Other internal factors must also be considered for their effect on the change process. The reaction of staff to organizational change is certainly one of these crucial internal factors that must be considered. Wanous et. al., (2000) warned of the dangers of “cynicism” on the part of staff and identified methods for avoiding it:

- The more employees and staff are involved in the process, the less likely they (employees and staff) are to use the infamous “they” when placing blame.
- Employees and staff are less likely to blame management for problems if they are kept informed throughout the change process.
- By admitting to and taking ownership of mistakes, management and/or administrators may increase their credibility with employees and staff.

Change may also create resistance on the part of the staff and the organization involved. Zander (1961) described the basis of resistance to change as any action that attempts to provide a buffer or protection from the outcome of the change. One of the starting points for resistance according to Zander occurs when the change “ignores the already established institutions in the group” (1961, p. 546).

Cultural Change

Organizations and the changes that they undergo provide an intriguing and revealing field of study. Expanding the study to include cultural change only adds to the depth and richness of the research. Distinguishing between the process of change in an organization and the processes involved in cultural change, whether it be organizational culture or societal, allows for bringing to light the many nuances and interconnected processes common to both and unique to each.

What is meant by the term culture? McLennan (1989) provides a broad definition of culture:

...[culture is]...a pattern of basic assumptions – invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration – that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems (p. 78).

How then, is organizational culture defined?

Nahavandi and Malekzadeh (1993) describe organizational culture as the "...certain assumptions, norms, and patterns of speech and behavior that make them unique" (1993,

p. 10). They continue by describing organizational culture as those qualities that, in addition to making the organization unique, also set the boundaries for acceptable and appropriate behaviors and ideas (Nahavandi, 1993).

Just as societal culture can be analyzed through its artifacts and values, so may an organization's. Nahavandi (1993) suggests that one useful method for analyzing organizational culture is to approach it from three basic levels: artifacts, values, and assumptions. The first level of artifacts is composed of those physical, observable items that are unique to the organization. They may include such items as the building(s), layout of the offices, clothing worn by management and non-management, and even the interior decoration and design inside the buildings. Nahavandi and Malekzadeh (1993) suggest that although the artifacts of an organization's culture are easily observed they may not be as easily understood. According to them, understanding an organization's culture can only be accomplished by expanding the study to include the values and assumptions of the organization.

The next level of analyzing an organization's culture requires understanding its values. The values of the organization are indicators of what the organization considers acceptable and "... indicate what ought to be..." (Nahavandi, 1993, p. 11). Values within an organization are usually based on common experiences although they may be held by some members of the organization but not by the group as a whole. Further, values are often based on what has proven to be useful to the organization. Those values that are deeply held by the majority of the organization's membership, will be the values

exhibited by the organization. These are the values that can predict the behavior of the organization (Nahavandi, 1993).

By understanding the values of an organization and having a knowledge of its artifacts, a deeper understanding of the organization's culture is possible. However, there is still one additional level that Nahavandi considers to be critical to fully understanding the culture of an organization. It is only with a "... knowledge of the basic underlying assumptions..." that we can understand the development of values and the significance and establishment of artifacts (1993, p. 12). Assumptions provide a key to the underlying philosophies and viewpoints of the organization. It is from the basic assumptions of the organization that its values are developed. The fundamental viewpoints about how to approach employee relations, customer/clientele relations, civic responsibilities and basic trust, all spring from the organization's philosophic assumption base (Nahavandi, 1993).

Nahavandi and Malekzadeh (1993) also point out the importance of organizational leadership during a period of change. It is the leaders who provide role models for the organization's membership during the time of change. The actions of leaders will provide the foundation for the preservation of or change of the culture of the group. This is due largely to the "... centrality of the role of the leader in the creation and maintenance of culture..." (1993, p. 88). They further suggest that the leader contributes to the success or failure of change based on five criteria:

- Role Model – As stated above, the leader provides an example by her or his attitude (combative, trusting, confident, insecure, etc.).

- Reward System – By a fair and equitable exercise of a reward system, a leader may be extremely successful in assisting an organization to accept change.
- Hiring – It is the leader’s responsibility to assist the change process through hiring and promotions. This is accomplished by incorporating individuals who are openly supportive of the changes taking place. This will, in turn, reduce the anxiety and uneasiness commonly associated with change.
- Structure and Strategy – The leader(s) within an organization must be able to incorporate the change(s) in organizational structure(s), procedure(s) and/or strategy(-ies), in such a manner as to reinforce the new culture of the organization following a change.
- Physical Setting – Although the physical settings that may occur as a result of change sometimes appear as only subtle or minute, these are actually critical to the rank and file of an organization. It is incumbent upon the leader to insure that “... the physical symbols...reflect equality” to avoid unnecessary anxiety and tensions. (1993, p. 88-89)

Other scholars provide additional interpretations and understandings of culture and how it impacts organizations undergoing change. Trice and Beyer (1993) provide us with useful insights by defining what culture is and how individuals and groups react to various stimuli in their day-to-day lives. They define culture as the “...collective phenomena that embody people’s responses to the uncertainties and chaos that are inevitable in human experience” (1993, p. 2). The first response to uncertainty is, “... the *substance* [authors use] of a culture...[its]... shared, emotionally charged belief systems

that we call ideologies” (p. 2). The second response is what Trice and Beyer termed “cultural forms” (p. 2). These forms are the concrete “...entities, including actions, through which members of a culture express, affirm, and communicate the substance of their culture to one another” (p. 2). People in organizations develop and incorporate both substance and cultural forms into an organization thereby creating an organizational culture. Trice and Beyer also emphasize the critical role leadership plays in any organization. Leadership may provide a stimulus for change as well as provide an example for how to cope with and accept change. Leaders can also have a negative influence on organizational culture and change. Just as leaders are in a position to provide an atmosphere of acceptance and adaptation, leaders are also in a position to exhibit reluctance, suspension, apathy, and hostility.

Understanding organizational culture provides a base for understanding many of the challenges faced by an organization undergoing change. Kanter, et al. (1992) provide valuable additional insights about the interaction of organizational culture and organizational change by providing a definition of change and its relation to organizations and culture. Organizations are viewed as dynamic entities that are constantly in flux. This motion that appears to be a part of the everyday existence of organizations, can be seen as omnipresent and multi- directional. Deliberate change becomes a process of focusing on some characteristic of the organization’s activity and directing it in some predetermined direction. This predetermined direction will be viewed by the organization’s membership as a new method of operation (1992).

Change, according to Kanter et al. (1992), includes two phenomena that are very different in nature. The first phenomena is that change, to a certain degree, is determined by those observing the situation. In other words, change occurs because those observing the phenomena believe it is occurring - a phenomena is determined to be a change because an organization defines it as a change.

The second phenomenon suggested by Kanter et al. (1992), is that change is anything that manifests itself as a new direction or behavior within an organization. By this definition, any small isolated event or occurrence is not a true change. Change must create an entirely new direction or behavior within an organization (1992).

CHAPTER III

METHODS AND PROCEDURES

The purpose of this study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner. The research questions guiding the study were:

1. How did each of the two selected county Extension Services successfully change their service orientation from rural/agricultural to urban/suburban?
2. What were the common success factors that can be identified from the two case studies?

This chapter provides a description of the methods and procedures used in the conduct of the study.

Methods

Research Design

This research project utilized a multiple case study design to describe the successful transition of two county Extension Services from a rural/agricultural to urban/suburban service orientation. Case study method was selected for the study in order to secure the richest, thickest data and the widest array of insights into the phenomenon of successful transition from rural to urban. As Merriam (1998) points out, case studies "...offer insights and illuminates meanings that expand its readers' experiences" and provide "a means of investigating complex social units consisting of multiple variables of potential importance" (p. 41). The Extension Service is such a complex social unit. Further, since the study is concerned with "how" the two county Extension Services

made the transition, as Yin (1994, p.1) states, case studies are the “preferred strategy” for addressing such “how” (and “why”) questions.

Population

Two county-based Extension offices considered to have made the transition from rural to urban in an exemplary manner, were chosen as the cases to study. The choice of the two counties was based on recommendations from three state and one national-level program directors and coordinators currently working within the Extension Service system. Each was asked to compile a list of counties that had not only made a successful transition from rural to urban, but had done so in an exemplary manner. Based on the recommendations of these individuals, a list of three possible sites common to all of the recommendations was developed. The three counties were Tarrant county, Texas, Waukesha county, Wisconsin, and Gwinnett county, Georgia. After reviewing estimated research costs, travel time, and geographical locations of the proposed sites, the final selection of Gwinnett county, Georgia and Waukesha county, Wisconsin was made.

Methods

Merriam suggests that case studies require “both breadth and depth of data collection” (1998, p.134). It is through the use of multiple sources of data that the researcher is able to provide the rich information that must be gathered to provide the holistic story necessary to a case study. Data gathered included in-depth interviews with county and state Extension Service faculty and staff and county government officials and analysis of written documents and data. In each of the two selected counties, interviews were used to obtain detailed information from (multiple) knowledgeable sources (e.g.,

those involved in the process) about the transition process. All interviews were conducted on site in the two selected counties (except for one district Extension administrator). All individuals interviewed had some degree of experience with the transition process the two selected counties had undergone. In Gwinnett county, Georgia, four interviews were conducted: two county Extension administrators (one retired and one current), one district Extension administrator, and one county support staff. Three of the Gwinnett county interviews took place in the Gwinnett Extension office. The district Extension administrator for Gwinnett was interviewed in her office located on the campus of the University of Georgia in Athens, Georgia. All of the interviews ranged in length from forty-five minutes to two hours. Each interviewee was interviewed only once. Four consecutive days were utilized in an on-site visit to gather data for the Gwinnett Extension case study.

In Waukesha county, Wisconsin, there were a total of nine interviews conducted: two state level administrators, five county level faculty, and two county government administrators. All of the county Extension faculty and one of the state level Extension administrators were interviewed in the Waukesha County Extension offices. One of the state level Wisconsin Extension administrators was interviewed via telephone from the Waukesha county Extension office. The two county government officials were interviewed in their offices in the Waukesha county government office building in Waukesha, Wisconsin. As with the Gwinnett county interviews, each interviewee was interviewed only once. All of the interviews ranged in length from forty-five minutes to

two hours. Four consecutive days were utilized in an on-site visit to collect data for the Waukesha case study.

County and state documents reviewed included yearly reports generated by the local county Extension offices, state level Extension reports (especially those focusing on programs and changes that took place in the selected urban counties), U. S. Census Bureau records of the selected counties covering the period studied, newspaper articles, and photographs. Documents were utilized to provide additional sources of data related to the transition process, to add depth and context to the interviews and to verify what was learned in the interviews.

The interview protocol used in the study was intentionally designed to pose only a few open-ended questions. Based on the experience of the researcher (over sixteen years as a County Extension Agent), the questions were developed to get the respondents talking about their perceptions and experiences of the transition process. Probes were used to gain clarification and greater depth in the exposition and to explore aspects that were not addressed. (See Appendix D for the Interview Protocol.) The initial questions and probing of responses were used to build a story of the transition process as seen by the interviewees. All interviews were recorded and interviewer notes were taken. The notes were used to further clarify the audio tapes. Additionally, interviewer notes were used to identify possible thematic areas during the interview.

Procedure

Permission to conduct the study was obtained from the University of Tennessee Institutional Review Board, using Form B, prior to contacting any of the sites involved in

the study. Following approval of the proposed research, the state Extension directors (in Wisconsin and Georgia) were contacted via telephone and with an introductory letter, seeking permission to conduct the study. (A copy of the letter sent to the state Extension Directors appears in Appendix E). After receiving written permission from the appropriate state administrators (Appendix F and Appendix G), the County Extension administrators were contacted via telephone and in writing requesting their participation in the study. (A copy of the letter sent to the county Extension administrators appears in Appendix H).

Selection of county Extension faculty and government officials rested heavily on the individual's presence and involvement during the transition process. County and/or state Extension faculty and staff and county government officials that were not present during the time period of the transition were not interviewed. There were additional persons who had knowledge of the transition process in both counties that were not interviewed due to their unavailability (i. e., relocated, death, and unable to contact). Due to the time period involved in Gwinnett's transition, there was a smaller number of interviewees available. Many of Gwinnett's staff that were present during the crucial years of its transition had relocated or retired and were not available for interviews.

In order to provide accurate insights into the transition process, individuals were selected not only from the county Extension faculty and staff in both counties, but also from district and/or state level administrators. Additionally, insights gained from the Waukesha County Executive were crucial to the story of Waukesha's transition.

All individuals that were interviewed were provided a packet which included: a letter outlining the purpose of the research and asking their permission to be interviewed (a copy of the letter appears in Appendix I), an informed consent letter for the individuals to sign granting their permission to be interviewed and to have the interview audio-taped (a copy of the letter appears in Appendix J), and a self-addressed, stamped envelope for returning the permission letter prior to the interview.

As soon as possible following each interview, the audio tapes were reviewed to insure that there were no technical problems. Additionally, interviewer notes were compared to the audio tapes to insure that the tapes and the notes were labeled correctly. After this initial review, the audio tapes were transcribed by the researcher.

Due to the highly selective nature of the counties (and thus the individuals) involved, it proved difficult to avoid references to specific individuals or inferences that would lead to the identification of the interviewee(s). This was discussed with interviewees prior to gaining their agreement to be interviewed. Further, at the time of the interview they were told that they could designate all or part of their interview “off the record,” and therefore not to be reported or associated with them. None refused to be interviewed and no interviewees expressed a desire to have all or part of their interview remain anonymous.

Documents were reviewed during the on-site visits. Interviewees were asked to suggest additional documentation for review at the time of the interviews. No records or files used in the data collection process contained information that was considered confidential or of a personal nature. Therefore, because all documents were considered

public information, it was not necessary to obtain written permission from administrators to review and copy those documents that were determined to be pertinent to this research project. A listing of the actual documents reviewed appears in Table 1.

All transcripts, notes and recordings have been kept in a locked file cabinet located in the Hamilton county offices of the University of Tennessee Agricultural Extension Service, 6183 Adamson Circle, Chattanooga, TN. They will be held there for one year following the successful defense of the dissertation. At that time, all records will be destroyed.

Data Collection and Analysis

Each case study was analyzed individually using a coding schema such as that described by Coffey and Atkinson (1996) to identify thematic areas in the interview transcripts and interview notes. This same set of codes and thematic areas were utilized in reviewing historical documents, photographs and other sources of data. NUD.IST, the qualitative analysis software, was utilized to assist in the process of thematic identification. Although there is no “ideal” software package available that provides all of the coding and analysis necessary in qualitative research (Merriam, 1998), the use of the NUD.IST program facilitated with early coding of data.

Based on recommendations described by Coffey and Atkinson (1996), fourteen primary topic or initial thematic areas were identified based on the interviews conducted concerning Extension’s transition in Waukesha county. These fourteen initial thematic areas were: government support, old demographics, traditional versus non-traditional, county fair, transition, image of Extension, programming, advisory groups, county

Table 1. Documents Utilized in Research

County	Date	Description
Waukesha	5/18/93	<i>A Review of the Waukesha County UW-Cooperative Extension Service</i> , submitted by Waukesha County Internal Auditor, Roger J. Naniot
	5/19/93	News article, <i>The Milwaukee Journal</i> , "Audit criticizes accountability, spending, duplication of services", by Laurel Walker
	5/24/93	News article, <i>The Milwaukee Journal</i> , "UW Extension promises close look at county office", by Laurel Walker, p. B1
	12/93	<i>Program Self-Study</i> , UW-Extension, Waukesha County
	2/7/94	<i>Report of the Review Team on the Waukesha County UW-Extension Program</i> . Submitted by Judith Bailey, Vice President for Research and Public Service, University of Maine and Chair, Review Team
	2000	<i>University of Wisconsin – Extension Urban Initiative</i>
	Gwinnett	c. 1973
2/29/82		Letter from County Board Chair to Extension District Director
5/16/85		Letter from County Extension Director to County Board Chair
5/85		Office conference agenda, Gwinnett County Extension Service
10/17/85		Letter from County Extension Director to County Board Chair
1/87		4-H Program Assistant job description
12/7/89		Letter from Director, Gwinnett County Human Services Department to County Extension Director
2/15/90		Letter from District Extension Director to Director, Gwinnett County Human Services Department
1/91		Gwinnett Extension Service accomplishment report
1/91		County Extension Agent job description
8/20/91		News article, <i>Gwinnett Dailey News</i> , "Extension Service decries budget cuts", by Cathy Tyler.
8/29/91		News article, <i>Atlanta Journal-Constitution</i> , "County agents exemplify need for sunset budgets", by Dick Williams, p. A17.
9/25/91		News article, <i>Atlanta Journal-Constitution</i> , "UGA cuts 184 jobs; Extension Service gets all 227 layoffs", by McKay Jenkins.
10/2/91		News article, <i>Atlanta Journal-Constitution – Gwinnett Extra</i> , "Budget cuts lay off 3 of 7 extension agents" by Linda Jacobson, p. J1.
10/10/91	News Article, <i>Gwinnett Home Weekly</i> , "Extension agents laid off", p. 2A.	

personnel, challenge to Extension, accountability, opportunity for funding, role of administrator, and form of county government. Five of these areas contained a sub category (or sub categories) to further define the thematic identification (Table 2).

NUD.IST, the qualitative data analysis software, was utilized to identify the various passages within each of the interview transcripts that contained references to the thematic areas listed above. This allowed for the development of themes that appear to be directly related to the successful transition of Waukesha's Extension Service from a rural to urban orientation. It also provided themes that may not appear to be directly involved in the successful transition. However, these additional themes do appear, at the very least, to have had some degree of impact on the transition process.

Three key themes, based on analysis of interviews and documents, appear to have played a significant role in the transition by Waukesha county's Extension Service: leadership, forced change, and the influence of changing demographics. All appear to have been crucial in the transition process for Waukesha. Each of these areas were cited numerous times by all of the individuals interviewed. Additionally, supportive material such as newspaper articles, Extension Service documents, and the county-sponsored departmental audit of the Extension Service all referred repeatedly to issues dealing with these three areas.

In a fashion identical to that utilized in the analysis of the Waukesha Extension Service, thirteen major initial thematic areas were developed for use in analyzing the successful and exemplary change made by the Gwinnett Extension Service. They were: government support, old demographics, traditional versus non-traditional, county fair,

Table 2. Initial Thematic Categories with Sub-categories for Waukesha County

Primary Thematic area	Sub-category 1	Subcategory 2
Old demographics	Separation between “old” or established residents and “new” or more urban residents	
Programming	Agriculture	Master Gardeners
	Electronic media	
	4-H	
	Youth Development	Changing needs of youth
	FACS-FCS	
	Urban Initiative	
County Personnel	Title Change	
Challenge to Extension	County Audit	
	Serious Threat	
	Future Challenge	
Role of Administrator	Greatest challenge for urban Extension administrator	

Table 3. Initial Thematic Categories with Sub-categories for Gwinnett County

Primary Thematic category	Sub-category 1	Subcategory 2
Old demographics	Separation	
Programming	Agriculture	Master Gardener
	County government	Growing up and liking it
		Youth Leadership
		Special Needs College Prep
		Change
	Use of electronic media	
	4-H & Youth	Changing
	FACS-FCS	Train the trainer
Advisory groups	Types	
Direct challenge to Extension	Serious threat	
	Future challenge	
Role of urban Extension administrator	Greatest challenge	

transition, image of Extension, programming, advisory groups, county personnel, direct challenges to Extension, accountability, opportunities for funding, and the role of the Extension administrator in urban counties. Five of these initial thematic areas were broken down into sub-categories (Table 3).

These additional subcategories provided a total of thirty initial thematic areas for analysis of the interviews and documents associated with the Gwinnett Extension Service's transition from a rural orientation to an urban orientation. As with the Waukesha county analysis, NUD.IST, the qualitative data analysis software, was utilized to assist in the development and identification of these thematic areas. Through the frequency of references and based on significance of impact, three primary themes were identified as being crucial to the eventual successful transition of the Gwinnett Extension Service from a rural to urban orientation. Leadership, gradual change, and an appreciation for the traditional role of Extension, appear to have had the greatest influence on Gwinnett's overall success.

Another theme, the county fair, also seems to have played a role in Gwinnett's success. Although it is unclear from the evidence of the fair's true significance, it was viewed by all interviewees as important and was included as a part of Gwinnett's appreciation for the traditional role of Extension.

The process of data manipulation involved the thematic triangulation of in-depth interviews of Extension staff and faculty, in-depth interviews of local government officials and document analysis. Following the thematic triangulation of data, common themes were identified in each of the data sources. The use of thematic identification

facilitated the story of how each Extension Service made the successful transition from a rural to urban county in an exemplary manner.

Validity and Reliability

As with any research, the issue of validity and reliability are crucial. Validity can be further broken down into internal validity (is the research a true reflection of what the researcher is measuring?) and external validity (can the results of one research project be applied to other situations?) (Merriam, 1998).

Merriam (1998, p.204) suggests that there are six strategies that can be utilized by a qualitative researcher to ensure the internal validity of a research project: triangulation, member checks, long-term observation, peer examination, participatory or collaborative modes of research, and identification of researcher biases. Three of these were used in the study: triangulation of data sources (by comparing the thematic issues identified in the interviews and document reviews); a member check with one individual at each site that exhibited the greatest depth of knowledge concerning the transition process to review the preliminary analysis following completion of the preliminary data analysis to ensure accuracy of findings; and consideration of researcher bias.

Based on Merriam's (1998) suggestion that one of the six indicators of internal validity is researcher bias, it is important to describe my professional career as a County Extension Agent and County Extension Director with the University of Georgia Cooperative Extension Service and the University of Tennessee Agricultural Extension Service. It is also important that I point out any biases I may have concerning issues that

may impact my analysis of the transition of Gwinnett and Waukesha counties as described in this research.

I hold a Bachelor of Science in Agriculture degree from the University of Georgia (1977) and a Master of Public Administration degree from West Georgia College (1988). (West Georgia College is now called the State University of West Georgia.) I began working for the Georgia Cooperative Extension Service in January of 1978, immediately following my graduation from the University of Georgia. Over the next eighteen years, I worked for the Georgia Extension Service three different times for a combined employment of over fourteen years. During this period, I also co-managed a dairy for one year and co-owned a farm supply center for two and a half years. In both of these endeavors, I utilized the local Extension office for a variety of services.

In May of 1996, I accepted a position with the University of Tennessee Agricultural Extension Service and have been employed with the Tennessee Extension Service continuously since that time. In May of 2002, I will have over twenty years of combined experience with the Extension system.

During my tenure in Georgia, I worked in a variety of counties that ranged from very small rural counties, to a bedroom community of Atlanta (not Gwinnett county), to counties with a large and active agriculture community. I held positions ranging from 4-H and youth work, to a mixture of adult agriculture and youth work. I also held the position of County Extension Director.

In Tennessee, my position has been more specialized. I am currently the County Extension Director in one of the state's four largest counties with a population exceeding

250,000. I have administrative responsibilities for a staff – when all positions are filled – that numbers around twenty individuals. This includes professional, support, and paraprofessional. I also have responsibilities for all of the livestock and non-horticultural commercial agricultural programs. Additionally, I have some Resource Development, 4-H and Youth Development responsibilities.

Merriam (1998, p. 42-43) reminds us that researcher bias in qualitative research is of critical importance to overall validity. It must be remembered by the qualitative researcher that, while engaged in research, the question of ethical collection of data is paramount. Because the researcher is the primary source for data collection, the temptation to “pick and choose” data as opposed to gathering the whole story, would certainly bias the research outcome. Further, Merriam cautions the qualitative researcher to be aware of any biases that may have an impact on the analysis and final results of the research.

Merriam (1998, p. 216-217) also suggests that because the data is, “...filtered through his or her particular theoretical position...” there is the possibility of researcher bias when selecting data to include in the final product. As Merriam points out, not all of the data may be in agreement with the views of the researcher. This may lead to the dilemma of the researcher being faced with a decision about including information that is directly contradictory to what he or she believes.

To address these concerns, I have openly stated my professional background and work experience over the last 25 years so that the reader may understand that I not only

have experience as an Extension Agent, but also as a recipient of the more traditional services provided by the Extension Service.

The variety of my career experiences assisted me in making the initial contacts with Extension leadership to develop the list of possible case study sites. Also, having been an Extension Agent in rural, urban, and transition counties has provided me with a background that has resulted in an understanding of the similarities and differences faced by Extension professionals in each type of county.

As useful as my many experiences have been, they have also increased the opportunity for researcher bias. Prior experiences, both positive and negative, certainly have impacted my own personal views and opinions concerning the Extension Service and its response to urbanization. Also, my own bias about administration (both Extension and governmental) might present an opportunity to have a negative impact on my analysis of the factors affecting the transition of Waukesha and Gwinnett counties.

Another area of concern would be any assumptions that I might have made concerning topics such as the relationships between local Extension offices and county governments. Additionally, the issues of the wording of the interview questions, the manner in which they were asked, and the direction and line of questioning during interviews is another area where personal bias favoring Extension might have been an issue.

In order to insure that I remained as open and unbiased as humanly possible, I employed the use of expert recommendations in selecting the sites for analysis. Although

I did make the final selection of the two counties, it was from a list compiled from the recommendations of a group of nationally recognized Extension leaders.

Periodically during this research project, I reviewed all data including interview transcripts to insure that I was including as much pertinent information dealing with the successful and exemplary transition of Waukesha and Gwinnett counties.

A member check process was utilized to ensure the accuracy of the findings in each county. By providing an on-site review of the findings, I was able to further increase the accuracy of my results.

Again drawing on Merriam's suggestions (1998, p. 211-212), external validity can be reinforced by the use of the following: a rich, thick description; typicality or modal category (how typical the program, event, or individual is compared with others in the same class); and multi-site design. A rich, thick description of each case study site emerged from the in-depth interviews and extensive document review. The issue of typicality was addressed by using recommendations from experts in the field on case selection.

The reliability of a research project is based on the ability to replicate the results. Looking once again to Merriam (1998, p. 206-07) for guidance, the use of triangulation of data, providing a clear "audit trail" of how data, themes and decisions were made, and by clearly stating the explicate relationship of the investigator to the group being studied allows for addressing the reliability of this research project. I have clearly stated my position as a career Extension Service employee to address this last issue. Although the use of two case studies does not allow the degree of replication available through the use

70

of multiple (four or more) case studies, it does provide a means of building a base for developing what Yin calls “literal replication” (1994, p. 46).

The issue of generalizability in the conduct of case studies is one that raises concerns for some researchers. Merriam (1992) suggests that when conducting multi-case studies, the use of standard questions and common thematic codes for analysis can increase the validity of generalization. Further, Yin (1994) argues that these critics are attempting to compare qualitative studies to survey research. As Yin (1994) states “...survey research relies on *statistical* generalization, whereas case studies...rely on *analytical* generalization” (p. 36). It is this analytical generalization which allows the researcher to “...generalize a particular set of results to some broader theory” (1994, p. 36).

CHAPTER IV

UNIVERSITY OF WISCONSIN-EXTENSION, WAUKESHA COUNTY

The purpose of this study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner. To address the purpose, case studies of each of the Extension Services were developed. Chapter four presents the case of the University of Wisconsin-Extension, Waukesha County and how it successfully transitioned from a rural to an urban orientation. Chapter Five presents the case of the other county identified as successfully changing their service orientation from rural/agricultural to urban/suburban.

In the southeast corner of Wisconsin, lying directly west of Milwaukee, is Waukesha county. Once called *Cow County, USA* by area residents, Waukesha is the fastest growing county in Wisconsin and also holds claim to having the highest per capita income of any county in the state. With the growth and prosperity that Waukesha has faced over the past thirty years have come challenges and changes to a way of life rooted in an agricultural community based primarily on large dairy farms.

These challenges and changes have not always come without a price for residents of Waukesha. As the county's demographics shifted from its traditional rural-agricultural base to that of a fast growing suburban county, the services demanded by the people of Waukesha county shifted – sometimes dramatically. To meet these changing demands, governmental services provided by the various state and county agencies to Waukesha's residents had to adapt. For some of these agencies, adapting to the changing demographics came easily. For others the change was not as smooth. One agency that

was faced with critical changes in its entire method of delivering services to the people of Waukesha county was the local office of the University of Wisconsin-Extension.

To fully understand and appreciate the changes that the Waukesha Extension office made, we must first look not only at the demographic changes that Waukesha county was undergoing but also at the history of Extension in Waukesha county. We also need to understand some of the changes that the Waukesha county government underwent during this same time period.

Census data indicate that the population of Waukesha county has increased almost 56% since 1970 from 231,365 to 360,267 in 2000. The median household income in 2000 was \$61,562 – a figure well above the Wisconsin state median household income of \$39,800 for the same period. Agriculture census data show a decline over the past twenty years in farms and total farm land for Waukesha county. Since 1987, Waukesha county has lost over 200 farms and over 20,000 acres of farm land.

Having been primarily a rural and agricultural county prior to the changes of the last thirty years, the programs presented by the Waukesha County Extension office were based on the needs of a rural population. Given the large number of dairies within the county, there was significant programming centered around the dairy industry. Family programming carried out by the agents involved with Home Economics (which later became known as Family and Consumer Science) also followed a similar pattern targeting rural families with programs to assist them with their needs in the area of food preservation, clothing and family nutrition.

Waukesha's Extension youth program was no different from the agriculture and home economics programs. Waukesha's 4-H Clubs were centered heavily around rural youth with emphasis on the more "traditional" programs of livestock, foods and clothing. There had been a long time association between the 4-H volunteer association in Waukesha county and the local county fair. The association had become so strong by the late 1970's the use of the facilities was in essence under the control not of the county that owned the property, but under the direction of the 4-H Volunteer Leaders Association in Waukesha county.

A formal governance system existed in Wisconsin that provided guidance for the local Extension offices and tied the Extension Service and the county government. Acting as both an oversight board and as a support board, the county agriculture committee was one of the regular standing committees of the Waukesha county Board of Supervisors. (This is true even today for most of Wisconsin's counties.) Due to the long standing influence of agriculture in Waukesha county, many of the county supervisors, and thus most of the agriculture committee members, were long time users of the Waukesha Cooperative Extension Service. Additionally, according to several of the agents still in Waukesha county, most of the agriculture committee members were also 4-H alumni or had children and/or grandchildren heavily involved in the county's 4-H program. As part of its duties, the agriculture committee had the power to make recommendations on the level of county funding that the Waukesha Cooperative Extension Service would receive each year. Other duties included performance appraisals of the faculty and staff of the Waukesha Extension Service.

With the strong ties that existed between the agriculture committee and the county supervisors – both on a formal basis and on an informal basis – there was little challenge by the Waukesha county government to the programs conducted by the Waukesha Extension Service. In many instances the chair of the county Board of Supervisors was also the chair of the county agriculture committee. In fact, as Jose' Vasquez, former Extension District Director and current Urban Relations Director for the University of Wisconsin - Extension, remarked:

In many cases that committee was comprised of other farmers, former 4-H'ers, [and] maybe some Extension Homemakers on the county board. It got to the point where the county faculty or maybe just the county ag agent would come to the committee and say everything is well in agriculture and then everybody would say we understand, and the 4-H agent would say that everything in 4-H is well and then everybody would say we understand, and they would go down the list.

With such an approval system in place, there was little incentive for the local Extension faculty and staff to focus on changes taking place within Waukesha county. This, in and of itself, was certainly not an inappropriate system for either the county government or for the Extension Service. However, there were to be changes in the county system of government that would eventually lead to a change in the very core of

how the county Extension Service conducted its administrative business with Waukesha county.

During the late 1980's, there was a growing concern among some residents that the existing form of county government was not sufficient to meet the needs of a fast growing, increasingly suburban county, such as Waukesha was becoming. In an effort to move to a County Executive system where a County Executive is elected county-wide and essentially runs the day to day business of the county, then County Supervisor Board Chair Dan Finley asked the Waukesha County Extension Service to assist the effort by conducting a series of open forums throughout the county. These forums were developed to inform the general public about a County Executive form of government as opposed to a Board of Supervisors form of county government. Locally elected County Supervisors would remain under the proposed County Executive system. However, there would be another position elected by county-wide vote. This position would be that of County Executive.

The County Executive's position would not be to establish policy, but rather to implement the policy decisions of the Board of Supervisors and to operate the county government on a day-to-day basis. Essentially, all of the units of county government, from public works to recreation to health, would come under the administrative oversight of the county executive. The county executive would designate (either by hiring or through internal promotion) individuals to oversee the day-to-day operation of each individual department. These individuals, who would be designated department heads, would then report directly to the county executive. In turn, the county executive would

then report to the Board of Supervisors. This reporting process by the county executive also included the development and submission of a yearly budget for approval by the county Supervisors.

Following a nearly year long county-wide educational effort carried out by the Waukesha Extension Service and the County Board of Supervisors Chair, the residents of Waukesha county voted on the issue of a county executive form of government. By a majority vote of slightly less than 60%, the residents of Waukesha county voted for the county executive form of government. At the next general election, County Board Chair Dan Finley was elected the first County Executive of Waukesha county. Mr. Finley has been the County Executive of Waukesha since his first election in 1991.

Nineteen-ninety one was a year of changes both within the county government and within the Extension Service. Jose' Vasquez was appointed as the District Director for southeast Wisconsin. Vasquez had previously held positions with community service agencies in the greater Milwaukee area and he was hired for his experience and background in working with local governments, higher education and community service agencies in urban and suburban areas. Despite lacking experience with and having only limited knowledge of the Extension Service, his expertise in public service in urban communities was identified by state Extension administrators as needed in southeast Wisconsin. Because of the large number of urban areas in southeast Wisconsin, Vasquez' position as District Director was unique in relation to other Wisconsin District Extension Directors. He noted:

Part of the reason why I was chosen as the District Director was that the Dean at that time felt that we needed a stronger urban presence. The directive that was given to me at the time of my hiring was that among the 6 district directors in the state, my role was to be different than the others. I was to be performing things that were not expected of other district directors which were much more internally, administratively focused. My role was to do a lot more external work with elected officials, partnerships with other outside agencies, seek different funding opportunities, things of that nature. So it was very clear that somehow I needed to work on getting Extension known better in the urban centers.

During the first two years of Waukesha's change to the county executive form of government, the status of the Extension Service went relatively unchanged. However, there were distinct changes taking place in the basic organization and structure of Waukesha's county government that were to have a direct impact on the Waukesha County Extension Service. The concept of administrative department heads with true administrative responsibilities was one of these changes.

Administration was something the Extension faculty in Waukesha had never taken seriously and the Waukesha Extension faculty failed to appreciate the protocols associated with this new form of county government. For the County Extension faculty, administration could no longer be considered a task to be endured. Instead, administration

had become a part of the normal routine for doing business in Waukesha county. In addition, unlike other University of Wisconsin department heads, the County Extension Leader in Waukesha carried increased administrative responsibilities in the areas of personnel performance appraisals, budget and Extension programming oversight in the county. It became critical that the county-level Extension administrator understand that the old system of working directly with the County Agriculture and Extension Committee was no longer an acceptable method of conducting business. Under the Executive form of county government, the Extension Leader became a County Director and answered directly to the County Executive.

Jose' Vasquez, Urban Relations Director for the University of Wisconsin-Extension, noted:

... [W]hat I saw here ... is that the county staff, while going through the changes that were happening in county government, did not interpret those changes. Our faculty...[did] not [understand] that switch and the supervisors [were] saying we need to stop talking Extension and start talking, and start reporting and communicating in terms and concepts that these folks who have never been touched by Extension can understand. We didn't do that. The committee on the other hand, probably because of their perspective as elected officials, didn't feel that they needed to alert them to that. That was their [Extension's] job to understand how you [Extension] need to communicate

to me [elected official]. So that was mistake number one. Mistake number two, we forgot about the County Executive. So we were going to the county committee for approval on everything from our travel, our budget, our direction, our everything, and the County Executive very patiently was looking at us and saying what am I, chopped liver? It is my budget that goes to the county supervisors for approval. It is not the county board's that comes to me. All the departments feed into the combined budget that goes to the county board. Their role [county board] is purely policy development.

The change of oversight responsibilities from the University of Wisconsin Extension Education and Resource (UWEER) Committee under the County Supervisor form of government to the Legislative, Intergovernmental and Education (LIGE) Committee was a critical change for the Waukesha County Extension Service. This change was particularly critical due to the make-up of LIGE committee members as compared to the make-up of the old UWEER committee. UWEER committee membership had traditionally consisted of County Supervisors who represented primarily agricultural interests and rural areas of Waukesha county. However, under the new system of county government, the LIGE committee consisted of a diverse membership that included individuals with little or no prior knowledge of the Extension Service and its relationship to county government. Vasquez noted :

...[W]e had new people on that [LIGE] committee who the majority of them had come from the cities. None of them having been farmers, none of them having been Extension Homemakers, none of them having been 4-H'ers. Our Extension faculty still [came] into the committee and [said] agriculture is fine but this time the committee [said] so what does that mean? 4-H, the same thing. Immediately, there [was] a lack of understanding on both sides. Our faculty, not understanding that switch and the supervisors saying we need to stop talking Extension and start talking, and start reporting and communicating in terms and concepts that these folks who have never been touched by Extension can understand.

The creation of the Office of County Executive, and the transition process that followed, brought about changes that had a direct impact on the local Extension Office governance structure. During the transition period, the responsibilities of the UWEER Committee were vested in the newly created Legislative, Intergovernmental and Education (LIGE) Committee. A May, 1993 Internal Audit of the Extension Service, conducted by the Waukesha County Auditor, noted this change:

Prior to the creation of the Office of County Executive in Waukesha County, The UW – Extension Education and Resource (UWEER) Committee of the County Board had broad administrative authority

over the Extension programs and activities. The committee played a direct role in the evaluation of staff for recommendation to Office Chair appointment, and was directly involved with the development of the Extension Office's annual budget. In the past, the composition of committee members remained relatively unchanged, and much of the committee work was enhanced by a philosophy in support of traditional Extension programming, as well as first-hand experience among some members with Extension program development and participation.

One of the immediate and most obvious responses to the change in county government was the change in responsibilities for the administrative head of the county Extension office. Historically, the administrative head was called a County Chair. This was based largely on the fact that at the university level there were academic department chairs rather than directors. Because the county-level professional staff carry tenure-level appointments, the traditional approach to selecting the departmental chair for a county Extension office had followed the same process as that used on the University of Wisconsin campus. Essentially, in the case of the Extension Service, the department chair was selected every two to three years on a rotating basis from among the county faculty. Unfortunately for the Waukesha Extension faculty this was no longer going to be possible. Under the new system of county government, each department (and the Extension Service was a full department) had to have a "true" department head. No longer could the faculty deal directly with county supervisors, who in reality only

represented and were elected by a small portion of the county population. The position of department head carried with it responsibilities that had previously been shared, or in some cases simply ignored, by previous Extension County Chairs. Such responsibilities as coordination of personnel and performance reviews of county faculty and staff were now to be a primary concern of the Extension department head. Budget responsibility and program accountability also fell under the direction of the department head. Further, it was also the department head's responsibility to maintain a connection with, and coordinate all administrative matters between the Extension Service and the County Executive. As previously mentioned, the primary administrative link between the Extension Service and county government was no longer through the UWEER committee but through the County Executive and the LIGE committee.

The new position of department head required the creation of a new title and a shifting of responsibilities to the individual selected from within the county faculty to be the County Director. Southeast Wisconsin's District Director at that time was Jose' Vasques. He encountered extreme reluctance on the part of many of the staff during this initial administrative change due in large part to a true misunderstanding of the importance that the county executive form of government placed on the department head.

This reluctance by the county faculty exhibited itself in the faculty's failure to participate in and be fully a part of the administrative process within the county government. It appeared to Vasquez that the county faculty was openly resistant to the administrative changes taking place within the Waukesha County Extension Service. He

described this increased emphasis on administration and the resulting reluctance in this way:

...[In] county government we have administrators, we have directors, we have program coordinators. The message that we were conveying ... is this administrative kind of stuff is for other lowly life to do. We don't do those things. Again a switch, when you go from a county board to a county executive who is here to be the chief administrative agent the big message is you better take administration serious. And how you administer you should take serious because they see it as very serious business. Administering programs is not as I have time, as I think about it, or well, somebody has got to do it and guess it is my turn. So intentionally or unintentionally, we were sending a bunch of negative messages about our presence in county government.

Extension's failure to fully appreciate and comprehend the administrative changes brought about by the change to a County Executive form of government eventually led to a call by the County Executive for a full audit of the Waukesha County Extension in 1993. Needless to say this caught both county and state Extension faculty completely unawares. This audit, which was conducted under the direction of the county executive's office, was to eventually lead to a drastic shift in the very basis of how Extension went about its business in Waukesha county. The audit was conducted by Waukesha county's

Internal Audit department. Results from this audit, including recommendations, were passed on to the County Board of Supervisors Chairman and the Executive Committee that had oversight responsibilities for the county Extension Service.

County Executive Finley, having called for an audit of all of the county's departments shortly after entering office as the Waukesha County Executive, suggested that there were other concerns than the reluctance by the Extension Service to grasp the administrative changes in Waukesha county that prompted Extension's audit. Finley recalled that he felt strongly that Extension was not meeting the needs of the people of Waukesha county:

They [County Board of Supervisors] are of a conservative nature and don't want to spend money if they don't have to spend money. We thought we were spending an inordinate amount of money in the agriculture area when that sector was diminishing and not spending practically anything in the urban areas. So we felt the need to shift those resources which is much easier said than done. We had established programs, established staff, established constituencies for where we were spending that money. So to shift that over to urban programs was a challenge which is what we have been doing for the last 6 or 7 years.

Finley went on to describe the “challenge” that needed to be faced by the Waukesha Extension faculty, to shift away from what was perceived by many to be traditional, non-urban, rural Extension programs to programming that would directly reflect the needs of the new suburban majority of Waukesha’s residents. In essence, Finley’s call for an audit of the Extension Service was a political mandate for Extension to meet the changing needs of Waukesha’s citizens or face severe budgetary cut-backs.

Not only was there reluctance on the part of many of the faculty in Waukesha to accept the administrative structure and new scrutiny of their programs, there was clear resistance by several faculty members to the actual process of the audit. Several county faculty openly questioned the authority of the auditors to examine files, reports and “personal research”. County faculty also questioned the ability of the auditors to understand Extension programming efforts. County faculty even suggested that they should be able to review the questions that the auditors were going to ask them. The transition from the academic atmosphere of open discussion to the cut and dried world of auditors was unquestionably a difficult transition for many of the county faculty.

The scope of the county audit was to cover nine areas of concern as requested by the Executive Committee. Duplication of services and programs between what was offered by the Extension office and by other organizations and agencies within Waukesha county was the first area of concern. Other areas of concern targeted by the Committee were: the overall effectiveness of public relations and marketing efforts by the Extension office; the degree of awareness of Extension programs and services by other Waukesha county government departments; whether the programs and services offered by the

Waukesha County Extension Service reflected the social and economic changes that Waukesha county had undergone; the governance structure of the Extension office and how it related to the current administrative structure of Waukesha county government; and Extension program accountability. In addition, there were also concerns about the charging of fees for services provided by the Extension office, internal control of “cash management practices”, and benefits to the county government of a purchased services contract for Extension services within Waukesha county.

The results of the county audit noted eight areas of major concern varying from duplication of services to providing services to out-of-county individuals and groups. According to the auditors, many of Waukesha County Extension programs appeared to be similar to programs and services that were currently being provided by other community organizations. This raised the concern that local tax dollars, “...may be funding ... programs in areas where sufficient educational alternatives currently exists...”. This duplication of services focused primarily on programs related directly to economic development. The audit report noted that Waukesha county provided \$52, 649 in 1992 to the Extension Service for economic development programming while funding a local economic development corporation in the amount of \$75,000 during this same period.

Another concern raised by the audit concerning duplication of services dealt with Extension’s role as part of the local Joint Administrative Committee on Continuing Education (or JACCE). According to state guidelines, local vocational/technical institutes, the University of Wisconsin System campuses, and the University of Wisconsin - Extension were to work together cooperatively in the 16 JACCE district

councils throughout Wisconsin. Within each regional council were local planning units. These planning units were to identify both short and long range “needs of the clientele,” provide complementary programming based on existing guidelines for program development and implementation, jointly determine individual institutional roles in meeting these needs, resolve “programming conflicts,” and maintain open and regular communication between local institutions and the district council. It appeared to Waukesha’s auditors that some of the services and programming provided by the Extension Service were also being provided by other members of the local JACCE. This was, according to the auditors, in direct conflict with the guidelines established for local programming under JACCE protocol.

The question of duplication of services between various county government departments and the Waukesha Extension Service was another area addressed in the county audit. Although auditors cited program areas that were possibly being duplicated, they were unable to completely defend this charge of duplication of services due to what they saw as inadequate organizational accountability and programmatic evaluation.

Blaming an “absence of open policy discussion” between Extension administration and county government concerning the charging of fees for services provided by Extension, the audit criticized the Extension Service for utilizing county tax levies to provide financial support for activities that could be funded through user fees and examined the legality of charging clientele. Clearly, based on the audit document, there was concern that the county government be able to recoup the cost of Extension’s services. The Extension Service was opposed to such actions. The auditors cited state

Extension administrators' concern that by charging fees the overall accessibility of Extension programming would be impaired. Both the county auditors and Extension agreed that "...accessibility is an important element inherent..." to the overall effectiveness of the mission and purpose of the Extension Service.

Citing the absence of quantifiable performance standards, a program impact evaluation process, and an accurate system for identifying clientele, the audit called for the Extension Service to increase its local program accountability. The absence of "measurable performance standards" was seen by the auditors as being at odds with the expectations of the County Board and the County Executive for a department within the Waukesha county government.

The issue of providing programs and services to individuals not residing in Waukesha county was another concern brought out in the county audit. The audit stated that it was customary for county Extension offices in Wisconsin to provide reciprocal services between counties. This reciprocity was, according to the audit, due to the degree of specialization among county faculties and the near impossibility for any one county to meet all of the needs of its clientele. The auditors noted that some cases, Extension programs involved anywhere from 15% to 20% non-Waukesha residents. Auditors criticized the Extension Service for failure to maintain a system of record keeping that would have provided information on the amount of reciprocal time received by Waukesha county.

Extension was also cited in the audit for providing consultant services to organizations at no cost where the unbiased and non-partisan standards of the Extension

Service might be compromised. Many of the questions raised by the auditors in this area were similar to those raised in questioning Extension's failure to charge user fees.

According to the audit, a "conflict of perceptions" existed between the County Board of Supervisors, the County Executive and the state Extension office concerning their respective roles in local governance of the county Extension Service. The issue of governance was addressed in some detail in the audit report. In fact, although listed as the final "observation" by auditors, it is the first area of concern to be addressed in the audit. County auditors noted that at the time of the audit, the true nature of the relationship between the Extension Service and the County Executive was still in a formative phase. However, it was noted that there appeared to be a tendency for the Extension Service, regardless of its location, "...to dictate to County officials the nature, scope, and resource requirements..." for county level programming. This assumption was based on a survey conducted by the Waukesha county auditors of all of the counties in Wisconsin with a County Executive form of government. Also noted by the Internal Auditors were concerns surrounding the use of county funded Extension staff in providing clerical and support staff services for local private, non-profit organizations and the lack of internal control and cash management of discretionary funds.

The auditors noted in their final report that they had experienced "several scope impairments that adversely affected" the ability to carry-out their assignment. According to the auditors Extension faculty and staff in Waukesha county were guilty of "...[denying] access to sources of information related to Extension programs and Extension clients; and misrepresentation of information provided to Internal Audit."

Further, as an immediate result of the audit, two faculty positions and two and a half support staff positions within the Extension Service were eliminated. The county reduced their fiscal support of Extension by 25% and one of the two 4-H and Youth Development positions was changed to that of Youth and Family Development.

Although these might seem at first glance to be minor changes, many of the faculty involved in these position and responsibility changes had been working in Waukesha county with the Extension Service for over ten years. They were well established with their respective clientele and certainly did not share County Executive Finley's conclusions that, "It [Extension] served us well but was left behind as the county urbanized. It [had] never really kept pace with what [was] going on in the county."

The audit, which was originally designed to be a three month process stretched into a very public nine months. Following the release of the audit, the University of Wisconsin - Extension undertook a year-long program evaluation of Waukesha's Extension Service conducted by individuals from outside the state of Wisconsin. This program review and evaluation involved not only county Extension staff and faculty, but also included local elected officials, key community leaders and clientele. The university review team was charged by Dr. Ayse Somersan, the Dean and Director of the University of Wisconsin - Extension, "...to examine the programs of Waukesha County UW-Extension."

Clearly, from interviews with Marcia Jante', County Extension Director in Waukesha county, and Vasquez, the county audit was a "clarion-call" to the university. The accepted and traditional method of carrying out Extension's mission, at least in

Waukesha, was going to change. The university's response was not directed at disputing nor confirming the findings of the county's Internal Audit. Rather, it focused on the review and evaluation of Waukesha's existing Extension program and was intended to determine how Waukesha could more effectively meet the needs of its clientele both then and in the future. Not everyone was impressed by the University's willingness to also conduct an introspective examination of the Waukesha program. When asked about the impact of the University program review, County Executive Finley replied:

I just have vague recollections of it. That was a long time ago, what was that 10 years ago? My recollection is that it did not have much impact. It was really a self- defense move on the part of Extension which wasn't necessary. The hand-writing was on the wall. We were going down this road and it didn't matter. Enough good people believed in it and we are down that road now. So it was their response and that is why I call it self-defense and really wasn't necessary. It was the elimination of real people and real families and it doesn't come easy. Our first audit was giving justification to the vision. We knew we wanted to go that route.

The review team utilized a list of eleven questions that had previously been agreed upon by a Review Steering Committee. This Steering Committee included members of the Waukesha County Board of Supervisors' LIGE Committee and county and state Extension faculty. According to a letter from Judith Bailey, Chair of the Review

Team and Vice President for Research and Public Service at the University of Maine, dated February 7, 1994, to Dr. Somersan, the eleven questions that were to be the base for the review were: How do planning processes identify program directions?; Are the programs offered consistent with Waukesha County needs and the UWEX mission?; How has the Waukesha County UWEX programming changed over time?; What are the impacts of the Waukesha County UWEX programs?; Are evaluation procedures in place?; Is the Waukesha County UWEX staffing level adequate and are staff qualifications appropriate?; How are volunteers used and what are their impacts?; How do you work with other agencies or private sector entities to develop and/or conduct programs?; Do Waukesha County UWEX programs duplicate other agency efforts?; What do Waukesha County UWEX staff contribute to programs outside of the county and what is contributed to Waukesha county by others?; And, what are the public's perceptions of the Waukesha County UWEX programming?

The review both commended the Waukesha faculty and made recommendations. The areas that were seen by the review team as strengths of the Waukesha Extension Service were:

- Staff Competence – The review team noted that the staff, having “lived through two review processes,” were “...perceived as being experienced and appropriately qualified for their educational leadership roles.”
- Program Redirection Based on Changing County Needs – Citing a shift in agricultural programming from production to financial management, the

Waukesha faculty was cited for having “...demonstrated an ability to change program direction to remain relevant and contemporary.”

- Collaboration and Partnerships With Other Agencies – Based on interviews with local agencies, the review team cited the Waukesha Extension Service as providing a “distinct contribution” when collaborating. The team also noted that those collaborators perceived providing “educational” information as an appropriate role for the Waukesha Extension Service.
- Community Catalyst – The review team noted that one of the strengths of the Extension Service was its ability to act as a catalyst by “...bringing people together to examine an issue, helping them understand it through community assessments...and developing and implementing action plans.”
- Source of Unbiased Information – The role of Waukesha’s Extension faculty as educators providing unbiased information was widely recognized.

The review team recommended five areas that needed to be addressed by the Waukesha County Extension Service: a common understanding of program goals; interdisciplinary/team approach; county program initiatives; public awareness; and, staffing patterns.

Citing shared responsibility and accountability as critical to the successful operation of the Extension Service, the review team emphasized the need for the Waukesha Extension Service to work with the LIGE Committee in developing goals, outcomes and performance indicators. The review committee stressed the need for joint identification and prioritization of issues, agreement as to the educational outcomes of

Extension programming, and utilizing “...appropriate benchmarks and/or indicators...” for evaluations.

The review team not only recommended team programming (as opposed to “segmented” programs), they also encouraged the adoption of a “reward and evaluation” process that would encourage and support such efforts. Emphasizing the integration of inner-departmental leadership as well as inter-departmental integration of Extension programming, the university review called for the use of existing strategic planning processes within Waukesha county government to achieve a greater degree of team programming.

Calling for a need to provide county-based program initiatives, the review team saw Waukesha county as being “...on the cutting edge of growth management related responses” and recommended approaching county programming with the uniqueness (based on its rapidly changing demographics) that the county exhibited. The university report cited the need to develop what it termed, “county-specific” educational programs. By providing what the review team referred to as a “...broad range of potential examples...” for program initiatives, the university report suggested the Waukesha Extension Service should address the following areas: local government official training; critical issues of youth; providing collaborative youth volunteer training for other organizations, institutions, business, etc.; and, the development of a countywide planning initiative that would coordinate programming in a collaborative effort with other Waukesha county public service organizations.

Stressing the need for greater visibility both within the county government and by the general populace, the review team cited the critical need for increased “emphasis on public relations and marketing”. It argued that Extension should be better prepared to provide timely and informative public reports of its many programs and they perceived that by placing a greater emphasis on evaluation and impact measurements, there would be less emphasis on what was done (i.e., activities) and greater emphasis on what was achieved (i.e., impact).

Based on the resources that the Waukesha Extension Service had available at the time of the review, the team recommended that there be a full-time County Extension Director appointed who would also have the responsibility of marketing Extension in Waukesha county. Additionally, it recommended that staff resources be reallocated based on program need (present and future) and staff reallocated to allow for interdisciplinary team programming. The review team also suggested that “alternative” position categories (program/staff assistants, annual staff, etc.) be established, and that the overall diversity of the staff be increased.

The review team summarized their findings by pointing out that a “...sustainable organization must make a difference in the lives of those it serves by changing to meet needs and by addressing major issues in imaginative and collaborative ways.” The review team continued by stating that the Waukesha Extension Service had “...a unique opportunity to respond to the wake-up call; to accept the challenge of changing programs; to redirect staff and to do this within the context of the federal-state-county partnership known as Cooperative Extension.”

Challenge may be a mild word for what the Waukesha faculty and staff went through. The eventual outcome of this “challenge” was a new structure for the Waukesha County Extension Service. Waukesha addressed the challenges and concerns of both the county audit and the university review in a variety of ways, with programmatic changes being the most visible. However, there were some very basic changes that the Waukesha staff had to make to provide an atmosphere conducive to change. Stressing the importance of understanding that change was not just programmatic, the university review urged the Waukesha Extension Service to change their very concept of “how” an Extension office should work. In the past, the county faculty had nurtured a strong sense of individuality where colleagues worked separately but with a common goal. The program review commended the staff on such admirable qualities but warned that this individuality would not be sufficient to successfully meet the changes that Waukesha was facing. Collegiality had to give way, according to the university review, to collaboration and team work:

The review team recognizes and applauds the strengths of each of the staff members and envisions those individual strengths coming together in support of a total program where the total is greater than the sum of the parts.

Although this may have sounded simple, such changes required nothing less than a total shift in how Extension went about the process of carrying out its mission in

Waukesha county. The outcome envisioned by the university review was to provide a stronger Extension Service that proactively addressed the needs of Waukesha's residents.

In comparing the findings of the audit and the university review, a clear distinction was evident. The county audit was focused almost exclusively on process and structure: was Extension involved in duplication of services; what was the governance structure of Extension; program accountability; user fees; and financial accountability. However the university review, while focusing on extensions programs, was more concerned with the future direction of Extension and its mission in Waukesha county. The university review focused on what the review team saw as a need for the development of a proactive process for identification and prioritization of issues by the Waukesha county Extension faculty.

The challenges brought about by two separate investigations was summed up by Marcia Jante':

It was a tumultuous couple of years with lots of recommendations that we were to implement. I look back on it now and it was good for the office because it gave us a chance to change as well as a mandate to change. The staff at that time was heavily tenured so they had a lot of years and a lot of experience and expertise. They did not meet these recommendations with a lot of vigor and vitality. There was some

resistance to change. They were told they had to do some things differently. Because we were told that we had to make these changes, from a leadership perspective [it] made it a little bit easier. We didn't have a choice if we wanted to stay in Waukesha county as a department. We were this far from having our doors closed.

Jante', who was appointed County Director as a result of the county audit, went on to recall the negative reaction of some of the county staff:

People were really angry. It took them a long time to grieve over the changes that went on. Again we were looking at a nine month period when the staff was virtually under attack. You had individuals coming in that had a financial background who were trying to understand needs assessments, program development and evaluation. The auditors wanted to assess a dollar value to everything that we did. So we developed a program and they wanted to know how much did it cost to develop that program. "How much staff time was involved?" Secretarial?

Professional? How many copies were run? How much was charged for each member? Again they were coming from a completely different view. So the staff, after going over and over this, did become extremely defensive. We all have a missionary zeal and to be having to put a price tag on everything we are doing flies in the face of why we are here doing

this. So as the months dragged on they [county faculty] became more and more angry. There were individuals who refused to give out mailing lists because they believed it was confidential. This would get the Deans involved and did not make for good relations. So the more angry that the faculty and staff got the more they dug their heels in and the poorer we looked to the people that were doing the audit.

Virtually all of Extension's programming areas were impacted as a result of the county audit. Following the release of the audit, as previously mentioned, the county 4-H faculty was reduced from two to one. Not only was the faculty reduced but program emphasis and faculty involvement also took a new direction. Based on the recommendations of the county audit, the Waukesha 4-H program took on an educational approach to 4-H programming. Marcia Jante' remembers the initial impact on 4-H following the release of the county audit in this way:

It was a difficult change for the 4-H organization because we had to help them understand they weren't losing a staff member but that they were gaining a new and exciting program that would be available to them because they did not have the time to deal with it before. One of the other things was that there was some expectation that the 4-H program would change. They were now going to eliminate some things that were not of an educational nature. If they were going to be doing that

kind of programming [i.e., non-educational], they were going to be doing it without our support. We could not afford to be doing service type programs. We really had to focus on education. That was a change for them. That took us a year to help them work through all of that. I went out with a little dog and pony show and talked with a lot of leaders and clusters of 4-H members to help them understand why this change took place. We also made some major changes as a result in registrations – service kind of things we did. 4-H enrollment for example. We had the Blue Ribbon enrollment program. We could not do the data entry so the 4-H Association could hire someone to do it. Our support staff was cut by two and a half positions as a result of the audit and our budget was cut by 25% and we lost two faculty positions. That was a huge impact on this office and we had to make some major changes in order to accommodate those audit changes.

Other staff members also recall that first year following the release of the county audit as a long period of stress and uncertainty. There were feelings of mistrust and betrayal from county faculty toward Extension administration and county government. The general feeling was that the county audit had failed to fully understand the impact and importance of Extension to the residents of Waukesha county during the late eighties and early nineties. During interviews, some individuals openly questioned the ability of county auditors to fully comprehend and understand the programming efforts carried out

by the Extension Service. Faculty not only questioned the credentials of the auditors but also questioned the direction in which Waukesha's Extension Service appeared to be heading. As one agent stated:

It seemed like I sought a lot for some direction from our program area, wondering what are we really supposed to be focused on and should we be nurturing ... [a certain] program because that is what Wisconsin [Extension] is all about? Are we supposed to be doing innovative things to connect with kids in the schools? Parks and recreation programming? Are we to be a resource to others ...? What is the right thing that we are supposed to be doing? Kind of in a searching way...

It was very unclear as to what was the best thing to do ...

Another faculty member recalled the emphasis that faculty and support staff had to place on the development of volunteers leaders and a move away from the service aspects of operating and managing a volunteer led organization. This shift to an educational program emphasis was difficult for some of the faculty. However, the change that had to take place was made very clear. As Dan Finley put it:

There is a real fine line between education and service. We are not a service provider and we don't do counseling, we shouldn't be getting our hands "dirty" ... We should be going in there and educating them ...

That is a real tough call for us as to where the education stops and the service provision begins. I am all for us doing the educational component. But our staff loves to... get their hands “dirty”. They want to literally dig in the dirt and plant the bushes, [build] the play ground equipment, or what ever is needed ... I do not think that is Extension’s role. You are an educator or facilitator, you’re a catalyst.

Thus a distinction was drawn between Waukesha’s traditional, community club based 4-H program and county-wide youth development. The traditional 4-H Club remained (and is still active) but with Extension faculty providing the educational component and less and less of the service.

There was still another significant change which occurred following the county audit. In keeping with the spirit of Extension faculty as educators, there was also a change in the title of county faculty. No longer were they called County Extension Agents. Under the “new look”, Extension faculty in Waukesha county would be known as Extension Educators. Also there was more emphasis placed on the ties to local government. This was demonstrated in a subtle name change. On the local level, no longer did the Waukesha Extension office identify itself as the *University of Wisconsin – Extension, Waukesha County*. Following the county audit, it was to be known as the Waukesha County Extension Service. Marcia Jante’ feels that the connection to the local county government was critical to the overall image and survival of Extension in Waukesha county:

Something as simple as instead of calling ourselves UW – Extension we call ourselves Waukesha Extension. Whenever we go out and whenever we do anything in the county we refer to ourselves that way – Waukesha county comes first. When we are doing a university “shtick” it is UW Extension – Waukesha county. But something as simple as that is making sure that he [the County Executive] sees us a part of county government because in the past he didn’t. So we have worked hard to be more a part of county government. We view department heads as one of our major clientele groups. So if we do programming, we offer programming to them. We put them on our distribution lists, so as we put together programs they receive notification of it.

The two name changes (Agents to Educators and UW – Extension to Waukesha Extension Service) were direct responses to the county audit and the university review. It addressed two points the county audit identified: the relationship between the county government and the county Extension Service and the role of the County Extension Director (or department head) in marketing Extension’s many services to the community.

It partially addressed four issues in the university review: a need for Extension to have greater visibility within the county government; marketing of services as a part of Extension’s way of doing business; concern for how Extension was viewed by other

agencies and departments; and, public perception of Extension's mission in Waukesha county.

The name change to Educator from the long-standing title of Agent was an attempt to insure that the perceptions of other county government departments and the general public of Extension's mission and role was, in fact, that of providing education to the people of Waukesha county. Clearly, based on comments by Finley, Jante' and Vasquez', as well as the county audit and the university review, there was a need for Extension faculty to be viewed as providing and collaborating in educational programs in the county.

The change in name on the county level was another effort by Extension to openly address issues of local-ownership. From the county audit, there were questions raised concerning just where the Extension Service "fit" in the county's governmental structure. Although Extension was not severing its ties to the University of Wisconsin, there was the obvious gain on the local level in officially recognizing its ties to Waukesha county. The name change not only implied that the Extension Service was a part of the local county government, it also had a positive impact on the perception of county residents that the Extension Service was a locally based agency. This change in perception addressed Extension's necessity to remain a grassroots organization that targeted the needs of local (in this case, Waukesha county) people.

The audit by the county was the catalyst that created the changes necessary to revitalize the Waukesha Extension program. The capstone of this revitalization was the formation of the *Urban Initiative*, which has become the cornerstone for programming

not just in Waukesha, but in all four of Wisconsin's southeast urban counties. The *Urban Initiative* is an outreach program designed to create a link between the local county Extension office, urban universities, and neighborhoods. In Waukesha county the *Urban Initiative* provides the platform for neighborhood residents to identify issues. Extension then utilizes its connections with the University of Wisconsin System to act as a catalyst to bring together the resources and skills necessary to meet the needs of the community. Examples of programming efforts in Waukesha county that are a direct result of the *Urban Initiative* include playground development, after school programs for youth, and at-risk youth prevention programs.

Another notable example of *Urban Initiative* programming in Waukesha county is a series of community revitalization projects that have been conducted through the Extension office. Focusing on communities, the Extension Service has worked with existing local agencies to secure a variety of grants to fund an array of projects in several communities and neighborhoods. Using funds secured through Community Development Block Grants (or CDBG) and the United States Department of Housing and Urban Development (or HUD), the Waukesha Extension Service has been able to place professional staff in these communities to assist with a variety of needs that have included establishing neighborhood and community associations.

What the *Urban Initiative* has provided for Waukesha county is a mechanism whereby Extension faculty can be flexible and responsive to the changing needs of an urban county. Providing an opportunity to plan "outside the box", the *Urban Initiative* paved the way for innovative programming on the part of Waukesha's Extension staff.

No longer were Extension faculty tied to the traditional methods of program development. The *Urban Initiative* **and** the administrative support it generated within the state level Extension administration and within the Waukesha county government, provided the necessary impetus to encourage the development of non-traditional programs.

As a result of the reassignment of program areas based on audit recommendations, the newly formed position of Youth and Family Development Educator has opened the door for a variety of opportunities for youth development work not directly associated with Waukesha's traditional 4-H Club program. Working closely with school districts, municipal governments and various county agencies, the Waukesha Youth and Family Development Educator has been able to address youth issues that, at least to county officials, were not being met prior to 1993. By working within targeted communities and neighborhoods, Extension was also able to provide programming addressing drug abuse, work force preparation, and economic development in underserved areas.

By focusing on the needs of inner-city youth and their families, a wide range of opportunities in youth development opened up for the Extension faculty. Utilizing resources available through the University of Wisconsin- Madison, which is Wisconsin's land-grant university, faculty and staff were able to draw upon educational programs and research to assist with the development of community and neighborhood based programs.

Jose' Vasquez sees this shift in youth development not only as a key part of the change made by Waukesha's Extension Service but also as a key to future success:

So ... how do we carve out our city presence in ways that allow us to demonstrate that we made a difference? One of the ways that we have done it here [in Waukesha] is we have used the concept of neighborhoods. The concept of the neighborhood is an urban phenomenon. It is not a small town phenomenon, it is not a small city phenomenon. It is not a township phenomenon, it is not a rural phenomenon. It is a city phenomenon. We need to say as an Extension office that we are going to make a difference in this neighborhood. We are not going to try and save the whole city because ... We don't have the resources. But we can make a difference in this neighborhood. It is typically geographically defined. It has a core group of leadership and services. But we also have to understand that there is a dynamic that differs between a neighborhood and a small city.

Vasquez goes on to say that understanding the difference between the neighborhood of 4000 people and the small town of 4000 is quite dramatic:

If you have a public meeting in the small town of 4000 you will probably get all the town counsels members, the mayor, police chief and an assortment of city civic leaders. On the other hand, when holding a community or neighborhood public meeting, you will have local civic leaders who may or may not have influence city wide. You

will also probably get the local city council member and if you are lucky, maybe a representative of the police force and the mayor's office.

By understanding this difference, the Waukesha Extension faculty has been able to focus on making changes within a small geographical area.

Further emphasis on the needs of urban residents has resulted in the addition of an Expanded Foods and Nutrition Education Program (or EFNEP) that targets low income families for special one on one nutritional education programs. Also, there has been a special program initiated for families receiving food assistance (formerly called Food Stamps). Similar to the EFNEP program, this program targets those low and limited income families, including the elderly, with a variety of programs designed to educate from both a nutritional and a budgetary standpoint.

Another example of the change in programming direction has been the inclusion of land use and development educational programs provided through the Waukesha county agriculture educator. Although not a traditional area of expertise for most county Extension agents, the agriculture educator in Waukesha county has adapted his role to include educational programs in land use and development for the residents of Waukesha county as well as providing a local source of expertise for townships, municipalities and the county government. Dave Williams, current agriculture educator of Waukesha county, describes his role in land-use and development in this manner:

Another factor that came into play very early [following the audit]

was that one of the biggest county needs was working in the area of land use... I ... worked with land use in some of the ... townships. We did a survey to find out what the citizens wanted their town to look like and also what the land-owners wanted to do with the agriculture land that was just being rented out

Williams is also working with agricultural producers in Waukesha county and with other Extension faculty in surrounding counties to market locally grown produce to consumers:

...[I am] working ...with direct marketing of agriculture products to the new residents that urbanization brings. We try to teach and encourage producers to do a better job marketing and merchandizing their agriculture products directly to consumers... We see our urban area as a place to sell our products.

Programming and administrative changes were certainly a part of the overall transition of the Waukesha Extension Service. However, the responsibility for, and the implementation of, an active marketing initiative of Extension's mission, was also viewed by both the county audit and the university review as crucial to Extension's success in Waukesha county. Jante' endorsed this view and expressed the belief that her role in marketing Extension was critical to being a successful urban Extension administrator.

In addition, she identified the development of a special marketing program for use within Waukesha county as providing a crucial step in Waukesha's evolution from a traditional, rural-oriented Extension program to one of prominence in urban Extension. Working with resources available to the county faculty from the University of Wisconsin, Jante' and her staff developed a program they labeled *Trends and Analysis*. This program identified key county issues in Waukesha county and, using university-based research and local demographic data, produced "educational packets" which were shared with key leaders and elected officials within the county. Not only did the Extension Service develop these educational packets, they also enlisted the assistance of an artist and developed their own logo for the *Trends and Analysis* program.

... [W]hen we unveiled this project, we had a new logo and all this information... Something as simple as a new logo all of a sudden catapulted us into another century. It was so encouraging that everything that came out of this office had this new look to it. We developed this educational packet and we showed that to them. We tell them what we are doing, what differences we made and the impact we made out there. We did all these marketing pieces.... Here is the evaluation of the project and here is the difference it has made for families in Waukesha county... We were firing stuff at them all the time instead of a one year annual report. They are not going to read that. We fed them stuff all year long. Our *Trends and Analysis* book... had a new chapter every six weeks. So for

a period of a number of years they were inundated with all this stuff from our office (Jante’).

At the same time, Vasquez emphasized that the urban County Director had to be more than just a good public relations and marketing individual. The urban Extension administrator, he argued, must also have an added degree of flexibility due to the diversity of clientele associated with urban areas.

The person has got to understand the value and importance of marketing. Marketing the entire office. How you go about understanding different audiences and how you communicate different messages to those different audiences. You have got to have ... class... You [must] have a certain degree of competence in what you are doing and what you are conveying because you are dealing with a lot of people with a lot of organizations with a lot of other department heads and with the county government (Vasquez).

Waukesha Extension has made the change from rural to urban programming. It has not been easy for those involved and it was not made without the loss of individuals and some traditional programs. However changes were made. Is it over? Has the Extension Service successfully faced all the hurdles to ensure that it will continue to provide educational programs to the citizens of Waukesha county? Probably not. Jante’

and Vasquez both suggest that a process of continual accountability, public relations and marketing are going to be critical parts of the future of the Waukesha County Extension Service. Vasquez was adamant in stating that the future success of urban Extension rests on the ability of the Extension faculty, and especially the County Director, to insure a professional and competent image of Extension is maintained.

However, all this will not insure the long term success and survival of Waukesha's Extension Service. Finley, Waukesha's County Executive gave this warning:

[On] the county level it is going to be extremely difficult to get high on the list [for funding]. As a result, Extension will be under as much or more pressure to justify itself over the coming years. Where we have been able to progress nicely, because they are not going to get more money, ... is giving Marcia the out that she could find grant money. Over the next ten years in county government we are going to be building jails and funding alcohol and drug abuse programs. Waukesha county has actually divested itself of a lot of the things that other counties do that are pretty high ticket items. Items like hospitals – we bailed out of it. Even with the streamlining, Extension just doesn't rise to the top. And I don't see how that I can change it.

CHAPTER V
UNIVERSITY OF GEORGIA COOPERATIVE EXTENSION SERVICE,
GWINNETT COUNTY

The purpose of this study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner. The first step to realizing this purpose requires a description of how each of the counties successfully managed the transition. Chapter four detailed the change process in Waukesha county. This chapter details the change process in Gwinnett county, Georgia.

The late 1960's was a time of tremendous growth for the metropolitan Atlanta area. One of the earliest areas to experience this phenomenal growth was Gwinnett county. Lying northeast of Dekalb county (one of the two counties which make up the actual city limits of Atlanta), Gwinnett county was one of the first counties in the metropolitan Atlanta area to develop into what has come to be called a bedroom community. The traditional role of the University of Georgia Cooperative Extension Service in Gwinnett county had been that of working primarily with rural families – both farm and non-farm rural. Additionally, there was a very active 4-H agenda that targeted county youth in a variety of areas, again with emphasis on the more traditional 4-H programs revolving around agriculture and activities closely associated with life in rural America.

However, as the expansion of Atlanta as a major metropolitan area began, so too did the demographics of Gwinnett county, an expansion that would result in a completely

different face for this once rural community. Comparing census data from 1960 through 2000 shows an astounding population growth. Gwinnett's population almost quadrupled from 43,541 in 1960 to 166,903 in 1980. Between 1980 and 2000, Gwinnett's population continued its rapid growth increasing by over 3 ½ times from 166,903 to 588,448. The county seat of Lawrenceville had been the center of life for most Gwinnett county residents. Out-lying towns such as Dacula, Snellville, Loganville, Sewanee and Doraville, along with the many unincorporated communities across the county, suddenly began to feel the pressure of Atlanta's exploding population. Developers, seeking low prices and large tracts of land, found Gwinnett to be a veritable untapped cornucopia. All of this combined to push Gwinnett county to the forefront as metropolitan Atlanta's fastest growing community.

Bill Baughman, retired County Extension Director, moved to Gwinnett county in 1966. He described the county as having 5 dairies and many poultry farms, including one of the largest companies in the United States supplying poultry breeding stock. A similar view of Gwinnett county is provided by Phyllis Lowe, recently retired Office Administrator for the Gwinnett County Extension Service. Ms. Lowe began working with the Extension Service in 1971. She remembers the clientele as being primarily individuals with livestock and even some that were still raising row crops (i.e. soybeans, corn, wheat and cotton). Both Ms. Lowe and Baughman recalled how much of the prime farm land was purchased by developers in those early years and converted into subdivisions and shopping and business centers.

As Gwinnett county continued to grow and become more urbanized, changes in the Gwinnett county Extension Service became more and more apparent. One of the first was the appointment of Baughman as an Assistant County Agent. Originally trained as a horticulturalist, Baughman was one of the first individuals within the Georgia Cooperative Extension Service to receive an appointment and not have one of the more traditional agriculture degrees such as agronomy or animal science. During the late 1960's the Georgia Cooperative Extension Service had begun to hire individuals that were not, according to Bill Baughman, individuals with "...strict agriculture degrees or vocational agriculture." This was a direct response to the changing clientele in the metropolitan Atlanta area. Baughman cites his own hiring as an Assistant Agent in Gwinnett county due largely to increased housing and the rising demands by homeowners for horticultural services from the Extension Service.

The employment of an individual with horticulture training was to have a significant impact on the future of Gwinnett's Extension Service. It was during this period (the late 1960's and early 1970's) that Gwinnett's traditional approach to agricultural programming began shifting. Boughman recalls those early years of transition in agricultural programming:

So people would call and I was the only horticulturist and if it was a call about trees or [they] wanted to know what they could plant for shrubs or wanted a landscape design, I got the call. I did little sketches on a notepad and would just hand it to them. A couple of

things happened. Buford built a new hospital and I designed the landscape for that. Back then in the late 60's they didn't have any body in the school that did that. So the schools when they built it, it was to the door. [This refers to the lack of any landscape or grounds design being included in the initial building plan.] It was up to the PTA's to landscape. So I did a lot of the schools. I would go around and of course once you did it for one principal you would have a lot of calls. So I would go around and did a lot of designs for the schools. One neighbor would tell another and I spoke to a lot of Garden Clubs. I did Garden Clubs all the time. So it just kept mushrooming.

Much of the early change exhibited by the Gwinnett Extension Service was reactive rather than proactive. Agents, at least agriculture agents, began changing their programs in response to requests from clientele.

It would be appropriate at this time to note the governance structure under which the University of Georgia Cooperative Extension Service operated in the late 1960's (and to a large degree still does). Although there is a formal Memorandum of Understanding which is entered into between the county government and the University of Georgia, in Georgia, there is no formal, county-level system of oversight of the local Extension office. Although some counties may place the administrative operation of the county Extension office within a particular department, in many instances oversight

responsibilities lie with the County Commission. Where there is a County Executive form of government, oversight may reside with the County Executive.

On the state level, the Georgia Extension Service was, in the late 1960's, under the direction of a single Associate Dean within the College of Agriculture at the University of Georgia. The Associate Dean and Director of the Cooperative Extension Service answered directly to the Dean of the College of Agriculture. However, due to the funding process under which the Extension Service operated through the Georgia legislature, the Associate Dean and Director of the Cooperative Extension Service also had the responsibility of submitting an annual Extension budget to the Georgia legislature and Governor's office.

The relationship between the county government and the County Extension Service in Gwinnett has always been strong. Ms. Lowe described the positive relationship between local government and the Extension Service as being based on open lines of communication:

We have always had...good communications with the county government here. I think all the agents try to go out and be seen in the county at clubs, collaborative efforts, working with the different agencies so that they can combine programming and reach more people. We have always had... county support...

Baughman recalled similar feelings when describing the early relationship between the Gwinnett county government and the Extension Service:

We have always had an excellent working relationship with them. That came about before I came here and I worked hard at it while I was here. We had I don't how many of them on the school and county commission. We had their kids in 4-H. We knew them all. They never questioned what I did or what Extension did. We just had a good close open relationship and we always worked hard at keeping those fences mended. I never had any problems with commissioners.

In the late sixties and early seventies, there were three agriculture agents in Gwinnett county along with additional agents involved in what was then termed Home Economics (now called Family and Consumer Science) and 4-H and youth programming. Much of the Home Economics programming at that time consisted of activities centered around food preservation (home canning and freezing) and various food preparation methods. Additional activities carried out by the agents working with the home economics program involved working with the homemaker clubs located in various communities throughout the county. These clubs were originally organized by the Extension Service (some dating back to the 1920's and 1930's) as part of the Extension Services effort to have community centered educational activities. The close working

relationship between the Extension Service and the homemaker clubs continued until the early 1970's when the Extension Service ceased its active involvement in these clubs and became only an occasional provider of special programs on an as needed basis.

Although there existed no formalized process for gathering input from clientele for development of Extension programs within Gwinnett county until the late 1980's, Extension Agents understood that their county was in a state of transition. This realization also led them to understand that their methods of designing and implementing programs must also change. How this realization came about is unclear. There is some evidence, based on interviews with present and former staff, that an atmosphere of openness and creativity existed within Gwinnett county, in part attributed to former County Extension Director Bill Baughman with, at the very least, implicit approval from district and state Extension Administrators. As Baughman put it:

We never got a directive that said you have to cut back on this [providing non-traditional programs and services] so we just continued to do what we were already doing plus did whatever else that we felt like needed to be done. I guess that was the premise that Extension [had], you provide the services that have been identified by the people in your county. So that is what we tried to do.

In a fashion similar to that followed by Gwinnett county Extension Agents in dealing with the changing demands for agricultural services, those agents working with Home Economics program areas also began making changes to meet the changing needs of their clientele. As Gwinnett became more and more urbanized, there were significant changes made within homes and families. With the increase in new residents, there were rising demands from clientele to address issues facing families with two working spouses.

By the mid-1970's Gwinnett county's Home Economics agents were beginning to provide more and more programs that targeted the working family (both spouses working outside the home) and the issues they faced. Meal planning and after-school care for children were two of the "newer" program areas added. Providing information on some of the more "traditional" topics such as food preservation and garment care continued to be provided by the county staff. However, short, concise handouts and newspaper articles became the mainstay of the Extension Service for disseminating home economics information to the people of Gwinnett county.

As part of Extension's youth program efforts, 4-H Clubs in Gwinnett county had followed a pattern similar to most of those in the rest of Georgia. Assistant County Extension Agents were given the responsibility of conducting clubs that met as part of a regular in-school club program in Gwinnett county. Hiring practices had traditionally placed males in the agriculture positions and females in the Home economics program area. An identical pattern was also seen in the 4-H program with female Assistant Agents

for Home Economics and male Assistant Agents for Agriculture. Boughman described this division:

Well, when we first started, I was the third male agent – a county agent and an assistant, so I became the third assistant. There were two ladies – a home economist and an assistant home economist. That year they added a third Home Economist and so there were 6 of us by the end of 1966. Of course the assistant county agents did 4-H work and the two assistant Home Economists and the two assistant ag agents divided the 4-H work and a man and a woman went to each school... [After] about '67, we had two teams except for one large school. We continued that up through '73. After that for another 10 years we did it the same way. The man would take the boys and the woman would take the girls – different programs [for each].

Records from the late 1960's through the mid-1970's, such as the Annual Plan of Work for Gwinnett county, indicate that 4-H activities included a variety of livestock programs, summer camping activities, judging teams and special interest activities such as individual project competitions. This would support Baughman's recollection of the 4-H program during this time period. Also, Phyllis Lowe described the long time involvement of Gwinnett's 4-H youth in the county fair. Recalling the many 4-H'ers who

were a part of the Gwinnett County 4-H livestock program over the years, Ms. Lowe recalled:

A lot of the kids with their livestock [were] out there, they [had] to be disciplined and ... there a lot of good kids. I have seen some of them that started when I first started. They were in the fifth grade. They are now out being teachers and Extension Agents ... The fair had a big, big role in that because it taught them to be responsible but yet it was fun.

Through the late 1970's, demographic changes in Gwinnett county continued. Atlanta's overflow had seemingly found fertile ground for middle class housing in the gentle rolling hills and open fields of Gwinnett county. As the demographic changes continued, so did the changes in the role that the Extension Service played in the lives of Gwinnett County residents. Having been named County Extension Chairman in 1973, Bill Boughman became the administrative leader for the Gwinnett County Extension Service for the next 21 years. It was during Bill's first ten years that the many of the significant changes in Extension programming in Gwinnett county took shape. Although much of the youth programming stayed the same, it was between the mid 1970's and the mid 1980's that much of the agriculture programming changed significantly. With the increase in residential communities across Gwinnett and the drastic decrease in farm

land, agriculture programming placed more and more emphasis on homeowner horticulture, pesticide safety and landscaping.

Historical records from plans of work from the late 1970's show an increase in planned programming involving homeowner horticulture. Other contact records during this same period show that agriculture agents were involved in numerous programs involving Garden Clubs, civic clubs, community associations, and, on several occasions, local government and local boards of education. Topics listed in these documents show that the agents presented programs on a wide variety of subjects including horticulture.

For Baughman's part, the ability to respond with ease to many of the homeowner questions can be largely explained based on his training as a horticulturalist. Unlike many of his counterparts in other counties who had degrees in more "traditional agriculture" subjects such as agronomy and animal science, Boughman had received his formal training in areas such as ornamental horticulture, plant pathology and entomology. This certainly accounted for part of his ease with the increased demand by clientele for non-traditional agriculture assistance. However, not all of his responsiveness can be attributed to his educational background. It also appears, based on interviews with former co-workers and Baughman, that he exhibited a willingness, as the county Extension administrator, to allow other individuals within the county staff to break with traditional Extension programming.

The fact that Boughman remained the county Extension administrator for 21 years seems to have also played a large part in Extension's ability to respond to the changes

taking place in Gwinnett county. Susan Harrell, recently retired District Extension Head, stated:

One of the real strengths in Gwinnett county ... is that our leadership in that county has been stable. In my whole career when I think about Gwinnett county it [now] has [only] its second county coordinator in my 28 years. Bill Baughman was there till he retired and Rosalyn was appointed at that time County Extension Coordinator. Rosalyn has been there 8 plus years. Both of them are excellent programmers. I think in counties that are urban when you have good leadership and that leadership stays in place verses in a county where the leadership role is like a revolving door, I think that that person staying in place adds to the stability as long as they don't get involved in politics and as long as they are doing a good job at what they are suppose to do, [they] are aggressive about searching for funding, and are good managers of other people. Then your program remains stable and that's what has happened in Gwinnett.

Another programming area that reflected the change in Gwinnett's status from a rural community to a suburban county was the hiring in the mid-1970's of an individual with a degree in city planning. The hiring was part of the USDA's inclusion of Community Resource Development (CRD) as part of Extension programming

nationwide. This opened doors for the Gwinnett Extension Service that had previously been closed. Working primarily with businesses in the downtown area of Gwinnett's county-seat, Lawrenceville, this individual assisted local businesses in addressing the rapid changes that were taking place in their community. Boughman stressed that this change was not at the expense of long-time clientele. An ability to combine the expanding needs of the county's growing and diverse clientele with established services provided by the Gwinnett County Extension Service was crucial. Boughman mused, "I guess...the main thing is that people who were already receiving services kept receiving services."

How did this particular Extension office come to have such an apparently responsive atmosphere? The stability of the leadership within the Extension office, the fact that for whatever reason state and district administrators viewed innovative and/or non-traditional programming with a "...just keep on..." attitude, and the willingness of county staff to address the non-traditional needs of urban clientele with an open and positive attitude, all worked together to provide the Gwinnett County Extension office with an atmosphere that was conducive to positive change.

Baughman's leadership style certainly exercised a significant influence on the rest of the county staff. In providing a model for other county staff, Baughman's ability to adjust to the demographic changes Gwinnett county was going through during the 1970's became key to Extension's adaptability. Whether he actively sought individuals with similar personality traits to his own was not evident from interviews or documents.

However, what was evident was the consistency with which Baughman and the Gwinnett Extension Service adapted to the changing environment of Gwinnett county.

By 1980 Gwinnett county had secured its place as the fastest growing county in Georgia. As such, the county began facing a wider variety of challenges associated with Gwinnett's continued suburbanization. In doing so, the challenges faced by the county Extension staff continued to change. Rosalyn Joseph came to Gwinnett county in 1979. Ms. Joseph was already working for the Georgia Extension Service in neighboring DeKalb county. Her position in Gwinnett county was to work in the Expanded Food and Nutrition Program (EFNEP). This program was (and still is) designed to target low-income families with nutrition education. Although Gwinnett had traditionally had a moderate to high per capita income, there were what Ms. Joseph describes as "...pockets of poverty." It was these low income areas within Gwinnett county that were the focus of the EFNEP program. The youth component of the EFNEP program, FAN clubs (or Food and Nutrition Clubs), was integrated into the existing 4-H program within the county. Ms. Joseph credits this blending of the two programs into one youth program to the innovative atmosphere of the Gwinnett county staff. In her words, "Our Extension office allowed that kind of blending and accepted it very easily." Ms. Joseph came to Gwinnett county about eight years after Boughman had been named as the Extension administrator. Once again, it was under his leadership that the Extension Service in Gwinnett took on a new role and programming direction. By targeting low-income and limited resource families, Gwinnett was again responding to a growing need brought about by the growth that the county was experiencing.

It was also during this same time period (the early 1980's), that 4-H programming began to take on a different look. Although the Extension Agents were still basing their programs on an in-school club model, the Gwinnett staff began to develop more programs that were targeted to a general youth audience rather than just for 4-H members. Documents from the time period show that around 1983, the practice of separating boys and girls in in-school clubs ceased. At the same time Gwinnett county Extension hired its first paraprofessional staff member, a 4-H Program Assistant. This individual conducted in-school club meetings as well as various out of school activities.

By the late eighties there were numerous Program Assistants on staff carrying out the day-to-day activities of the county youth program. Both Boughman and Joseph agree that the use of paraprofessionals was critical in meeting the needs of an ever-expanding county population. The use of the Program Assistants allowed the professional staff to devote time to special programs and eventually to develop collaborative programming efforts with various other county agencies.

These changes in Gwinnett's 4-H program followed closely the shifts in the county's demographics. Change in the way in-school clubs were conducted was precipitated by state-level mandates that prohibited the separation of club members during activities based on gender. At about the same time, the tremendous growth in the number of schools and in student enrollment meant there were not enough youth agents available to adequately provide 4-H activities for all of the county's schools. Although there was not sufficient funding from the state to provide for additional professional staff, Gwinnett county met the need by hiring paraprofessional assistants. As the county's

population continued to grow, additional paraprofessional staff were added to assist Extension in meeting the demands of Gwinnett's 4-H program.

It was also during the early 1980's that the Master Gardener program first came on the scene in Gwinnett county. The Master Gardener program was (and still is) a nationwide Extension program designed to provide in-depth training for individuals in the area of home-owner horticulture. The program varies in length from forty to sixty hours or more of continuing education courses and is followed by a mandatory volunteer period of community service by participants (volunteer hours vary from state to state).

The early success of the Master Gardener program was likely due to the changing clientele of Gwinnett county. Baughman recalled that the needs of the county's "new" residents were based largely on the reasons that brought them to the suburbs in the first place and it paid off in support for Extension:

Everybody is interested in their [sic] own things. And I think it is real important for people who come in and have a home and yard, that they feel like you are helping them. How could you be opposed to that? It is an educational program. If you are opposed to it I think it says something about your thinking. It really is vitally important. It got a whole lot of other folks [involved in Extension activities] just like the farmers [had been involved with Extension]. When you work personally with somebody, it just gives you pretty strong supporters.

He went on to explain the early reasoning behind the development of the Master Gardener program:

All of the metro counties were in favor of it. It seemed like there were people – it was just like with farmers – we were beyond helping. When I got a call from some people, I knew right away that it was something that I could not solve... we needed a program for some people who needed more than we could do. So we saw it as a positive thing. I don't think at the beginning we were thinking of using them as volunteers. That became real important as we started to lose staff. It was a lifesaver to have them [Master gardener volunteers] to fall back on.

Other program areas were changing within the Gwinnett County Extension Service during the mid to late 1980's. In similar fashion to agriculture and youth agents, County Extension Agents in the Home Economics area (they would not change their name to Family and Consumer Science until the mid-1990's), found themselves overwhelmed with requests for their services. Requests from clientele largely dealt with financial management, nutrition and parenting issues. This was in contrast to the requests of earlier, more rural days when Home Economics programming responded to needs for food preservation, garment care, and food preparation.

As the county's population increased so did the number of governmental agencies addressing the needs of Gwinnett residents. The need to remain a viable and active part of

Gwinnett's growing governmental infrastructure thus became crucial to Extension's continued survival. Although Gwinnett had grown extremely rapidly from 1960 to the mid-1980's, the Extension staff had remained static in size. Threatened with being overwhelmed by the number of requests for services, the Home Economics staff looked to alternative methods of meeting the needs of the county's residents. Extension's response to the lack of additional staff support was to decrease the amount of one on one and small group programming and increase efforts targeting large groups and the training of individuals in group sessions to conduct educational programs .

Other agencies in Gwinnett county began to see the Extension Service as a resource for planning and carrying out collaborative programming. It was not necessarily an easy transition for the county staff, but one that they succeeded in making. In fact, it was the Family and Consumer Science staff that first utilized a formal advisory process in the Gwinnett county Extension office. In order to take on a more proactive role in meeting the needs of clientele, the Family and Consumer Science staff implemented an advisory group. This group included private citizens as well as representatives from many of Gwinnett's human service agencies. The purpose of the advisory group was (and still is) to provide for a "grass roots" level of input for determining the future direction of educational efforts by the Extension staff. The advisory group was a concerted effort by county-level staff to stay abreast of the changing needs of Gwinnett's residents.

Rosalyn Joseph recalls the first advisory group that was held to gather input from clientele on program direction:

We didn't really have advisory committees functioning prior to ... 1989 or 1990. When I first came there weren't any. I remember in our home economics meetings, we took that need for having involvement seriously. I remember Bill Baughman's reaction. We said, 'Bill, we are going to have a home economics advisory board.' Bill did not think that it was going to work. But it wasn't a board it was really just a committee ... We decided that we wanted to look at several things. We wanted a group that represented diverse, ethnic groups. We wanted representatives that represented agencies that deal with families. We wanted someone from the school system. We wanted county government. We wanted just the general citizen. That is what we made our group up of. We didn't know all these people and we knew that we needed to form relationships with them. We knew where the coalition was headed and what a benefit a collaboration would be later on. Thank goodness we did that. I remember the very first meeting, Lynette [former Gwinnett county Extension Agent] and I had made so many phone calls and contacts. We invited our county administrator at that time to the meeting. Because we had talked to these people, rather than having them introduce themselves, we introduced them – told the group who they were and what they did, all of that. Our county administrator was ... impressed... But we had done our homework and from that we started getting their input

and program focus. That is essentially still how we use advisory committees.

During the late 1980's, then County Extension Director Baughman (he had a title change in the late 1970's from County Chairman to County Director) began a county-wide youth leadership program. This program, which continues today, targets youth in area high schools, not just 4-H members, with a special leadership training program. Utilizing many of the concepts, materials and facilities available through the 4-H program, *Gwinnett Youth Leadership* identifies young people throughout Gwinnett county to participate in a program that lasts for 3 months. Program participants meet with and work with local elected officials, addressing issues that are important to all youth within Gwinnett county. Boughman, Joseph and Susan Harrell, District Extension Head, credit the program with being a vital component in the continued support the Gwinnett Extension Service receives from county educational and governmental officials. Joseph described the value and the overall impact of the youth leadership program in this way:

We were one of the first programs in the county that did youth leadership. Our program is designed to work more with present youth leaders and the students are nominated by their schools to participate. One of the things that is a real key component in that, is that rather than being ... an over night, two day general youth development training, one of the things they do while there is to decide on key

issues that will affect their community. They come back with three or four issues that they think are issues that they [must] deal with now or issues that they will deal with in a few years. From that they voluntarily form research groups. They do research for two months on that issue and after that we have the Youth Futures Forum where they present their findings in whatever creative way that they can. Sometimes they might do skits. We have seen something of everything including radio programs, there is no telling what. Most of them now are doing computer based presentations. Participants from the previous year are the Junior Leaders for this year's program. They are the ones that teach the classes, facilitate the whole thing. The County [Commissioners] and the Board of Education are very, very positive about [the youth leadership program] in particular.

Programming changes were not the only areas that appear to have been responsible for Gwinnett's effective change from rural to urban. The Gwinnett County Fair was cited by all of the interviewees as another critical link in the public relations by and public awareness of the Gwinnett Extension Service. It has been through the fair that the Extension Service has been able to present itself and its programs to a wide array of Gwinnett residents.

As one of the few remaining county fairs in the metropolitan Atlanta area, the Gwinnett Fair has had a long history of involvement with the Extension Service. Bill

Baughman recalled his early experience with the fair. He arrived in Gwinnett county in February and the fair was held in September. Because of his background in horticulture, he was placed in charge of the field crops, fruits and vegetables including the selection of the judges for the many competitions, from crops to livestock. This is still one of the traditional roles that Extension plays in the Gwinnett County Fair. Baughman expressed the significance of Extension's role by stating, "...that fit in with our role in higher education – it added credibility to hire unbiased judges." Further, Baughman feels that the publicity that agriculture and the Extension Service receive from the fair is critical to Extension's overall effectiveness and success in Gwinnett

Other staff members see the fair as more of an opportunity to bridge the old with the new. Rosalyn cites the petting zoo at the fair, which is sponsored by the county's 4-H clubs, as a real tool for both education and for publicity. The 4-H Program Assistants are in charge of operating the petting zoo along with volunteers from the 4-H club. Volunteers and staff conduct short educational programs on the various products provided by the different animals found in the petting zoo. Also during the ten day fair, the Extension Service is host to various pre-school groups where the children are treated to an educational program on agriculture. Susan Harrell notes:

We do the traditional things at the county fair. We get the exhibits judged, we bring in people to help judge the canned goods and quilts. We have a livestock show and we are in charge of that. Its hard to find entities in an urban county that are willing to put all

that time and work a county fair. It is the finest fair – county fair – that I have ever seen and has been for years. They have that every September and it is a real big community event. I am not sure how much credit that fair should get for holding that urban community together... that closeness... but I have always thought that is one of the reasons that Gwinnett has maintained part of their difference from other urban counties – their closeness.

County fairs are thought of by many as a rural activity. However, this one activity has played a significant role in the overall transition of the Extension Service in Gwinnett county from a rural orientation to an urban orientation. Rosalyn Joseph noted, "...the Gwinnett county fair...is a way of remembering that heritage [rural past]," and an acknowledgement of Gwinnett's rural heritage. It is seen as the key to Gwinnett's success in making the transition by maintaining a connection to a rural past while recognizing the changing needs of its citizens. Susan Harrell considered:

Maybe that is something else...that they do have some traditional things that they do that they don't change. That is pretty unusual in an urban county. You don't find to many urban counties that have held on to tradition during changes in leadership. They have held on to the good things, I think, in Gwinnett, real well.

Extension's use of responsive programming and public relations and marketing, of which the county fair is an excellent example, have played a role in ensuring that Gwinnett county continues to meet the needs of its residents. Through the use of the county fair, Extension has been provided with a vast audience for its educational programs on the importance of agriculture. The fair has also been utilized to keep the Extension Service in the public's view.

In the early 1990's, the Georgia Extension Service was targeted by then Governor Zell Miller for a 28% funding reduction. This proposed budget reduction was part of the Governor's overall plan to reduce the state budget. Reasons for the cuts centered around a general down-turn in state revenues due to recession. The results were severe for Gwinnett county. Facing a state-wide shortage in funding, state level Extension administrators developed a formula for staffing all of Georgia's 195 counties that resulted in over 100 individuals losing their positions statewide. The resulting reduction in workforce diminished the Gwinnett County Extension staff from 7 to 4 cooperatively funded agents. Faced with a severe reduction in services, Bill Baughman, who was still the County Extension Director, was able to work with the county government to maintain funding for one of the three positions lost as a result of the budget cut. Baughman remembers that as a time of great unease and anxiety for everyone within the Extension Service – not just in Gwinnett county.

The changes brought on by the staff reductions had a lasting impact on Extension's programming in Gwinnett. While still acting as County Director, Baughman

realized that staff reductions had made it virtually impossible for staff members to continue to make the one on one visits that had become a hallmark of Extension, “There were some things that we had to stop aggressively going out and doing. If they didn’t ask you to go out you didn’t go out.” However, the Gwinnett Extension Service faced these new challenges and developed an approach to county programming that carried them into yet another transition. Having already faced the urbanization of their county, now the Extension Service was challenged with providing educational programs with a reduced staff.

To meet this new challenge, all of the program areas began focusing on more collaborative efforts, wider use of educational programs already in place, and expanding and diversifying audiences (such as general youth programming rather than limiting programs to 4-H youth). The Home Economics staff had already begun collaborative programming efforts throughout Gwinnett county. Those individuals involved in agricultural programming now became more diversified in their approach to programming as well. For example, agriculture agents began working with an area technical school to provide training for individuals with various learning and physical challenges.

From 1993 through the remaining 1990’s, the Gwinnett County Extension Service continued to expand and explore new methods of programming. In the youth development area, although 4-H is still present in several of the schools within the Gwinnett system, it is no longer a “club”. 4-H began focusing on the stated curriculum for the fifth grade and concentrated their efforts on providing educational programs in

schools around these subjects. In doing so they became a supplement to the existing educational program. The need to make these changes in the 4-H program was heightened by the Gwinnett County Board of Education's involvement in funding some of Extension's county positions. Additional emphasis was also placed on more programs similar to Extension's youth leadership, which was already in place.

One particular program, *Growing Up and Understanding It*, was targeted to all of the county's nine through thirteen year olds, not just 4-H youth. Rosalyn Joseph described the program:

That whole program is designed to foster communication between parents and their children. I think it starts at 4th grade through 13 years old, to help them understand how their body is changing and foster that communication between them and their parents.

It is a well received program. We usually meet at least a thousand boys and girls – each - with that.

Another youth program that was not part of the traditional 4-H program was designed for special needs youth entering college. It was developed by one of the Gwinnett county youth agents and provided special needs college bound students with an opportunity to meet with various colleges and universities to learn about how the institutions can assist them with their individual needs. This program not only involved a “share fair” but also included a panel discussion where students could ask questions

about the various facilities available at different colleges. Another youth development program included activities involving Habitat for Humanity. All of these were designed to incorporate leadership and citizenship training for Gwinnett county youth.

In the area of Family and Consumer Science (or FACS), as Home Economics came to be called in the mid 1990's, collaborative programming was intensified in this period. Efforts spearheaded by the county Extension FACS staff included a diversity day for Gwinnett county. This was a festival-like one day program that targeted diverse ethnic groups residing in Gwinnett county. Although Caucasians did and still do make up the overwhelming majority of Gwinnett's population, there are significant numbers of African-American, Asian, Hispanic and Latino individuals. This cultural diversity festival has been widely accepted by the citizens of Gwinnett county and applauded by the county government. Since its inception in the late 1990's, it has become a permanent event and now has its own board of directors.

Additional collaborative efforts have also been carried out between the county's parks and recreation department and the Extension Service. Agriculture Agents have worked closely with county maintenance personnel to provide training and support for various projects throughout Gwinnett county. A yearly legislative dinner hosted by the Gwinnett County Extension Service for all state legislators serving Gwinnett county has become an annual event. What originally started out as a method of "telling the story" of Extension in Gwinnett county has become a way of highlighting programs that have occurred during the year. This particular event, started by County Director Baughman before his retirement and continued by current County Extension Director Rosalyn

Joseph has received high praise and there is a strong belief that this program has provided the Gwinnett Extension Service with the type of legislative support that is critical for all counties – not just urban counties.

Throughout the years, the Gwinnett County Extension Service has remained an active and very visible agency within the county. Ms. Harrell openly credits the stability of leadership within the county Extension staff as part of the reason that Gwinnett has been able to face the challenges of the transition from a small rural county to one of Georgia's fastest growing communities. The ability of past and present Extension leadership on the county level to maintain open and responsive communications with county governmental and educational leaders has also been critical to Gwinnett's successful transition. Harrell sees the success of Gwinnett as key to the success and longevity of the Extension Service throughout Georgia. In her words:

So I think the day that we cease to exist in an urban area and we cease to relate to an urban population, is probably the day that we will see the concept of the Extension Service change, probably shrink, to some extent. In order for people to support something to a great degree, they have to be able to see what it is and experience it. That is not to say that is if we didn't have urban extension we could not have extension in rural areas. We just would not be as big as we are now.

CHAPTER VI

COMPARISON OF CASES

The purpose of this study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner. To address the purpose, case studies of each of the Extension Services recommended as exemplary, were developed. The case study of Waukesha county's transition can be found in Chapter IV; and of Gwinnett county in Chapter V. This chapter addresses the second research question guiding the study: What were the common success factors that can be identified from the two case studies? To answer this question, the critical overarching success factors in each case are identified and then, these factors are compared.

Waukesha County

Based on recommendations described by Coffey and Atkinson (1996), fourteen thematic areas were initially identified from the interviews and document analysis of Extension's transition in Waukesha county. These were: government support, old demographics, traditional versus non-traditional, county fair, transition, image of Extension, programming, advisory groups, county personnel, challenge to Extension, accountability, opportunity for funding, role of administrator, and form of county government. The qualitative data analysis program NUD.IST was used to identify the various passages within each of the interview transcripts that contained references to the thematic areas listed above. This allowed for the development of themes that appeared to be directly related to the successful transition of Waukesha's Extension Service. Further

analysis led to the grouping of the thematic areas into three broad themes which encompassed the topics and focally identified the success factors in the transition by Waukesha county's Extension Service: leadership, forced change, and the influence of changing demographics. Each of these factors is discussed below.

Factors

Leadership: Three individuals played key leadership roles in the Waukesha story: Marcia Jante', Jose Vasques, and Dan Finley. Each of these individuals played a major role in Extension's transition in Waukesha county, and in tandem, although in somewhat different ways, they were the driving forces in the change.

Jante's appointment as County Extension Director provided the Waukesha Extension Service with an individual that was: 1) highly cognizant of the administrative changes created by the shift to a county executive form of government; and 2) not only willing, but also quite capable of taking the lead in directing Extension's transition. Both Finley and Vasques pointed out the significant role she played. In Vasques words:

Marcia Jante ... comes back with a hundred and one different ideas from a very small meeting and a thousand and one ideas when she goes to a conference. Do they all get done? Absolutely not. But she is motivating, she is cheerleading, she's cajoling, she's encouraging, she is constantly doing all of that because we [Extension] cannot afford in urban-suburban areas to be very passive. We have got to be proactive.

Dan Finley, County Executive, made similar comments concerning Jante' astute administrative and leadership style:

And then there were those like Marcia who did embrace a new way of doing business. There was no question that the leadership within the department ...[needed to have]... a change in leadership to make this happen. At the time, several agents had shifts in responsibilities and we were putting a department head in place. Marcia is an outstanding individual. She embraced it. Others were a little more difficult... reluctant, to put it mildly.

These comments point out the critical role that Jante's leadership style played in the successful transition of Waukesha. Her willingness and eagerness to meet the challenges that Extension was facing in Waukesha county were of paramount importance to guiding Extension's shift from a rural orientation to a more urban orientation.

Throughout the story of Waukesha's transition, Jante's leadership stands out. As the position of County Chair changed from a part-time administrator to a full time administrator with the title of County Extension Director, the responsibilities changed accordingly. Jante, in filling the role of County Director, understood those responsibilities and undertook to fulfill them seriously. These duties included budgetary and fiscal responsibilities for the Waukesha Extension Service, coordination of personnel and

performance reviews of county faculty and staff, and marketing and public relations of Extension's efforts in Waukesha county.

Jante's understanding of the challenges brought on by the two investigations (county audit and university review) and her positive response to those challenges helped to move the organization to a greater acceptance of the changes required. Recognizing that some faculty were reacting in a negative manner to the investigations, she clearly understood the negative impact this could have on Waukesha's Extension Service. Jante' used encouragement and a strong will to ensure that her co-workers understood that the changes were going to happen and that it was up to Extension to meet the challenges that were being created by the two reports.

Further, this understanding of the impact of the audit and review was not limited to the Extension staff and faculty. Her concern included long time traditional clientele who were also impacted by the changes taking place within the Waukesha Extension Service, as reflected in her statement about Waukesha's 4-H Club:

It was a difficult change for the 4-H organization because we had to help them understand they weren't losing a staff member but that they were gaining a new and exciting program... They were now going to eliminate some things that were not of an educational nature... I went out ... and talked with a lot of leaders, and clusters of 4-H members to help them understand why this change took place.

Not to be forgotten, were Finley's remarks concerning the audit and the direction the Extension Service in Waukesha county had to take, "Our first audit was giving justification to the vision. We knew we wanted to go that route." The impact of these words were not lost on Jante'. She understood that the county's audit was the justification that Finley needed. Changes were going to occur. The audit was not a tool for determining if changes were needed; that determination had already been made. Jante's understanding and foresight was a crucial factor in Finley's acceptance of the changes that the Waukesha Extension Service made.

Jante's leadership was not limited to understanding and foresight. Proactive planning was also a part of her overall leadership style. Understanding the seriousness of Finley's criticism of Extension's failure to meet the needs of Waukesha's urban population, Jante' led the way for the adoption of name changes for agents and the county Extension office. It was under her leadership that county faculty became known as Extension Educators and Extension began using Waukesha Extension rather than UW-Extension on the local level. Both actions were designed to better reflect the mission of Extension in Waukesha county and to characterize staff as local educators. Further, innovative and proactive programming by the Waukesha Extension Service targeting urban residents became a visible example of Jante's leadership.

Extension administrator Vasquez also played a key role in providing the initial leadership for Extension that was necessary to grasp the changes that were taking place. Vasquez's background with urban-based human service agencies and local governments provided a foundation for understanding the needs of urban clientele. His experiences

also provided him with an understanding of the challenges faced by an administrator in an urban county. His remarks about Extension's relationship to the new system of administration under the county executive provided an example of this insight:

... [W]hat I saw ... is that the county staff, while going through the changes that were happening in county government, did not interpret those changes. Our faculty...[did] not [understand] that switch and the supervisors [were] saying we need to stop talking Extension and start talking, and start reporting and communicating in terms and concepts that these folks who have never been touched by Extension can understand.

Vasquez was also quite clear in his statements about the need for Extension to understand how the mission of the Extension Service translated into meeting the needs of urban clientele. His willingness to respond in a positive manner to challenges, rather than with reluctance and skepticism, was key to Extension's survival and eventual exemplary transition. His fear was not that Extension would be eliminated in Waukesha, but that it would become a non-factor in county government.

One of the ways Vasquez manifested his understanding was through his interaction with County Executive Finley as Extension went about implementing the county audit. It was Vasquez that understood the importance and necessity of Extension responding directly to the county executive rather than the Board of Supervisors. Further,

as the changes recommended by the county audit were addressed, it was Vasquez, at least in the early stages, who shouldered the responsibility for Extension's compliance. As time progressed, Vasquez continued in his role of support to ensure that Waukesha's Extension faculty stayed the course set by the county audit. He demonstrated his support by maintaining communications with county faculty, encouraging adoption of new, innovative, and non-traditional programming, and insuring that Waukesha's county-level Extension administrator understood the need to be an active part of county government.

It was under Vasquez's leadership as District Director that the change to the full-time county level administrator for Extension took place. His understanding that to be a successful urban administrator in Extension took more than mere "lip service" was crucial to Extension's eventual success in Waukesha. Realizing the need for Extension to be represented in urban counties by individuals who understood the importance of, and necessity for, administration, Vasquez placed a great deal of emphasis on the appointment of Jante to the position of County Director. Vasquez recalled, "You [must] have a certain degree of competence in what you are doing and what you are conveying because you are dealing with a lot of people, with a lot of organizations, with a lot of other department heads and with the county government."

Although Extension's county level leadership was seemingly not disposed to change in the early 1990's, its very reluctance to address the changing issues associated with Waukesha's transition did, in fact, create the necessity for change. It was not until Vasquez, acting in his role as District Director, began forcing the changes that Waukesha's Extension Service began to respond. Based on interviews with faculty and

administrators, it appears that when District Director Vasquez, with the approval of Wisconsin state Extension administrators, appointed Jante' as County Extension Director, he did much more than just change a county administrator. Vasquez provided the Waukesha Extension Service with someone who was quite comfortable developing programming that did not necessarily conform to the established guidelines and methods previously utilized by Waukesha's faculty. The position – and the person he selected to fill it – had become a crucial link in the transformation of Waukesha's Extension Service.

The third key leadership role, one that was external to Extension, was that of County Executive Dan Finley. Finley's election to the position of County Executive served as a catalyst to spark the changes that Extension eventually went through in Waukesha county. Even before calling for an audit of Extension, from his own statements, Finley had a vision of how Extension should operate in Waukesha county and he possessed the determination and persistence in office to see that vision realized. Finley's leadership was dramatically different from that of Vasquez and Jante'. Whereas the "new" Extension leadership was centered more on openness and understanding, Finley's was highly directive and driven by a strong determination to see that changes were implemented that were, at least in his view, necessary for the survival of the Extension Service.

County Executive Finley's presence from the very beginning of Waukesha's change in county government cannot be overlooked or overstated. It was County Supervisor Board Chair Finley who enlisted Extension's assistance in conducting a series of public forums throughout Waukesha county in the late 1980's. These forums allowed

for public discussion of the feasibility of a county executive form of government. Following the county's decision to change to the county executive government, Finley was elected Waukesha's first county executive. His persistence as a key figure in the changes that took place in Waukesha's Extension Service was a critical factor in the transformation of Extension's service orientation. Finley's continued presence as Waukesha County Executive afforded him the opportunity to monitor and influence the change process and to provide oversight of that process thereby ensuring that the changes he envisioned for Extension were carried out. Finley was not merely the first County Executive, he has been the only County Executive since 1991.

Finley had, as he put it, "a vision" of what Extension was going to be in Waukesha county and he unabashedly used the audit as the vehicle for making that vision a reality. He did not hesitate to use his position as County Executive to realize the changes he sought. Arguably, his influence on Extension's transition was not as broad in terms of how the changes occurred as was that of Jante' or Vasquez. However, Finley's impact was, without a doubt, profound. It was his determination to make Extension more responsive to the changing demographics that was the engine that drove the changes that the Waukesha Extension Service underwent. Without his drive and the position of power he brought to the situation as County Executive, the nature of the changes in Extension, if any, might have been very different and potentially less successful.

Beyond their individual contributions, the interaction of Finley's, Vasquez' and Jante's leadership was a key in Waukesha's successful and exemplary transition. Finley provided the vision and external oversight. Vasquez provided legitimacy from state and

district Extension administration and an understanding of the challenges of working within an urban environment. Jante brought the energy and administrative skills that were necessary to implement the changes. Together they were a formidable force; the right people at the right time and place, with the right combination of attributes and contributions without which Waukesha's eventual exemplary transition might not have occurred.

Forced Change: Another theme that played a crucial role in Extension's transition was the fact that the change was forced on Extension. The motivation and impetus to make the changes necessary to meet the needs of Waukesha's urban clientele did not come from within Extension or through a visioning process on Extension's part. It came from the outside, from Finley. Finley's decision to conduct the county audit was much more than a "wake-up" call for the Extension Service. The audit, arguably, became the single, greatest factor forcing Waukesha's change. It is impossible at this point to know if Extension would have made the changes necessary to meet the needs of its urban clientele without such a controlling force. What is quite clear, however, is it that the audit became the tool that forced the change.

Following as it did on the heels of the county's audit, the university review of Waukesha's Extension Service, while dismissed by Finley as "...self-defense" and as something that, "...really wasn't necessary", the university review reinforced the need to change and provided Extension with insights and suggestions about how to meet the demands of the audit. With Finley's unrelenting external pressure and oversight, Vasquez and Jante could legitimately press for change without having to take the responsibility or

“blame,” so to speak, for the demand for change. That accrued to Finley, the audit, and the university review.

To add credence to the importance of forced change as a key factor in Extension’s change in Waukesha county, was the relatively short time frame in which it happened. Although the demographics in Waukesha county had been changing from rural to urban for over fifteen years (since the mid-1970’s), Extension had neither embraced or even acknowledged this change. Continuing to focus almost exclusively on Waukesha’s dwindling rural and agricultural residents, the Extension Service found itself on virtually the opposite pole from where Finley’s vision of an urban Extension Service would have positioned it. That such diverse positions were reconciled by Extension in a few short years and Extension totally reversed its service orientation by 1998 or so, was impressive. It is unlikely that such a profound change could have happened that quickly without the power to force that change.

The fact that, despite the change being essentially forced on the Extension Service, Waukesha’s transition was not only successful, but exemplary, only adds to the richness of the study. The success of Waukesha flies in the face of what some would suggest should have been a death toll for Extension or, at the very least, as Vasquez put it, Extension would have simply been, “... allowed to survive.”

Demographics: The final theme that played a significant role in Waukesha’s transition was the influence of changing demographics. The change to a county executive form of government from the long standing Board of Supervisors significantly impacted the Extension Service and how it could operate. The significance of this one act had

profound results. Would the change in county government have occurred had the county's demographics not changed? While this is not entirely clear from the evidence presented, a logical assumption might be that without the large growth in population and the resulting demands for increased services from local government, there would not have existed a need for the change. Extension was well established and from all accounts had an excellent working relationship with the Board of Supervisors and the county's Extension Education and Resource Committee. It was not until the change to the county executive form of government and the oversight of Extension having been passed to a new committee, the Legislative, Intergovernmental and Education Committee (LIGE), that the challenge to Extension's viability occurred. As Vasquez pointed out, no longer could Extension rely on long-standing relationships with farmers, former farmers and 4-H supporters within the county government. The make up of the LIGE committee was predominately urban residents with little or no experience and/or understanding of Extension.

The evidence suggests that there was an intricate linking of leadership, changing demographics, and the fact that the change was forced, that acted together to provide the impetus for Waukesha's change. No single factor can account for the change. However, when taken together, these three areas provide a basis for Extension's successful transition.

Gwinnett County

In a fashion identical to that utilized in the analysis of the Waukesha Extension Service, thirteen topics were identified in analyzing the successful and exemplary change

made by the Gwinnett Extension Service: government support, old demographics, traditional versus non-traditional, county fair, transition, image of Extension, programming, advisory groups, county personnel, direct challenges to Extension, accountability, opportunities for funding, role of Extension administrator in urban counties. As with the Waukesha county analysis, the qualitative data analysis program NUD.IST was utilized to assist in the development and identification of these topics. The topics were further grouped analytically into three broad themes that encompassed the topics and identified the thematic success factors in Gwinnett's transition: leadership, gradual change, and an appreciation for the traditional role of Extension.

Factors

Leadership: The influence that County Director Baughman's leadership had on the overall transition of the Gwinnett Extension Service was profound. Although having only one county level Extension administrator for over twenty years was stabilizing for the Gwinnett Extension Service, it must be remembered that stability is not necessarily conducive to organizational change. As Zell (1998) pointed out, it is up to management (and administration) to bring about organizational change and change can be in direct conflict with stability where stability has led to inertia on the part of leadership. In view of this statement, if administrators were unwilling or unable to provide the necessary leadership, then staff, or in the case of the Extension Service, county-level faculty, would be less willing to undergo the changes. Despite Baughman's stability as County Extension Director in Gwinnett county, it was his willingness to accept challenges and provide leadership through changes that were a large part of Extension's successful

transition in Gwinnett county. Susan Harrell, District Extension Director, referred to Baughman's stability:

One of the real strengths in Gwinnett county ... is that our leadership in that county has been stable. In my whole career when I think about Gwinnett county it [now] has [only] its second county coordinator in my 28 years. Bill Baughman was there till he retired I think in counties that are urban when you have good leadership and that leadership stays in place ...[it adds]... stability ... Then your program remains stable and that's what has happened in Gwinnett.

From Baughman's initial appointment in Gwinnett as a county agent in the late 1960's through his appointment as the county Extension administrator in the early 1970's until his retirement in the early 1990's, he provided the Extension Service with an individual who demonstrated an ability to understand and respond to the changes that were taking place in Gwinnett county. From the beginning of his appointment, his somewhat unique background in horticulture certainly afforded Baughman numerous opportunities to work with and respond to requests from a variety of groups and individuals in the changing community such as Parent and Teacher Associations, school administrators and newly arrived homeowners. These were groups and individuals that were not a part of Extension's more traditional clientele. Yet Baughman's background and apparent ease in working with them proved invaluable in developing Extension's

image as a viable source of information and assistance with Gwinnett's growing urban population. Not to be overlooked, however, was his ability to also work with Extension's traditional agricultural and rural clientele. This blending of clientele was to prove invaluable to both Baughman and to Extension.

Baughman appears to have been simply the right person, at the right time in the right place. As the nature of requests changed, he had the expertise to meet these new requests, and he did so in a way that left recipients satisfied with the person and with the organization that provided the services. He personalized the way he worked with individuals and groups throughout Gwinnett county and demonstrated a model of commitment to personal service:

So people would call [about landscaping] and I ... got the call. I did little sketches on a notepad and would just hand it to them. I did [landscape plans for] a lot of the schools...[O]f course once you did it for one principal you would have a lot of calls...One neighbor would tell another and I spoke to a lot of Garden Clubs. I did Garden Clubs all the time. So it just kept mushrooming.

Baughman's personality and the way he approached the changes that Gwinnett were facing, set an example for the rest of the Extension staff. These same attributes also eased the way for Extension to reposition itself in the minds of Gwinnett's residents. Extension was not seen as just providing service to the county's farmers. Instead, the

Gwinnett Extension Service under Baughman's leadership became a source of information for all of Gwinnett's residents.

While there was no apparent need or pressure for sudden or drastic programming change, Baughman was supportive of innovative and non-traditional programming by county Extension Agents. Joseph and Harrell both credit Baughman with providing a supportive atmosphere for serving both traditional and non-traditional clientele in the Gwinnett Extension office in traditional and non-traditional ways and see his supportive attitude as central to the overall effectiveness of Extension programs and see it as a key to Gwinnett's success in meeting the changing needs of Gwinnett's Extension clientele.

Gradual Change: Unlike Waukesha county, Gwinnett did not face the challenge of a county mandated audit of its program or the resulting demand for rapid change. Although Georgia's state-wide Extension Service went through some very difficult times in the early 1990's due to budgetary restrictions, there was no pressure for change, internal or external, and no real threat or challenge to Extension's legitimacy or its way of operating. Change came to the Gwinnett county Extension slowly, gradually, mirroring the gradual change in demographics experienced in the county. As Gwinnett county slowly became more urban, the service orientation of Extension became more urban. Indeed, Gwinnett's transition followed a line similar to that of the county's own demographic transition, a timeline that covered a period of over twenty-five years.

The fact that Gwinnett's change was gradual appears to have allowed Extension the time and leisure to assimilate the demands of the new urban and suburban clientele into its mission without any undue stress or pressure. Gwinnett's Extension Service was

viewed by clientele, local government officials and Extension district and state administrators, as meeting the needs of its changing demographics and there was no serious question of Extension's viability in Gwinnett county. Under Baughman's leadership, the Extension Service continued to meet the needs of all Gwinnett's residents. Because of the slow, gradual shift by Extension there was certainly no high profile redirection such as had happened in Waukesha county following the audit. Rather, Gwinnett continued to expand, adopt, adjust and "fine tune" its efforts to meet the needs of its clientele.

Gwinnett's change was at a pace that suited Baughman's style and approach to leadership. His steady persistence and foresight found a natural fit with the gradual change that Gwinnett was experiencing during the last three decades of the twentieth century. His development of positive relationships with county leaders and even their children through the years of change was certainly one of the results of his close personal style of conducting Extension's business. From all indications, these relationships served Baughman and Extension well.

Appreciation for Traditional Role of Extension: The final theme that was identified as a key factor in Extension's successful and exemplary transition was Extension's success at merging its traditional mission and clientele with the challenge of meeting the demands of a growing non-traditional, urban population. Gwinnett's ability to embrace its traditional heritage while simultaneously seizing opportunities to incorporate the demands of the newly emerging urban population was key to its exemplary transition. Throughout the years of Gwinnett's demographic transition there was never any

indication that Extension had either abandoned its heritage of rural, agricultural roots or that it ignored the changes that were taking place in the county.

The transition in Gwinnett county from a rural agricultural community in the 1960's to one of Atlanta's fastest growing suburbs by the mid-1980's occurred steadily but gradually. Likewise, the decline of Gwinnett county as a rural and agricultural community followed a similar time line, declining steadily from the 1960's to the present. (Gwinnett's agriculture is now primarily small, part-time livestock farms.) Throughout the transition, Extension never abandoned the needs of its traditional agricultural clientele. In fact, as the demographics shifted to a larger urban and suburban population, Extension actually increased its presence in one of the county's most traditionally rural events, the county fair.

Extension began utilizing the opportunity offered by the annual county fair to proudly display its rural roots. Providing a variety of activities during the fair such as petting zoos, educational displays and exhibitions, Extension purposely remained a key part of this on-going event. Roslyn Joseph noted, "...the Gwinnett county fair...is a way of remembering that heritage [rural past]," and an acknowledgement of Gwinnett's rural heritage. Susan Harrell suggests that this annual event provides Extension with its greatest marketing tool:

It is the finest ... county fair that I have ever seen and has been for years... [I]t is a real big community event... I have always thought that is one of the reasons that Gwinnett has maintained part of their

difference from other urban counties – their closeness [to their agricultural heritage].

Emphasizing the importance of Extension's recognition of its rural past, Harrell continued, "...[T]hey do have some traditional things that ... they don't change. That is pretty unusual in an urban county. You don't find too many urban counties that have held on to tradition ... They have held on to the good things..."

Comparing Waukesha and Gwinnett County Cases

In comparing the two cases for common success factors that can be identified one might readily conclude there are no common factors and that the two counties came to their common exemplary service in diametrically different, incomparable ways. However, further analysis suggests one theme that stands out in both cases - leadership. Although each Extension Service reacted to the changes in its county's demographics in a very different fashion, it was clearly the leadership that provided the direction for the successful transition in each case. But even in this, the leadership in each case was quite different. In Gwinnett county, Baughman's leadership provided the opportunity for the Extension Service to adjust and change at a pace that was roughly that of the change in the county's demographics. Spanning almost twenty years, Baughman set an example of leadership the combined persistence and stability with an understanding that might well be said to have been visionary. His understanding and acceptance of the changes that were taking place in Gwinnett were key to Extension's successful transition. However, Waukesha was a situation that differed in virtually every way from Gwinnett county.

There was an obvious lack of someone with Baughman's foresight within Extension during the early years of Waukesha county's demographic transition. Rather, in Waukesha, there was the lack of dynamic leadership within Extension until after the county audit. This is not to say that there was an absence of leadership in Waukesha, but instead that there was an absence of visionary leadership that understood and appreciated the changes that were taking place within the county. Not until Vasquez's appointment as District Director and his subsequent appointment of Jante as County Director, was there leadership within Extension prepared to accept the challenges of transitioning Waukesha's Extension Service.

In Gwinnett, Baughman had slowly built a network of contacts through the many meetings with garden clubs, PTA's and 4-H clubs that proved invaluable in maintaining clear and open channels of communication with elected and non-elected county leaders. These county leaders represented both the traditional rural past of Gwinnett county as well as the rapidly growing urban and suburban population. On the other hand, Waukesha's connections to county leadership rested heavily on its ties through the county Board of Supervisors and the rural communities of Waukesha. Certainly the ties maintained in Waukesha were appropriate and not without merit. Unfortunately for Waukesha, these same ties changed from assets to liabilities as the county's demographics shifted from predominately rural and agricultural to urban and suburban.

Finley, acting in his capacity as County Executive, had what could arguably be said to have been the single greatest impact on the Waukesha Extension Service. It was not only Finley's call for the county audit that forced the many changes to occur in the

Extension Service, it was his determination to make the changes become a reality that arguably had the single greatest impact on Waukesha's transition. As Jante said, "We didn't have a choice [to change] if we wanted to stay in Waukesha county... We were this far from having our doors closed."

The situation which occurred in Waukesha county certainly had no similar comparison in Gwinnett's transition process. In fact, the opposite seems to hold true. Baughman's steadying influence and encouraging style of leadership seems to have not only encouraged innovation on the part of county staff but to have also played a significant role in maintaining a stable relationship with Gwinnett's county leadership. At no time during any of the interviews was there any indication that the Gwinnett Extension Service experienced any serious challenge to their continuation (certainly not at the level that Waukesha faced). As Baughman described the situation:

We had their kids in 4-H. We knew them all. They never questioned what I did or what Extension did. We just had a good close open relationship and we always worked hard at keeping those fences mended. I never had any problems with commissioners.

The preceding statement is certainly in contrast to Vasquez's assessment of Waukesha's Legislative, Intergovernmental, and Educational Committee (LIGE) which was given oversight of the Waukesha Extension Service under the new county executive form of government:

...[W]e had new people on that [LIGE] committee who ... had come from the cities... Our Extension faculty still [came] into the committee and [said] agriculture is fine but this time the committee [said] so what does that mean? 4-H, the same thing. Immediately, there [was] a lack of understanding on both sides.

These statements clearly illustrate the different situations faced by the two Extension Services as they worked with local leaders.

Finley's role in providing leadership external to Extension is also in sharp contrast to what was found in Gwinnett county. Nowhere in the case of Gwinnett county was there any indication that an individual external to Extension had exerted as much direct influence on the organization as Finley did in Waukesha county. While Baughman and Finley differed dramatically in style and approach, each had an understanding of where and what Extension should be in a rapidly urbanizing county and each maintained a persistent presence and provided oversight throughout Extension's transition. Baughman remained Extension's county administrator for twenty years, and Finley was (and still is) Waukesha's County Executive. Such continuing persistent leadership is uniquely common to the two cases. Almost everything else in the story of these two cases is dramatically different.

The time frame and impetus for change were as divergent as the leadership styles in each county. Gwinnett county's transition was gradual and followed a time line similar to that of the county's own demographic changes. From the early days of Baughman's career in the late 1960's when Gwinnett was just beginning to grow as a suburb of Atlanta to the appointment in the early 1990's of Joseph as the County Director as his successor, Extension changed to meet the needs of Gwinnett's growing urban and suburban population. The county's Extension leadership for most of the transition period was centered around one individual, Baughman. Gwinnett was also able to incorporate meeting the needs of the newly emerging urban and suburban clientele while still meeting the needs of its diminishing traditional agricultural and rural clientele.

Waukesha's transition was comparatively sudden and swift. Its Extension Service had continued to follow a more traditional, rural, agricultural approach to its mission even as the county's demographics changed. Focusing heavily on the needs of its farming community, Extension had built a strong alliance with rural families. Even as the demographics changed, and changed significantly, Extension continued to focus heavily on the county's rural clientele. Unfortunately for Extension, there was no Baughman-like presence to provide the leadership and direction necessary to meet the changing needs of its clientele gradually.

It was not until the change in county government and the election of Finley as the County Executive that there was any apparent move to address the county's demographic changes by the Extension Service. Further, the move to make the necessary changes within the Waukesha Extension Service did not come from within the county faculty. It

was Finley's call for a county audit and Vasques' appointment of Jante' to the position of County Director that became the catalyst to create the changes within the Waukesha Extension Service. Faced with the threat of, as Jante recalled, "closing the doors," Waukesha's Extension Service finally reacted. Granted, the eventual outcome was not just successful, but exemplary. Waukesha's Extension Service, unlike the Gwinnett Extension Service, did not have the luxury of changing at a slow, deliberate pace. Finley's presence and pressure to change resulted in an accelerated and forced change for Waukesha. Where Gwinnett's transition clearly stretched over a period of twenty-five to thirty years, Waukesha's transition was accelerated to less than ten years.

Comparing the remaining factor involved in each county's transition may actually provide even greater insight and understanding into why the transitions occurred in such diametrically different fashions. On the one hand, Gwinnett county was apparently able to balance the need to meet the challenges of a changing clientele without losing the values of its traditional role in serving the needs of rural and agricultural clientele. The continued presence of the Gwinnett Extension Service as part of the county fair was, from all accounts, an invaluable aid in maintaining Extension's presence within the county. Coupled with the emphasis that it placed on meeting the needs of the urban and suburban populations, Extension's use of the county fair to provide both visibility and educational opportunities certainly increased public awareness of Extension in Gwinnett county. This contrasts sharply with Waukesha, where the strong ties to its more traditional clientele became more of a control factor. Despite a significantly changed population, there was little evidence that Waukesha's Extension faculty had made any

real effort to understand and incorporate the changing needs of its growing urban and suburban clientele. This lack of inclusion by the Extension Service in Waukesha county appears to have been a key factor in the call for the county audit. As Finley stated, “We thought we were spending an inordinate amount of money in the agriculture area when that sector was diminishing and not spending practically anything in the urban areas.”

There was clearly a marked difference in how each county dealt with the more traditional aspects of Extension’s mission. In the case of Gwinnett county, the continued involvement by the Extension Service in the county fair was significant. The fair became more than just an agricultural event for Extension. The county fair became a symbol of Extension’s rural roots. From all indications, Extension’s presence at the fair throughout the years of transition provided a positive public image. This positive influence was not just with the interaction of the thousands of individuals attending the fair, but also with local community leaders and elected officials. Extension was very open and proud of its involvement in the fair where they coordinated exhibits and presented educational programs. The fair was a way for Extension to express how it valued tradition even as it continued to meet the needs of Gwinnett’s urban population.

In contrast with how Gwinnett used its traditional roots to make the transition from rural to urban, Waukesha’s hold on traditional programming may actually have had a negative impact. Failing to fully appreciate the changes taking place in Waukesha, the Extension Service continued to focus most, if not all, of its resources on traditional clientele. This emphasis was virtually at the expense of services to the emerging suburban and urban clientele. While Extension’s focus was on traditional audiences, the new

residents of Waukesha were demanding changes in county government that eventually lead to the switch to a county executive and thus Finley's election in 1991. It can be argued that Extension's strong focus on traditional clientele at the expense of the newly emerging urban and suburban residents, may well have laid the foundation for the audit. Unlike Gwinnett, where the traditional and new (or non-traditional) were blended smoothly, Waukesha failed to fully grasp the implications that the changing demographics would eventually have on the Extension Service.

The task of answering research question two thus involves answering how the two counties arrived at the same end point from such opposite directions? They certainly had few commonalities. Leadership was key to both but it was leadership from very different perspectives. Baughman's quiet, easy-going and steady strength contrasted sharply with Jante's high energy, outside the box, cutting edge style. Baughman also differed from the hard-nosed pragmatist that was Finley, who knew where Extension had to go even before the county audit. But what was common to this leadership and provides perhaps an answer to the question of what is common to both cases as well as explains their ability to reach the same destination from widely divergent paths, is the existence of a continued, persistent leadership over an extended period of time.

CHAPTER VII

SUMMARY, DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

The purpose of this study was to describe how two county Extension Services successfully changed their service orientation from rural/agricultural to urban/suburban in an exemplary manner. The research was guided by the following two questions:

1. How did each of the two selected county Extension Services successfully change their service orientation from rural/agricultural to urban/suburban?
2. What were the common success factors that can be identified from the two case studies?

Each case study was analyzed individually using a coding schema to identify thematic areas in the multiple data sources: interview transcripts, interview notes, yearly reports generated by the local county Extension offices, state level Extension reports (especially those focusing on programs and changes that took place in the selected urban counties), U. S. Census Bureau records of the selected counties covering the period studied, newspaper articles, and photographs. Data manipulation involved the thematic triangulation of the data sources. Common themes were then identified which provided a basis from which the story of how each Extension Service made the successful transition from a rural to urban county in an exemplary manner was constructed.

The thematic issues identified in the two individual case studies were compared to identify factors common to the stories of how the two counties made the transition from rural/agricultural to urban/suburban successfully.

Summary of Findings

Leadership was found to be the only constant in the two cases. In both Gwinnett and Waukesha county, there was the continuous presence of one individual for an extended period of time that covered Extension's transition (before, during and after) providing the impetus for and/or guidance of change, monitoring progress toward change, and constituting a persistent presence in the process. In Gwinnett county this individual was Baughman and in Waukesha, this individual was Finley.

However, the leadership in each case was quite different. Baughman set an example in Gwinnett of leadership that combined persistence and stability with understanding and vision. Key in Extension's successful transition in Gwinnett was Baughman's understanding of the changes that were taking place.

Waukesha's leadership differed in virtually every way from Gwinnett county. In the absence of leadership with Baughman's foresight, Waukesha's Extension Service eventually suffered by failing to fully comprehend the changes that were taking place within the county.

Baughman had developed a network of contacts with elected and non-elected county leaders that represented Gwinnett's rural heritage and increasing urban population. In contrast, Waukesha's Extension Service continued to rely on its traditional support centered in Waukesha's rural communities.

In the Waukesha case, Finley provided leadership that was external to Extension. This was in sharp contrast to Gwinnett's Extension Service where there was no evidence that an individual outside of Extension created as much pressure or provided such

persistent oversight as Finley did in Waukesha. Despite Baughman's and Finley's dramatic differences in leadership, they had a vision of how Extension should operate in an urban county. Both individuals maintained a key position of leadership throughout Extension's transition. Such continuing persistent leadership is uniquely common to the two cases.

The time frame and impetus for change were as divergent as the leadership styles in each county. Following a time line similar to that of the county's own demographic changes, Extension's transition in Gwinnett was gradual, changing in a slow and deliberate manner to meet the needs of Gwinnett's increasing urban clientele over a twenty five year period. It did so while still meeting the needs of its diminishing traditional clientele.

In comparison, Waukesha's transition was sudden, taking less than ten years. Despite the change in the county's demographics, Waukesha's Extension Service had continued to follow a more traditional, rural, agricultural approach to its mission. It was not until Waukesha's change in county government and the election of Finley as the County Executive that there was any apparent move to address the county's demographic changes by the Extension Service. Waukesha's Extension Service eventually made the successful transition but it took Finley and a county audit of Extension to force the change.

The remaining factor in each county's transition provides even more understanding of how the two transition processes were completely different and even diametrically opposed. Gwinnett county was able to balance the need to meet the

challenges of a changing clientele without losing the values of its traditional role in serving the needs of rural and agricultural clientele. Extension's continued presence as part of the Gwinnett county fair was key in providing, visibility, educational opportunities and an increased public awareness of Extension in Gwinnett county.

There was little evidence to suggest that Waukesha's Extension faculty had made any attempt to address the needs of its growing urban and suburban clientele. This failure to recognize and respond to the changes taking place in the county appears to have been a key factor in Finley's call for the county audit. Although the Extension Service had maintained, by all accounts, an excellent relationship with its traditional clientele (i.e., rural and agricultural), it had failed to fully grasp the demographic changes that were taking place within Waukesha county.

Discussion

One of the most obvious differences found when comparing the transition of Gwinnett and Waukesha counties was the time differential. For Waukesha, the change was forced and came swiftly in less than ten years, while Gwinnett's transition covered a period of twenty five years and was gradual. Some of the literature on change (Hult, 1987) would suggest that rapid, forced change, such as that experienced by Waukesha county, may inevitably result in failure. Hult's suggestions regarding forced change and the wide differences in time between the Waukesha case and the Gwinnett case, may lead to questioning how Waukesha's transition could have resulted in a successful manner much less an exemplary manner. Despite this pessimistic view, Waukesha was able to arrive at the same end point as Gwinnett's Extension Service. How each county's

Extension office reached that point from such diametrically opposite positions provides the substance for much thought and consideration.

That time could be a factor in successful change presents its own unique dilemma: Gwinnett's time frame for change was twenty five years; Waukesha's time frame was less than ten years. Collins (1998) provides insights into change as it relates to time that may prove helpful in understanding how both counties made the transition successfully. Referring to what Collins calls "temporal interconnectedness" (p. 134), he argues that change should be studied over a period of time. Collins goes on to state that organizations cannot be changed at will. Rather, change must be "...an active process where future plans and current processes will ...be facilitated and/or constrained by the context and the past history of the organization" (1998, p. 134). This would seem to question how Waukesha's Extension could have successfully made the transition while verifying the transition by Gwinnett's Extension Service. Using Collins' argument that time and an organization's history combine to either encourage or impede change, a plausible argument can be made that Waukesha's Extension Service, with its past of not dealing with urbanization and the short time in which it had to make the transition, was doomed.

Zell (1997) provides an explanation for the effectiveness of rapid change and, in fact, suggests that not only can an organization survive rapid change but that when facing systemic "redesign" (p. 156) such as that faced by Waukesha's Extension Service, rapid change is a must for survival. According to Zell (1997), it is by changing as rapidly as possible that an organization can avoid being caught up in the process of the change. Such action on the part of an organization shifts the focus away from the outcome of the

change. Waukesha's Extension Service would certainly fit Zell's description of an organization that had to undergo a rapid change. Following the county audit and the university review, the Extension Service discovered there was little time for stumbling over the process of change; the emphasis had to be on results.

Time was not the only factor driving the change of Waukesha's Extension Service. The influence of external pressure on organizational change can be critical (Hult, 1987) and it was Finley whose persistence and continuous pressure on Waukesha's Extension faculty to make changes was the driving force behind the successful transition. Granted leadership from within Extension eventually emerged in the persons of Vasquez and Jante, however, it must be remembered that the entire process of change did not begin in Waukesha county until after the county audit conducted at Finley's request. Such a combination of leadership is similar to Bolman and Deal's suggestion that successful change relies on an, "...ability to frame issues, build coalitions, and establish arenas in which disagreements can be forged into workable pacts" (1997, p. 237) and this is what Extension's leadership and Finley did in Waukesha county.

In sharp contrast, Gwinnett's Extension Service had the freedom to adapt, change and indulge in innovative programming over an extended period as it was making the transition to meet the needs of a changing clientele. Under the leadership of Baughman for twenty years, Gwinnett found itself steadily changing even while blending a respect for its rural heritage into an urban Extension Service.

As the two cases are compared, the longevity of Baughman certainly does not find an exact parallel in Waukesha county. However, Finley's tenure of over ten years as

County Executive in Waukesha provides a basis for establishing a similar long term stability. Such stability in leadership does not necessarily ensure ultimate success. Zell (1997) notes that long term stability can lead to a sense of inertia in organizations. Similar warnings are echoed by Miller and Friersen (1984) when they warn that as public organizations and corporations become more bound in tradition, there is a tendency for stagnation to occur within management, especially lower management. Certainly the opportunity for such stagnation was ripe in Gwinnett where Baughman was present as the county level Extension administrator for twenty years. However, what occurred was just the opposite.

In creating an atmosphere that encouraged the inclusion of Gwinnett's changing clientele, Baughman displayed what Bolman and Deal refer to as human resource leadership (1997, p. 308-311). Baughman consistently, especially in the early years of his career in Gwinnett county, interacted with a variety of the county's residents. From PTA meetings to garden clubs to the diminishing agriculture community, his presence was felt throughout the county. Baughman also exhibited what Peters and Waterman (1982) describe as a key factor in a human relations leader. This key factor was the necessity for a leader to be familiar with staff and clientele. Kouzes and Posner (1987) echo similar beliefs about the willingness displayed by a human resources leader to be out among staff and clientele as opposed to being out of sight.

Comparing the differences in leadership, the role played by Finley in Waukesha's transition is similar to what Collins (1998) described as both the orthodox and the planned viewpoints of change. Finley combined external inputs through the use of task

assignments and administrative changes along with a planned and thought out approach to creating the changes that occurred within Waukesha's Extension Service. Baughman, on the other hand, displayed characteristics similar only to the planned viewpoint, acting in a seemingly thought out manner to the changes that were taking place in Gwinnett county. Further, the importance of organizational leadership as a role model during change is critical (Nahavandi, 1993). Such a role model is necessary for preserving the culture of the organization. In both counties there were internal leaders to Extension (Vasquez and Jante in Waukesha and Baughman in Gwinnett) who provided the role model for change.

Understanding leadership and its management of change is central to the two cases. Two questions may assist in such understanding: what do we know about leadership in the two cases; and how did the leadership impact the successful change? To answer the first question is to address the leadership exhibited by Baughman in Gwinnett county and Finley in Waukesha county. Using Bolman and Deal (1997) as a guide, Baughman may be defined as a human resource leader. His open manner in displaying his reliance upon, and belief in, individuals was found throughout Gwinnett's story. He was open to the ideas of other staff and there certainly was no indication that he had to resort to more forceful approaches when working with other Extension staff to insure that they were meeting the needs of Gwinnett's changing clientele.

Such an individual was not present within the Waukesha Extension faculty during the early years of the county's urbanization. Finley's leadership, although external to Extension, was similar to what Bolman and Deal define as structural leadership (1997, p.

303-308). One must remember that it was Finley's vision of what Extension should be in an urban county and his use of the county audit to justify that vision that created the change. Such actions on Finley's part were in keeping with several of the characteristics cited by Bolman and Deal of the structural leader: informed before making decisions; an ability to understand a changing environment; ability to focus on implementing ideas; and utilization of evaluation and adoption. Finley had clearly "done his homework" concerning what he felt needed to take place to create the changes in Waukesha's Extension Service and utilized the audit to further inform and define those changes. He obviously understood the changes that had taken place in the county's demographics and felt strongly that Extension had failed to understand and address these changes. Finley was certainly able to evaluate what needed to be done and ensure that the Extension Service adjusted and adapted to the changes that he saw as necessary. Finley's unrelenting persistence and constant pressure are similar to what Ault, et. al., (1998) describe as the "dogged persistence and unjustified optimism" (p. 42) of leadership in organizations that have undergone successful change.

For Waukesha, the time frame did not allow for a more relaxed leadership. It became critical that change occur and occur fast. Essentially the time and place for an individual with Bolman and Deal's human resource approach to leadership simply did not exist. Circumstances called for structural leadership (1997, p. 303) and Finley provided it. To his credit, Finley avoided one of the greatest pitfalls of the structural leader - becoming overwhelmed with the details of the change. Finley avoided becoming what Bolman and Deal refer to as a "petty tyrant" (p. 203). Instead, and to his credit, he played

the role of the architect providing the design for Extension's transition while allowing Extension under the direction of Jante and Vasquez, to manage and guide the implementation.

The interaction of time and leadership in each case provides fertile ground for the discussion of how each county successfully transitioned in such widely divergent ways. On the surface, time may appear to have been a non-factor for Gwinnett because there was no deadline for success. However, just the opposite was found to be true. It was the gradual transition by Extension that seemed to have provided the opportunity for acceptance by the county staff of the changes taking place. With no pressure to rapidly respond to demands for change, Extension was allowed the luxury of assimilating the demands of a rapidly growing non-traditional clientele in a non-threatening manner. Gwinnett certainly (and this is a point which must not be overlooked) had the flexibility to find a way to cherish its rural heritage (i.e., the county fair) while embracing its new role as an urban county Extension Service. Again, as Bolman and Deal (1997) note, one of the barriers to change is the, "...loss of meaning and purpose, [while] clinging to the past" (p. 321). In order to overcome this barrier, Bolman and Deal suggest that an organization should develop a "transition ritual" while "celebrating the future" (p. 321). This is just what Gwinnett was able to do with such success through the county fair..

Waukesha, again, presents a diametrically opposite example. Extension seemingly failed to grasp the changes taking place in Waukesha and found itself concentrating on the traditional while failing to appreciate and understand the changes that had taken place. The county audit and university review created a situation where many of

Waukesha's faculty and staff were suddenly dealing with a loss of meaning and purpose.

As one Waukesha faculty member stated:

It seemed like I sought a lot for some direction ...wondering what are we really supposed to be focused on ...Are we supposed to be doing innovative things ...What is the right thing that we are supposed to be doing? Kind of in a searching way...It was very unclear as to what was the best thing to do ...

Zell (1997) emphasized the necessity for a strong, stable leadership and Gwinnett county had Baughman for over twenty years. Unfortunately for the Extension Service in Waukesha county, the persistent leadership was external to Extension in the form of County Executive Finley. Granted, Waukesha's Extension Service now has Jante at the helm but it took the threat of "closing the doors" before Extension reacted.

The critical importance of Extension leadership on the county level, as demonstrated by these two cases, cannot be overlooked. A report released in February of 2002 by the Extension Committee on Organization and Policy (or ECOP) of the National Association of State Universities and Land-Grant Colleges (NASULGC) titled, *The Extension System: A Vision for the 21st Century*, adds to the argument that leadership within Extension must be, "committed and competent to address, through shared decision-making...the critical issues that impact individuals, organizations and communities" (Foster, 2002). The report went on to state that Extension must:

Develop hiring, compensation and professional development strategies that attract, retain and train qualified employees possessing concepts and skills necessary for engagement in a diverse...society (Foster, 2002).

If Extension is to remain viable, especially in transition and urbanized counties, it will need to study other examples of success from which it can draw valuable insights into the transition process. Further, the need for individuals to take positions of leadership within Extension on the county level who have an understanding of the nuances of administration in urban areas must be taken seriously. Also, and not to be overlooked, is the appreciation that Extension must continue to have for its heritage in rural and agricultural communities. Taking a lesson from Gwinnett and Waukesha counties, there is a delicate balancing act between respect for tradition and understanding the needs of the new which must be preformed by Extension. This balancing act is especially important in transition and urban counties. Finally, recalling that although Waukesha's change was forced and occurred in a relatively short span of time, such a time frame does not necessarily signal a death toll for a county Extension office. Extension must remember that its enabling legislation, the Smith-Lever Act, does not distinguish between rural and urban counties. If this lack of distinction was intentional or just an oversight on the part of the creators of the legislation, we may never know. However, the statement is quite clear in providing no basis for distinction between who should receive the benefits of the Extension Service:

In order to aid in diffusing among the people of the United States useful and practical information on subjects relating to agriculture...[and] home economics... and to encourage the application of the same, there may be continued or inaugurated... agricultural extension work... (Smith-Lever Act, 1914)

Conclusions

1. It is possible for county Extension Services to achieve an exemplary transition from rural/agricultural to urban/suburban starting from diametrically opposite positions.
2. The persistence of leadership may be a critical factor in a county Extension Service reaching a successful and exemplary transition from rural/agricultural to urban/suburban.

Recommendations for Further Research

Several recommendations for further research can be derived from this research. Further case studies of the Extension Service in counties that have been identified as having successfully made the transition from rural/agriculture to urban suburban would add to the body of knowledge that was initiated with this project and allow for putting the Waukesha and Gwinnett county experiences in a larger context.

It would be equally valuable to identify and study counties that have struggled to make the successful transition from rural to urban. The comparison of factors between

180

counties struggling with the transition process and those that have successfully made the transition would provide valuable insights for use by other county Extension Services.

The key role leadership played in the transition of Gwinnett and Waukesha counties offers another potentially fruitful area of study. Because of the importance of leadership found in this study, it would be valuable to study the characteristics of Extension leadership in a variety of transition counties. Such an insight might allow for identification of potential county-level administrators within the various Extension Services.

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Appendix A

Urban and Rural Population: 1900 to 1990

Source: US Census Bureau

Released: Oct. 1995

YEAR	Total Pop.	Urban Pop.	Rural Pop.	% Urban	% Rural
1900	76,212,168	30,214,832	45,997,336	39.6%	60.4%
1910	92,228,496	42,064,001	50,164,495	45.6%	54.4%
1920	106,021,537	54,253,282	51,768,255	51.2%	48.8%
1930	123,202,624	69,160,599	54,042,025	56.1%	43.9%
1940	132,164,569	74,705,338	57,459,231	56.5%	43.5%
1950	151,325,798	96,846,817	54,478,981	64.0%	36.0%
1960	179,323,175	125,268,750	54,054,425	69.9%	30.1%
1970	203,302,031	149,646,629	53,565,297	73.6%	26.4%
1980	226,542,199	167,542,199	59,494,813	73.7%	26.3%
1990	248,709,873	187,053,487	61,656,386	75.2%	24.8%

Appendix B**SMITH-LEVER ACT****Act of May 8, 1914, ch. 79,****38 Stat. 372, 7 U.S.C. 341 et seq.**

Chap. 79.--AN ACT To provide for cooperative agricultural extension work between the agricultural colleges in the several States receiving the benefits of an Act of Congress approved July second, eighteen hundred and sixty-two, and of Acts supplementary thereto, and the United States Department of Agriculture

SEC. 1.⁽¹⁾ In order to aid in diffusing among the people of the United States useful and practical information on subjects relating to agriculture,⁽²⁾ home economics, and rural energy,⁽³⁾ and to encourage the application of the same, there may be continued or inaugurated in connection with the college or colleges in each State, Territory, or possession, now receiving, or which may hereafter receive, the benefits of the Act of Congress approved July second, eighteen hundred and sixty-two, entitled "An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts" (Twelfth Statutes at Large, page five hundred and three)⁽⁴⁾ and of the Act of Congress approved August thirtieth, eighteen hundred and ninety (Twenty-sixth Statutes at Large, page four hundred and seventeen

and chapter eight hundred and forty-one),⁽⁵⁾ agricultural extension work which shall be carried on in cooperation with the United States Department of Agriculture: *Provided*, That in any State, Territory, or possession in which two or more such colleges have been or hereafter may be established, the appropriations hereinafter made to such State, Territory, or possession shall be administered by such college or colleges as the legislature of such State, Territory, or possession may direct.⁽⁶⁾

SEC. 2.⁽⁷⁾ Cooperative agricultural extension work shall consist of the development of practical applications of research knowledge and⁽⁸⁾ giving of instruction and practical demonstrations of existing or improved practices or technologies⁽⁹⁾ in agriculture, uses of solar energy with respect to agriculture,⁽¹⁰⁾ home economics, and rural energy,⁽¹¹⁾ and subjects relating⁽¹²⁾ thereto to persons not attending or resident in said colleges in the several communities, and imparting information on said subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution⁽¹³⁾ of information in connection with the foregoing; and this work shall be carried on in such manner as may be mutually agreed upon by the Secretary of Agriculture and the State agricultural college or colleges or Territory or possession⁽¹⁴⁾ receiving the benefits of this Act.

SEC. 3.⁽¹⁵⁾ (a) There are hereby authorized to be appropriated for the purposes of this Act such sums as Congress may from time to time determine to be necessary.

(b)(1) Out of such sums, each State and the Secretary of Agriculture⁽¹⁶⁾ shall be entitled to receive annually a sum of money equal to the sums

available from Federal cooperative extension funds for the fiscal year 1962, and subject to the same requirements as to furnishing of equivalent sums by the State, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue available for use on the same basis.

(2)⁽¹⁷⁾ There is authorized to be appropriated for the fiscal year⁽¹⁸⁾ ending June 30, 1971, and for each fiscal year thereafter, for payment to the Virgin Islands, Guam, and the Northern Mariana Islands⁽¹⁹⁾ \$100,000 each, which sums shall be in addition to the sums appropriated for the several States of the United States and Puerto Rico under the provisions of this section. The amount paid by the Federal government to the Virgin Islands and Guam pursuant to this paragraph shall not exceed during any fiscal year, except the fiscal years ending June 30, 1971, and June 30, 1972, when such amount may be used to pay the total cost of providing services pursuant to this Act, the amount available and budgeted for expenditure by the Virgin Islands and Guam for the purposes of this Act.

(3)⁽²⁰⁾ There are authorized to be appropriated for the fiscal year ending June 30, 1996, and for each fiscal year thereafter, for payment on behalf of the 1994 Institutions (as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994), \$5,000,000 for the purposes set forth in section 2. Such sums shall be in addition to the sums

appropriated for the several States and Puerto Rico, the Virgin Islands, and Guam under the provisions of this section. Such sums shall be distributed on the basis of a competitive application process to be developed and implemented by the Secretary and paid by the Secretary to⁽²¹⁾ 1994 Institutions (in accordance with regulations that the Secretary may promulgate) and may be administered by the 1994 Institutions through cooperative agreements with colleges and universities eligible to receive funds under the Act of July 2, 1862 (12 Stat. 503, chapter 130; 7 U.S.C. 301 et seq.), or the Act of August 30, 1890 (26 Stat. 419, chapter 841; 7 U.S.C. 321 et seq.), including Tuskegee University, located in any State.

(c)⁽²²⁾ Any sums made available by the Congress for further development of cooperative extension work in addition to those referred to in subsection (b) hereof shall be distributed as follows:

(1) Four per centum of the sum so appropriated for each fiscal year shall be allotted to the Secretary of Agriculture⁽²³⁾ for administrative, technical, and other services, and for coordinating the extension work of the Department and the several States, Territories, and possessions.

(2) Of the remainder so appropriated for each fiscal year 20 per centum shall be paid to the several States in equal proportions, 40 per centum shall be paid to the several States in the proportion that the rural population of each bears to the total rural population of the several States as determined

by the census, and the balance shall be paid to the several States in the proportion that the farm population of each bears to the total farm population of the several States as determined by the census. Any⁽²⁴⁾ appropriation made hereunder shall be allotted in the first and succeeding years on the basis of the decennial census current at the time such appropriation is first made, and as to any increase, on the basis of decennial census current at the time such increase is first appropriated.

(d)The Secretary of Agriculture⁽²⁵⁾ shall receive such additional⁽²⁶⁾ amounts as Congress shall determine for administration, technical, and other services and for coordinating the extension work of the Department and the several States, Territories, and possessions. A college or university eligible to receive funds under the Act of August 30, 1890 (7 U.S.C. 321 et seq.), including Tuskegee University, may apply for and receive directly from the Secretary of Agriculture--

(1) amounts made available under this subsection after September 30, 1995, to carry out programs or initiatives for which no funds were made available under this subsection for fiscal year 1995, or any previous fiscal year, as determined by the Secretary; and

(2) amounts made available after September 30, 1995, to carry out programs or initiatives funded under this subsection prior to that date that are in excess of the highest amount made available for the programs or

initiatives under this subsection for fiscal year 1995, or any previous fiscal year, as determined by the Secretary.⁽²⁷⁾

(e)⁽²⁸⁾MATCHING FUNDS.—

(1)REQUIREMENT.—Except as provided in subsection (f), no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work.

(2)FAILURE TO PROVIDE MATCHING FUNDS.— If a State fails to comply with the requirement to provide matching funds for a fiscal year under paragraph (1), the Secretary of Agriculture shall withhold from payment to the State for that fiscal year an amount equal to the difference between—

(A) the amount that would be allotted and paid to the State under subsections (b) and (c) (if the full amount of matching funds were provided by the State); and

(B) the amount of matching funds actually provided by the State.

(3) REAPPORTIONMENT.—

(A) IN GENERAL.— The Secretary of Agriculture shall reapportion amounts withheld under paragraph (2) for a fiscal year among the States satisfying the matching requirement for that fiscal year.

(B) MATCHING REQUIREMENT.— Any reapportionment of funds under this paragraph shall be subject to the matching requirement specified in paragraph (1).

(f)⁽²⁹⁾ MATCHING FUNDS EXCEPTION FOR 1994 INSTITUTIONS.—There shall be no matching requirement for funds made available to a 1994 Institution pursuant to subsection (b)(3).'

(g)⁽³⁰⁾(1) The Secretary of Agriculture may conduct educational, instructional, demonstration, and publication distribution programs⁽³¹⁾ and enter into cooperative agreements with private nonprofit and profit organizations and individuals to share the cost of such programs through contributions from private sources as provided in this subsection.

(2)The Secretary may receive contributions under this subsection from private sources for the purposes described in paragraph (1) and provide matching funds in an amount not greater than 50 percent of such contributions.

(h)⁽³²⁾MULTISTATE COOPERATIVE EXTENSION ACTIVITIES.—

(1) IN GENERAL.— Not less than the applicable percentage specified under paragraph (2) of the amounts that are paid to a State under subsections (b) and (c) during a fiscal year shall be expended by States for cooperative extension activities in which 2 or more States cooperate to solve problems that concern more than 1 State (referred to in this subsection as 'multistate activities').

(2) APPLICABLE PERCENTAGES.—

(A) 1997 EXPENDITURES ON MULTISTATE

ACTIVITIES.— Of the Federal formula funds that were paid to each State for fiscal year 1997 under subsections (b) and (c), the Secretary of Agriculture shall determine the percentage that the State expended for multistate activities.

(B) REQUIRED EXPENDITURES ON MULTISTATE

ACTIVITIES.— Of the Federal formula funds that are paid to each State for fiscal year 2000 and each subsequent fiscal year under subsections (b) and (c), the State shall expend for the fiscal year for multistate activities a percentage that is at least equal to the lesser of—

(i) 25 percent; or

(ii) twice the percentage for the State
determined under subparagraph (A).

(C) REDUCTION BY SECRETARY.— The Secretary may reduce the minimum percentage required to be expended for multistate activities under subparagraph (B) by a State in a case of hardship, infeasibility, or other similar circumstance beyond the control of the State, as determined by the Secretary.

(D) PLAN OF WORK.— The State shall include in the plan of work of the State required under section 4 a description of the manner in which the State will meet the requirements of this paragraph.

(3) APPLICABILITY.— This subsection does not apply to funds provided—

(A) by a State or local government pursuant to a matching requirement;

(B) to a 1994 Institution (as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (Public Law 103-382; 7 U.S.C. 301 note)); or

(C) to the Commonwealth of Puerto Rico, the Virgin Islands, or Guam.

(i) MERIT REVIEW.—

(1) REVIEW REQUIRED.—

Effective October 1, 1999, extension activity carried out under subsection (h) shall be subject to merit review.

(2) OTHER

REQUIREMENTS.— An extension activity for which merit review is conducted under paragraph (1) shall be considered to have satisfied the requirements for review under section 103(e) of the Agricultural Research, Extension, and Education Reform Act of 1998.

(j)⁽³³⁾INTEGRATION OF RESEARCH AND EXTENSION.—Section 3(i) of the Hatch Act of 1887 (7 U.S.C. 361c(i)) shall apply to amounts made available to carry out this Act.

SEC. 4.⁽³⁴⁾ASCERTAINMENT OF ENTITLEMENT OF STATE TO FUNDS; TIME AND MANNER OF PAYMENT; STATE REPORTING REQUIREMENTS; PLANS OF WORK.

(a) ASCERTAINMENT OF ENTITLEMENT.—On or about the first day of October in each year after the passage of this Act, the Secretary of Agriculture shall ascertain as to each State whether it is entitled to receive its share of the annual appropriation for cooperative agricultural extension work under this Act and the amount which it is entitled to receive. Before the funds herein provided shall become available to any college for any fiscal year, plans for the work to be carried on under this Act shall be submitted by the proper officials of each college and approved by the Secretary of Agriculture. The Secretary shall ensure that each college seeking to receive funds under this Act has in place appropriate guidelines, as determined by the Secretary, to minimize actual or potential conflicts of interest among employees of such college whose salaries are funded in whole or in part with such funds.⁽³⁵⁾

(b)⁽³⁶⁾ TIME AND MANNER OF PAYMENT; RELATED REPORTS.—The amount to which a State is entitled shall be paid in equal quarterly payments in or about July, October, January, and April of each year to the treasurer or other officer of the State duly authorized by the laws of the State to receive the same, and such officer shall be required

to report to the Secretary of Agriculture on or about the first day of April of each year, a detailed statement of the amount so received during the previous fiscal year and its disbursement, on forms prescribed by the Secretary of Agriculture.

(c)⁽³⁷⁾REQUIREMENTS RELATED TO PLAN OF WORK.— Each extension plan of work for a State required under subsection (a) shall contain descriptions of the following:

(1) The critical short-term, intermediate, and long-term agricultural issues in the State and the current and planned extension programs and projects targeted to address the issues.

(2) The process established to consult with extension users regarding the identification of critical agricultural issues in the State and the development of extension programs and projects targeted to address the issues.

(3) The efforts made to identify and collaborate with other colleges and universities within the State, and within other States, that have a unique capacity to address the identified agricultural issues in the State and the extent of current and emerging efforts (including regional efforts) to work with those other institutions.

(4) The manner in which research and extension, including research and extension activities funded other than through formula funds, will cooperate to address the critical issues in the State, including the activities

to be carried out separately, the activities to be carried out sequentially, and the activities to be carried out jointly.

(5) The education and outreach programs already underway to convey available research results that are pertinent to a critical agricultural issue, including efforts to encourage multicounty cooperation in the dissemination of research results.

(d) EXTENSION PROTOCOLS.—

(1) DEVELOPMENT.—The Secretary of Agriculture shall develop protocols to be used to evaluate the success of multistate, multi-institutional, and multidisciplinary extension activities and joint research and extension activities in addressing critical agricultural issues identified in the plans of work submitted under subsection (a).

(2) CONSULTATION.—The Secretary of Agriculture shall develop the protocols in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board established under section 1408 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3123) and land-grant colleges and universities.

(e) TREATMENT OF PLANS OF WORK FOR OTHER PURPOSES.—To the maximum extent practicable, the Secretary shall consider a plan of work submitted under subsection (a) to satisfy other appropriate Federal reporting requirements.

SEC. 5.⁽³⁸⁾ If any portion of the moneys received by the designated officer of any State for the support and maintenance of cooperative agricultural extension work, as provided in this Act, shall by any action or contingency be diminished or lost or be misapplied, it shall be replaced by said State, and until so replaced no subsequent appropriation shall be apportioned or paid to said State. No portion of said moneys shall be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act. It shall be the duty of said colleges, annually, on or about the first day of January, to make to the Governor of the State in which it is located a full and detailed report of its operations in extension work as defined in this Act, including a detailed statement of receipts and expenditures from all sources for this purpose, a copy of which report shall be sent to the Secretary of Agriculture.

SEC. 6.⁽³⁹⁾ (Repealed)

SEC. 7.⁽⁴⁰⁾ (Repealed)

SEC. 8.⁽⁴¹⁾ (a) The Congress finds that there exists special circumstances in certain agricultural areas which cause such areas to be at a disadvantage insofar as agricultural development is concerned, which circumstances include the following: (1) There is

concentration of farm families on farms either too small or too unproductive or both; (2) such farm operators because of limited productivity are unable to make adjustments and investments required to establish profitable operations; (3) the productive capacity of the existing farm unit does not permit profitable employment of available labor; (4) because of limited resources, many of these farm families are not able to make full use of current extension programs designed for families operating economic units nor are extension facilities adequate to provide the assistance needed to produce desirable results.

(b) In order to further the purposes of section 2 in such areas and to encourage complementary development essential to the welfare of such areas, there are hereby authorized to be appropriated such sums as the Congress from time to time shall determine to be necessary for payments to the States⁽⁴²⁾ on the basis of special needs in such areas as determined by the Secretary of Agriculture.

(c) In determining that the area has such special need, the Secretary shall find that it has a substantial number of disadvantaged farms or farm families for one or more of the reasons heretofore enumerated. The Secretary shall make provisions for the assistance to be extended to include one or more of the following: (1) Intensive on-the-farm educational assistance to the farm family in appraising and resolving its problems; (2) assistance and counseling to local groups in appraising resources for capability of improvement in agriculture or introduction of industry designed to supplement farm income; (3) cooperation with other agencies and groups in furnishing all possible information as to existing employment opportunities, particularly to farm families having

underemployed workers; and (4) in cases where the farm family, after analysis of its opportunities and existing resources, finds it advisable to seek a new farming venture, the providing of information, advice, and counsel in connection with making such change.

(d) No more than 10 per centum of the sums available under this section shall be allotted to any one State. The Secretary shall use project proposals and plans of work submitted by the State Extension directors as a basis for determining the allocation of funds appropriated pursuant to this section.

(e) Sums appropriated pursuant to this section shall be in addition to, and not in substitution for, appropriations otherwise available under this Act. The amounts authorized to be appropriated pursuant to this section shall not exceed a sum in any year equal to 10 per centum of sums otherwise appropriated pursuant to this Act.

SEC. 9.⁽⁴³⁾ The Secretary of Agriculture is authorized to make such rules and regulations as may be necessary for carrying out the provisions of this Act.

SEC. 10.⁽⁴⁴⁾ The term "State" means the States of the Union, Puerto Rico, the Virgin Islands, Guam and the Northern Mariana Islands.⁽⁴⁵⁾

SEC. 11.⁽⁴⁶⁾ This Act may be cited as the 'Smith-Lever Act'.

(1) 7 U.S.C. 341. The Smith-Lever Act was amended in its entirety by the Act of June 26, 1953, ch. 157, 67 Stat. 83. Section 1 was amended as follows: added ", Territory, or possession" wherever appearing; added "continued or"; and deleted ": *Provided further*,

That, pending the inauguration and development of the cooperative extension work herein authorized, nothing in this Act shall be construed to discontinue either the farm management work or the farmers cooperative demonstration work as now conducted by the Bureau of Plant Industry of the Department of Agriculture" following "may direct".

(2) The words "uses of solar energy with respect to agriculture", were added by the National Agricultural Research, Extension, and Teaching Policy Act of 1977, contained in the Food and Agriculture Act of 1977, Public Law 95-113, section 1447(1), 91 Stat. 1011, and were repealed by the Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624, section 1601(f)(1)(D), 104 Stat. 3704.

(3) Reference to "rural energy" added by the Biomass Energy and Alcohol Fuels Act of 1980, Public Law 96- 294, section 256, 94 Stat. 708.

(4) First Morrill Act.

(5) Second Morrill Act.

(6) The definition of "solar energy" added by the National Agricultural Research, Extension, and Teaching Policy Act of 1977, contained in the Food and Agriculture Act of 1977, Public Law 95-113, section 1447(2), 91 stat. 1011, was deleted by the Food, Agriculture, Conservation, and Trade Act of 1990, section 1601(f)(1)(D), 104 Stat. 3704.

(7) 7 U.S.C. 342.

(8) Amended by the National Agricultural Research, Extension, and Teaching Policy Act of 1985, section 1435, 99 stat. 1557, by adding the words "development of practical applications of research knowledge and" after the words "consist of the".

(9) Amended by the National Agricultural Research, Extension, and Teaching Policy Act of 1985, section 1435, 99 stat. 1557, by adding the words "of existing or improved practices or technologies" after the words "practical demonstrations".

(10) Amended section 1447(1) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, Public Law 95-113, September 29, 1977, 91 Stat. 1011, to add ", uses of solar energy with respect to agriculture,".

(11) Reference to "rural energy" added by the Biomass Energy and Alcohol Fuels Act of 1980, Public Law 96- 294, section 256, 94 Stat. 708.

(12) Amended by the Act of June 26, 1953, ch. 157, 67 Stat. 83, by inserting "and subjects relating thereto" after "agriculture and home economics".

(13) Amended by the Act of June 26, 1953, ch. 157, 67 Stat. 83, by inserting the reference to necessary printing and distribution of information.

(14) The Act of October 5, 1962, Public Law 87-749, 76 Stat. 745, inserted "or Territory or possession" following "college or colleges".

(15) 7 U.S.C. 343. This section appears as amended by the Act of October 5, 1962, exclusive of subsequent amendments noted below. Prior to amendment by the Act of

June 26, 1953, ch. 157, 67 Stat. 83, this section read as follows: "That for the purpose of paying the expenses of said cooperative agricultural extension work and the necessary printing and distributing of information in connection with the same, there is permanently appropriated, out of any money in the Treasury not otherwise appropriated, the sum of \$480,000 for each year, \$10,000 of which shall be paid annually, in the manner hereinafter provided, to each State which shall by action of its legislature assent to the provisions of this Act: *Provided*, That payment of such installments of the appropriation hereinbefore made as shall become due to any State before the adjournment of the regular session of the legislature meeting next after the passage of this Act may, in the absence of prior legislative assent, be made upon the assent of the governor thereof, duly certified to the Secretary of the Treasury: *Provided further*, That there is also appropriated an additional sum of \$600,000 for the fiscal year following that in which the foregoing appropriation first becomes available, and for each year thereafter for seven years a sum exceeding by \$500,000 the sum appropriated for each preceding year, and for each year thereafter there is permanently appropriated for each year the sum of \$4,100,000 in addition to the sum of \$480,000 hereinbefore provided: *Provided further*, That before the funds herein appropriated shall become available to any college for any fiscal year plans for the work to be carried on under this Act shall be submitted by the proper officials of each college and approved by the Secretary of Agriculture. Such additional sums shall be used only for the purposes hereinbefore stated, and shall be allotted annually to each State by the Secretary of Agriculture and paid in the manner hereinbefore provided, in the proportion which the rural population of each State bears to the total rural population of

all the States as determined by the next preceding Federal census: *Provided further*, That no payment out of the additional appropriations herein provided shall be made in any year to any State until an equal sum has been appropriated for that year by the legislature of such State, or provided by State, county, college, local authority, or individual contributions from within the State, for the maintenance of the cooperative agricultural extension work provided for in this Act."

The Act of June 26, 1953, ch. 157, 67 Stat. 83 amended this section to read:

"(a) There are hereby authorized to be appropriated for the purposes of this Act such sums as Congress may from time to time determine to be necessary.

"(b) Out of such sums, each State, Alaska, Hawaii, Puerto Rico, and the Federal Extension Service shall be entitled to receive annually a sum of money equal to the sums received from Federal cooperative extension funds for the fiscal year 1953, and such sums shall be subject to the same requirements as to furnishing of equivalent sums by the State, Alaska, Hawaii, and Puerto Rico as existed immediately prior to the passage of this Act, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue available for use on the same basis: *Provided*, That, in addition, Puerto Rico shall be authorized to receive the total initial amount set by the provisions of the Act of October 26, 1949 (63 Stat. 926), and this amount shall be increased each succeeding fiscal year in accordance with such provisions until the total sum shall include the maximum amount set by the provisions of the Act of October 26, 1949, and Puerto Rico shall be entitled to receive such amount annually thereafter.

"(c) Any sums made available by the Congress for further development of cooperative extension work in addition to those referred to in subsection (b) hereof shall be distributed as follows:

"1. Four per centum of the sum so appropriated for each fiscal year shall be allotted among the States, Alaska, Hawaii, and Puerto Rico by the Secretary of Agriculture on the basis of special needs as determined by the Secretary.

"2. Fifty per centum of the remainder of the sum so appropriated for each fiscal year shall be paid to the several States, Alaska, Hawaii, and Puerto Rico in the proportion that the rural population of each bears to the total rural population of the several States, Alaska, Hawaii, and Puerto Rico, as determined by the census, and the remainder shall be paid to the several States, Alaska, Hawaii, and Puerto Rico in the proportion that the farm population of each bears to the total farm population of the several States, Alaska, Hawaii, and Puerto Rico, as determined by the census: *Provided*, That payments out of the additional appropriations for further development of extension work authorized herein may be made subject to the making available of such sums of public funds by the States, Alaska, Hawaii, and Puerto Rico from non-Federal funds for the maintenance of cooperative agricultural extension work provided for in this Act, as may be provided by the Congress at the time such additional appropriations are made: *Provided further*, That any appropriation made hereunder shall be allotted in the first and succeeding years on the basis of the decennial census current at the time such appropriation is first made, and

as to any increase on the basis of decennial census current at the time such increase is first appropriated.

"(d)The Federal Extension Service shall receive such amounts as Congress shall determine for administration, technical, and other services and for coordinating the extension work of the Department and the several States, Territories, and possessions."

This section was modified by the National Agricultural Research, Extension, and Teaching Policy Act of 1977, Public Law 95-113, sec. 1464, 91 Stat. 1018; the National Agricultural Research, Extension, and Teaching Policy Act Amendments of 1981, Public Law 97-98, sec. 1438, 95 Stat. 1314; and further modified by the Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624, sec. 1601(b)(4), 104 Stat. 3703.

(16) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, section 203 (c)(2)(A), 112 Stat. 535, strikes "Federal Extension Service each place it appears in subsection (b)(1), (c), and (d), and inserts "Secretary of Agriculture".

(17) Paragraph (2) was added by the Act of June 23, 1972, Public Law 92-318, section 506(3), 86 Stat. 351, effective after June 30, 1970.

(18) The Act of April 21, 1976, Public Law 94-274, section 201(15) and (22), 90 Stat. 383, provides that the "period July 1, 1976 through September 30, 1976 shall be treated as a fiscal year" for the purpose of section 3(b)(2) and 3(c).

210

(19) Amended by the Act of August 27, 1986, 100 Stat. 840, Public Law 99-396, by striking out "and Guam" in the first sentence of this subsection and inserting in lieu thereof "Guam, and the Northern Mariana Islands".

(20) The Equity in Educational Land-Grant Status Act of 1994, contained in the Improving America's Schools Act of 1994, Public Law 103-382, October 20, 1994, Title V, Part C, section 534(b)(1), amended section 3(b) by adding at the end thereof a new paragraph (3).

(21) Amended by the Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, 112 Stat. 531, section 201 to strike "State institutions established in accordance with the provisions of the Act of July 2, 1862 (12 Stat. 503, chapter 130; 7 U.S.C. 301 *et seq.*) (commonly known as the First Morrill Act) (other than 1994 Institutions) and administered by such institutions through cooperative agreements with 1994 Institutions in the States of the 1994 Institutions in accordance with regulations that the Secretary shall adopt".

(22) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, 112 Stat. 534, section 203(b), amends subsection (c) by redesignating paragraphs 1 and 2 as paragraphs (1) and (2) respectively.

(23) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, section 203 (c)(2)(A), 112 Stat. 535, strikes "Federal Extension Service

each place it appears in subsection (b)(1), (c), and (d), and inserts “Secretary of Agriculture”.

(24) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, 112 Stat. 534, section 203(b)(1)(B), amended section 3 by striking “census: *Provided*, That payments out of the additional appropriations for further development of extension work authorized herein may be made subject to the making available of such sums of public funds by the States from non-Federal funds for the maintenance of cooperative agricultural extension work provided for in this Act, as may be provided by the Congress at the time such additional appropriations are made:

Provided further, That any” and inserting “census. Any”.

(25) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, section 203 (c)(2)(A), 112 Stat. 535, strikes “Federal Extension Service each place it appears in subsection (b)(1), (c), and (d), and inserts “Secretary of Agriculture”.

(26) Public Law 87-749, section 1(e), 76 Stat. 745, amended subsection (d) by inserting after the words "receive such" the word "additional".

(27) The Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127, April 4, 1996, 110 Stat. 1176, section 883(a) amended section 3(d) to add the last sentence.

(28) Subsection (e) was added by the National Agricultural Research, Extension, and Teaching Policy Act of 1977, contained in the Food and Agriculture Act of 1977, Public Law 95-113, section 1465, 91 Stat. 1018. The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, section 203(b)(2) strikes subsections (e) and (f) and inserts a new subsection (e) and (f). The previous subsection (e) exempted the U.S. Virgin Islands and Guam from any matching requirements required by subsections (b) and (c) for FY 1977 and FY 1978, only if amounts budgeted and available for expenditure equaled the amounts budgeted and available in FY 1977. Additionally, subsection (f) specifically provided for no matching requirement for funds made available pursuant to subsection (b)(3).

(29) The Equity in Educational Land-Grant Status Act of 1994, contained in the Improving America's Schools Act of 1994, Public Law 103-382, October 20, 1994, Title V, Part C, section 534(b)(3), amended section 3 by inserting a new subsection (f).

(30) The National Agricultural Research, Extension, and Teaching Policy Act Amendments of 1985, contained in the Food Security Act of 1985, Public Law 99-198, section 1435(b), 99 Stat. 1557, amended section 3 by adding a new subsection (f). The Equity in Educational Land-Grant Status Act of 1994, contained in the Improving America's Schools Act of 1994, Public Law 103-382, October 20, 1994, Title V, Part C, section 534(b)(2), amended section 3 by redesignating subsection (f) as subsection (g).

(31) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, section 203 (c)(2)(B), 112 Stat. 535, strikes the words “through the Federal Extension Service”.

(32) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, 112 Stat. 529, section 105(a), adds a new subsection (h) at the end of section 3.

(33) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, section 204(b) added this provision.

(34) 7 U.S.C. 344. The Act of June 26, 1953, ch. 157, 67 Stat. 83, amended this section to read as it appears exclusive of subsequent amendments noted below. The Act of October 5, 1962, Public Law 87-749, section 1(f), 76 Stat. 745, deleted: ", Territory, or possession" following "State" each place it appears; substituted "quarterly" for "semiannual"; and substituted "in or about July, October, January, and April" for "on the first day of January and July".

The Act of April 21, 1970, Public Law 94-273, section 15, 90 Stat. 379, substituted "of October" for "of July" and substituted "of April" for "of January". Further amended by the Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, June 23, 1998, 112 Stat. 531, by striking “SEC. 4.” and inserting the section and subsection titles.

(35) This sentence was added by the Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624, section 1617, 104 Stat. 3732.

(36) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, 112 Stat. 531, section 202(a)(2), added the subsection title and all that follows through the word “entitled”.

(37) The Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, 112 Stat. 531, section 202(a)(3), amends section 4 to add new subsections (c), (d), and (e).

(38) 7 U.S.C. 345.

(39) 7 U.S.C. 346. Repealed by the Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185, 112 Stat. 528, section 103(f).

(40) 7 U.S.C. 347. Repealed by the Act of June 29, 1960, Public Law 86-533, section 1(21), 74 Stat. 249.

(41) 7 U.S.C. 347a. Added by the Act of August 11, 1955, ch. 768, 69 Stat. 683, which renumbered original section 8 to read "section 9".

(42) The Act of October 5, 1962, Public Law 87-749, section 1(h), 76 Stat. 745, deleted "Alaska, Hawaii, and Puerto Rico" following "States".

(43) 7 U.S.C. 348. Amended by the Act of June 26, 1953, ch. 157, 67 Stat. 83.

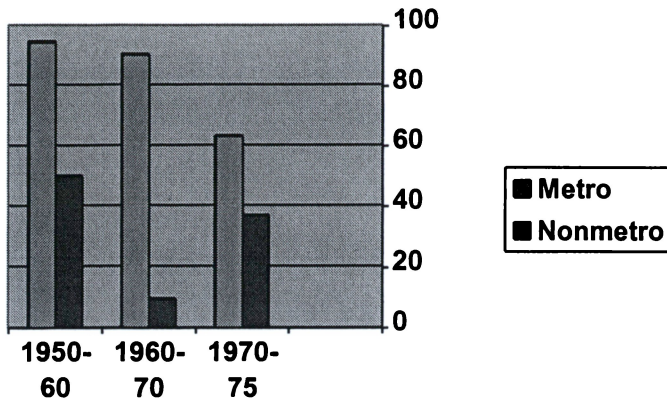
(44) 7 U.S.C. 349. Added by the Act of October 5, 1962, Public Law 87-749, section 1(i), 76 Stat. 745. Amended by the Act of June 23, 1972, Public Law 92-318, section 506(h), 86 Stat. 351, to include the Virgin Islands and Guam.

(45) Amended by the Act of August 27, 1986, Public Law 99-396, section 9(f), 100 Stat. 840, to include the Northern Mariana Islands.

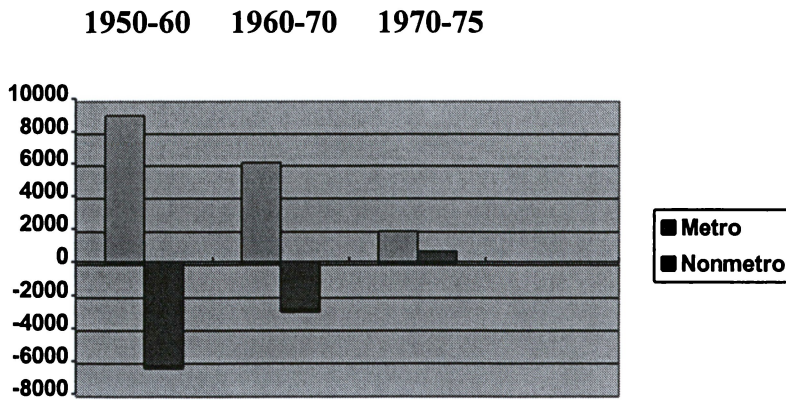
(46) 7 U.S.C. 341 note. This section was added by section 3 of Public Law 105-185, the Agricultural Research, Extension, and Education Reform Act of 1998, June 23, 1998, 112 Stat. 525.

Appendix C

Percent population change for metropolitan and non-metropolitan counties from 1950 to 1975.



Net migration in thousands for metropolitan and non-metropolitan counties from 1950 to 1975.



Source: Berry, et. al., 1976.

Appendix D

Interview Protocol

Based on Census data covering the past ____ years, _____ county has shown an increase in population from _____ to _____. The data also indicates that there has been a significant shift in the population from rural to urban. _____ county has been cited by several Extension leaders from across the nation as an exemplar in making the transition from a rural to an urban county Extension Service. Because you were one of the Extension Service staff involved in this transition process, I would like to hear your story about what you and the other _____ County Extension Staff did to bring about the changes in your Extension Service programs.

NOTE: I will use probes to explore the interviewee's opinions and recollections of the following areas if additional information is needed:

1. What were the greatest challenges faced by _____ County Extension Service during the transition period?
2. Describe the level and type of support that the _____ County Extension Service received during the transition process from your district and state Extension Service.
3. Describe your perception of local government officials (including county and state elected officials) regarding the _____ County Extension Service before, during and after the transition process.

Appendix E**Introductory Letter to State Extension Directors**

Dear _____,

I am currently a County Extension Leader with the University of Tennessee Agricultural Extension Service, enrolled in the Doctor of Education - Leadership Studies in Higher Education program of study at the University of Tennessee. My dissertation topic, *The Rural-Urban Interface: Challenges for the Extension Service*, will be case studies of two county Extension Services that have successfully undergone the transition from a rural/agricultural emphasis to an urban/suburban emphasis. As I have contacted various Extension administrators across the United States, _____ county in _____ (state) has been repeatedly suggested as having made this transition in an exemplary manner.

I would like to request your permission to contact the _____ county Extension _____ (director, coordinator, leader, etc.) to arrange for an on-site visit. The visit will be necessary to conduct interviews and document reviews pertaining to the local Extension Service's response to the transition by _____ county.

The on-site visit and document review will take approximately three to five days. During this time, I will need to interview three to five Extension staff that were present in _____ county during the time period of the transition. I will also need to have access to any documents (such as annual reports, news articles, annual plans of

work, and other related information) and receive permission to copy these documents for possible inclusion in my final research paper. Additionally, it is my intention to interview one to three non-Extension individuals from _____ county who might have additional insights into the transition process. These individuals will include county government officials, local education personnel and key stakeholders. I will provide all participants with an introductory letter and an informed consent letter prior to conducting any interviews.

I realize that Extension offices are busy and time is always at a premium. Certainly _____ county is no exception. However, the results from an empirical study such as I have proposed, may well offer much needed insights into a transition process that is challenging under the best of conditions. In this regard, I fully intend to share the results of my case studies with all parties concerned.

I look forward to working with you, the _____ (state) _____ Extension Service and the _____ County Extension Service. I will contact you by telephone in the near future to answer any questions you may have concerning my proposed research project.

Sincerely,

Ray W. Burden, Jr.

County Extension Leader

Appendix F



The University of Georgia
College of Agricultural and Environmental Sciences
Coordinator for Extension Service

111 Corcoran Hall
Athens, GA 30602-2704
706/542-2362

January 5, 2011

Mr. Ray W. Burden
County Extension Leader
Hamilton County Extension Service
6183 Adamsan Circle
Chattanooga, TN 37410

Dear Mr. Burden:

I am responding to your request to Dean Buchanan regarding including Gwinnett County in your dissertation research. We would be delighted for you to include this Extension office and staff in your study. We think you will agree with us that it is a program to be proud of.

Ms. Rosalyn Joseph is the County Extension Coordinator in Gwinnett County, and by copy of this letter I am asking her to cooperate as appropriate with your request. Her addresses and telephone numbers are attached. Also attached for your convenience are those of Ms. Susan Harroff, District Extension Head for North District, and mine.

I look forward to learning the results of your study, and if there is anything else we can do to facilitate your effort, please let us know.

Sincerely,

William R. Lambert
Associate Dean for Extension

Attachment

Copy: Dean Gail Buchanan
Ms. Susan Harroff, District Extension Head
Ms. Rosalyn Joseph, CEC, Gwinnett Co.

PUTTING KNOWLEDGE TO WORK

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Appendix G



Cooperative Extension

Circle for Year Relations

161 W. Municipal Avenue, Suite 1001
 Milwaukee, Wisconsin 53233-1001
 414-224-7100
 414-224-7102 fax
 800-947-2520 TDD
 jvasquez@ces.uwex.edu

January 26, 2001

Ray W. Burden, Jr.
 County Extension Leader
 Hamilton County
 6183 Adamson Circle
 Chattanooga, TN 37416

Dear Ray:

On behalf of Dr. Carl O'Connor, Dean/Director, UW-Extension/Cooperative Extension I would like to inform you that your request to include the Waukesha County Extension office in your dissertation study is granted. We are honored and please that Waukesha County has been selected.

I have contacted Ms. Marcia Jante, Director Waukesha County Extension, and she has expressed her enthusiastic interest in having the county extension office participate in your study. Please proceed to contact Marcia directly to make your arrangements for a site visit and any other arrangements that need to be made. You may contact Marcia at the follow address.

Marcia Jante
 Director
 Waukesha County Extension
 1320 Hewaukee Road, G-22
 Waukesha, WI 53188

262-548-7770 voice
 262-548-7787 fax
MARCIA.JANTE@CES.UWEX.EDU

I wish you the best in your dissertation work. Please let me know if there is any further assistance you may need from my office.

Sincerely,

José F. Vasquez
 Director - Urban Relations

cc: Marcia Jante

Appendix H**Introductory letter to County Extension Directors/Coordinators**

Dear _____,

I am currently a County Extension Leader with the University of Tennessee Agricultural Extension Service, enrolled in the Doctor of Education - Leadership Studies in Higher Education program of study at the University of Tennessee. My dissertation topic, *The Rural-Urban Interface: Challenges for the Extension Service*, will be case studies of two county Extension Services that have successfully undergone the transition from a rural/agricultural emphasis to an urban/suburban emphasis. As I have contacted various Extension administrators across the United States, _____ county has been repeatedly suggested as having made this transition in an exemplary manner.

I would like to request your permission to arrange for an on-site visit to _____ county. The visit will be necessary to conduct interviews and review documents pertaining to the Extension Service's response to the transition by _____ county.

The on-site visit and document review will take approximately three to five days. During this time, I will need to interview three to five Extension staff that were present in _____ county during the time period of the transition. I will also need to have access to any documents (such as annual reports, news articles, annual plans of work, and other related information) and receive permission to copy these documents for possible inclusion in my final research paper. Additionally, it is my intention to interview one to three non-Extension individuals from _____ county who might have

additional insights into the transition process. These individuals will include county government officials, local education personnel and key stakeholders. I will provide all participants with an introductory letter and an informed consent letter prior to conducting any interviews.

I realize that Extension offices are busy and time is always at a premium. Certainly _____ county is no exception. However, the results from an empirical study such as I have proposed, may well offer much needed insights into a transition process that is challenging under the best of conditions. In this regard, I fully intend to share the results of my case studies with all parties concerned.

I look forward to working with you and the _____ County Extension Service. I will contact you by telephone in the near future to answer any questions you may have concerning my proposed research project.

Sincerely,

Ray W. Burden, Jr.

County Extension Leader

Appendix I**Introductory Letter to Interviewees**

Dear _____,

I am currently a County Extension Leader with the University of Tennessee Agricultural Extension Service, enrolled in the Doctor of Education - Leadership Studies in Higher Education program of study at the University of Tennessee. My dissertation topic, *The Rural-Urban Interface: Challenges for the Extension Service*, will be case studies of two county Extension Services that have successfully undergone the transition from a rural/agricultural emphasis to an urban/suburban emphasis. As I have contacted various Extension administrators across the United States, _____ county has been repeatedly suggested as having made this transition in an exemplary manner.

I would like to request your permission to arrange for an interview. The interviews will pertain to your recollection and insights into the Extension Service's response to the transition by _____ county.

The on-site visit will take approximately three to five days. During this time, I will need to interview three to five Extension staff that were present in _____ county during the time period of the transition. The interviews will take one to three hours per individual and will be tape recorded. I am enclosing a separate informed consent letter which is designed to provide you with protections as a subject in a research project. I have also enclosed a self-addressed, stamped envelope for you to return the signed consent form.

I realize that Extension offices are busy and time is always at a premium. Certainly _____ county is no exception. However, the results from an empirical study such as I have proposed, may well offer much needed insights into a transition process that is challenging under the best of conditions. In this regard, I fully intend to share the results of my case studies with all parties concerned.

I look forward to working with you and the _____ County Extension Service. I will contact you by telephone in the near future to answer any questions you may have concerning my proposed research project.

Sincerely,

Ray W. Burden, Jr.
County Extension Leader
Hamilton County

Appendix J
Informed Consent Letter

Dear _____,

You are invited to participate in a research study that is designed to detail the process whereby two county Extension Services successfully made the transition from rural/agricultural to urban/suburban.

As part of my doctoral dissertation research, it is my intention to conduct on-site interviews of county, district and state Extension personnel (three to five individuals if possible) who were involved in the transition of _____ county from rural/agricultural demographics to more urban/suburban demographics. I anticipate that I will need to spend one to two hours with you for the initial interview. I would also request that I have the option to spend additional time for clarification of information and any further questions that might arise during the interview process. I will tape all interviews as well as take notes during the interview sessions.

It is my intention to use the information gained via interviews and document review to provide useful insights into the successful change process in which _____ county was involved. The information thus gathered will provide other county Extension Services undergoing (or anticipating) a similar change with valuable tools that may apply to their situation.

The information in the study records will be kept confidential. Data will be stored securely and will be made available only to persons conducting the study unless you specifically give permission in writing to do otherwise. Due to the selective nature of this study, it may prove difficult to insure complete anonymity of interviewees. However, you do have the option to have all your comments remain anonymous. If so, I will take all necessary precautions to maintain your confidentiality.

If you have questions at any time about the study or the procedures, (or you experience adverse effects as a result of participating in this study,) you may contact me, Ray Burden, at 6183 Adamson Circle, Chattanooga, TN 37416 or by calling (423)855-6113.

If you have questions about your rights as a participant, contact the Research Compliance Services Section of the Office of Research at the University of Tennessee at (865) 974-3466.

(Participants Initials)

PARTICIPATION

Your participation in this study is voluntary; you may decline to participate without penalty. If you decide to participate, you may withdraw from the study at anytime without penalty and without loss of benefits to which you are otherwise entitled. If you withdraw from the study before data collection is completed, your data will be returned to you or destroyed.

CONSENT

I have read the above information and agree to participate in this study. I have received a copy of this form.

Participant's name (print) _____

Participant's signature _____

Date _____

Sincerely,

Ray W. Burden, Jr., County Extension Leader

University of Tennessee Agricultural Extension Service, Hamilton County

VITA

Ray W. Burden, Jr. was born on January 27, 1952, in Atlanta, Georgia. He attended public schools in metropolitan Atlanta where he graduated in 1970. After attending Georgia State University in Atlanta for two years, he joined the U. S. Naval Reserves in 1972 and served on active duty until 1974. He graduated from the University of Georgia in 1977 with a Bachelor Degree in Science – Agriculture. Between 1978 and 1996, he worked for the Georgia Extension Service, owned and operated a farm supply business and managed a dairy. In 1988, he received a Master in Public Administration degree from West Georgia College (now called the State University of West Georgia). In May of 1996, he accepted a position with the University of Tennessee Agricultural Extension Service where he is currently the County Extension Director for Hamilton county.

