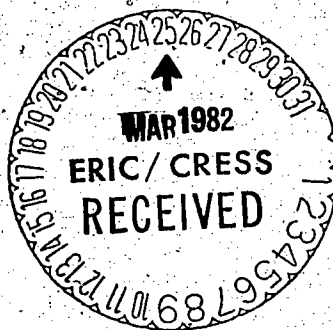ABSTRACT
        To help increase leader effectiveness in planning and
implementing local action projects, the booklet presents discussion
and examples of the nature and characteristics of planned community
action leading to community development. The booklet first explains
why leaders should be involved with community action and then gives
abstracts of seven successful community action projects in small New
York towns. The projects described include the establishment of a
medical clinic, senior citizens' housing, a 3-part complex for health
and day care and senior citizen housing, an arts center, and a
community library, and the organization of a local festival. The
booklet explains the characteristics of community action, noting
three key elements: the actors, the associations, and the action
process itself. The booklet then provides a comprehensive analysis of
developing and operating an action project using a model in five
stages: project environment and background to action, initiation of
action, expansion of the action system, operation of the action
system, and ending or reorganization of the action system. The
booklet concludes with information about how to apply the model and
with a worksheet for each of the five stages. (SB)

Leaders' Guide to Community Action

by
James C. Preston and Katherine B. Halton

Miscellaneous
Bulletin
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Ithaca, New York.

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CONTENTS

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INTRODUCTION

Community action involves nearly everyone at one time or another. The purpose of this leaders' guide is to help increase leader effectiveness in planning and implementing local action projects by discussing and providing examples of the nature and character- istics of planned community action leading to community development.

Perhaps you have a question about becoming involved. Questions often raised by local people are, Why be concerned? What is distinctive about community action? What has been the experience of others undertaking community action? What is involved in the development of an action system? These questions are answered in the following sections of the guide.

This guide reviews community action research and summarizes over 2 years of studying action projects. The authors visited seven New York State commu- nities to study and report on individual community action projects, (*Rural Community Action: A Series of Case Studies of Action Projects in Small New York State Communities, Cornell Mis- cellaneous Bulletin 116, in press*). These communities varied in size from a small rural village of about 1,000 people to a city and surrounding area affected by the problems of over 8,000 people. In the studies community was defined as a village, town, or small city or any combination of such units in a predominantly rural area. County, region, or state action projects were excluded.

The seven projects studied were the following:

Establishment of a Medical Clinic in Woodhull, New York

Housing for Senior Citizens in Sher- burne, New York

Housing for Senior Citizens, Child Development Center, Health Care Cen- ter, and Nursing Home Facilities in Groton, New York

Economic Development through the Greater Malone Community Council and the Ballard Mill Center for the Arts in Malone, New York

The Central New York Maple Festival in Marathon, New York

Transformation of a School Building into Rental Housing for Senior Citizens in Sinclairville, New York

One Part of a Community's Attempt at Economic and Social Turnabout: The Library Project in Salamanca, New York

Even though each community has its own particular culture and set of eco- nomic, social, political, and physical characteristics, some general principles of leadership and organization emerge from the action process at the local level. These characteristics and pat- terns of community action projects pro- vide the focus and examples for the remainder of the guide.

The authors studied only successful community action projects. Unsuccess- ful community action experiences and the many lessons to be learned from them were not a part of this study. However, our findings appear to be consistent with the literature treating unsuccessful as well as successful actions in other settings.

We turn first to the question, Why be concerned? A more searching review of the characteristics of community action and brief abstracts of the case studies follow. The case studies are incorporated in a thorough review of the development of the action system.

WHY BE CONCERNED WITH COMMUNITY ACTION?

There is perhaps no means by which the people living in America's small communities could make a more worthwhile contribution to themselves and to the stability and welfare of our nation, than through a concerned effort to improve and strengthen their own communities.[1]

That statement was made in 1950. Today, there is increased emphasis on decentralization of government action with increased focus on decisions and action at the local level. As noted by another author writing in 1980:

With the level of monetary public resources going down both on the local and national levels, and showing no signs of an upswing in the forseeable future, human resources must be tapped if local development is to continue. The action perspective provides us with a methodology to identify available resources.[2]

Community Change

A number of theories deal with change occurring in communities throughout the United States. Roland Warren, in *The Community in America*, discusses the "Great Change."[3] By that term, he means, among other things, the increasing orientation of the various segments of a community (the schools, businesses, organizations, etc.) toward systems, institutions, or agencies outside the community, either state, national, or international. A local chain-store whose policies and employment practices as well as existence are determined by the parent company in another community some distance away illustrates this notion. Although there are obvious benefits to this kind of structural arrangement, this outward-directed orientation, involving a shift in the center of decision-making, results in the community itself losing cohesion and autonomy.

MacDonald Medical Clinic in Woodhull

MACDONALD MEDICAL CLINIC
HRS.
10:00 TO 5:00
EXCEPT SAT, SUN.

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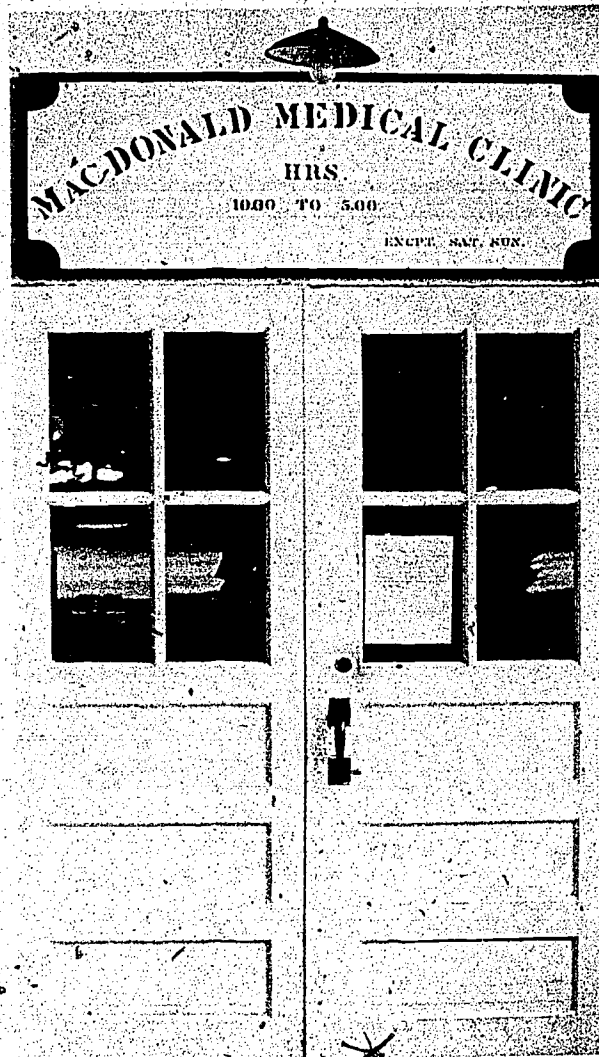
Warren argues that the "Great Change" works to strengthen the vertical relationships between local units and the state and federal centers while it weakens the horizontal relationships among the local units. He concludes that community action has the opposite result.

During the 1970s the rate of population growth between urban and rural areas shifted. Population growth in much of the rural areas increased at a higher rate than in urban areas for the first time in decades.[4] As a result, many small communities are experiencing problems associated with managing population growth. These rapid changes occurring in American communities increase the need for cooperation, coordination, planning, and action at the local level. "The choice is not one of stability or change. It is rather that of planned or haphazard change."[5]

A further question regarding this change is, "Who does the changing?" It can be either the local community members or outsiders, independently or in partnership or both. One author clearly argues, "People have the opportunity to either effect change or be affected by it."[6]

Leaders in small communities have successfully slowed or stabilized the process of decline. In many cases they have raised the quality of public service. Basic goals of community action may therefore be—
- to manage, if not halt, decline in a creative way;
- to take advantage of opportunities rather than to wait for a problem to develop;
- to develop the ability of local people to take action;
- to create a cooperative community that works for mutual benefit.[7]

An awareness and understanding of the various programs available to small communities are not always possible. Yet once action begins, opportunities
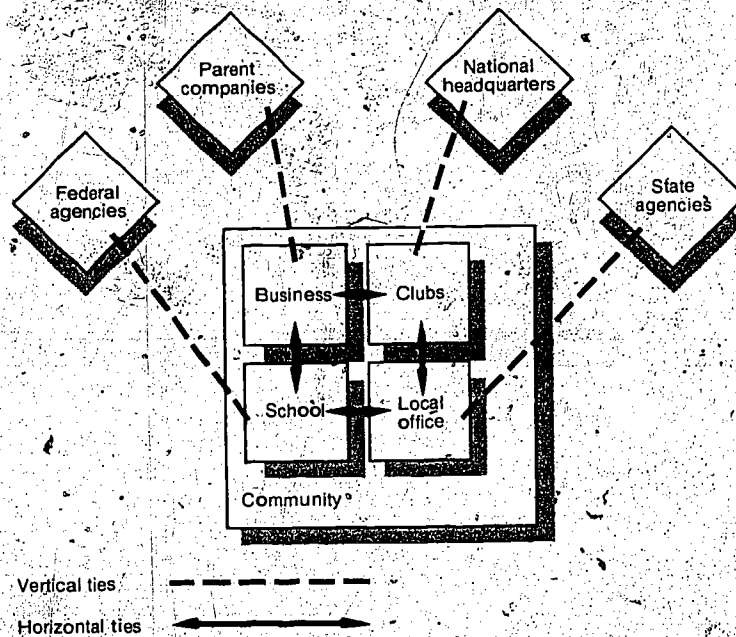
Figure 1 The local community—vertical and horizontal ties

Vertical ties – – – – –
Horizontal ties ←——→

increase through reaching out for information or advice beyond the locality.

A positive vision of the kind of community that can occur as a result of community action and coordination is the following:

In a community where there is a vigorous community life...there is a spirit of local pride, an interpersonal network of relationships, that make it possible for the people who live there to act with unity and resolution. There is a pervading climate of civic vitality that makes cooperation the

rule—not the exception, enough organizational machinery to provide open access to decision making, enough acceptance of differences to allow for healthy debate, and enough active friendship, mutual respect, and internal cohesiveness to maintain the community's integrity as an organic whole. There is a pattern of living that makes it possible for all local residents to feel—in fact to be—important.[8]

Is this type of community worth working toward in your case?

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WHAT ARE SOME EXAMPLES OF SUCCESSFUL COMMUNITY ACTION PROJECTS?

We like to take advantage of the experience of others in the arena of community action. Whether or not you have been involved with a community action project, the possibility exists for learning from the experience of others, something new about the action process, the problems encountered, and the means to complete a community action project, to enable you to improve your situation.

Many excellent community action projects have been and are being conducted throughout New York State. However, there have been few serious attempts to study such projects for basic principles of leadership, community organization, and action processes that might be shared with leaders in other communities. The following studies were undertaken with this in mind.

Abstracts of the seven action projects studied as part of the research conducted in preparation for this guide follow. Many of the elements and specific characteristics of community action projects to be outlined in detail in the following sections are illustrated here. Findings from these projects are incorporated in the discussion of the development of an action system found in the last section of the guide. We encourage you to acquire and read the composite case-study report previously referenced for full details.

A. Woodhull - Medical Clinic

This project involved the establishment of the Fayette D. MacDonald Medical Clinic in Woodhull, New York. The people in this rural community were faced with the impending loss of local physician services. Members of the local Civic Club initiated action and later broadened participation to include local business people, church leaders, Grange members, and fraternal and volunteer organizational members. At the start, a small local group obtained the advice from the Sears Roebuck Foundation (under their then existing Community Medical Assistance Plan), which enabled them to do a medical-economic survey of their area.

Eventually, a not-for-profit corporation was formed and fund-raising efforts began in the local service area. Following several contacts, it became obvious that they were not going to be able to obtain a commitment from a doctor to locate in the community. This brought about a change in strategy whereby they sought the establishment of a medical clinic serviced from outside the community. From a private practice based outside the Woodhull area, they obtained two part-time doctors and one full-time nurse practitioner to serve a medical clinic.

As the project progressed, the Mac-Donald Guild was formed locally to raise money and to assist with the development and eventual operation of the clinic. The site chosen for the clinic was one wing of the town hall, formerly a school building. The facilities were remodeled with part of the money originally secured from local fund-raising efforts. The clinic was opened in March 1974 and continues to serve the community at the present time.


Woodhull Town Hall, site of MacDonald Medical Clinic

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B. Sherburne - Senior Citizens' Housing

Chenango County is a predominantly rural county, and the early impetus for action in this study came from organizations at the county level—Cooperative Extension and the County Planning Board. They were primarily responding to a housing shortage for low-income and elderly people, and in 1972 formed the Housing Council of Chenango County. Various county agencies were contacted and brought into the council, such as the Public Health Department, Farmers Home Administration, and Head-Start. As the action continued and more people became involved, a not-for-profit corporation was formed called the Chenango Housing Improvement Program, Inc. (CHIP).

Working primarily through the Sherburne senior citizens" group known as the Sixty-Plus Dinner Club, CHIP achieved local acceptance of the project. Using FmHA funds and HUD rent subsidy, CHIP began plans to build a senior citizens' housing complex in Sherburne. The Sherburne Sixty-Plus Site Council was later organized to manage the application and leasing arrangements. Cooperation from the village and town came in the form of tax arrangements that benefited the council and the project. In 1977, a loan from FmHA was approved, and construction began, resulting in two four-unit, low-income senior citizens' housing structures. A definite change in the relationships between a county level organization and Sherburne resulted from this action, which may have further effects on the community in days to come through increased inter-agency communications and trust.
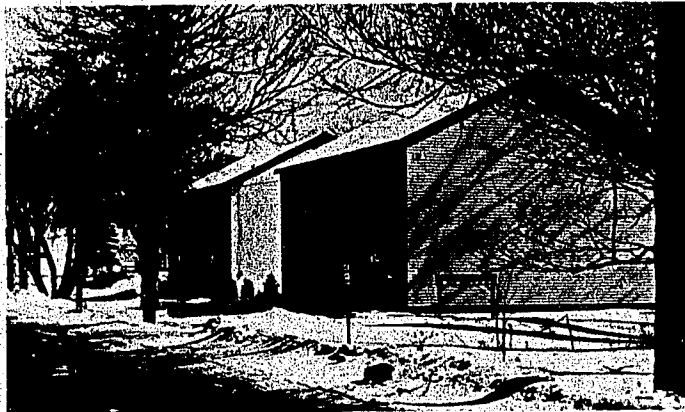
C. Groton - Three-Part Complex

Community action in Groton initially involved three separate projects directed toward providing day care for children, improved health services for the community, and nursing and housing facilities for senior citizens. Several people involved in the different projects decided that a single organization was needed to coordinate the development in its entirety. An "umbrella group" was organized to oversee what was to become a multimillion-dollar three-part complex consisting of a Child Development Center, a Community Health Care Center, and the Center Village Court, consisting of 40 one-bedroom apartments (later expanded to 60 units) for senior citizens. The idea of adding a nursing home to the complex was under consideration at the time the case study was conducted.

Strong project leadership and community awareness and involvement proved to be essential for an effort of this magnitude. Community contributions through fund drives and "in kind" donations of land and resources were coupled with special program grants and loans from a variety of outside sources including the Appalachia Program, federal health assistance, and the Farmers Home Administration of the U.S. Department of Agriculture. Throughout the 10 years of the project, local leaders maintained a positive "can do" attitude in spite of confronting numerous obstacles to funding and other problems along the way.

5   8

D. Malone - Community Council and Ballard Mill Center for the Arts

Malone is located in Franklin County in northern New York State. The area has a relatively high unemployment rate and a high proportion of families living below the poverty line. Efforts had been made to attract industry and to increase human services to meet the needs of the community. One such effort was initiated in 1975 by the creation of the Greater Malone Community Council, containing members representing 40 different local organizations. The initiation of community action involving arts and crafts occurred with the receipt of three New York State Council for the Arts grants to seek out a site for a community theatre. Eventually ideas formed about restoring an old, unused textile mill building and housing a community theatre and arts center in it.

The Ballard Mill Commission, formed by the community council, negotiated to buy the land and the mill building. After a loan from the Kresge Foundation, restoration efforts began and a vast local fund-raising campaign was carried on in the form of subscriptions to the art center. As restoration was completed in separate parts of the mill building, a community college crafts program moved into the third floor. This was followed by a Mohawk crafts guild from a nearby Indian reservation and the community theatre, and later by individual craftspersons renting single spaces, which they restored. The mill also contained an old hydropower system, which was rebuilt to make the arts and crafts center energy self-sufficient. The result after years of work and community involvement is the Ballard Mill Center for the Arts.

E. Marathon - Maple Festival

Marathon is a "bedroom community" for several middle-sized cities in central New York State. In recent years local business and economy in general have declined. A variety of groups made efforts for improvement in the community and looked for an idea to help sustain or revitalize the village. A maple festival appealed to many active community members, who met as an informal Festival Committee to make sure that it actually came about. Later the organization incorporated into the Central New York Maple Festival Association, Inc. Leadership included association officers and a variety of committee work-group chairpersons, who planned and supervised the preparations for the annual festival event.

The festival is significant primarily because of the amount of community participation involved and the successful way festival leaders have drawn existing community groups into the preparations and festival problems, like traffic control and food preparation. The festival proceeds are returned to the community in the form of donations to groups, the purchase of land, and the construction of a civic center for use by the community, among other things.

One important result is the realization that the small size of this community is not a drawback but a benefit in this kind of independent development effort.
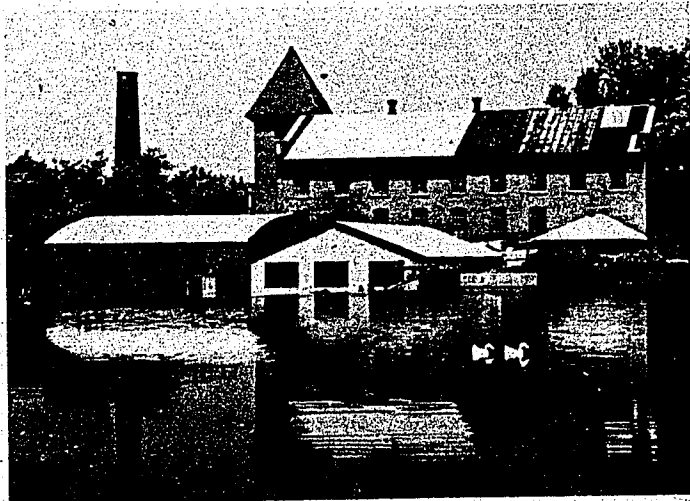
Ballard Mill in Malone.
Photographs by Rick Auger.

Maple Festival in
Marathon

F. Sinclairville - Senior Citizens' Housing

A group of people met with the County Office for the Aging representatives in 1976 in an informal way to discuss the housing needs of the elderly in their community. Their survey of area households convinced them of the serious need for low-income senior citizen housing. In the fall of that year, this group formed a not-for-profit corporation, expanded their membership, and later that year found an unused school building that could be remodeled into apartments. The following year they hired a professional developer, who bought the building from the group and was responsible for its actual renovation.

The Sinclairville group was advised and guided in its work by various county agencies for the elderly and housing. The entire project took 4 years to complete and was funded, for the most part, by a loan from the Farmers Home Administration. The community action project represents a pooling of local community and outside resources and the cooperation and involvement of local government and institutions.

G. Salamanca - Community Library

Salamanca, New York, is a city of approximately 7,000 people located in southwestern New York State. This community has several very active community organizations, which are involved in a broad range of community actions and efforts. The crisis point for this city came in 1976 when several local industries were forced to close plants. Out of this crisis emerged two organizations concerning themselves with economic industrial development and community improvement. Then, an informal group began a project to convert an empty grocery store building into a new community library. They raised funds within the local area, invented new and dramatic publicity schemes, and mobilized the community into support and awareness of the nearly year-long construction project.

In the spring of 1977, the new library opened and has serviced the community ever since, both as a public library and as an example of the ability of Salamanca residents to work successfully together for their own good.

The project was completed with almost no outside funding and was organized by an ad hoc group of people who were able to pull into action members of the community with a large variety of skills and expertise. This group has since completed other successful projects that benefit the residents of Salamanca.

The next section of the guide gives a more-detailed study of the key elements and characteristics of community action projects to help you analyze and work through plans for the development and implementation of a local project.

Senior citizens' housing in Sinclairville

Community library in Salamanca

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WHAT CHARACTERIZES COMMUNITY ACTION?

How can community action be distinguished from other kinds of action? One way is to identify the characteristics of community action to help you gain an overall perspective of the action being undertaken. It also makes it possible to evaluate the appropriateness of the community action approach in light of the desired change.

"The mere fact that an event or activity occurs in a specific locality does not mean that it is an integral part of community life."[9] There are actions that involve many people in a particular place, but have no ongoing connection with the locality in which they occur, such as a national convention. What then is community action?

Community Identity

A community is partially defined by its geographical and governmental location; thus, community action must have some reference to the place in which it is being carried out. As previously noted, in New York state this may be a particular town, village, city, or combination of such minor civil divisions. Even so, an action project rarely directly involves the community as a whole, but rather one segment of it.

Elements of Community Action

Key elements basic to every community action project are—

Actors, the leaders and participants in the action process;

Associations, groups or institutions, within and outside the community, relevant to the action and the interests they express;

Action, the process itself, the type of planned change that occurs.[10]

How are these elements transferred into community action?

Actors

1. Leaders of Action

Leaders in a community action project are those who can initiate action and help maintain the organization that has been formed. They exert influence to keep people working toward a collective goal.

a) Those leaders involved with or sought after to become a member of the community-action initiating group in the cooperative approach are—

(1) those who have prestige and respect in the community or have access to people with prestige and power;

(2) those who have knowledge of the community's social and cultural background, especially its dominant values;

(3) those who know specifically about the action they are seeking to initiate; and

(4) those who are recognized by local residents as persons who represent the interest of the community.[11]

b) Many community action leaders also have positions in organizations in their communities. These leaders may be of two types:

Generalized, those who contribute prominently to two or more interests in the locality such as government and education, and

Specialized, those with a high proficiency in only one area such as health.[12]

Smaller communities may depend more upon general-type leaders than do larger communities.

2. Involvement

A central concern of society today is for increased involvement or participation by local people in public affairs. Community projects by definition are open to all who wish to participate and especially to those to be affected by the action. However, in reality it is more likely that only a minority of the population will be active in an action at any given time.[13] With this in mind, participation by others might be enhanced by involving people in short, specific undertakings using talents that are not readily available elsewhere and would not be available to the project on a continuing basis.[14]

What motivates people in a community to involve themselves in community action? Several ideas have been put forth. One aspect of motivation is the strong sense of identification that people in a community have with each other, so that they see themselves affected by what happens to others. Another aspect of motivation is what one writer calls "the interdependency of self-interests," whereby people in a locality see their lives enhanced or threatened by the same things and thus may act together.[15]

Associations

1. Organization

The need for individuals and groups to act together calls for the establishment of a special action system within the community. In some instances, the action may be directed toward assisting an existing organization; however, a separate organization will be needed for this assistance.

Once the initial action system is in place, it becomes necessary to establish relationships with others within or outside the community or both.

The important question is, What additional associations beyond the initial action systems are necessary for the project to be successful? and Why? Associations are needed with different individuals and groups—

- to gain support for the action system,
- to sustain the action system,
- to help carry out the necessary functions of the action system.

Associations are established with individuals and groups on the basis of

what is expected from them during the operation of the action system or after completion of the project.[16]

Action
1. Action Orientation
- Principal actors and beneficiaries are local residents.
- Goals of the action represent the interest of local residents.
- Action is public as opposed to private in that beneficiaries include persons in addition to the actors.[17]
- A problem-solving orientation is usual.
- Volunteer participation of individuals and groups is common.
- A democratic approach is used, including open participation by those who are expected to be affected by the action.[18]
- Planned change toward some agreed-upon goal, to either make or block change, is the focus.[19]

2. Action strategy
Community action tends to be collaborative in its methods, there being a high degree of cooperation and working together among its participants. The idea of people, organizations, and institutions working together in a coordinated way is basic to this type of action process.

Although this guide is directed primarily toward the use of cooperation and consensus, community action may occur through the deliberate use of conflict strategy. In this instance, two action systems concerned with the same problem must be involved, at a minimum, before the issue can be resolved. Conflict refers to the interaction of two or more groups engaged in thwarting each other's purposes.[20]

3. Types of Activity
There are two types of activity present in an action system:
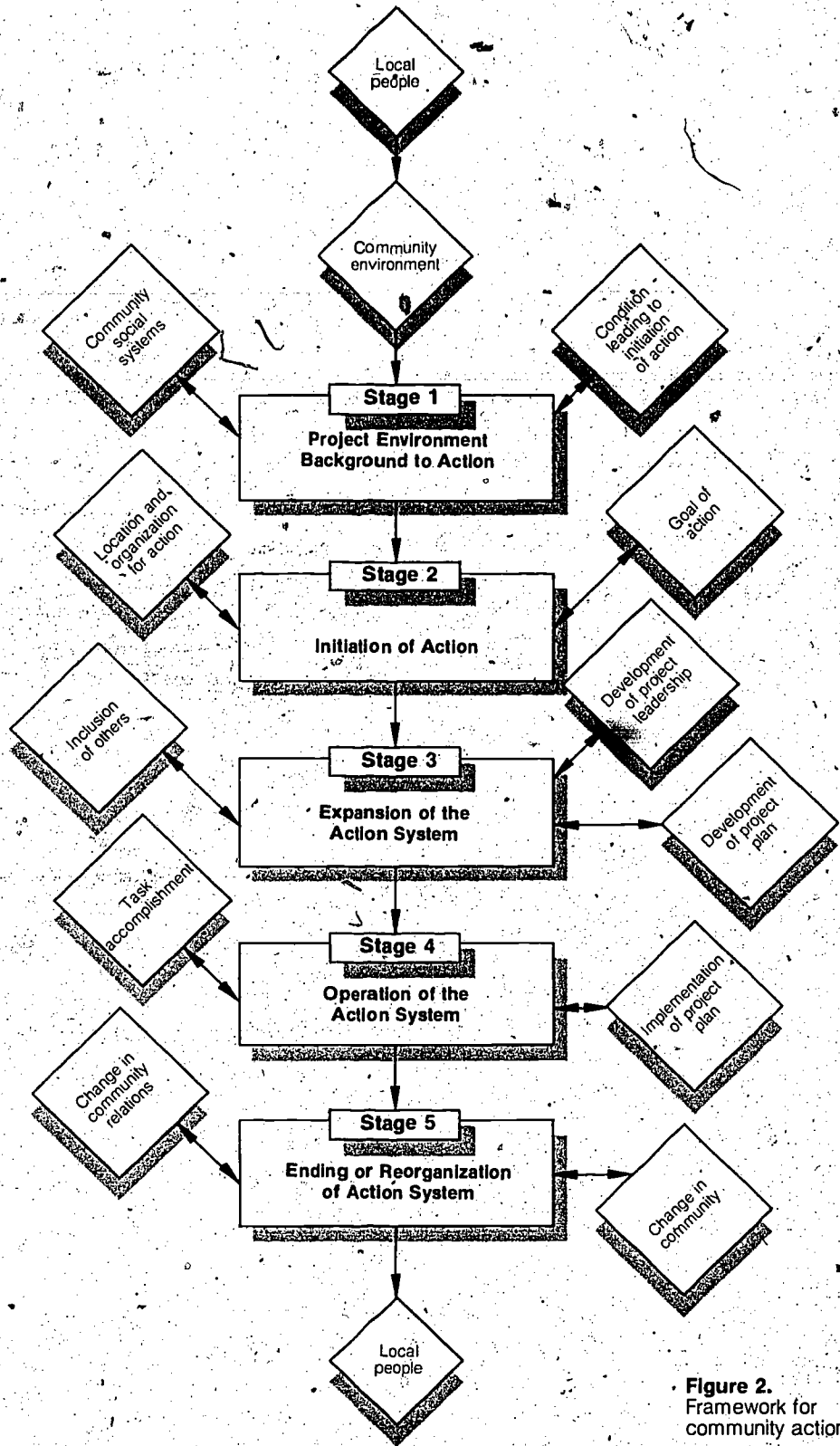- Task accomplishment and
- Maintenance of the action system.[21]

Figure 2.
Framework for community action

In task accomplishment, people work to achieve a specific and often tangible, goal, such as the construction of housing for senior citizens. At the same time they also have to spend time and energy toward maintaining the action system (action organization) to enable them to attain that goal. Both are equally important if community action is to occur.

4. Action Process

One may view community action as the process by which action occurs. Most frequently the action process is thought of in terms of phases or stages through which any particular action evolves. For the purpose of our studies and for this guide we have adopted Warren's five-stage model of the community action process.[22] A brief outline of the model here will suffice since it will be used more extensively later on in the guide (see fig. 2).

Five-Stage Process Model:

Stage 1. Project Environment/Background to Action
In what ways does the existing community environment create a favorable situation for the inception of a particular action system?
What patterns of community action or inaction exist in the community relevant to the new community action being proposed?

Stage 2. Initiation of Action
Where will the action system be located?
What is to be accomplished as a result of the community action?
Which elements of the community must be involved to assure this accomplishment?

Stage 3. Expansion of the Action System
For what purpose are additional individuals or groups to be brought into the action system? Almost by definition, the

type of action that any particular action system is capable of accomplishing unaided is not a community action.

Stage 4. Operation of the Action System
How is the particular project to be completed? In most cases, this stage is where the major activity of the project, involving a number of people and groups, occurs.

Stage 5. Ending or Reorganization of the Action System
After the action project is terminated, what is left? The action system may dissolve. It may need to be transformed into a future action system. Or it may result in restructuring the informal aspects of the community, making possible more effective collaborative efforts in the future. Increased local leadership experience and ability are a direct spin-off of such projects.
Although outlined here as sequential stages, in actuality the action process may be less neat or some stages may be simultaneous in a particular community action.

5. Variations
Finally, community actions vary greatly. Organizational sponsorship, for example, can be a result of some federal agency program pursued by a small community, or it can be the result of a small community group that wishes to make some community improvement, such as creating a baseball park. Some actions are sponsored by local governments, and some occur completely outside those institutions. Actions differ as to the scope of financial commitment, from those that involve hundreds of thousands of dollars to those that involve little money. As previously noted, actions are also distinguished by how many and who participate in them. Some actions involve all local volunteers, whereas others include a paid professional staff. Some actions necessitate a formal,

structured organization to carry out the plan for the project, whereas some only require an informal and loose structure. The amount of time required to complete the action varies greatly among projects.
As noted, there are key elements and a number of distinguishing characteristics associated with community action. These elements and characteristics of community action are observable in the next section of the guide as we study the development of an action system.

WHAT DOES DEVELOPMENT OF A COMMUNITY ACTION SYSTEM INVOLVE?

Up to this point in the guide, you have had the opportunity to consider the question of why be concerned, to review summaries of successful projects, and to study the elements and characteristics of action projects. We turn next to a more comprehensive analysis of developing and operating an action project. Although no two community action projects are exactly alike, there is, nonetheless, a general pattern that projects follow. For the purpose of this part of the guide, we return to our adaptation of Warren's five-stage model of community action previously outlined (fig. 2), together with patterns found to exist in the case studies just cited, to identify important aspects in the development of an action system. The five stages of community action follow:

Stage 1 - Project Environment/ Background to Action

Stage 2 - Initiation of Action

Stage 3 - Expansion of the Action System

Stage 4 - Operation of the Action System

Stage 5 - Ending or Reorganization of the Action System

Development of a Community Action System
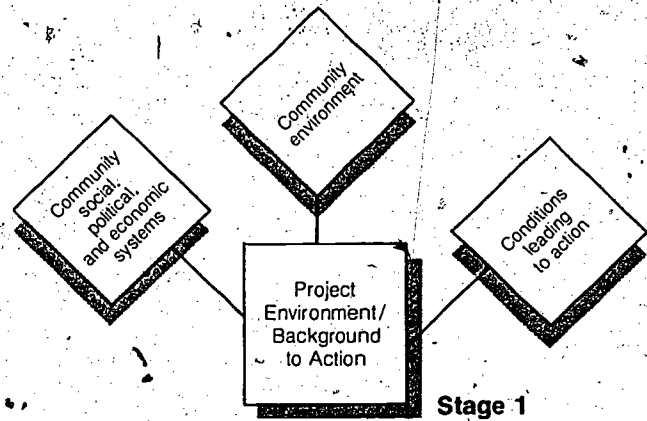
Stage 1

Stage 1. Project Environment/ Background to Action

At the initial stage of action, the concern is with understanding the existing community, before a project action system has been developed. Which conditions in the community favor action, and which oppose it? Should action be initiated? For example, there may be a tradition of concerted group action that helps to make it easier to begin a new project. There may be groups within the community that have consistently responded to needs expressed by community members. On the other hand, experiencing a long period of serious economic decline and loss of population and social services may produce an overwhelming sense that nothing can be done to change or improve the situation.

It is important to understand how needs are expressed and acted upon in the community. How was previous action begun? Who initiated other projects? Each community has its own set of needs that it has to deal with and opportunities that it wants to respond to. Before initiating action, people considering a specific community action

project may need to obtain information about population, resources, business, industry, social services, recreation, taxes, and government. These data about their community will enable them to more clearly see where and how a project might fit. Another method is to survey people in the local community to ascertain what they perceive to be their needs. Often both methods are used.

In one community, Malone, the formation of a community council, in a village of approximately 8,000, necessitated a survey of what council members and others perceived as the most pressing problems facing that community. Following the survey, the problems were listed, discussed, and assigned to committees for action. In another community, Sinclairville, a group concerned about housing for the elderly in their area completed a door-to-door survey of every household to assess the need for such housing. This type of survey is project specific in its focus and can be used to assess the need for a particular concern. It is relatively accurate and timely.

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Stage 2. Initiation of Action.

The second stage involves the beginning of action within the existing community. Two or three people may meet at someone's home, on an ad hoc organizational basis, to discuss a potential need or opportunity that they feel should be acted upon, or a community organization representative may meet with the town board to bring up a project they would like to see accomplished, or a local senior citizens group may plan to begin a project in their community.

However the effort is started, the principal task at the initiation stage of action is to define the goal or outcome desired and to determine who in the community must be involved to assure its accomplishment.

In some community action projects the goal is spelled out, for example, to build a new community library. From that goal, it becomes clear who needs to be contacted and made aware of or involved in the project for it to be a success. In other types of projects, the goal is less defined. For example, in Marathon the goal was stated as "community improvement." The means to that end in this case was an annual maple festival, which would generate income that could be used to build a civic center and to create other general community benefits.

The group of people that meets together at the outset of an action project can be referred to as an "initiation set." This group is most often a small one, from 2 to 10 people. In the seven communities studied, it usually consisted of people who have had some local leadership experience, whether it be through their work, their organizational membership, or their institutional positions. These people in the initiation set also tend to have access to others through the same means.

In Sinclairville one of the leading initiators of a project to build low-

income housing for senior citizens was a grants administrator for the local school district. Through her job she had experience in grant applications and access to the school board members, who were responsible for selling the building that later became the housing unit.

The few people who form the initiation set generally become the leaders of the action project. It may be that they are more concerned with the outcome or more experience in community action or more involved and able to take responsibility in their community.

The initiation set may operate informally, but more than likely, the group will need to organize into a formal committee with officers or even on some more legally constituted basis. As will be noted, this latter organizational approach may logically occur in the next stage as the project expands.

Contrary to conventional notions, the initiation for an action project does not need to come from within the local community. If it comes from an outside source, however, it must be in tune with the community's aims and experience. It must be accepted by those responsible for its implementation locally. In the seven case studies, we found two instances where some form of initiation came from agencies at the county level. In both instances the community's needs and goals corresponded to the county's project aims and goals.

In the Sherburne project, the Chenango Housing Improvement Program had the general aim of improving low-income housing throughout the county. Sherburne was identified as a possible site for such housing. Following contact at the local community level, the focus became one of housing for low-income elderly. In this case, the outside agency's goal was slightly transformed to fit the local community's goal and need. In another case study regarding elderly
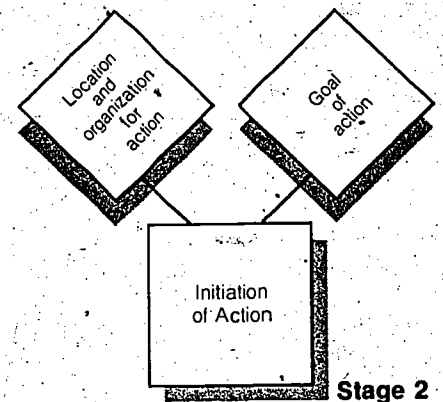
low-income housing, the County Office for the Aging was responsible for the initial impulse to begin action. In each case, the local community acted in a way to fulfill its own aspirations and to respond to its own problems.

Initiation
of Action

Stage 2

Stage 3. Expansion of the Action System

The third stage of the model is the expansion of the action system, wherein more people, groups, and institutions are included. It is expanded according to what is expected from different individuals and groups later on. For example, in one community a local group with a history of community service was involved as a sponsor of the project. In addition, various businesses were involved in specific publicity events as this same project continued.

One important group of people to involve in the action process are those most affected by the outcome of the project. In the project referred to previously regarding low-income senior-citizen housing, many elderly people became involved in the survey and needs assessment stage of the action and remained involved throughout and after completion of the project.

When the action expands to include more people, another part of the community to be drawn into either involvement with or general acceptance of the project are local leaders from business and other sectors particuarly important to the long-term survival of the project. These leaders have a great influence on what occurs in the community and can affect the outcome of a project by supporting it or by creating barriers to its successful completion. Generally, they are almost automatically involved, since they often figure so prominently in community affairs. In the seven communities studied, there was one where it was noted that several prominent and powerful leaders were either not consulted or avoided. The resulting alienation may affect the long-term outcome of the action project. For example, a local leader in business may not seem like a necessary element in the specific action project; but if that person is also a leader in some institution involved with the project, it
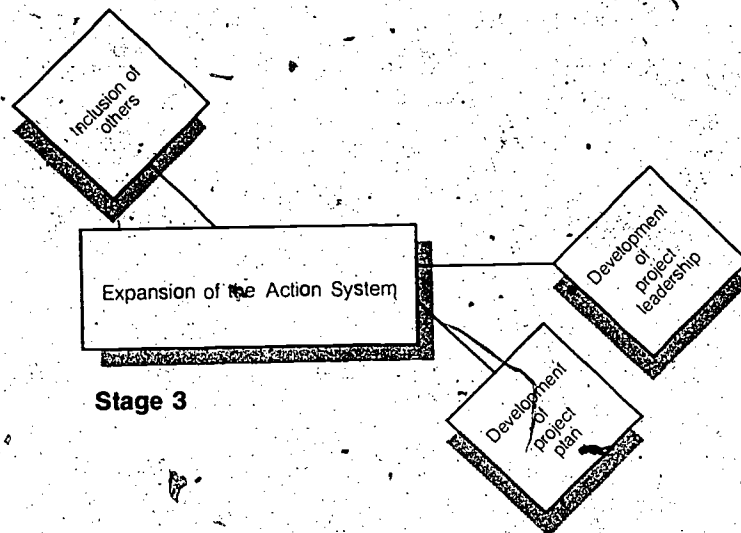
may be crucial to at least try to obtain that person's support.

The leadership at this third stage of a community action project may expand beyond the initiation se most cases some kind of orga has been formed, more formal in nature than before, and the leaders or officers may be elected from among the members of the organization. One common situation is the formation of a not-for-profit corporation, which must have formally elected officers to be chartered.

The organization created to accomplish the goal may be a formal one; however, many formally constituted organizations in reality operate in a very informal way. This is true particularly in small, rural communities where the connections among people are of long standing. One example of this among the case studies was Marathon, a community of around 1,000 people, in which a nonprofit corporation was organized. The majority of the work was done by committee chairpersons, who were not elected, but simply volunteered to do the work. They formed a sublayer of leadership under elected leaders and worked in an informal manner.

Other communities studied, such as Groton, had organizations that operated formally in dealing with large sums of money, either as grants or loans from

federal agencies. By necessity accurate records must be kept if this is the case. At the other end of the spectrum, Salamanca completed a library renovation project with no other organization than an informal group of friends, who worked together for almost a year as leaders of a communitywide project.

The question of a goal and plan, discussed above in regard to the initiation stage of community action, needs to be reconsidered in the expansion stage. The original plan may not be feasible after a while, and a new plan may be decided upon, one incorporating the general goal, but representing a change in the means by which a project might be accomplished. In Wood-hull, the goal was to attract a doctor to the area to provide continued local health care. When that plan became infeasible, the local organization was able to change its specific strategy for achieving health care service and work toward establishing a medical center with a full-time nurse practitioner and part-time doctors. This change in the means of accomplishing its goal indicates a flexibility within the organization that served the community well. Each community studied could show some instance of a change in plans where the specific goal or means or both were altered during the action process.

Stage 3

With regard to broad community involvement, there seems to be a particular point in the development of the action system when each group feels it needs and is able to involve the entire community as much as possible. This may be during a fund-raising drive, and publicity becomes the center of effort for a while. This proved to be necessary for a relatively brief period of time in most of the cases studied, and seldom was it appropriate or even possible to keep "all" community members mobilized throughout the entire action process. In the community that established a medical clinic, Woodhull, the local fund-raising campaign was the period of time when there was a major attempt to gain awareness of the project and to gain involvement (financial) in it by a broad segment of the community.

In Malone, the largest involvement was during the restoration of the mill building, when local groups and individuals contributed either physical labor, materials, equipment, or money to the project for an arts center. This lasted for about 4 months, whereas the arts center project extended over a 4 year period.

On the other hand, the leaders of the Salamanca library project were able to mobilize a large portion of the local residents for the entire project, through publicity and media coverage and ingenious fund-raising events. In the case of the annual maple festival, in the few weeks before and during the 2 day festival, almost no one in the community escapes involvement either directly or indirectly in the various events.

Publicity is necessry for mobilizing a community and also for keeping people aware of how things are developing with the project. In addition, it is a means of communicating organizational meeting dates, agendas, decisions, and fund-raising drives. In a rural commu-

nity, the local newspaper is crucial to local awareness of the project and will generally print news releases and announcements.

One case study community, Salamanca, provided an excellent example of clever and novel public relations methods. Each story was accompanied by a photo, and the action group had total cooperation from the local newspaper, which enabled them to keep awareness of the project in the community's mind for nearly a year.

Stage 4. Operation of the Action System

A discussion of several aspects of this phase of the action process, wherein most of the detailed plans are generally carried out, follows.

Commitment. All the projects studied represent a significant commitment of time and even money on the part of some community members. Project leaders were able to demonstrate staying power in most of the community actions we studied, and very little turnover occurred in leadership in the various projects. For example, in the Marathon Maple Festival organization and work committees, the same people, for the most part, continued to assume leadership responsibilities. The committee chairpeople expressed some desire and willingness to pass this responsibility to anyone.

In the Groton project, several community members gave a great deal of their time, expertise, and energy and also committed a good deal of their own money to the project. In each community studied, there have been people willing to make this commitment to the action project goal. They have been able to keep a positive attitude about the progress of the action project when things dragged out for longer periods than anticipated.

Operation of the Action System

Stage 4
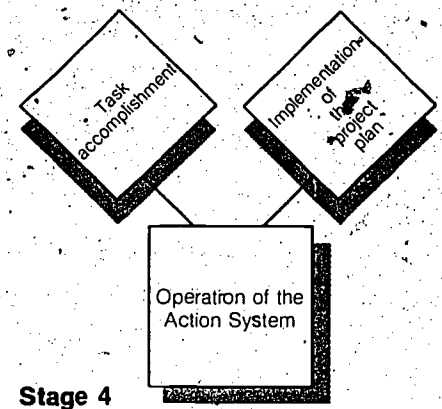
Community involvement. The means through which people are drawn into activity vary greatly among the seven projects that we studied. In the case of the maple festival, the means are relatively simple, since the need for volunteers is advertised and the meetings are open to anyone who wishes to attend and to work. New people in the area quickly hear about and experience the annual festival. In the Malone case study, involvement in the mill restoration was more complicated, since the work was complex and the means through which people were brought in were often more formal—through BOCES, CETA grants, and so forth.

Another significant aspect of community involvement in action projects is that there appears to be a specific time in each one of them when wide awareness, involvement, and mobilization of energy are appropriate. This time span may be relatively brief compared with the total length of the action project. In Malone during the most hectic period of restoration of the old mill building, there was a time when several community groups, volunteer organizations, and educational institutions were participating in the actual work of rebuilding. This occurred simultaneously with a local community fund-raising drive. The entire mill project lasted for several years. In the Woodhull project, a significant amount of fund raising went on in this rural community for only a brief period of the entire action project.

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The extent of local involvement in the many aspects of the project is also related to the desire on the part of the organizers and leaders of the action system to make the project a total community effort. In some cases it is crucial to achieve communitywide acceptance and, as much as possible, communitywide involvement in the action project, as in the case of the Marathon Maple Festival. In other cases, it is not really necessary or realistic to expect the entire community to be drawn into active participation with the action project, such as in the case of Sinclairville low-income housing for the elderly.

In the Groton case, leaders were aware from the beginning that they were starting a relatively large and complex action effort. Their strategy was to make the entire community aware of what was being planned and to seek general agreement with and support of the effort. The Sherburne project, on the other hand, involved primarily senior citizens and a few local officials rather than the community at large.

In addition, there are different types of involvement in community action projects, due to the nature of the project and the type of person who gets involved. Besides leadership involvement, there was also financial involvement, usually during the fund-raising phase of the process; actual work involvement, such as construction work or door-to-door survey work; and involvement on the more general level of awareness and acceptance of whatever is being carried out.

Through the involvement of individuals and groups of the community in the action process, a strengthening of the horizontal ties among these community units occurs. In the Marathon Maple Festival project, where there was so much coordination involved in the conduct of the successful festival, this was

particularly visible. We discuss this result of increased coordination and cooperation in the section on the effect of community action projects on the community.

Task accomplishment and organizational maintenance. Not all projects operate solely for the accomplishment of a visible goal, such as the establishment of a medical clinic or the construction of senior citizen apartment housing. Some of them have as their goal the creation of an organization and a way of operation that will be able to coordinate the community groups, institutions, and activities in a better and more effective way in the long run. This was certainly the case with the Greater Malone Community Council, which in itself was a community action project. Therefore, the work that went into making that organization a functioning and accepted entity in the local area was part of the operation of that action system. This type of activity occurs to some extent in all action projects, because all of them have some kind of organization that needs to be maintained for the action to occur.

For some community action projects the task to be accomplished is merely the study of the community or some aspect of it, such as the health needs. In some cases a goal is set merely to develop a plan for something yet to come. If a community begins with the vague desire to improve the community life, it may have as its goal to more clearly define the means whereby this improvement can be accomplished. The process would be research and study as well as a survey of needs in the community. It would be completed when a definite plan was agreed upon.

Project financing. Another aspect of the seven case studies that varies greatly from one to another is the financing of the project. In some projects, such as the three-part Groton complex, the financing involved large federal loans, and the action process continued for many years before completion. Out of the seven case studies, all but two necessitated federal loans or grants or both. In the case of a Farmers Home Administration (FmHA) loan, for example, this means a relatively long and complex application procedure. In the Sinclairville community, the FmHA loan application process lasted more than a year, whereas the actual reconstruction of the building took only 5 to 6 months. This application also entailed a feasibility study to determine if it was economically worthwhile to rehabilitate the building. In addition, an architect was brought in by the developer to consult on the condition of the building.

Other public agencies, such as those at the state level, have been important to action projects undertaken in these seven communities. A New York State Council for the Arts grant, although small, was the initial money that allowed the Malone participants to look into the idea of a community theatre and arts center in the old Ballard Mill building. They also used a small New York State Department of Energy low-head hydropower grant for their rehabilitation of the turbines and dams in the mill's hydropower system.

Not all the cases involved public funding, and two of them were helped to completion by private funding sources. In Malone, one of the first grants that enabled the mill commission to begin the process of rehabilitation was a Kresge Foundation grant. In Salamanca, a grant from a local foundation was used in the process of buying furniture for the new library.

In several case study communities,

community members, individually or through their organizations and institutions, donated significant sums of money. An example is the Lions Club of Salamanca, which donated $1500 to the library project. In that same community, there were several large donations from individuals and from other organizations, which are noted on plaques in the entrance to the library. The Salamanca approach to fundraising was to open a savings account in the local bank to allow community members to donate at their leisure. The bank account plan was accompanied by a big, long, dramatic, and highly successful fund-raising program, which lasted throughout the project.

Other resources. Finance is not the only resource going into a community action project that may make or break a project. In most communities there is expertise, which often is not discovered until the specific action project begins; it is an important resource to any action project. In Malone, the mill commission was able to draw on the technical expertise of a local resident aeronautical engineer when they were assessing the viability of their hydropower system. In Salamanca, many local industries and businesses furnished the library project with expertise on construction, roofing, electrical wiring, and so forth, which saved the community a large sum of money. These people were brought into the construction aspect of the project as supervisors of the work crews when each one's particular field of expertise was involved. Skillfulness in public relations and publicity was extremely valuable to the Salamanca library project.

Local public resources have emerged in several case studies in the form of town and village equipment and know-how, and local governmental assistance was given in the form of tax arrangements and deed agreements that aided the project. Local Board of

Cooperative Educational Services (BOCES) skill was used extensively in the Malone rehabilitation project.

With regard to resources brought into the action project from within the community, specialization is an important aspect of the involvement of these community members. People volunteered according to the skills and experience they felt that they had to offer, ranging from Sheriff's Department volunteers working in traffic control to a newspaper editor concentrating on publicity before the maple festival. All these skills and interests are, in reality, resources available to action projects, and they exist in most small communities.

In addition to resources within the local area, technical assistance has been received from outside the community, such as the Regional Health Program's assistance to the Woodhull Medical Clinic project. In Malone, when the Ballard Mill Commission decided to assess the power potential of the hydropower system, brought in a consultant from Albany associated with the New York State Energy Office.

Another important resource that comes from outside the locality is help from nearby communities and their relationship to the community in which the action occurs. Many small rural areas can contact nearby cities and towns for advice, examples, and assistance in their projects. In Woodhull, the advice and help of the Hornell medical community was very important in their decision to staff the medical clinic. A hospital in Hornell helped the Woodhull group secure the services of doctors and a nurse practitioner. These relationships among communities are a central part of the community action process in many cases.

Timing. The time span of these seven projects varied widely from one to the other. Some of the action projects lasted for several years from the planning stages to the completion of the work. In Marathon, the idea of a maple festival was brought up in a community round-table discussion in 1959, but not acted upon until the first festival in 1970. The festival lasts for 2 days each spring and involves a few weeks of preparation. It necessitates a complex system of coordination and cooperation of some outside agencies for such aspects of the festival as traffic control and security, but as these procedures are done repeatedly, from year to year, less time is needed to get organized.

The Salamanca library project began in the spring of 1976 and was completed in the spring of 1977. On the other end of the time spectrum, the Groton project for a three-part complex began in the late 1960s and was completed in 1975, except for the nursing home component. The nursing home is being added in 1981. The Sinclairville project for housing for the elderly began in 1976 and was completed in the summer of 1980, when residents first moved into the apartments.

The other aspect of timing in these community action projects is the issue of whether the timing is incidental or intentional. In Woodhull, for instance, the search for a doctor was begun when the local physician approached retirement. During the course of the Woodhull project to obtain local medical service, the St. James Mercy Hospital at Hornell began seeking to extend services to outlying areas. This initiative on the part of the hospital eventually enabled the Woodhull project to establish the type of clinical services available today. The Sinclairville group knew that the County Office for the Aging was concerned about hous-
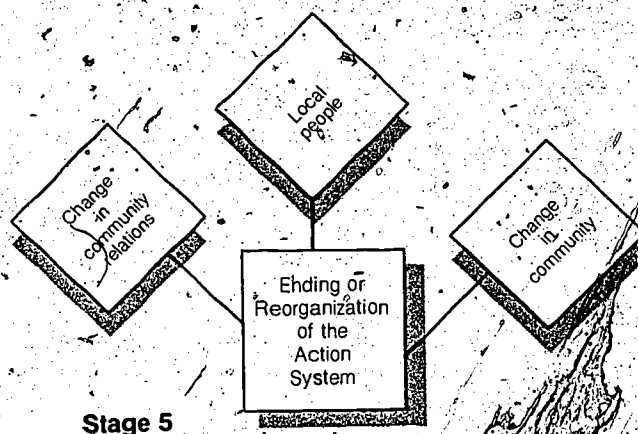
Stage 5

ing and, hence, that help and advice would be available to them when they began their project. Their timing was intentional in that case.

Communication. The communication aspect of this operational stage of action is vitally important. There are two levels: communication within the action organization and public communication aimed at the local community as a whole. Communication within the organization is usually done by holding regular meetings, by announcing the meeting dates, time, location, and agenda in the local news media, or by an informal telephone network. Public communication usually entails a publicity campaign, which may continue for the duration of the whole project. There also may be selected publicity and media events to draw attention to the project or some aspect of it that is more dramatic. Salamanca's library project is a good example of an innovative publicity campaign aimed at the broadest audience possible. Publicity gimmicks, such as a public auction of the mayor and a nightclub night, were used to attract local attention. In Malone the announcements of meeting agendas serve as communication among members of the council and also for the entire community.

Stage 5. Ending or Reorganization of the Action System

Evaluation is something that needs to go on throughout the action process; however, it takes on added meaning during this stage. What has been accomplished? Where do we go from here?

The organization for community action, on the basis of a careful evaluation, may dissolve or change its charter, or it may take on another project. In the case of the Sinclairville group, a not-for-profit corporation whose project resulted in a senior-citizens' low-income apartment building, the group is now becoming involved in the social aspects of the tenants' lives in the building. The new needs, entertainment, transportation, and the like, have surfaced, and the action group is willing to shift its involvement to fit those needs.

A community is changed fundamentally when a new action system, such as the Malone Community Council, is created. In Salamanca, two slightly different organizations grew out of the same crisis that stimulated the library project. One is concerned primarily with economic and industrial development, and one is involved with general community improvement. These two organizations and the ad hoc library group have helped to transform Salamanca into a community that is dealing positively and creatively with its common and difficult situations.

In Woodhull, the actual organization responsible for the medical center has all but disbanded, but one suspects a network of relationships continues in an informal way. The organization that does exist has been maintained in case of emergency. In Salamanca the library group, never formally constituted, has gone on to other successful community projects since completing the library. However, one would expect it to fade out of existence over time.

This aspect of the effect of community action, the continuance of a network of new social relationships based on involvement in community projects, highlights the importance of the process of community action. A network created within the community can apply itself to other concerns or other projects, or can respond to a crisis. The action system itself, created initially for a specific purpose, may continue in an informal fashion after the project is completed.

Change in the Community

After action is completed, there are several different changes in the community. In some cases, the result is something easily identified, like a new or reconstructed building, a new medical center, a housing unit, or a new library. Other action projects result in a change in relationship among community groups, individuals, and local government.

Another long-range effect noticeable in a community that has completed a successful action project is the positive attitude, the self-confidence of the community. One person interviewed called it a "can do" attitude, and it appeared in all the case study communities.

Community action projects such as those discussed in this guide do add up and do make a difference in the quality of life in local communities. Moreover, it is not necessary to approach each project on a trial and error basis, since this guide provides a framework for viewing your involvement and particular leadership contribution in community action efforts. The next step is to apply this model to your own project. Worksheets are provided in the following section to help you do this.

APPLYING THE MODEL OF COMMUNITY ACTION TO YOUR COMMUNITY

We have discussed the reasons for and characteristics of community action. You have been presented with seven case studies of successful action projects that have occurred in small, rural communities over the last 5 years. The five-stage model for community action has been applied to these seven community action projects, and their patterns of action have been examined.

At this point, it would be helpful to apply this model of community action to your own community. Perhaps you have just completed a community action project and would gain something by evaluating it. You may be contemplating a project and would like to look at it within this framework. Or, you may be in the middle of a project and are examining certain aspects of the project and deciding what to do next.

This section contains a sample of the five-stage model of community action that we have applied to one of the previously discussed case study communities. We have put some of the parts of the Malone experience into the diagram to help you see how this diagram can be applied to a concrete experience.

Following the Malone case study diagram (fig. 3), there are five sheets, one for each stage of the model. Each worksheet has questions for you to use in analyzing your own community action project. Fill in the details about your project in the space provided for you.

We hope that this format will facilitate an analysis and discussion of your particular community and the action project(s) that may be carried out, that have been accomplished or attempted, and that are going on now.
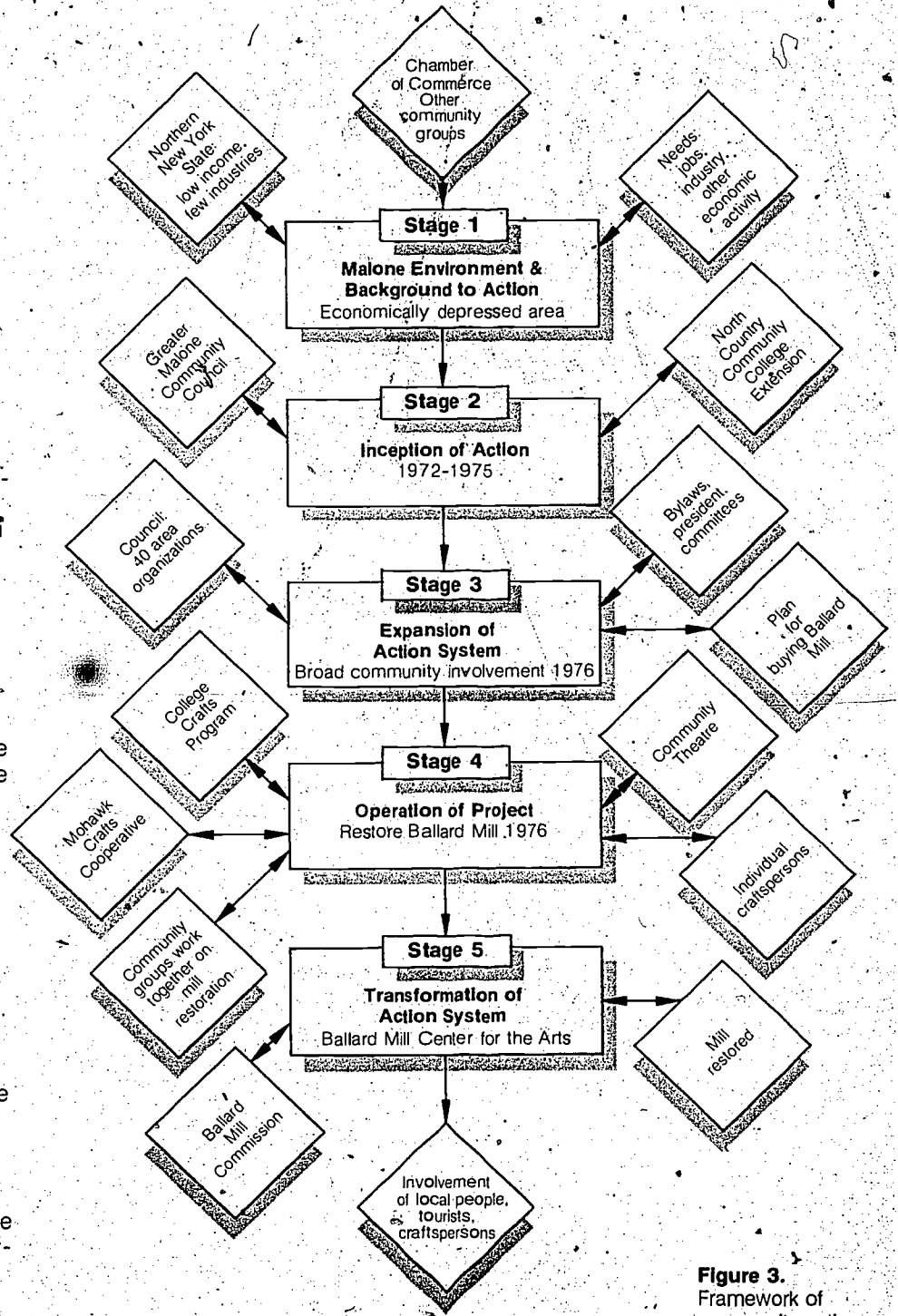
Chamber of Commerce Other community groups

Northern New York State, low income, few industries

Needs: jobs, industry, other economic activity

Stage 1

Malone Environment & Background to Action
Economically depressed area

Greater Malone Community Council

North Country Community College Extension

Stage 2

Inception of Action
1972-1975

Council: 40 area organizations

Bylaws, president, committees

Stage 3

Expansion of Action System
Broad community involvement 1976

Plan for buying Ballard Mill

College Crafts Program

Community Theatre

Stage 4

Operation of Project
Restore Ballard Mill 1976

Mohawk Crafts Cooperative

Individual craftspersons

Stage 5

Transformation of Action System
Ballard Mill Center for the Arts

Community groups work together on mill restoration.

Mill restored

Ballard Mill Commission

Involvement of local people, tourists, craftspersons

Figure 3.
Framework of community action in Malone

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Worksheet 1
Stage 1. Community Environment and Background to Action

Questions:
1. What conditions in your community favor action, and what conditions oppose it?

2. Are there groups or individuals in the community who often respond to and act on community needs?

3. How has action begun before in your community?

4. What data has been collected on the community—economic, political, cultural? Is this information accessible to members of the community?

5. What agencies and institutions in the community are there to help you understand existing needs and opportunities? Outside the community?

6. Have needs-assessment studies been done in your community?

7. List the problems that you perceive to exist in the community?

8. List the opportunities for improvement that you think exist now?

Worksheet 2
Stage 2. Initiation of Action

Questions:
1. Who has made the first efforts toward action? Do these people occupy certain positions in the community? Have they been influenced by developments outside the community?

2. Is this a new group of people who are initiating action or is it an existing group within the community?

3. What kind of organization has been formed to initiate action? Is it a formal or informal group?

4. What is the goal of the action, as defined at this early stage?

5. How has this goal been defined? Who defined it?

6. Has initiation for action come from outside the community? If so, from whom?

7. If initiation came from outside, do the local people agree with these goals? How do you know?

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Worksheet 3
Stage 3. Expansion of the Action System

Questions:
1. How has the action group been expanded? How have new individuals and groups been brought into action?

2. Who else has been brought into the action group, and why?

3. Who has taken on leadership roles in the action organization? Did these people have previous experience or is this their first project?

4. Is there a group or person acting as sponsor of the project?

5. Are many local people participating in the project? How are they drawn into involvement?

6. Are there local people who are not involved? Is this situation appropriate or should they be brought in?

7. Has a specific plan of action been decided upon to achieve the goal?

8. What kind of action organization is developing? Is it a formal corporation or an informal group?

9. How long have local people participated in large numbers? Was there a peak period of participation?

10. Were there people contributing according to their expertise and skills?

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Worksheet 4
Stage 4. Operation of the Action System

Questions:
1. What kind of commitment do you have from those involved and leading the project?

2. Is a good part of the community involved or is that not necessary?

3. Is the agreed upon task being accomplished? Are there any difficulties or problems?

4. How is the action organization being maintained?

5. How is the project being financed? Is there a community fund-raising drive, or is it financed from outside agencies and institutions?

6. What other resources are being used from within the community? Technical resources? Human resources? What about outside resources?

7. How long will the action take? Can people keep up their commitment during this time?

8. How is publicity being handled? Are the local newspapers and radio stations involved in the action project?

9. What kind of communication occurs within the action organization? Are there regular meetings, published agendas, etc.?

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Worksheet 5
Stage 5. Ending or Reorganization Transformation of the Action System

Questions:
1. Now that the project goal has been accomplished, how has the community changed?

2. How have relations between members of the community and groups changed?

3. Do you have tangible results, such as a building or civic center?

4. Are there other projects that this action organization is thinking of taking on?

5. Do you think the organization should disband since it has accomplished its objectives?

6. Has the action organization become a permanent institution in the community? Is there a community council, for example?

7. Has everyday life in the community changed?

8. Do you think local people feel differently about the community now?

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