



Metrics and Evaluation for Farm Incubators

**A supplement to the Farm
Incubator Toolkit**

Developed by the National Incubator Farm Training Initiative (NIFTI)
A program of the New Entry Sustainable Farming Project (New Entry)



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Supplementary Materials Provided By

University of Vermont - New Farmer Project

The New Entry Sustainable Farming Project

The Intervale Center

The New American Sustainable Agriculture Project and Cultivating Community

The Agriculture and Land-Based Training Association (ALBA)

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Production of this document was supported by the Cedar Tree Foundation. NIFTI is a program of the New Entry Sustainable Farming Project (New Entry), which is sponsored by the Friedman School of Nutrition Science and Policy at Tufts University and Community Teamwork, Inc.

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Production

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Table of Contents

Introduction.....	2
Reasons to Measure and Evaluate.....	5
Principles and Practice of Data Gathering.....	9
Reporting.....	14
Metrics and Evaluation Worksheet.....	16
Appendices.....	17

Introduction



Farm incubator projects – land-based beginning farmer training programs – are one of the most comprehensive and holistic approaches to training the next generation of beginning farmers. In recent years, many of these programs have sprung up around the U.S. due to increased need and a corresponding increase in community, foundation, and government support. As successful as these projects are, they also require significant resources to address the widespread systemic barriers to fostering a new cohort of farmers who choose to focus on sustainable farming practices and feeding their local communities.

While the benefits of having more farmers – and therefore more accessible, fresh, healthy food – is anecdotally obvious to anyone who has visited a farmers market or stopped at a roadside farm stand, this kind of evidence for our program's effectiveness is not necessarily enough to satisfy the increasingly rigorous standards of performance-based metrics now required by most foundation and government funders. Nor do the stories of all the people who benefit from the work of farm incubators gather themselves – it requires concerted effort, time, and relationship-building to truly capture the

power of a well-told narrative about how supporting new farmers can change lives for the better. Gathering good quantitative and qualitative data can ensure our programs' longevity by garnering the support of program funders and, most importantly, the communities we serve.

At the same time, we want to know that our programs are operating efficiently and effectively and achieving the desired results. If something isn't working about how we serve our constituents, it's best to find that out as soon as possible and make changes where they're needed so we can get our work back on track. When you understand what you're trying to accomplish – whether it be providing land, tools, and knowledge to farmers or strengthening your community's economic self-reliance and food security, [or both] – a good set of metrics and rigorous methods for measuring how well you accomplish your goals will serve you well when you have to make decisions about the allocation of scarce organizational resources or whether or not to take on a new project.

The National Incubator Farm Training Initiative (NIFTI) has been developing comprehensive training and technical assistance resources for land-based farmer training programs since 2012. An integral part of our work involves understanding the professional and organizational development needs of these projects and how they can increase the impact of their work. Through multiple surveys and evaluations it has become clear that one of the major challenges for farm incubators – especially, but not necessarily restricted to, projects that are just getting started – is the capacity to accurately measure the outcomes of their work and tell a powerful story about what they do and whether or not and to what degree it is working.

Organizations that run farm incubators often experience a lack of resources and thus lack the capacity to develop proper metrics and evaluation protocols. Yet these same programs realize at some point that they are having trouble accessing funding or explaining to community members the benefits of what they do. While, of course, the focus of our efforts should always be on the services we provide, if our programs or beneficiaries start to suffer because of a lack of internal understanding of how best to do our work or an external lack of enthusiasm because we couldn't make it clear how important that work is, then it becomes time to invest the time and energy required to learn how to tell our stories properly.

This guide is based on two years' worth of surveys, evaluations, workshop notes, and resources gathered from NIFTI's participants and experienced service providers – altogether representing almost all of the 125 existing or proposed farm incubator projects in North America. We have also utilized additional evaluation resources not directly related to farm incubator projects, but that have relevant or similar components that make them useful to our unique and specialized programs. NIFTI included as many voices and perspectives in the information gathering and planning stages of this project as possible because, as we have learned through our research and training on this topic, recognizing and appreciating the wisdom of the group and the people you serve is an essential pre-requisite to doing good work and creating programs that matter and make an impact.

The goal of this guide is to help you formulate achievable goals along with clear and related metrics, develop strategies and tools for gathering data about your programs, and tell a powerful story – using both numbers and words – that shows the true impact of what you accomplish every day. We also aim

to make it easier for you to internally evaluate your activities to make sure you're utilizing your resources as wisely and effectively as possible.

Although innumerable resources exist on the topic of non-profit metrics and program evaluation, this guide is geared specifically towards farm incubator projects and can therefore save you time and effort filtering through less useful or appropriate tools. With that said, this guide is only a starting point. Because each farm incubator is unique – despite our many similarities of missions and methods – your program will have to develop its own distinctive approach. Though this path has been forged before, you will have to adapt the tools and resources you find in this guide to best serve your program and its beneficiaries according to your judgment, goals, and capabilities.

The narrative portion of this guide is separated into two sections – essentially the “Why” and the “How” of farm incubator program metrics and evaluation. To decide what to measure, you need to understand your goals in measuring in the first place. The “Reasons to Measure and Evaluate” section should help you understand your goals and what you want to accomplish – therefore making it easier to formulate a list of outcomes that will be both meaningful and ultimately useful to your program. The “How” or “Principles and Practice of Data Gathering” section is more concerned with best practices and principles of ensuring that your information is of a high quality – both practically and ethically speaking.

The bulk of this guide is in the appendices, which contains: a glossary of common metrics and evaluation terminology; a compilation of common farm incubator metrics gathered from dozens of projects; and examples of tools (such as annual farmer surveys, learning rubrics, class evaluations, etc.) that programs use to measure the impact of their work over time. Together, these resources offer specific and detailed approaches to gathering data from your farmer participants.

We hope that the information in this guide will be of use to you, your program, and your participants as you develop and strengthen your farm incubator projects and create your own tools for measuring the positive impacts you have on farmers, your communities, and the food system as a whole.

Reasons to Measure and Evaluate



If you are reading this guide you probably already have an idea of why you need to work on developing your organization's capacity for measuring outcomes. The benefits of putting time and thought into creating and enacting an evaluation plan fall into two major categories; those that are internally motivated and primarily about how you decide to allocate your resources, and those that are externally motivated and involve gathering support from funders and your community.

Defining your internal and external motivations or goals for creating evaluation plans is intertwined with being able to articulate what you're trying to accomplish as an organization in a way that is meaningful for you, your participants, your staff, and your supporters. Different audiences will want to hear different stories about what you do based on where their priorities lie, and your evaluation tools should be robust enough to speak both qualitatively and quantitatively to all of your stakeholders. Clarifying who these audiences are and why you want to share your work with them will necessarily define the types of metrics that you gather, how you gather them, and what types of reports you generate from your data.

Internal Evaluation Goals

Most farm incubator projects are trying to solve very big problems – like ensuring the ongoing sustainability of our food supply – with very limited resources, both in terms of funding and staff time. This means that every hour, dollar, and ounce of effort should be allocated as efficiently as possible to achieve your desired outcomes. How do you know if you’re spending your time as effectively as you can? You will need to build metrics and evaluation into your everyday operations to see if the programs, classes, and resources you provide are having the desired impact on your participants. Unfortunately, because ours is a relatively new field of practice, we don’t know how much time and effort is a reasonable amount to allocate towards laying the long-term infrastructure for a truly sustainable food system. What we *can* determine is how much time and resources we have in total, and then what we can allocate to each of our program activities based on how impactful they are in comparison to each other.

Benefits of Developing Internal Metrics and Evaluation

- ✓ Improve effectiveness of program operations
- ✓ Increase participant “buy-in” and outcomes
- ✓ Ensure efficient allocation of resources
- ✓ Improve long-term organizational sustainability

Questions to ask about your internal operations:

- What are our core goals as an organization?
- Are our activities designed to accomplish our core goals?
- What tangible metrics will we use to know if we’ve reached our goals?
- Is the current approach “working” as defined by our goals and metrics?
- How much time/money do we allocate for our activities and what are the tangible and intangible payoffs from those activities?
- Why are some of our programs more effective than others?
- How can we improve our programs?
- Are any of our activities having unintended positive or negative outcomes?
- Are there additional activities we should be taking on?
- Are we designing and delivering our programs in a way that works for our participants?
- Are we fully utilizing our program staff’s strengths?
- How financially sustainable are our programs?
- Are we charging for and/or valuing our services appropriately?
- Could we be allocating our resources more efficiently?
- Do participants have the chance to regularly contribute feedback into program design and day-to-day operations?
- Are we developing leaders from within the communities we serve?

Internal Stakeholders

- **Program participants** – The farmers you serve can be considered both internal and external stakeholders. They are more internal than a funder who may only experience your work through reports and occasional visits in that they interact on a regular basis with your program and its staff. At the same time, program participants are your main “customer” and this requires some element of marketing, promotion, and the type of outreach that you do to the general public. This puts them in a unique position in your organization, but since incubator projects are focused on training independent entrepreneurs, you will always want to make sure that participants can engage in some form of collaborative decision-making or direction setting for your program and that you are getting regular and honest feedback from them about how you can serve them best.

Finally, and most importantly, farmer performance is your main indicator of program success. The data that you gather from farmers will be used in multiple ways and for a wide variety of audiences, but the primary purpose of this data is to help farmers reach their own goals for their businesses by seeing concrete indicators of their successes and challenges over time. Of all the metrics that you gather, those that indicate whether the farms and farmers you serve are becoming truly sustainable and independent operations are the most essential and ultimately useful because your program participants are the ones who benefit from them the most.

- **Program Staff** – The people who work for your program are doing so because they want to utilize their strengths to the greatest possible positive impact. Having good metrics in place which can clearly illustrate that positive impact over time will improve your organizational culture and morale as well as increase your staff’s effectiveness in program delivery and ability to be self-reflective about what does and doesn’t work for farmers. Program staff are on the ground and able to measure activities most effectively because they understand the internal operations and day-to-day better than anyone – when you are developing metrics and evaluation tools, staff should be consulted with first to ensure the feasibility of implementing your new measurement protocols.
- **Program Management and Board** – The long-term sustainability of your project relies upon effective management and fiscal responsibility. Your program’s administrative leadership and board or advisory committee will want to know that the funding coming in to your program is being utilized effectively, which requires some mechanisms for internal tracking around the efficiency of your operations and how much of your organizational resources are going into direct service for your constituents. In terms of guiding the strategic path of your project, you will want to show how your organizational roles and day-to-day operations are inclusive, diverse, and able to engage your constituents as leaders in your program delivery and development.

External Evaluation Goals

To ensure long-term program success and sustainability, you will need the support of many external stakeholders including funders, community members, local, state and federal agencies, and other organizations that have similar or related missions. The types of data that you gather to present to these different audiences may be similar, for example in the case of larger potential funders and municipalities – which both have a tendency to focus on quantitative metrics – versus the more qualitative “farmer highlights” in a weekly newsletter that tell CSA customers a story about why it’s so important to support beginning farmers. We will discuss the process of gathering different types of data in the next section of this guide, but understanding how you will use your metrics is the first step to developing evaluative tools – whether qualitative or quantitative – that are appropriate for your audiences. Just like a farmer should understand their unique market niche and what needs they fulfill for their customer, we must also understand our stakeholders and what they expect to see from our organization.

Evaluation Goals for Funders

- ✓ Ensure ongoing financial support
- ✓ Show effective use of resources
- ✓ Use standardized metrics [activities, outcomes, impacts]
- ✓ Show program legitimacy, i.e. community and partner support for your work
- ✓ Educate funders about larger issues, and appropriate programmatic strategies/approaches



Evaluation Goals for Community Stakeholders

- ✓ Ensure ongoing community support and engagement
- ✓ Show program impact on community [food security, land use, ecological benefits, local economy, etc.]
- ✓ Cultivate individual donors and grassroots advocates
- ✓ Gather support for expansion or improvement initiatives
- ✓ Show municipal officials program benefits to influence policy change
- ✓ Demonstrate improved access to services for broader farming community
- ✓ Show impact of purchasing program’s CSA or other incubator farm products
- ✓ Recruit volunteers and other forms of “in-kind” support
- ✓ Develop partnerships with like-minded organizations and advocates

Principles and Practice of Data Gathering



The fundamental work of farm incubators is ensuring the long-term success and sustainability of farmers and, therefore, our methods for collecting data should be reflective of our underlying principles of empowering farmers and the communities we serve. If we design our evaluation protocols thoughtfully, use good tools, and take into account how our data will be collected, compiled, and reported, we can both prevent putting undue burdens on farmers and guarantee that they will benefit from the end results of our efforts. Similarly, our organizations have their own limitations in terms of time and resources to take into account. While using our time efficiently is essential, giving adequate time and attention to high quality, rigorously designed metrics and evaluation can also save us time, money, and effort in the long run by increasing our access to resources and improving our overall program operations.

What Can We Measure?

As discussed earlier in this guide, the audience for your reports will be the primary guidepost for the data you choose to collect. When you develop these specific goals and think about the stories you want to be able to tell with your facts and figures, you will inevitably realize that some of your goals are much larger than the scope of your work and what you can reasonably attribute to your farm incubator's activities. For example, using facts to back up the claim that your program is improving community food security by increasing access to local, fresh, healthy food could require that you first have a baseline measure for the existing level of food security in your community, as well as a sense of the myriad other factors that contribute to community food security – such as access to grocery stores, transportation, nutrition education, etc. – which have little or nothing to do with your program. Beyond the level of day-to-day activities, also known as “outputs”, like how much food your farmers have distributed to community members, it would be challenging to measure and then attribute a broad and long-term outcome like improved food security to training beginning farmers without some way of comparing what your community was like before and after your program began doing its' work. You can, however, say that your program *contributes* to improved community food security or cite studies or reports that show that activities like the ones you conduct have been shown to improve community food security indicators. These “long-term” outcomes or “impacts” are the most challenging to measure accurately, but they also tend to form the underlying value structure and big picture priorities of your organization.

Other types of outcomes – namely improved skills, knowledge, and attributes of your program participants – are much easier to measure and attribute to your program activities. These are considered “short-term” outcomes and happen as a direct result of your outputs – educational opportunities, technical assistance, the provision of access to land, equipment, and farm infrastructure, etc. They are easier to measure because they primarily involve your program beneficiaries with whom you have extensive contact throughout the duration of their participation. In the case of measuring short-term outcomes, collecting baseline data from your participants when they come into the program – upon enrollment in classes, before being given an incubator site, pre-trainings, etc. – allows you to show a comparative improvement when they complete whatever module you have delivered. Note that it is often tempting to lump your activities/outputs into the short-term outcomes category but the delivery of your program is not the end result of your work, it is the work itself. The point of what you do is to bring about a change or improvement for the farmer, and your classes, farm sites, and technical assistance are simply how you do that.

Finally, mid-term outcomes are what the farmer chooses to do with the information, tools, and resources that you provide them with. The incubator project only has so much influence over how much initiative, capacity, or commitment a farmer has and indicators like improved yields, higher incomes from farming, health of the land, and more “entrepreneurial leadership” exhibited are good things to measure, but not entirely attributable to the work you have done and the context you have provided. Similarly, when we are realistic about the external challenges and circumstances that influence farmers' mid-term outcomes, then we can be realistic about our expectations from our own

work and from the farmers themselves. This awareness is important for developing achievable goals and telling honest and empowering stories about what we can and can't accomplish with the tools and resources we have available.

Who evaluates? Everyone!

Ideally, everyone in an organization will have some role in the evaluation process whether they are developing the metrics for specific programs or activities, actually administering surveys/quizzes/etc., or collecting and analyzing data. If your program staff, administration, board, and participants all understand the importance of collecting this information and how it directly contributes to the long-term sustainability of your organization, then hopefully this awareness can create a culture wherein the processes of gathering and evaluating data can become integrated into everyday activities. This is more efficient and – most importantly – more accurate because the people who are closest to the work are the ones making sure information gets collected in a timely fashion and in a way that reflects the true nature of the work being done. If need be, you can also enlist the help of consultants to help you strategize around developing your evaluation protocols, and students and/or interns to do some of the more time-intensive data gathering and analysis required when conducting larger scale surveys.

Evaluation Timing

Given the seasonality of our work and the work of farmers, a practical evaluation plan will take into account when stakeholders are likely to participate in any data gathering efforts. Below is a list of different types of evaluations and when it makes the most sense to administer them. The growing season for farm incubator projects varies as widely as their geographic location, which will obviously influence when it is especially busy for farmers and thus especially arduous for them to take time out to take a survey or be available for an interview. Ultimately, you know your participants and programs best and can take into account the whole picture when determining how to plan your evaluation protocols.

- *Baseline assessments:* Essential for being able to compare post-participation and thus measure the impact of your programming. Conduct as soon as possible with all participants.
- *Annual farmer survey:* Can encompass an end of the season “wrap-up” to discuss how well farmers met their goals as well as a goal setting conversation about priorities and a “learning plan” for the coming season. These can also happen separately in the fall and spring and should include basic performance data (income, yields, etc.) alongside qualitative components.
- *Educational pre-and post assessments:* Specifically for field trainings, classroom-based learning and workshops. Measure knowledge, skills, and aptitude immediately before and after participation to show change that is directly attributable to your efforts.

- *Program graduate surveys:* Stakeholders are often interested in knowing how successful your program graduates have been multiple years after their participation. Without going into as much depth as you would with active participants, an annual follow-up can gather a few key indicators, while still establishing long-term impacts such as whether or not they are still farming, how much land they utilize, and what percentage of their income is derived from the farm business. These should be conducted at a time that does not interfere with the growing season, probably sometime in the winter or early spring.
- *Other program surveys as appropriate:* You may conduct activities that serve audiences beyond your core incubator farmers – such as CSA customers, other area farmers, or the general public – and it behooves you to measure *at least* how many of these groups take advantage of your programming and ideally some indicators of what benefit they gained from their participation. Timing of evaluation administration will vary.
- *Internal evaluation:* While these types of evaluation more often than not happen in time with grant reporting deadlines, it also makes sense to have some sort of independent annual internalized review schedule for the program where you gather feedback from staff, board, community members, and other stakeholders on your program operations and think strategically about how to improve your work based on your core values. This work generally happens during the winter months and at the same time as program planning for the coming growing season.



Data Gathering Tools

Unless you plan on conducting all paper surveys and entering your data into a spreadsheet by hand, you will need to utilize some form of technology to gather, compile, and analyze your data. All the tools listed here are either free, or have special non-profit packages. If you are affiliated with a larger organization or university, they may also be able to provide access, support, and training on their own survey and data management software.

- Constant Contact: constantcontact.com
- Survey Monkey: surveymonkey.com
- Form Assembly: formassembly.com
- Salesforce: Salesforce.com

Ethical Considerations

Confidentiality and Trust: You will inevitably ask farmers for information that should be held in the strictest confidence, such as personal and business financial data, business strategies, immigration status, or other sensitive items. Make it clear to participants that you will respect and honor their privacy and then put in place mechanisms to ensure that this becomes part of your organizational culture and day-to-day operations. If you have interns or volunteers working for you, make sure they have limited permissions to access shared databases and/or are adequately trained to handle sensitive information. Your capacity to gather metrics and evaluate your programs as well as your legitimacy as a service provider is contingent on your ability to engender trust in your participants.

Relationship Building: Related to the above topic, you are more likely to gather accurate data from your participants, meaning qualitative and quantitative data that is truthful and complete, if you have a well-developed relationship with them based on mutual respect and honesty. Relationships are at the heart of our work and making the time and space (physical and otherwise) to listen to all of your stakeholders – both internal and external – can make the job of finding out how effective your work truly is that much easier and more pleasant for everyone.

Cost/Benefit Analysis: Any evaluation effort should always be conducted in a way that requires the least amount of time and input from farmers and other stakeholders as is needed to get the desired results and avoid placing an undue burden on the participant. At the same time, it is perfectly fine and reasonable to make the case for the ultimate benefits to be gained from engaging in reflective self-evaluation and providing feedback that will ultimately lead to an improvement in services and available resources in the long-term. This is a balance that must be found within each organization, for each type and category of evaluation and, to some extent, with each participant and group of stakeholders.

Reporting



The way you tell the story of your success is determined by your previously defined audiences and goals. You'll want to represent different types of data in different ways – for example, it's good to use graphs and charts to show quantitative data alongside your narrative, whereas a farmer case study or quote is well complimented by a picture of a farmer in the fields or at the market. When talking about program activities, you can show examples of outreach and promotional materials and pictures of people enjoying your events. This will make your activities and outcomes tangible and ground your descriptions of what you do in the real world.

Key considerations

- Reports can be thought of as a type of organizational marketing and, like any good piece of marketing, they should be designed specifically for the audience they are being distributed to in terms of length, tone, language, content, and visual style. Formal reports for funders differ greatly from a weekly newsletter to your CSA subscribers.
- All of your external reports no matter how formal or informal should use consistent branding (logos, colors, fonts, etc.). It may be worthwhile to find a good graphic designer or graphic design student that is within your budget to create materials or templates that you can use to present your data in a professional, visually appealing, and accessible way.

- You should make sure there is a staff person at every event designated to take pictures and that you regularly send someone out to the farm to visually document the farmers in their fields. Taking pictures can often be forgotten in the hustle and bustle of event production or a busy growing season, but it is invaluable when it comes time to report on your activities. Professional photographers can also be a huge help in this respect and are sometimes willing to donate their time in exchange for a photo credit on your website or brochures.
- Don't forget to acknowledge and thank outside partners and stakeholders who contributed to your success including participants, other organizations, funders, and community partners.

Types of Reporting

- o **Grant reports:** Vary in length and specific content depending on the funder, but will almost certainly include some discussion of activities (aka "outputs"), outcomes, and impacts. See the glossary for definitions of these terms.
- o **Annual reports:** A short summary of activities and outcomes, primarily for internal use, i.e. distribution to boards or parent organizations. Can also be used to compile data and easy to understand graphics for later use in grant reports, general outreach materials or to distribute to municipal officials or the press.
- o **Program newsletters:** Focus on activities and short-term outcomes and use a narrative or story-telling format. Can be sent on a weekly, monthly, or quarterly basis depending on your audience and their level of engagement. Usually distributed to the general public, individual donors, and/or CSA customers.
- o **Farmer performance:** Some mechanism for tracking farmer outcomes over time that can be used as a learning tool with the farmers themselves to help evaluate how far they have come towards reaching their goals and objectives for their business. This often takes the form of a "working" document, rather than a formal report and can look like a business plan, list of learning goals, skills assessment checklist, and/or financial and harvest records.

Metrics and Evaluation Worksheet

Now that you have read through this guide, take a moment to fill out the worksheet below to help you clarify your goals and approach to measuring the results of your program. This can form the outlines of your more detailed and structured evaluation plan and serve as a jumping off point for further investigation into your motivations, strengths, and challenges.

What outcomes do you currently measure?

Quantitative

-
-
-

Qualitative

-
-
-

List up to three purposes for developing better metrics for your program

Provide examples of how you/will you use your program metrics and evaluations for different audiences

List up to three strategies that you use/will use to address the challenges of measuring your program outcomes

Who will be involved in the process of measuring outcomes and how will you involve them?

Metrics and Evaluation for Farm Incubators

Appendices

1. Glossary
2. Evaluation Plan Basics
3. Incubator Indicators
4. Assessment Tools
 - UVM Web Assessment
 - New Entry Farm Business Planning
5. Annual Surveys
 - Intervale Farm Report
 - Intervale Self Evaluation
 - NASAP Self-Sufficiency Matrix
 - New Entry Business Plan Update
 - New Entry Farm Financials
 - New Entry Graduate Farmer Survey
 - ALBA Annual Survey

Glossary

Activity—actions taken or work performed through which inputs such as funds, technical assistance, and other types of resources are mobilized to produce specific outputs.

Attribution—the ascription of a causal link between observed changes and a specific intervention.

Baseline—the status of services and outcome-related measures such as knowledge, attitudes, norms, behaviors, and conditions before an intervention, against which progress can be assessed or comparisons made.

Beneficiaries—the individuals, groups, or organizations, whether targeted or not, that benefit directly or indirectly, from the intervention.

Effectiveness—the extent to which a program/intervention has achieved its objectives under normal conditions in a real-life setting.

Efficiency—a measure of how economically inputs (resources such as funds, expertise, time) are converted into results.

Findings—Factual statements based on evidence from one or more evaluations.

Formative evaluation—a type of evaluation intended to improve the performance of a program or intervention. A formative evaluation is usually undertaken during the design and pre-testing of the intervention or program, but it can also be conducted early in the implementation phase, particularly if implementation activities are not going as expected.

Generalizability—the extent to which findings can be assumed to be true for the entire target population, not just the sample of the population under study. Note: To ensure generalizability, the sampling procedure and the data collected need to meet certain methodological standards.

Impact—the long-term, cumulative effect of programs/interventions over time on what they ultimately aim to change, such as a change in overall community food security or economic well-being of farmers. Note: Impacts at a population-level are rarely attributable to a single program/intervention, but a specific program/intervention may, together with other programs/interventions, contribute to impacts on a population.

Indicator—a quantitative or qualitative variable that provides a valid and reliable way to measure achievement, assess performance, or reflect changes connected to an intervention. Note: Single indicators are limited in their utility for understanding program effects (i.e., what is working or is not working, and why?). Indicator data should be collected and interpreted as part of a set of indicators. Indicator sets alone cannot determine the effectiveness of a program or collection of programs; for this, good evaluation designs are necessary.

Inputs—the financial, human, and material resources used in a program/intervention.

Monitoring—routine tracking and reporting of priority information about a program / project, its inputs and intended outputs, outcomes and impacts.

Outcome—short-term and medium-term effect of an intervention’s outputs, such as change in knowledge, attitudes, beliefs, behaviors.

Outputs—the results of program/intervention activities; the direct products or deliverables of program/intervention activities, such as the number of farmer trainings completed, the number of people served, the amount of land leased, etc.

Qualitative data—data collected using qualitative methods, such as interviews, focus groups, observation, and key informant interviews. Qualitative data can provide an understanding of social situations and interaction, as well as people’s values, perceptions, motivations, and reactions. Qualitative data are generally expressed in narrative form, pictures or objects (i.e., not numerically). Note: The aim of a qualitative study is to provide a complete, detailed description.

Quantitative data—data collected using quantitative methods, such as surveys. Quantitative data are measured on a numerical scale, can be analyzed using statistical methods, and can be displayed using tables, charts, histograms and graphs. Note: The aim of a quantitative study is to classify features, count them, and construct statistical models in an attempt to explain what is observed.

Relevance—the extent to which the objectives, outputs, or outcomes of an intervention are consistent with beneficiaries’ requirements, organizations’ policies, country needs, and/or global priorities.

Reliability—consistency or dependability of data collected through the repeated use of a scientific instrument or a data collection procedure used under the same conditions.

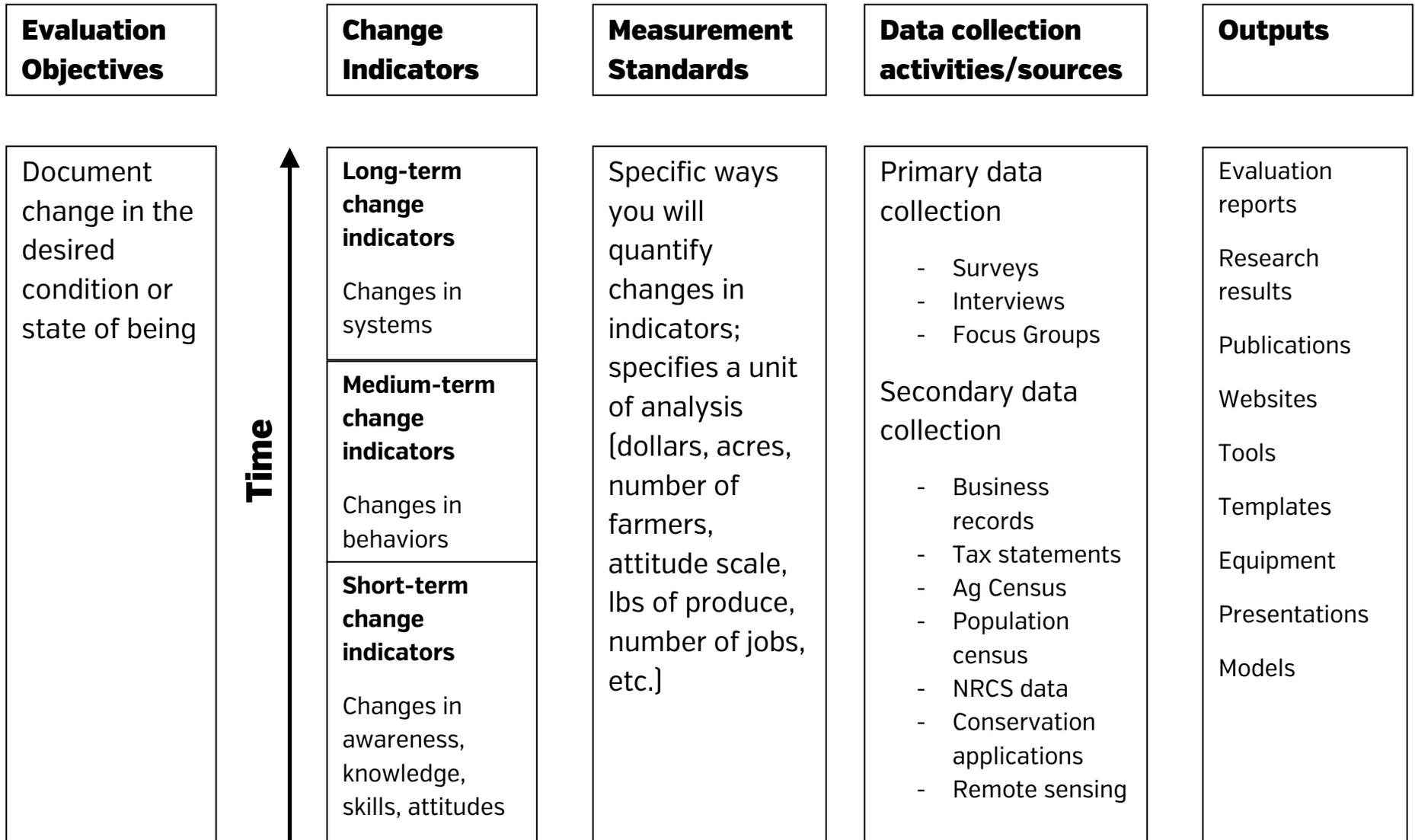
Results—the outputs, outcomes, or impacts (intended or unintended, positive and/or negative) of an intervention.

Stakeholder—a person, group, or entity who has a direct or indirect role and interest in the goals or objectives and implementation of a program/intervention and/or its evaluation.

Summative evaluation—a type of evaluation conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. It is designed to provide information about the merit or worth of the intervention.

Validity—the extent to which a measurement or test accurately measures what is intended to be measured.

Evaluation Plan Basics



Indicator	Tracking Mechanism
<i>Outputs (program activities)</i>	
Volume of materials produced to educate farmers	Number of fact sheets, class handouts, guides, toolkits, etc. created per year
Workshops and events produced	Track and count number of events and make sure participants sign in at each event
Program participation	Count number of people who participate in classes, field schools, etc.
Access to markets and marketing support	Track number of participants who access cooperative CSA or marketing avenues
Program accessibility	Track diversity (ethnic, income, education, gender, etc.) of participants
<i>Short-term outcomes (attributable to incubator's services)</i>	
Production knowledge gained	Pre- and post skills surveys with entering farmers and at least yearly during program participation and program graduation rates
Leadership qualities developed (committees, decision-making, engagement in advocacy, etc.)	Determine potential indicators of incubator and community leadership based on specific context and include questions about these activities in quarterly or annual surveys
Completed business plans	Number of completed business plans
Farmers connected to mentorship	How many farmers have a mentor? How much time have they spent with their mentor over the past year/quarter?
Farmer understanding of contracts and leases	Pre- and post survey before and after workshops or events on land access
Farmers connected to farmland	All farmers on the incubator site would be considered to have land access. For land access post-incubator, you must have a method of tracking once farmers have left the site - an annual email survey or phone call with a few key questions should be sufficient



Indicator	Tracking Mechanism
<i>Mid-term outcomes (attributable to incubators and other factors)</i>	
Leadership qualities developed (committees, decision-making, engagement in advocacy, etc.)	Determine potential indicators of incubator and community leadership based on specific context and include questions about these activities in quarterly or annual surveys
Amount of produce grown and sold	Create tracking sheets for shared packing and washing sheds - counts tallied by farmer and by program
Business plans utilized for ongoing farmer and business development	Ask farmers if they use and update their business plans throughout program participation - through quarterly or annual surveys
Farmers connected to farmland	See indicator above
Health of the land	Number of organic/sustainable/conservation practices used by program participants - measured either by staff observation or farmer surveys
Diversity of markets accessed	Number of marketing outlets sold to - yearly financial survey
Connection to off-program resources (conferences, classes, etc.)	A list of these resources - farmers can check off which ones they have taken advantage of
Organic certification	Number of farmers that achieve organic certification



Indicator	Tracking Mechanism
<i>Long-term outcomes (contributed to by incubators and many other factors)</i>	
Farmer income	Gross sales through cooperative marketing and other avenues - gathered annually or quarterly from farmers - confidentiality required
Diversity of markets accessed	Number of marketing outlets sold to - yearly financial survey
Monetary value of crops grown and sold	Gross sales - yearly financial survey
Current or past participants make their livelihood from farming	Percentage of total annual income from farming - yearly financial survey
Graduates in farm-related careers	Can include farm worker, farm educator, non-profit farm manager, etc. Post-graduate annual survey
Land in active agricultural use	Number of acres farmed by current and past participants - Post-graduate annual survey
Health and economic impacts for farm families	Amount and value of produce consumed in the household, physical activity engaged in by farm families, increase in income from farm products. Requires baseline.
Diversity of farm enterprises	Number and type of products produced and sold - multiple choice on annual or quarterly farmer surveys
Health of the land	See indicator above - for more long-term metrics, soil tests on the incubator project itself can start as early as possible
Financial literacy and stability for farmers	Number of farmers with complete farm financial statements, utilizing regular record-keeping mechanisms, and able to access credit and financing
Farmers meeting their business and personal goals	Requires documenting farmer goals <i>prior to</i> program participation and reviewing and updating these goals on at least an annual basis. Testimonials and stories about improvement in quality of life, etc.
Community economic health	Amount of money [in terms of value of produce, wages paid, etc.] recirculating within the community as a direct result of new farm businesses
Community food security	Amount of fresh, local products entering into local, and particularly underserved markets



New Farmer Learning Plan

Vermont New Farmer Network

www.uvm.edu/newfarmer

newfarmer@uvm.edu 802-223-2389

Coach _____

Date _____

Name _____

Daytime phone _____

Email Address: _____

Cell phone _____

Postal Address: _____
Street Town State Zip VT County

Preferred contact method (circle one): Email day phone cell phone text message other _____

Based on your coaching session, please rate the most important learning areas for you for the next 3-6 months. Rate your highest priority a "1" and the lowest priority area a "5."

Learning Areas	Rating
• Setting goals and/or developing decision-making skills.	
• Increasing production knowledge and skills.	
• Increasing business planning skills/knowledge and/or and increasing access to capital and credit	
• Gaining access to land and securing land tenure	
• Increasing marketing skills and information and/or gaining access to markets.	

Learning Plan:

Now, identify specific actions you will take in the next 3-6 months that will help you move forward in your top priority areas. You may choose to focus your efforts on one, two or three priority areas. The goal is to identify next steps to achieving your farming goals. You may also find your learning plan useful in communicating with advisors.

Directions: Action planning templates for each of the five learning areas are provided on the following pages.

- Briefly state your desired outcome or objective in up to 3 priority areas.**
- List specific action steps you will take to move toward those goals.** If you need more than 10 words to explain an action step, it is likely that you are combining several actions into one. Simplify your action steps so you can progress clearly toward your desired outcome.

The second column provides educational opportunities offered by the partnering organizations of the Vermont New Farmer Network. Because several support multiple goals, you will see them listed under multiple learning areas. You are not required to select any of them but please check any that you plan to participate in.

- Identify resources you will need to accomplish each action step and list them in the "resources" box** at the bottom of each learning area. Resources may include time, money, financial records, as well as physical resources. Be as specific as possible, and keep in mind that you may need multiple resources to fully accomplish an action step.
- Set a date by which each action step should be completed.**
- Track your progress.**

Goal Setting & Decision Making

Objective:			
Action Step(s)	Educational Opportunities	Target Date	Completed
	<input type="checkbox"/> Growing Places (course) <input type="checkbox"/> Whole Farm Planning for Beginning Women Farmers (course) <input type="checkbox"/> Taking Stock (course)		
Resources:			

Production knowledge and skills

Objective:			
Action Step(s)	Educational Opportunities	Target Date	Completed
	<input type="checkbox"/> Connect with a regional food & farming org. <input type="checkbox"/> Review online resources <input type="checkbox"/> On-farm apprenticeship <input type="checkbox"/> Workshops/conferences <input type="checkbox"/> Field days/pasture walks <input type="checkbox"/> Intervale Success on Farms program <input type="checkbox"/> NOFA-VT Journey Farmer Program <input type="checkbox"/> College farming programs <input type="checkbox"/> Mentoring from experienced farmer <input type="checkbox"/> View webinars <input type="checkbox"/> Join producer group		(Date)
Resources:			

Business Planning & Access to Capital and Credit

Objective:

Action Step(s)	Educational Opportunities	Target Date	Completed
	<input type="checkbox"/> Review online resources <input type="checkbox"/> Growing Places <input type="checkbox"/> Building a Sustainable Business Introduction to Ag Financial Basics <input type="checkbox"/> Whole Farm Planning for Beginning Women Farmers <input type="checkbox"/> Intervale Success on Farms <input type="checkbox"/> Consult with an ag lender <input type="checkbox"/> Consult with a farm business advisor <input type="checkbox"/> VT Community Action Coalition programs (low-income requirements) <input type="checkbox"/> View webinars		(Date)

Resources:

Learning Plan: Access to Secure Land Tenure

Objective:

Action Step(s)	Educational Opportunities	Target Date	Completed
	<input type="checkbox"/> Connect with your regional food and farming organization <input type="checkbox"/> View webinars <input type="checkbox"/> Review online resources <input type="checkbox"/> Download (and use) the "Land Assessment Checklist" <input type="checkbox"/> Consult with VNFN Land Access coordinator. <input type="checkbox"/> Sign up as a seeker at the LAND database. <input type="checkbox"/> Meet with a lender.		(Date)

Resources:

Learning Plan: Marketing Skills and Information

Objective:			
Action Step(s)	Educational Opportunities	Target Date	Completed
	<input type="checkbox"/> Connect with your regional food and farming organization <input type="checkbox"/> View webinars <input type="checkbox"/> Review online resources <input type="checkbox"/> Growing Places (course) <input type="checkbox"/> Building a Sustainable Business (course) <input type="checkbox"/> Taking Stock (course) <input type="checkbox"/> Review Vermont Direct Market Pricing website <input type="checkbox"/> Meet with Food Safety/GAPs specialist <input type="checkbox"/> Workshops/Conferences		(Date)
Resources:			

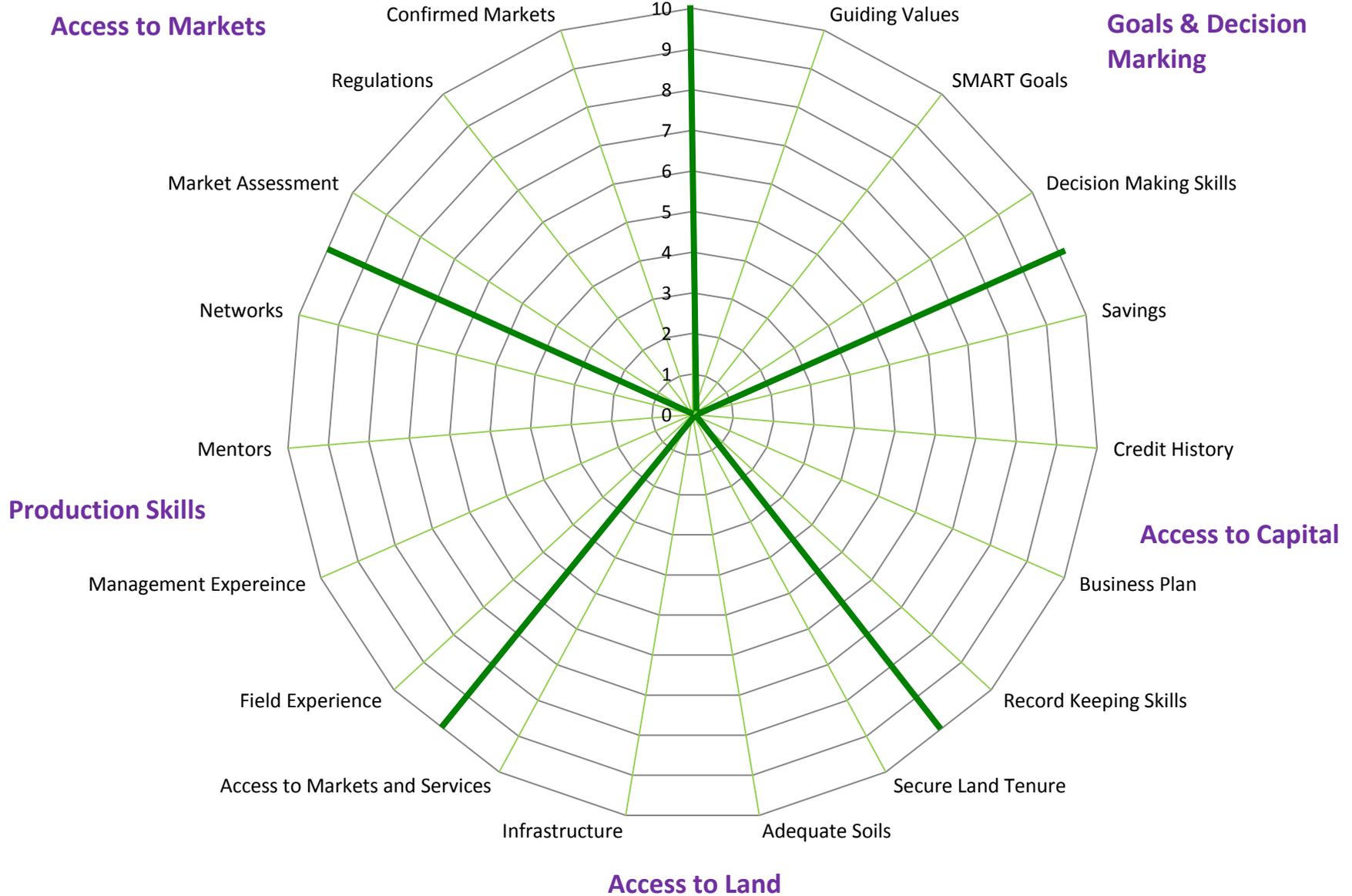
Use this space for other thoughts/ideas related to your learning goals.

Please note: As you complete your first set of action steps and have attained some of your desired outcomes you will want to re-assess your situation and identify a new set of action steps. You may add to this learning plan or start a new one. If, after 6 months you haven't completed your action steps, you should re-assess. Either way, New Farmer Network coaches will be available to help you with the next phase of your farm business development.

Questions? Comments? Contact us any time at newfarmer@uvm.edu or call 802-223-2389.



Farm Business Assessment



Name: _____

Today's Date: _____

New Entry Farm Business Planning Course Pre-Assessment

1. Please list the resources (for market assessment, equipment sourcing, crop planning, etc.) you anticipate using to complete your business plan.
2. What is the difference between direct and indirect marketing?
3. How do you plan to go about identifying your consumers?
4. Name three reasons why writing a business plan is essential to the success of your venture.
5. What is an executive summary?
6. Name at least four factors to consider as you select your enterprises.
7. What is the difference between fixed and variable costs?
8. Name at least three different crop families and give an example of a crop that belongs to each one.
9. What are several characteristics that crops in the same family often share?
10. Give an example of a situation where planting or raising livestock in succession might be a good strategy.

11. What does a production plan accomplish?

12. From where do you anticipate you will order your seeds or starter animals? When will you do that?

13. What equipment and supplies will you need for your specific enterprise(s)? Where will you buy these?

14. _____ is the movement of money into and out of your business; it's the cycle of cash inflows and cash outflows that determine your business' solvency.

15. What is the purpose of a breakeven analysis?

16. What are the three components of a successful mission statement?

17. What do you expect your most significant challenges will be in writing your business plan?

Name: _____

Today's Date: _____

New Entry FBPC Week 1: Marketing & Sales

Learning objectives:

- Students will learn about marketing options
- Students will learn how to do basic market research
- Students will learn how to apply their market research to their farm business plans (marketing plan, financial documents, supporting documents)

1. Name several different types of materials that may be used for marketing and promotion:

2. Name three elements/factors that make for effective promotional materials:

3. A marketing plan helps you to...
 - a. Ensure that your product gets a high enough price
 - b. Lowers the risk of selling your product at a bad time
 - c. Decide what to grow, how much, and when
 - d. Think about alternatives that may increase your business' success
 - e. Identify ways to diversify your markets and manage your risk
 - f. All of the above

4. What is the difference between direct and indirect marketing?

5. How do you plan to go about identifying your consumers?

Check the answer or statement that best describes you. Please do not skip any items.

	1 No, not at all	2 No, not really	3 Yes, mostly	4 Yes, definitely
1. Was tonight's class effective in achieving its stated learning objectives?				
2. Did your knowledge about tonight's topic increase significantly?				
3. Did the layout of tonight's class (balance of presentations, discussion, Q&A, and hands-on activities) meet your learning needs?				
4. Were the instructors available to assist in answering your questions and/or direct you to other relevant resources?				
5. Were the instructors well-informed in answering your questions and/or directing you to other relevant resources?				
6. Do you feel confident in your ability to complete the assigned homework for next week?				
7. Do you feel comfortable seeking help from the instructors if you encounter difficulty with the homework?				

Name: _____

Today's Date: _____

New Entry FBPC Week 2: Intro to Business Planning & Enterprise Selection

Learning objectives:

- Students receive an overview of business planning
- Students understand the importance of being deliberate about what they grow/raise
- Students understand what information is needed to determine what they grow
- Students understand how to analyze the information they collect

1. Name three reasons why writing a business plan is essential to the success of your venture.
2. What is an executive summary?
3. Why is enterprise selection a crucial step early in the business planning process?
 - a. Enterprise selection is important because it locks you into your decisions and means that you stop researching the market for your product.
 - b. The process of carefully selecting your individual enterprises helps you to clearly articulate your goals and collect necessary data to make informed decisions which will ultimately affect every aspect of your farm business. Once your initial decisions are made, they can still evolve and change.
 - c. Enterprise selection isn't that important. If you choose to do it at all, you can always do it later on.
 - d. You can always choose your enterprises based on gut instinct if you don't have time to research.
 - e. None of the above.
4. Name at least four factors to consider as you select your enterprises.
5. What do you think you'll select as your enterprise(s)? What are your next steps in making an informed decision?

Check the answer or statement that best describes you. Please do not skip any items.

	1 No, not at all	2 No, not really	3 Yes, mostly	4 Yes, definitely
1. Was tonight's class effective in achieving its stated learning objectives?				
2. Did your knowledge about tonight's topic increase significantly?				
3. Did the layout of tonight's class (balance of presentations, discussion, Q&A, and hands-on activities) meet your learning needs?				
4. Were the instructors available to assist in answering your questions and/or direct you to other relevant resources?				
5. Were the instructors well-informed in answering your questions and/or directing you to other relevant resources?				
6. Do you feel confident in your ability to complete the assigned homework for next week?				
7. Do you feel comfortable seeking help from the instructors if you encounter difficulty with the homework?				

Name: _____

Today's Date: _____

New Entry FBPC Week 3 Post-Assessment: Crop Planning and Production

Learning objectives:

- Students will continue learning about enterprise selections and refinement
 - Students will learn how to assemble enterprise budgets
 - Students will learn about specific fruit/vegetable crop culture by family
 - Students will start to learn how to plan their crops
1. What are the different components of an enterprise budget?
 - a. Expenses and Work Hours
 - b. Time, Money, and Satisfaction
 - c. Receipts/Income, Variable Costs, and Fixed Costs
 - d. Only Income and Fixed Costs

 2. What is the difference between fixed and variable costs?

 3. Name at least three different crop families and give an example of a crop that belongs to each one.

 4. What are several characteristics that crops in the same family often share?

 5. What are important to consider in crop planning?
 - a. The irrigation and nutrient needs of different plants
 - b. Crop susceptibility to different pests and diseases
 - c. The quantity of different crops you will need to produce to meet your market demand
 - d. The number of successions you will need
 - e. How long plants take to reach maturity
 - f. All of the above

 6. How has thinking about the budgets for your enterprise and the considerations of effective crop planning influenced your decision-making?

Check the answer or statement that best describes you. Please do not skip any items.

	1 No, not at all	2 No, not really	3 Yes, mostly	4 Yes, definitely
1. Was tonight's class effective in achieving its stated learning objectives?				
2. Did your knowledge about tonight's topic increase?				
3. Did the layout of tonight's class (balance of presentations, discussion, Q&A, and hands-on activities) meet your learning needs?				
4. Were the instructors available to assist in answering your questions and/or direct you to other relevant resources?				
5. Were the instructors well-informed in answering your questions and/or directing you to other relevant resources?				
6. Do you feel confident in your ability to complete the assigned homework for next week?				
7. Do you feel comfortable seeking help from the instructors if you encounter difficulty with the homework?				

Name: _____

Today's Date: _____

New Entry FBPC Week 4 Post-Assessment: Equipment, Supplies, and Sourcing

Learning objectives:

- Students will review the things we have covered so far, including homework assignments
- Students will understand the crop planning process, planning worksheet and materials ID worksheet
- Students will learn how to translate the information in the improved crop planning worksheet to field and greenhouse schedules
- Students will identify what materials they will need, where/when to source the materials, and how much materials and supplies cost

1. Give an example of a situation where growing your crops or raising your animals in successions might be a good strategy.
2. Why should you select the variety of each crop or breed of animal will grow before you complete the improved crop planning worksheet?
 - a. So you know what your soil will smell like
 - b. So you can effectively plan for the appropriate space required by each variety
 - c. So you make sure to get the most "new and improved" varieties before they sell out
 - d. So you're sure you like the way they look
3. Once completed, a _____ will assist you in determining exactly when each of your crops will be seeded, how many seeds/trays/plants you will need, the total number of rows to plant, when to transplant, and when your crops will be ready to harvest and sell. It will be necessary both for your business plans and to assist you as you work in your fields.
4. What does a production plan accomplish?
5. Explain the difference between row feet and bed feet. (optional for livestock-only enterprises)
6. From where do you anticipate you will order your seeds or starter animals? When will you do that?
7. What equipment and supplies will you need for your specific enterprises? Where will you buy these?

Check the answer or statement that best describes you. Please do not skip any items.

	1 No, not at all	2 No, not really	3 Yes, mostly	4 Yes, definitely
1. Was tonight's class effective in achieving its stated learning objectives?				
2. Did your knowledge about tonight's topic increase?				
3. Did the layout of tonight's class (balance of presentations, discussion, Q&A, and hands-on activities) meet your learning needs?				
4. Were the instructors available to assist in answering your questions and/or direct you to other relevant resources?				
5. Were the instructors well-informed in answering your questions and/or directing you to other relevant resources?				
6. Do you feel confident in your ability to complete the assigned homework for next week?				
7. Do you feel comfortable seeking help from the instructors if you encounter difficulty with the homework?				

Name: _____

Today's Date: _____

New Entry FBPC Week 5 Post-Assessment: Business Planning I

Learning objectives:

- Students receive an overview of business planning
- Students understand the importance of being deliberate about what they grow/raise
- Students understand what information is needed to determine what they grow
- Students understand how to analyze the information they collect

1. A sales forecast...
 - a. Helps you to know when you'll start making money
 - b. Helps you see how long you will make money
 - c. Is essential to determining your cash flow
 - d. All of the above

2. From where are the numbers from the sales forecast derived?

3. _____ is the movement of money into and out of your business; it's the cycle of cash inflows and cash outflows that determine your business' solvency.

4. How are the figures in your cash flow analysis determined?

5. What is the purpose of a breakeven analysis?

6. The numbers from the breakeven analysis...
 - a. Come directly from the cash flow analysis
 - b. Are based on your marketing plan alone
 - c. Should always include your grandmother's lucky number
 - d. Are unimportant for your financial planning, we just needed to use up the class time

Check the answer or statement that best describes you. Please do not skip any items.

	1 No, not at all	2 No, not really	3 Yes, mostly	4 Yes, definitely
1. Was tonight's class effective in achieving its stated learning objectives?				
2. Did your knowledge about tonight's topic increase?				
3. Did the layout of tonight's class (balance of presentations, discussion, Q&A, and hands-on activities) meet your learning needs?				
4. Were the instructors available to assist in answering your questions and/or direct you to other relevant resources?				
5. Were the instructors well-informed in answering your questions and/or directing you to other relevant resources?				
6. Do you feel confident in your ability to complete the assigned homework for next week?				
7. Do you feel comfortable seeking help from the instructors if you encounter difficulty with the homework?				

Name: _____

Today's Date: _____

New Entry FBPC Week 6 Post-Assessment: Business Planning II

Learning objectives:

- Learn how to synergize the information: put into financial sheets for the business plan
- Learn how all of the work we have done to this point gets translated into the narrative parts of the business plan

1. What are the three components of a successful mission statement?
2. The _____ is a short description of your business that can be easily memorized and shared with consumers, lenders, and others who may be interested in your venture. It should include relevant information that differentiates your business from others which might be similar.
3. What information is included in the operations plan?
 - a. The location of your business and its surrounding environment
 - b. The equipment, people, and processes you will utilize to execute your plan
 - c. The day-to-day operations that will occur
 - d. All of the above
4. When should you write your executive summary?
5. Who will you share your business plan with in order to get input as you write and refine?

Check the answer or statement that best describes you. Please do not skip any items.

	1 No, not at all	2 No, not really	3 Yes, mostly	4 Yes, definitely
1. Was tonight's class effective in achieving its stated learning objectives?				
2. Did your knowledge about tonight's topic increase significantly?				
3. Did the layout of tonight's class (balance of presentations, discussion, Q&A, and hands-on activities) meet your learning needs?				
4. Were the instructors available to assist in answering your questions and/or direct you to other relevant resources?				
5. Were the instructors well-informed in answering your questions and/or directing you to other relevant resources?				
1. Do you feel confident in your ability to complete the assigned homework for next week?				
2. Do you feel comfortable seeking help from the instructors if you encounter difficulty with the homework?				

1. What do you expect your most significant challenges will be in writing your business plan?

2. What do you expect your most significant challenges will be in implementing your business plan?

**Intervale Center
Farms Program Farm Report
2013 Season**

Farm Name:

Best e-mail for Intervale Center to use to contact the farm:

Best phone number for Intervale Center to use to contact the farm:

Principle Operators/Owners:

Acres in Production:

Acres Cover Cropped:

What is your farm's primary market?

Direct Marketing

How many CSA shares did you sell this year? Please break down by season if appropriate.

How many farmers' markets did you attend each week? Which ones?

What other kinds of direct marketing did you do (eg. PYO, Veggie Truck, etc) ? How many customers do you think you served in these other venues?

Wholesale Marketing

Who are your wholesale customers? What types of customers are they? Are they in Burlington, in Chittenden County or beyond Chittenden County? *Eg., 2 coops/natural foods stores in Burlington, 4 restaurants, 1 statewide distributor*

Estimated amount (volume) or dollar value of farm products donated or provided at reduced cost to low income community members through the following venues:

Eg. Intervale Center Gleaning Project donated 7,000 lbs

Intervale Center Gleaning Project

ONE Farmers' Market (provided at reduced cost)

Direct Farm-to-Food Bank Delivery

Donation of transplants and/or Supplies

Volunteer Time

Farm-to-School Program

Other (specify)

Total Farm Income (please indicate whether owners draw is accounted as an expense)

Gross Sales:

Total Expenses:

Net income:

People

How many people own this farm enterprise?

How many people, *outside of the owners*, are employed by this farm as **year round, full time workers**?

How many people, *outside of the owners*, are employed by this farm as **year round, part time workers**?

How many people, *outside of the owners*, are employed by this farm as **seasonal, full time workers**?

How many people, *outside of the owners*, are employed by this farm as **seasonal, part time workers**?

Total number of employees and owners:

Number of **new** positions and/or owners created in the 2013 season?

Were any of your employees considered apprentices? If so, how many?

Number of work share and/or volunteers?

Below is a chart used to determine household income levels. For Intervale Center grant reporting, it is important to know how many farm workers and owners are considered low or moderate income.

# in Household*	1	2	3	4	5	6	7	8
EXTREMELY LOW INCOME (30% of median)	\$16,100	\$18,400	\$20,700	\$23,000	\$24,850	\$26,700	\$28,550	\$30,400
LOW INCOME (50% of median)	\$26,850	\$30,700	\$34,550	\$38,350	\$41,450	\$44,500	\$47,600	\$50,650
MODERATE INCOME (80% of median)	\$42,950	\$49,100	\$55,250	\$61,350	\$66,300	\$71,200	\$76,100	\$81,000

To the best of your knowledge, of all the owners on your farm, how many fall into the following categories?

Extremely low income? _____

Low income? _____

Moderate income? _____

Race and Ethnicity Information

Below is a chart used to track race and ethnicity of farmers working at the Intervale. For Intervale Center grant reporting, it is important to know this information. Please fill in the chart for all owners and non-owners working on your farm. (Please note: Data for this purpose is collected on those who consider themselves Hispanic. For example, an individual could be a non-owner Hispanic farm worker who is white or black or another individual could be a farm owner Hispanic who is black or Asian.

	White	Black / African American	American Indian / Alaskan Native	Asian	Native Hawaiian / Pacific Islander	Black / African American and White	American Indian / Alaskan Native and White	Asian and White	American Indian / Alaska Native and Black / African American	Balance of persons reporting more than one race
Current: Farm owners non-Hispanic										
Current: Farm owners Hispanic										
Non-owner non-Hispanic farm workers										
Non-owner Hispanic farm workers										
Total										

Land Use Protocol Compliance

Is your farm in compliance with the VOF Organic Standards? *You do not have to be VOF Certified Organic to answer yes, but you do have to follow the VOF protocols.*

Is your farm certified organic?

If not, what practices are not compatible with VOF certification?

Do you have a copy of the latest standards?

Cover Cropping

Acres in winter cover crop:

Acres in perennial crops:

If not all acres are covered or in perennials, please explain why:

Livestock

Did you or someone keep **bee hives** on your farm this year? If so, were they registered, as required by state law, with the apiculturist?

Did you keep **animals** on your farm this year? If so, what kinds and how many?

What are your plans for keeping animals next year?

Please report any significant **pest, disease** or **weed** problems. How are your insect, weed and disease management techniques working?

Did you experience any acts of **vandalism or theft** in the Intervale this year?
If so, please explain:

Did you complete any **infrastructure improvements** on your farm this year? If so, what?

Do you have plans for infrastructure projects next year? If so, what?

For Mentor Farms Only: How did you use your mentor hours this year?

Submit this completed form, along with copies of any soil tests taken in the last year, to Maggie@intervale.org by February 14, 2013. Thank you.

Incubator Farm Self-Evaluation

Please submit this document with your updated business plan to Intervale Center staff at the time of lease renewal.

Farm Name:

Season:

Date of Evaluation:

Did your farm meet its financial goals? Y / N

If not, did your farm break even? Does your farm have a realistic plan to improve income or production? Why do you think you were successful? Do you feel satisfied by the financial return from your time and investment in the business?

Did your farm meet its production goals? Y / N

What went wrong? What went right? What do you plan to do to improve production in the future?

Are you satisfied with your farm's operations this year? Y / N

Do you have plans to achieve satisfactory return in the future? Include both financial and non-financial considerations, keeping in mind that we are interested in farm viability.

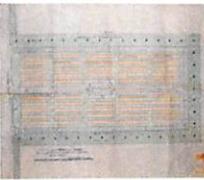
If you are not already, do you plan to become organic certified? Y / N

Why or why not? Do you think certification might help your business?

What do you plan to change next year?

Farmer Self Sufficiency Matrix

Farmer: _____

		Year 1		Year 2		Year 3		Year 4		Year 5		Year 6	
	I prepare the soil by myself in the spring.		1		3								
	I prepare raised beds.		5		3								
	I can work a roto-tiller.		0		1								
	I can prepare soil by myself in the fall.		1		5								
	I add soil amendments by myself.		5		5								
Transplants			2.4		3.4								
	I plant my seeds in the greenhouse at the right time.		3		3								
	I care for my seedlings by myself.		3		4								
	I plant my seedlings outside at the right time.		1		4								
Farm Planning													
	I make a garden map.		1		1								
	I know what crops grow well in Kansas City.		3		4								
	I rotate my crops in my garden.		4		4								
Pest Control													
	I can identify 3 major insect pests and can name the organic control used for each.		2		2								
	I successfully used organic controls to treat insect pests.		1		2								

Farmer Self Sufficiency Matrix

Farmer: _____

	Irrigation	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
	I water my plants when they need water.		4 4				
	I water my plants correctly, at the base.		5 5				
	I use mulch effectively.		5 5				
	I use drip irrigation.		0 0				
Harvesting							
	I harvest my plants at the correct time.		4 5				
	I store my harvested vegetables safely, away from heat.		4 5				
	I wash, bundle, and cool down my crops safely.		5 5				
Farm Management							
 	I use hand tools well.		5 5				
	I keep my field weeded, and know why it's important.		5 5				
	I correctly use mulch, trellis and other treatments.		4 5				
	I clean my garden at the end of the season.		5 5				
	I take my waste to the compost, and put appropriate things to put in the compost pile.		5 5				

Scoring Key

Staff, please put your grade on the left, farmer on the right.

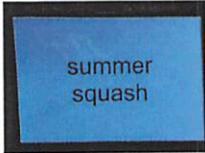
- 0: I am not trying to do this.
- 1: I am trying to do this, but have not succeeded yet.
- 2: I have done it with some success.
- 3: I can do it, but still need staff help all the time.
- 4: I can do, but need staff help some times.
- 5: I do it on my own.

Year	Staff Evaluating
1	Cathy B.
2	Cathy B.
3	
4	
5	
6	

		Year 1		Year 2		Year 3		Year 4		Year 5		Year 6		
<p>01234 56789</p>     	Language													
	I can read and speak my numbers 1-100.		5		5									
	I can identify change.		5		5									
	I can identify bills.		5		5									
	I can calculate taxes and bank money.		1		2									
	I can write a bank deposit slip.		0		0	Family								
	I can read and write a check.		3		3									
	I can tell time by using an analog clock.		5		5									
	I can tell time by seeing it on a clock.		5		5									
	When someone verbally tells me a time, I know what they are saying.		5		5									
	I know the days of the week and months.		4		5									
	I can use a calendar.		3		4									
	I can write and recognize dates.		5		5									
	I understand seasonal changes and recognize what months they happen in.		4		5									
I understand and can draw a simple map.		3		3										

Farmer Self Sufficiency Matrix

Farmer: _____

		Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
	I can pronounce the names of vegetables and herbs grown at Juniper Gardens.	4	4				
	I can identify vegetables and herbs from a picture.	4	5				
	I can identify vegetables and herbs from a written card.	2	3				
	I can write the names of vegetables and herbs that I grow.	1	2				
	I know the names of common tools and equipment.	1	3				
	I can describe how to cook a dish traditional to my culture in English.	1	2				
	I have working knowledge of cooking terms.	1	2				
	I communicate with my CSA friends at market.	5	2				
	I have contact with my CSA friends over the phone.	3	1				
	I keep my CSA pick up record on my own.	5	1				
	I can order seeds from a catalogue.	0	0				

27

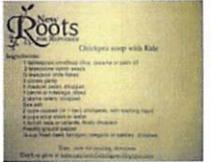
25

Scoring Key

Staff, please put your grade on the left, farmer on the right.

- 0: I am not trying to do this.
- 1: I am trying to do this, but have not succeeded yet.
- 2: I have done it with some success.
- 3: I can do it, but still need staff help all the time.
- 4: I can do, but need staff help some times.
- 5: I do it on my own.

Year	Staff Evaluating
1	<i>[Signature]</i>
2	Emily
3	
4	
5	
6	

	Marketing	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
	I can identify tables, tents, tablecloths, baskets and cash boxes.	5	5				
	I can set up my own market stand.	5	5				
	I can write my own price signs.	3	4				
	I can place recipes correctly on my stand.	3	3				
	I drive myself to market.	0	0				
	I can manage my market stand alone.	5	3				
	I can fill out my own sales record.	1	2				
	I know my market manager's name.	0	0				
	I can fill out a farmers' market application.	0	0				

Scoring Key

Staff, please put your grade on the left, farmer on the right.

- 0: I am not trying to do this.
- 1: I am trying to do this, but have not succeeded yet.
- 2: I have done it with some success.
- 3: I can do it, but still need staff help all the time.
- 4: I can do, but need staff help some times.
- 5: I do it on my own.

Year	Staff Evaluating
1	
2	Emily
3	
4	
5	
6	

NESFP & World PEAS Business Plan Update: 2013 Season

CONTACT INFORMATION

Your Name: _____

Farm Business Name: _____

BUSINESS OVERVIEW

1. Where are you planning on farming (include address if known): _____

1A. List your insurance carrier for your farm business (include policy #): _____

2. What is the total acreage of your farm? _____ Acres in cultivation? _____

3. Does your farm business include (check all that apply) growing crops

raising animals food processing or making food items services

other (please describe: _____)

4. Did you make a profit in 2012? If so, how much? _____

If not, did you break even or did you lose money? _____

4A. What are your business goals for the 2013 season? Are any of these different from your original business plan? If so, please specify _____

4B. What steps are you taking to ensure you attain these goals in 2013 (i.e. entering new markets, reducing monthly expenses, etc)? _____

MARKETING PLAN

5. Where will you sell your products? Circle all that apply

Independent CSA

World PEAS

Farm Stand

Farmers Markets (specify which ones) _____

Flea Markets (specify which ones) _____

Restaurants (specify which ones) _____

Grocery Stores (specify which ones) _____

Wholesale (specify) _____

Other (specify) _____

6. Have you had experience selling at these markets before?

Independent CSA	YES	NO
World PEAS	YES	NO
Farmers Market	YES	NO
Flea Market	YES	NO
Restaurant	YES	NO
Grocery Store	YES	NO
Farm Stand	YES	NO
Wholesale	YES	NO
Other	YES	NO

7. How will customers learn about your product? _____

FINANCIAL PLAN

A. BUSINESS COSTS

8. What do you need to start or expand your business for the 2013 season? (*EQUALS Total one-time, start-up expenditures/investments required before production can begin.*) **One time start-up costs: (No.8)** _____

9. How much will it cost to keep your business going each month? **Average monthly production costs: (No.9)** _____
(*Average of total monthly fixed and variable costs for your farm business . Do not include the one-time expenses from Question #8.*)

10. Add **Nos. 8 and 9** for the total cost of the first month of operation.

Total initial outlays

B. MEETING YOUR COSTS

11. Cash available to bring to the business? **Total cash available: (No. 11)** _____
(Personal/household funds immediately available as cash-on-hand to invest in business)

12. Fixed assets? **Total fixed assets: (No. 12)** _____
(Monetized value of owned equipment, vehicles, structures, land, and other long-term assets)

13. Other financial resources secured? **Other resources: (No. 13)** _____
(*Secured or "liquid" grants, WPC advanced payment, loans, and other outside investment immediately available.*)

14. Add Nos. 11, 12, and 13 for total available resources that you can invest in your business at present:

(total resources)

15. Are the Total available resources (**No.14**) greater than or equal to your Total costs for the first month (**No. 10**)? YES NO

If yes, please answer the rest of the questions. If **NO, you must reconsider your business plan!**

C. BUSINESS PROFITS

16. How much money do you expect to make in sales in one month? _____
(=Average Monthly Sales) MONTHLY SALES

17. What are your average monthly production costs? (**No.9**) _____
MONTHLY OPERATING COSTS

18. Your average monthly profit is _____ - _____ = _____
SALES (NO. 16) COSTS (NO. 17) AVERAGE MONTHLY PROFIT

19. How much money do you expect to make in sales during the whole growing season? (= Total sales) _____
TOTAL SALES

20. What are your total production costs for the whole season? _____
TOTAL OPERATING COSTS

(= **No. 8** + (# of months you are in operation x **No. 9**) + (ongoing costs through winter season))

21. Your profit for the season is _____ - _____ = _____
SALES (NO. 19) COSTS (NO.20) TOTAL PROFIT

22. Do you break even? YES NO

23. How will you use your profits? Check all that apply

- Reinvestment
- Expansion (scale or intensity of production, land base, addition of new enterprises, personnel)
- Buy tools/equipment
- To expand marketing and/or promotional efforts
- Buy raw materials/merchandise
- For future investment in equipment replacement or repair; to cover depreciation costs
- For savings
- For family/personal use

New Entry Sustainable Farming Project Yearly Financial Worksheet

This worksheet is to be completed by New Entry farmers who sell to World PEAS and/or who rent land on the farm incubator sites. Filling in this worksheet will help you work through your business finances and we will be able to have more accurate information for our program and grant reporting. All of the information you give us on this worksheet will be kept strictly confidential. If you are having trouble with this worksheet, please make an appointment to see a New Entry staff member, and we can help you fill it in. This worksheet is due with your marketing agreement to World PEAS.

Contents

General Farm Business Information	1
Farm Income	2
Sales Information	2
Expenses Information	3
Farm Labor/Jobs Information	4
Net Farm Income	5
Financing	6
Business Balance Sheet	6
Household Information and Income	8
General Evaluation	9

General Farm Business Information

1. What type of business is your farm business incorporated as?
 - a. Sole Proprietor
 - b. General Partnership
 - c. Limited Liability Partnership
 - d. Limited Liability Company
 - e. Corporation
 - f. Non-profit Entity
 - g. Other (please explain) _____
2. Do you have a business checking account?
 Yes No (go to 2B)
- 2B. Would you like a staff member to assist you in starting an account?
 Yes No

3. Do you use Quickbooks?
- Yes No (go to 3B)
- 3B. Would you like assistance in learning how to use quickbooks?
4. Would you like to use Quickbooks at the New Entry office?
- Yes No
5. Will you file a Schedule F form for your farm when you filed your income taxes this year?
- Yes No Don't know
6. What kind of insurance do you have for your farm business? **[circle all that apply]**
- a. General Farm Liability Insurance
 - b. Product Liability Insurance
 - c. Farm Vehicle Liability Insurance
 - d. Rented or Hired Equipment Liability Insurance
 - e. Worker's Compensation Insurance
 - f. Other (please describe) _____

Farm Income

Sales Information

7. Please fill in the amount of money that you made in sales for each of the different categories below.
- a. What were your World Peas sales during the past year?
 \$ _____ DON'T KNOW
 - b. What were sales to Wholesale during the past year?
 \$ _____ DON'T KNOW
 - c. What were your sales to Other Farmers during the past year?
 \$ _____ DON'T KNOW
 - d. What were your CSA sales? (other than World Peas)
 \$ _____ DON'T KNOW
 - e. What were your Direct to institution sales? (restaurants, etc.)
 \$ _____ DON'T KNOW

- f. What were your Farmers Market sales?
 \$ _____ DON'T KNOW
- g. What were your Farm Stand sales?
 \$ _____ DON'T KNOW
- h. What were your Grower Cooperative sales? (excluding World Peas)
 \$ _____ DON'T KNOW
- i. What were your Other sales? (please make a note of what type of sales they were)
 \$ _____ DON'T KNOW

Total farm income (add 7a through 7i)

\$ _____

8. What level of satisfaction do you have with your current marketing channels?
- Very satisfied
 - Moderately satisfied
 - Adequate
 - Moderately unsatisfied
 - Very unsatisfied
9. Would you like additional assistance developing markets?
- Yes No

Expenses Information

10. Please fill in the amount of money that you paid in expenses for the past growing year.
- a. How much did you pay for seeds and/or starts this past year?
 \$ _____ DON'T KNOW
- b. How much did you pay for soil amendments this past year?
 \$ _____ DON'T KNOW
- c. How much did you pay for land in the past year?
 \$ _____ DON'T KNOW
- d. How much did you pay for water in the past year?
 \$ _____ DON'T KNOW

- e. How much did you pay for irrigation equipment in the past year?
\$ _____ DON'T KNOW
- f. How much did you pay for electricity in the past year?
\$ _____ DON'T KNOW
- g. How much did you pay for farm infrastructure improvements this past year?
\$ _____ DON'T KNOW
- h. How much did you pay for other equipment in the past year?
\$ _____ DON'T KNOW
- i. How much did you pay in repairs this past year?
\$ _____ DON'T KNOW
- j. How much did you pay for gas and transportation this past year?
\$ _____ DON'T KNOW
- k. How much did you pay in loan payments this year?
\$ _____ DON'T KNOW
- l. How much did you pay in other payments this year (not including labor)?
\$ _____ DON'T KNOW

Total farm expenses, without labor (add 10a through 10l)

\$ _____

Farm Labor/Jobs Information

11. How much income did you actually pay yourself (or your business partner or family) from your farm in the prior year? **This is called Owner's Draw (or 'draw') which is the amount taken out by the owner of a sole proprietorship or partnership for personal use. A self-employed business owner does not usually take a salary. Instead, he or she makes an initial investment in the business from personal funds and during the course of the business takes money out as a "draw."**

\$ _____ DON'T KNOW

12. Did family members or friends work on your farm without pay in the prior year?

Yes No Don't know

12A How many family members? _____

12B How many total hours per week on average? _____

13. Including yourself, how many paid employees or contractors did your business have in the following categories?
If you had a partner who was taking a draw, please count him/her as an employee and enter details below

Full-time (at least 35 hrs/week) jobs (12 mos/not seasonal) **created** in the prior year _____

Full-time jobs (12 months - not seasonal) **retained** in the prior year _____

Part-time (includes seasonal employment) **created** in the prior year _____

Part-time (includes seasonal employment) **retained** in the prior year _____

14. What was your total farm wage/labor contractor expense in the past year?

(do not include Owner's Draw)

\$ _____ Don't know Refused to answer

Net Farm Income

15. What was your **Net Farm Income Before Taxes** in the past year? Subtract your expenses from your total farm income.

7 Total Farm Income	
- 10 Total Expenses	
- 11 Owner's Draw	
- 14 Wage/labor Expenses	
Net Farm Income Before Taxes	

16. How much will you claim as income on your schedule F form for your tax return?

\$ _____ DON'T KNOW

17. Did the performance of your farm improve the financial circumstances of your household in the prior year a lot, a little, no difference, not much or not at all?

- Yes, a lot
- Yes, a little
- No difference
- No, not much
- No, not at all
- DON'T KNOW

Financing

18. During the prior year did you apply for financing for your farm?

Yes No (go to 18) Don't know

18A. During the prior year did you receive any financing for your farm?

Yes (go to 18C) No (go to 18) Don't know

18B. Did you receive a denial letter?

Yes No N/A

18C. What type of financing was rec'd and what dollar amount?

Please use the following graph to record information about your source of financing.

Financing Type	\$ Requested	\$ Received	Date Rec'd	Source
Commercial Bank Loan*				
Bank Line of Credit*				
Non-profit Lender (or CDFI)*				
Indiv. Development Acct (IDA)				
Private Investor(s)				
Customers (loans)				
Income from Job				
Crowdsourcing (Kickstarter, Prosper, etc)				
Business Profits				
FSA Loan				
Owner reinvestment in biz				
Family and Friends				
Personal savings				
Other or notes:				

* - If bank loan or line of credit, please answer:

18D. Did a family member co-sign for the loan or financing?

Yes No Don't know

Business Balance Sheet

Now we want to help you complete a Business Balance Sheet. It will create a snapshot of the business value as of the end of the year, on December 31. Please review and determine dollar estimates for the following:

19. ASSETS These are economic resources capable of being owned or controlled to produce value for your business.

Checking/Cash on Hand _____

Savings _____

Accounts Receivable _____

Seeds/Transplants _____

Supplies/Storage _____

Growing Crops _____ (plant materials providing future harvest, berries, trees, etc)

Autos and Trucks _____

Tractors and Equipment _____

Contracts/Notes Receivable _____ (confirmed income due to farm business)

Ag Real Estate/Farmland _____

20. LIABILITIES These are financial *obligations* arising from *past* transactions or events.

Property Taxes Payable _____

Income Taxes Payable _____

Accounts Payable _____ (includes credit cards)

Accrued Liabilities _____ (money that you will owe for services rendered)

Note Payable #1 _____ (non-mortgage loans)

Detail _____ (source of financing)

Note Payable #2 _____

Detail _____

Note Payable #3 _____

Detail _____

Note Payable #4 _____

Detail _____

Financial Leases _____ (long-term lease obligations)

Farm Mortgage _____

Household Information and Income

Now we'd like you to answer a few questions about your work status and also about your household – the other people who lived with you and shared expenses in the prior year.

21. Did you have another job or other jobs outside your business in the past year?

Yes No (skip to 23)

22. Was this work part-time or full-time? Full-time is at least 35 hours of work a week.

Part-Time Full-Time DON'T KNOW

23. Household Information

a. Are you receiving federal aid or assistance?

Yes No

b. Circle your household size and corresponding income level. **Please do not include roommates who only shared expenses with you. Include extended family or significant others if they share income and expenses. If this changed during the year, please answer with the number who were there for the longest period of time.**

<i>Household Size</i>		Income Level	Income Level	Income Level	Income Level
1		\$0-\$19,500	\$19,501-\$32,550	\$32,551-\$45,500	\$45,501+
2		\$0-\$22,300	\$22,301-\$37,200	\$37,201-\$52,000	\$52,001+
3		\$0-\$25,100	\$25,101-\$41,850	\$41,851-\$58,500	\$58,501+
4		\$0-\$27,850	\$27,851-\$46,450	\$46,451-\$65,000	\$65,001+
5		\$0-\$30,100	\$30,101-\$50,200	\$50,201-\$70,200	\$70,201+
6		\$0-\$32,350	\$32,351-\$53,900	\$53,901-\$75,400	\$75,401+
7		\$0-\$34,550	\$34,551-\$57,600	\$57,601-\$80,600	\$80,601+
8		\$0-\$36,800	\$36,801-\$61,350	\$61,351-\$85,800	\$85,801+

24. Did you have health insurance for yourself in the prior year?

Yes (go to 24A) No (go to 24B)

24A. What was the source of your health insurance?

- Your (other) job
- Your spouse's job
- Your business
- Free state health insurance
- Subsidized state health insurance
- Other state health insurance
- Medicaid
- Medicare
- Private policy
- Other

24B. How important is it to you for something to be done about your access to health insurance?

- Extremely important
- Somewhat important
- Important
- No so important
- Not at all important
- DON'T KNOW

General Evaluation

25. Please indicate which **one** of the following represents how you feel about the progress of your farm business development so far?

- Very satisfied
- Somewhat satisfied
- Neither satisfied, nor dissatisfied
- Somewhat dissatisfied
- Very dissatisfied
- DON'T KNOW

26. How well would you say the amount you paid yourself from your business meets the goals you had for your business?

- Very much exceeded expectations (*skip to question #10*)
- Exceeded Expectations (*skip to question #10*)
- Met expectations (*skip to question #10*)
- Somewhat met expectations
- Did not at all meet expectations
- DON'T KNOW

27. What is the main reason you feel your expectations were not met?

- Underestimated expenses
- Broader market and state of the economy
- Market took longer to develop; fewer customers than anticipated
- Business took more time than expected
- Business needed more capital than expected
- Personal issues or illness of owner or family members
- Other, **Please explain** _____

28. What additional services or assistance do you think would be helpful for your business at this time? **[check all that apply]**

- Increased assistance to gain financing
- Increased assistance to access markets
- Increased assistance in gaining access to land
- Increased business skills
- More practical experience (e.g. field demonstrations)
- Increased assistance in developing language skills (English or Spanish)
- DON'T KNOW

29. What could New Entry do to help prepare you for future challenges?

New Entry Graduate/Non-Incubator Annual Survey

Name _____ Date _____

The information in this worksheet will be kept confidential by New Entry staff. It is important information for our program development and to our funders.

1. How many years have you been farming

- a. New to farming
- b. Farming 1-3 years
- c. Farming 4-6 years
- d. Farming 7-10 years
- e. Farming more than 10 years
- f. Other [please describe]

2. Are you currently farming [growing or raising items for sale]?

- a. Yes, I own and operate my own farm business
- b. Yes, I manage someone else's farm
- c. Yes, I work on someone else's farm
- d. No, I am not farming, but I am involved with food production [please explain]:

- e. No, I am not farming or involved with food production [why not?]:

3. Land Access. Please **circle all that apply**.

- a. I own my own farmland
- b. I rent my own farmland
- c. I farm for an organization that owns farmland
- d. I farm for an organization that rents farmland
- e. I have access to farmland without a formal agreement
- f. I do not have access to land
- g. Other [please describe]

4. Agricultural Enterprise that you are currently involved with or would like to become involved with [check all that apply]:

- | | | |
|--|--------------------------------------|--|
| <input type="checkbox"/> Apple/fruit | <input type="checkbox"/> Greenhouse | <input type="checkbox"/> Poultry |
| <input type="checkbox"/> Beef | <input type="checkbox"/> Hay/forage | <input type="checkbox"/> Row crops |
| <input type="checkbox"/> Berries | <input type="checkbox"/> Herbs | <input type="checkbox"/> Sheep |
| <input type="checkbox"/> Christmas trees | <input type="checkbox"/> Hogs | <input type="checkbox"/> Sugaring |
| <input type="checkbox"/> Dairy [cows] | <input type="checkbox"/> Horses | <input type="checkbox"/> Vegetables |
| <input type="checkbox"/> Flowers | <input type="checkbox"/> Livestock | <input type="checkbox"/> Woodlot |
| <input type="checkbox"/> Goats | <input type="checkbox"/> Ornamentals | <input type="checkbox"/> Other [please |
| <input type="checkbox"/> Grains | <input type="checkbox"/> Pasture | Describe]: |



5. Briefly describe your goals for last season (select all that apply):

- a. Increase sales
- b. Maintain prior year sales & production
- c. Expand production
- d. Diversify Markets
- e. Improve production skills
- f. Other:

6. Did you achieve those goals?

- a. Yes
- b. No
- c. Some

7. Please describe which goals you met, which goals you did not meet and why you think you did not achieve those goals: _____

8. Briefly describe your goals for next season (select all that apply):

- a. Increase sales
- b. Maintain prior year sales & production
- c. Expand production
- d. Diversify Markets
- e. Improve production skills
- f. Other:



CONFIDENTIAL BEGINNING FARMER SURVEY

Today's Date: ____/____/____

Client ID # _____

Enrollment Date: ____/____/____

Business status at entry: _____

Most recent business status: _____

Most Recent Business Status Date: ____/____/____

THIS SECTION TO BE COMPLETED BY INTERVIEWER AFTER SURVEY

Interviewer Name:		Interview Date:	
Interview Method:		Interview Length (time):	
	Follow-Up Tasks and/or Referrals for Client	Date Completed	Initials
	Survey Follow Up Tasks		
	Post coding:		
	Business status updates		
	Business growth events updates		
	Data cleaning		
	Data entry		
	Thank you card to client		

Interviewer Comments:

START SURVEY HERE

INTRODUCTION:

Thank you so much for scheduling this time to talk with me. As you know, we are conducting a confidential check-in to learn how you are doing after receiving services from ALBA in 2011. Most of the questions are about your results and changes over time. At the end of the survey we can talk about how ALBA can best meet your needs going forward.

- Your responses will help ALBA understand what it is going well and what improvements we should consider in our services.**
- This survey will take at least one hour.**
- Any information that you provide will remain strictly confidential and not affect your status with ALBA or any other agency.**
- With complete financial information from you, ALBA will create confidential Farm Business Performance Report.**
- Do you have your financial records about 2011 available to look at during the interview? We'll need to refer to them a few times.**

Would this be a good time to begin?

1. Did you operate a business at any time during 2011?

- Yes (go to 1A) No (SKIP to question #6)
 Don't Know (DK) Refused to Answer (RF)

Prompt if necessary: A business is considered a business when it has made regular sales, which is likely to be more than one transaction in a 3-month period. The businesses start-up phase also has:

- Less than one year of regular sales**
- Start up costs/expenses**
- Developing & formalizing business operations, management procedures, etc.**

1A. If Yes, how many businesses did you operate in 2011?

_____ # of Businesses DK RF

[If answer to #1A is >1: Prompt: "If you have multiple businesses, please answer these questions in terms of the farm business."]

2. Were you operating your own farm business when you first came to ALBA?
 Yes No DK RF

If Yes, what year did you start the ALBA program? _____ (pre-fill if possible)

3. When did you start your farm business?

_____ (MM/YYYY) DK RF

4. Is this the same farm business?

Yes No DK RF

5. Did you sell or transfer ownership of your business?

Yes No (go to #8) DK RF

If yes, when did you sell or transfer ownership to someone else?

_____ (MM/YYYY) DK RF

6. Did you stop owning or operating your business for any reason?

Yes (go to 6A) No (go to #8)

6A Date stopped _____ (MM/YYYY) DK RF

7. Please describe to me why you decided to stop operating your business?

[Check the best answer based on client's response...don't read responses]

- Bankruptcy
- Insufficient sales
- Problems with business strategy
- Not enough time / maintain or get a job
- Health reason
- Other household concerns made continuation of the business difficult
- Moved
- Other (please specify) DK RF

7A. Please specify other _____

Prompt: This can include details of if the business was sold, transferred or closed at a profit, loss or breakeven.

8. Now I'm going to read you a list of choices about your highest priority for assistance when you first came to ALBA. Please choose the **one** that best fits your highest priority at that time. Were you trying to:

- start a farm business?
- improve your existing farm business?
- grow the size of your farm business?
- deal with immediate problems?
- other? (specify below) DK RF

8A. Specify other _____

9. To what extent did the ALBA program meet your expectations? Please listen to the complete list of four possible answers I'll read and then select the **one** that is best for you.
- Exceeded
 - Completely
 - Mostly
 - Mostly not
 - Not At All
 - DK
 - RF

10. Were the skills you received at ALBA useful in other areas of your life outside of business?
- Yes (go to 10A) No DK RF

10A. **If yes:** Now I'm going to read a list of ways those skills may have been useful to you. Please answer yes if it was useful.

- Financial skills/budgeting
- Community involvement/participation
- Get a better job
- Gain agriculture experience/skills
- Understand credit and financing
- Enroll in higher education
- Interpersonal/networking
- Other (Please specify:) _____

11. Do you have any comments about the other ways the program was helpful and useful?
-

-
12. Is there anything that ALBA could have done better to meet your expectations for assistance?

Now I'm going to ask you a few questions about your farm business in 2011.

13. How many acres did you farm at ALBA in 2011? _____

13A. How many additional acres were there at ALBA in 2011? [**over 2010**] _____

13B. How many acres did you farm 'Outside ALBA' in 2011? _____

13C. If so, how many new acres outside ALBA in 2011? _____

13D. Were the new acres "Outside the Incubator"?

Yes No

14. Is [**or was**] all of your farm certified organic?

Yes (go to 14B) No (go to 14A)

14A. Is the non-certified land in transition? Yes No N/A

14B. Was your business under ALBA certification? Yes No

14C. Was your business under your own certification? Yes No

14D. When did your farm become certified organic?

_____ (MM/YYYY) DK RF

15. Please generally describe your farm business in 2011.

[Interviewer: Be sure the description allows NAICS classification – most likely one of these options:]

Codes	Titles
111210	Other Vegetables (except Potato) and Melon Farming
111333	Strawberry Farming
111419	Other Food Crops Grown Under Cover (greenhouse)
111998	All Other Miscellaneous Crop Farming
112310	Chicken Egg Production
112320	Broilers and Other Meat Type Chicken Production
112910	Apiculture
115112	Soil Preparation, Planting and Cultivating
115114	Postharvest Crop Activities (except Cotton Ginning)
115115	Farm Labor Contractors and Crew Leaders

16. Enter NAICS Code of the business _____
17. Did you share ownership of the business with others?
- Yes
 - No (skip to question #19)
 - DK (skip to question #19)
 - RF (skip to question #19)
18. Is the business a sole proprietor/family-owned business, a partnership or a cooperative?
- Sole proprietor/family-owned
 - Partnership
 - Cooperative
 - DK
 - RF

Now we are going to talk about business plans. A formal business plan contains a plan for each part of the farm business including a farm management plan, agriculture market plan, crop plan, soil fertility plan, pest, disease and weed management plan, and financial projections. An informal plan includes only a crop plan and financial projections.

24A. Please identify type and amount of personal investments:

Owner Investments	\$ Amount	Date
Personal savings/income from job		
Business proceeds reinvested		
Retirement funds distribution		
Other or notes:		

24B. During 2011 did you apply for financing for your farm?

- Yes
 No (go to 25A)
 Don't know
 Refused to answer

24C. During 2011 did you receive any financing for your farm?

- Yes (go to 24E)
 No (go to 24D)
 Don't know
 Refused to answer

24D. Did you receive a denial letter?

- Yes
 No
 N/A

24E. What type of financing was rec'd and what dollar amount?

[Interviewer: Be sure to prompt about financing type. Please use the following graph to record answers by financing option(s).]

Financing Type	\$ Requested	\$ Received	Date Rec'd	Source
Family & Friends (personal loans)				
Commercial Bank Loan*				
Bank Line of Credit*				
Non-profit Lender (or CDFI)*				
Indiv. Development Acct (IDA)				
Private Investor(s)				
Customers (personal loans)				
Crowdfunding (Kickstarter, Prosper, etc)				
FSA Loan				
Other or notes:				

**** - If bank loan or line of credit, please ask:***

24D. Did a family member co-sign for the loan or financing?

- Yes
 No
 Don't know
 Refused to answer

[At this point, do a review of the loan amounts and dates recorded above.]

Now we are going to discuss your sales income and other results of your business.

- 25A. What were your ALBA Organics sales during 2011?
 \$ _____ DK RF
- 25B. What were sales to Other Wholesale during 2011?
 \$ _____ DK RF
- 25C. What were your sales to Other Farmers during 2011?
 \$ _____ DK RF
- 25D. What were your Direct Marketing sales? (farmers' markets, farm stands, CSA, and direct-to-retail)
 \$ _____ DK RF
- 25E. **It appears that your total farm income was (add 25A, 25B and 25C)**
 \$ _____ **Does this sound accurate to you?**
26. What level of satisfaction do you have with your current marketing channels?
 Very satisfied
 Moderately satisfied
 Adequate
 Moderately unsatisfied
 Very unsatisfied
 RF
27. Would you like additional assistance developing markets?
 Yes **[make note on page 1]** No
28. How much did you pay in state and federal income taxes on your farm income in 2011?
 \$ _____ DK RF
29. Please indicate which **one** of the following represents how you feel about the progress of your farm business development so far?
 Very satisfied
 Somewhat satisfied
 Neither satisfied, nor dissatisfied
 Somewhat dissatisfied
 Very dissatisfied
 DK
 RF
30. How well would you say the amount you paid yourself from your business meets the goals you had for your business?

- Very much exceeded expectations (*skip to question #33*)
- Exceeded Expectations (*skip to question #33*)
- Met expectations (*skip to question #33*)
- Somewhat met expectations
- Did not at all meet expectations
- DK
- RF

31. What is the main reason you feel your expectations were not met?

[Do not read responses – match response to one category below.]

- Underestimated expenses
- Broader market and state of the economy
- Market took longer to develop; fewer customers than anticipated
- Business took more time than expected
- Business needed more capital than expected
- Personal issues or illness of owner or family members
- Other **[go to 32A]**
- DK
- RF

31A. Please specify Other _____

32. What could ALBA do to help prepare you for future challenges?

33. Did the performance of your farm improve the financial circumstances of your household in 2011 a lot, a little, no difference, not much or not at all?

- Yes, a lot
- Yes, a little
- No difference
- No, not much
- No, not at all
- DK
- RF

34. Did family members work on your farm without pay in 2011?

- Yes (go to 32A)
- No
- Don't know
- Refused to answer

35A How many family? _____

35B How many total hours per week on average? _____

35. Including yourself, how many paid employees or contractors did your business have in the following categories? [**do not include unpaid positions above**]

Prompt: If you had a partner who was taking a draw, please count him/her as an employee and enter details below

Full-time (at least 35 hrs/week) jobs (12 mos/not seasonal) **created** in 2011 _____

Full-time jobs (12 months - not seasonal) **retained** in 2011 _____

Part-time (includes seasonal employment) **created** in 2011 _____

Part-time (includes seasonal employment) **retained** in 2011 _____

36. What was your total farm wage/labor contractor expense in 2011?
(do not include Owner's Draw)

\$ _____ Don't know Refused to answer

37. What was your total Other Farm Expenses in 2011? (includes land rental/loan payments, utilities, irrigation, equipment, repairs, seeds, etc)

\$ _____ Don't know Refused to answer

38. It appears that your **Net Farm Income Before Taxes** was \$ _____ in 2011.

[**At this point it is helpful to reference Owner's Draw (immediately below) in order for client to understand the full picture of expenses**]

25D Total Farm Income	
- 37 Total Labor Expense	
- 38 Total Other Expense	
Net Farm Income Before Taxes	

**Prompt: Your net farm income before taxes is _____
Does this sound accurate to you?**

39. How much income did you actually pay yourself (or your business partner or family) from your farm in 2011?

Prompt: This is called Owner's Draw (or 'draw') which is the amount taken out by the owner of a sole proprietorship or partnership for personal use. A self-employed business owner does not usually take a salary. Instead, he or she makes an initial investment in the business from personal funds and during the course of the business takes money out as a "draw."

\$ _____ DK RF

40. Do you have a business checking account?
 Yes No (go to 40B) RF

40B. Would you like a staff member to assist you in starting an account?
 Yes No

[If Yes, make note on page 1]

Now I am going to help you complete a Business Balance Sheet. It will create a snapshot of the business value as of the end of the year, on December 31, 2011. Please review and determine dollar estimates for the following:

ASSETS These are economic resources capable of being owned or controlled to produce value for your business.

Checking/Cash on Hand _____

Savings _____

Accounts Receivable _____

Seeds/Transplants _____

Supplies/Storage _____

Growing Crops _____ (plant materials providing future harvest, berries, trees, etc)

Autos and Trucks _____

Tractors and Equipment _____

Contracts/Notes Receivable _____ (confirmed income due to farm business)

Ag Real Estate/Farmland _____

LIABILITIES These are financial obligations arising from past transactions or events.

Property Taxes Payable _____

Income Taxes Payable _____

Accounts Payable _____ (includes credit cards)

Accrued Liabilities _____ (money that you will owe for services rendered)

Note Payable #1 _____ (non-mortgage loans)

Detail _____ (source of financing)

Note Payable #2 _____

Detail _____

Note Payable #3 _____

Detail _____

Note Payable #4 _____

Detail _____

Financial Leases _____ (long-term lease obligations)

Farm Mortgage _____

Farm Mortgage Detail _____ (source of financing)

Now I'm going to ask you a few questions about your work status and also about your household – the other people who lived with you and shared expenses in 2011.

41. Did you have another job or other jobs outside your business in 2011?

Yes No (skip to 43)

42. Was this work part-time or full-time? Full-time is at least 35 hours of work a week.

PartTime FullTime DK RF

43. Counting yourself, your spouse or partner, and including children, how many people lived with you and shared income **and** expenses during 2011?

Please do not include roommates who only shared expenses with you. Include extended family or significant others if they share income and expenses. If this changed during the year, please tell me the number who were there for the longest period of time.

_____Number of people in household DK RF

Next we are going to talk a little more about your farm business and other sources of Household Income. Remember, all this information is strictly confidential.

44. Please let me know if you received income from each source BEFORE taxes.

44A Your Own Off-Farm Income (Farmer's Non-Farm Income) \$ _____

44B Wages and Other Family Income (including job held by farmer, if applicable)

\$ _____

This next one is a yes or no question...

45. Do you know your credit score? Yes (skip to 46) No

45A. If no, would you like ALBA to help you obtain your credit report?

Yes No DK RF

[If Yes, Make note on Page 1]

46. Have you filed a tax return in the past three years?

Yes (go to 46A) No Don't know Refused to answer

46A. If yes, did you file a Schedule F for your farm business?

Yes No Don't know Refused to answer

47. Did you have health insurance for yourself in 2011?

Yes (go to 47A) No (go to RF)

47A. What was the source of your health insurance?

- Your (other) job
- Your spouse's job
- Your business
- Free state health insurance
- Medicaid
- Medicare
- Private policy
- Other

47B. Did other members of your household have health insurance?

Yes No DK RF

47C. How many members?

- All members insured
- Some members insured

- No members insured
 - N/A – I live along
48. How important is it to you for something to be done about your access to health insurance?
- Extremely important
 - Somewhat important
 - Important
 - No so important
 - Not at all important
 - DK
 - RF
49. What is your highest educational level completed?
- No grade school
 - Elementary school
 - High School
 - College
 - Graduate or Professional School
 - DK
 - RF
50. Were you a seasonal or migrant farm worker in 2011?
- Yes
 - No
51. Were you (and/or your family) using any form of public assistance in 2011?
[this includes, for example, food stamps or welfare]
- Yes
 - No
52. What additional services or assistance do you think would be helpful for your business at this time? **[read all responses – check all that apply]**
- Increased assistance to gain financing
 - Increased assistance to access markets
 - Increased assistance in gaining access to land
 - Increased business skills
 - More practical experience (e.g. field demonstrations)
 - Increased assistance in developing language skills (English or Spanish)
 - DK
 - RF
53. Were you involved in any community organizations in 2011?
- Yes ○ No

53A. If yes, would you consider your involvement to be as:

- Leader OR Participant

53B. If Yes, please list which organizations:

54. Did you work collaboratively or in partnership with other farmers in 2011?
(at ALBA or outside of ALBA)

- Yes No

54A. If Yes, is this a formal partnership/collaboration? Yes No

54B. What is the name of your partnership/collaboration if one is available?

55. Where do you seek farm advice apart from ALBA's program?

[read all responses – check all that apply]

- University of California Cooperative Extension
- USDA (NRCS and/or FSA)
- Other Nonprofit Organizations
- Pest Control Adviser
- Farm Input Supplier
- ALBA Farmers
- Other (non-ALBA) Farmers
- Conferences and Workshops
- Internet
- Books
- DK
- RF

56. Are you a member of a farm organization?

- Yes No

56A. What is the name of the organization(s)?

57. Are you currently interested in getting more assistance from ALBA now or in the near future?

- Yes No Not sure

58. Would like an ALBA staff member to call you?

- Yes No

[If Yes, make note on page 1]

59. Before we finish up, do you have any questions, requests, suggestions or any comments that you would like to add?

This is the end of the survey, but we need to update some contact info. [see next page]

In case you were to move or relocate, could you provide the names of two people whom ALBA could contact in order to relay a message to you?

Contact information for 2 people we can call in an emergency or if you move:	
1) Name: _____	2) Name: _____
Relationship to you: _____	Relationship to you: _____
Phone Number 1: (____) _____	Phone Number 1: (____) _____
Phone # 2. (____) _____	Phone # 2. (____) _____

[See below for additional contract information updates.]

<i>Have you moved or changed your contact information recently?</i> <input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If yes, please update your contact information:</i>
Address (home): _____
City: _____ State: _____ Zip: _____
Address (mailing): _____
City: _____ State: _____ Zip: _____
Address (business location): _____

City: _____ **State:** _____ **Zip:** _____

Phone #1: _____ **Home** **Work** **Cell** **Other** _____

Phone #2: _____ **Home** **Work** **Cell** **Other** _____

E-mail Address: _____

Web Site: _____

THANK YOU!