

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

931-1157

81

4 MAY 1978

PD-110-884
IN 58778

Mr. R. F. Boord
Director
Cleveland State University
University Tower, Room 1209
Euclid at 24th Street
Cleveland, Ohio 44115

Subject: Grant No. AID/DSAN-G-0014
Cognizant Technical Office:
DS/RAD

Dear Mr. Boord:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D" or "Grantor") hereby grants to the Cleveland State University (hereinafter referred as "CSU" or "Grantee") the sum of \$34,985 (Thirty-Four Thousand Nine Hundred and Eighty-five Dollars) to provide financial support for the activity which is fully described in your revised version of the proposal dated September 5, 1977, for the implementation of your program entitled "Participatory Techniques for Base-Level Development: Lessons from Applications for Animation Rurale".

This Grant is effective, and obligation is made, as of September 15, 1978 and shall apply to commitments made by the Grantee in furtherance of program objectives during the period from September 15, 1978 through September 15, 1979.

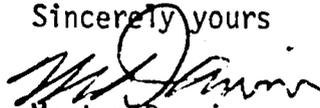
This Grant is made to the CSU on condition that the funds will be administered under this grant in accordance with the terms and conditions as set forth in your revised version of the Proposal, Attachment 1 entitled "Program Description," and Attachment 2 entitled "Standard Provisions," which are incorporated herein and made a part hereof. To the extent of any inconsistency between your Proposal and the Standard Provisions, and any other provisions which are made a part of this Grant by reference or otherwise, the Standard Provisions shall control.

CERTIFIED A TRUE COPY THIS
23 DAY OF June 78
[Signature]

Please sign the Statement of Assurance of Compliance, enclosed herein as Attachment 3, and the original and eight (8) copies of this letter to acknowledge your acceptance of the conditions under which these funds have been granted.

Please return the Statement of Assurance of Compliance and the original and seven (7) copies of this Grant to the undersigned.

Sincerely yours



Morton Darvin
Grant Officer
Agriculture/Nutrition Branch
Central Operations Division
Office of Contract Management

Attachments:

1. Program Description
2. Standard Provisions
3. Statement of Assurance and Compliance

ACKNOWLEDGED BY:

CLEVELAND STATE UNIVERSITY

BY: Gordon L. Hansen

PRINTED BY: _____

TITLE: VP Business & Finance

DATE: 6-2-78

FISCAL DATA

Appropriation No.: 72-1181021.3
Allotment No. : 843-31-099-00-20-81
PIOT No. : 3187774
Project No. : 931-1157
Total Grant Amount: \$34,985

PROGRAM DESCRIPTION

A. Purpose of Grant

The purpose of this grant is to utilize the services of Dr. Robert Charlick, as the principal investigator, and the professional services of other individuals for the implementation of the project entitled "Participatory Techniques for Base-Level Rural Development: Lessons from Application of Animation Rurale." The research study to be conducted by Dr. Charlick will provide A.I.D. with a clearer and more concise idea of the theory and methodology of animation rurale, as it has been practiced in a number of Francophone countries.

B. Specific Objectives

The project will be divided into the following four (4) phases:

Phase I: Project Preparation (September - December, 1978)

Collection of basic documentation, published and unpublished; synthesis and reproduction of essential contextual and project level data by graduate assistants; selection of country consultants; contact with secondary information consultants for projects.

Phase II: Initial Analysis of Project Level Data (January -April, 1979)

Preparation of common conceptual framework for Animation techniques, contextual factors, and outcome measurement by Dr. Charlick in consultation with country consultants; analysis of projects by country consultants and completion of data grids.^{1/}

Phase III: Secondary Analysis (May - July, 1979)

Completion of contextual and project profile data by country consultants; systematic analysis of secondary issues by Dr. Charlick; preparation and circulation of preliminary report.

Phase IV: Critical Feedback Phase (August - September, 1979)

Comments generated on preliminary report of secondary analysis and indication of most promising lines of generalization; production of "Guidelines for the Design and Evaluation of Extension and Local Organization Schemes Using Animation Techniques" paper by Dr. Charlick.

^{1/} Data Grid for Animation Study, See Attachment 5

C. Implementation

To achieve the above objectives, the Grantee shall prepare a "state-of-arts" paper, which will be based on secondary research and some field research to evaluate specific project experiences in Senegal, Cameroon, Chad, Upper Volta, Niger, and Haiti.

D. Reporting

1. Consultants Report

For each country study the, Consultant(s) shall prepare a preliminary report under the guidance of Dr. Charlick.

2. Draft Final Report

At the conclusion of the research, Dr. Charlick shall prepare a draft final of the "state-of-arts" paper and a guideline paper on assessing projects and submit five (5) copies of each to:

Dr. Alice Morton, Project Officer
DS/RAD, Room 506, RPC
Agency for International Development
Washington, D.C. 20523

Subsequent to DS/RAD receipt of the draft final report, DS/RAD will have one (1) month to review and comment.

3. Final Report

Subsequent to Dr. Charlick's receipt of DS/RAD's comments, he will have one (1) month to prepare and submit on final reports, as follows:

a. Submit five (5) copies of the final report the "state-of-arts" paper and five (5) copies of a guideline paper on assessing projects to the project officer, as noted above.

b. Submit three (3) copies of both final reports, as noted above, as being a product of the grantee (administrative progress, final and technical reports contained in R&D findings) to:

Agency for International Development
Documentation Coordination
DS/RUI
Washington, D.C. 20523, or his designee

Both of the final reports shall include a title page showing the title of the report, project title as set forth in the grant and the contract number. One copy of each report shall be clearly typed on printed or white paper so that it may be photographed to produce a microfilm master. The technical report shall be accompanied by an author-prepared abstract.

E. BUDGET

<u>LINE ITEMS</u>	<u>FR: 9/15/78</u> <u>TO: 9/15/79</u>
1. Salaries and Wages	\$14,766
a) Dr. Charlick (\$12,666)	
b) Non-Faculty (\$2,100)	
2. Fringe Benefits (20% of line item 1a)	2,533
3. Consultants	6,700
4. Expendable Supplies	500
5. Travel and Transportation	4,397
6. Communications	450
7. Indirect Costs	<u>5,639</u>
	\$34,985

The total estimated cost is \$34,985. The Grantee may not exceed AID's Total Estimated Cost of the "Budget." Adjustments between the line items are unrestricted.

Reimbursement to the Grantee shall be made in accordance with Standard Provision No. 7C, Payment - Reimbursement.

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F. Special Provisions

1. Reimbursement of Grant Funds for U.S. and Non-U.S. International Air Travel

Reimbursement under this grant for U.S. and non-U.S. International travel shall be made in accordance with Provision No. 8 entitled "Travel and Transportation."

The Grantee shall make his own logistic arrangements directly.

Upon completion of any projected funded travel, a copy of the trip report shall be provided to DS/RAD. The report format will be established jointly between the Grantee and the Project Officer.

2. Personnel Compensation

Salaries and Wages for all personnel under this grant may not exceed the Grantee's established policies and procedures, including the established pay scale for equivalent classification of employees; the current compensation or the highest rate of annual compensation received by the individual during any full year of the immediate preceding three years.

Compensation for third country and cooperating country nationals may not exceed neither the Grantee's established policies and procedures, nor the level of salaries paid to equivalent personnel by the A.I.D. Mission in the cooperating country; or the prevailing rates for the third country nationals, as determined by A.I.D., paid to personnel of equivalent technical competence. TCNs and CCNs shall be citizens of 935 countries (AIDPR 7-6.5201-1).

3. Submission of Standard Form (SF 1034)

Each voucher (SF1034) submitted by the Grantee for payment shall have on its face sheet the following information:

Grant No.: AID/DSAN-G-0014

Project No. 931-1157

Project Office: TA/RAD

4. Payment

Payment of allowable costs under this grant shall be in accordance with Provision No. 7C entitled "Payment-Reimbursement." The Grantee will submit form numbers SF 1034, SF 269, and SF 270, as required by this payment provision to the following address:

Agency for International Development
SER/FM/PAD
Washington, D.C. 20523

5. Negotiated Overhead Rates

Pursuant to Standard Provision No. 5A and 5B entitled "Negotiated Overhead Rates-Predetermined" and "Negotiated Overhead Rates - Educational Institutions" respectively, the following rates shall be predetermined for the period beginning September 15, 1978 and ending June 30, 1979. Pending establishment of final overhead rates for the period beginning July 1, 1979 and ending September 15, 1979, provisional payments on account of allowable indirect costs shall be made using the below rates:

On-Campus:	62.4%	BASE*
Off-Campus:	20%	BASE*

*BASE: Direct salaries and wages including vacation, holiday, and sick pay but excluding other fringe benefits.

G. Alterations to the Standard Provisions

Delete from the Standard Provisions, dated September 1977, the following listed provisions (1 through 6) in their entirety which are not applicable to this grant:

1. 7A - Payment - Federal Reserve Letter of Credit (FRLC)
7B - Payment - Periodic Advance
2. 12A - Title To and Use of Property (Grantee Title).
12B - Title To and Care of Property (U.S. Government Title).
12C - Title To and Care of Property (Cooperating Country Title).
3. 15 - Voluntary Participation
4. 16 - Prohibition on Abortion-Related Activities
5. 17 - Voluntary Participation Requirements for Sterilization Programs.
6. Provision No. 10 entitled "Procurement of Goods and Services Under \$250,000" is replaced with a revised version (October 1977 Amendment), which is attached hereto as Attachment 4 and made a part hereof.

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PARTICIPATORY TECHNIQUES
FOR BASE-LEVEL RURAL DEVELOPMENT:
LESSONS FROM APPLICATIONS OF "ANIMATION RURALE"
TO EXTENSION AND LOCAL ORGANIZATION DEVELOPMENT

Submitted to

United States Agency for International Development
Technical Assistance Bureau - Rural Development
Washington, D.C.

Submitted by

Dr. Robert B. Charlick
Assistant Professor
Department of Political Science
Cleveland State University
Cleveland, Ohio

Revised Version of September 5, 1977

PARTICIPATORY TECHNIQUES FOR BASE-LEVEL RURAL DEVELOPMENT:
LESSONS FROM APPLICATIONS OF "ANIMATION RURALE"
TO EXTENSION AND LOCAL ORGANIZATION DEVELOPMENT

I. PROJECT RATIONALE

In the past four years, two forces have converged which make it increasingly vital for practitioners in the rural development assistance field to increase their knowledge of development techniques designed to promote widespread participation and to foster base-level organizations¹ while improving smallholder productivity and overall welfare levels. The "New Directions" policy legislated by Congress in 1973 and strongly advocated in such works as the World Bank's Rural Development Sector Paper and Edgar Owen's Development Reconsidered (1972) clearly points the way to the need for projects oriented toward small producer productivity and widespread involvement of the "rural poor" in both the process and benefits of rural development. Simultaneously the empirical evidence (Uphoff and Esman, 1974; Development Alternatives, 1975) drawn from project and country experience as well as theory (Esman on Institution Building; McNarama, 1973; Hunter, 1971) argues that development interventions must support the creation and functioning of an "organizational system" which embodies effective and participatory base-level institutions if they expect to be successful in improving the condition of the rural poor.

The convergence of concern for small farmer productivity and welfare and for functioning, participatory local level institutions is most evident in the great number of rural development projects which USAID and other major international donors have been considering recently and which focus on improving the extension capabilities of a variety of technical services while involving villagers in the extension process in organized ways. Increasingly, development

assistance practitioners are being called upon to help design, evaluate and assist in the implementation of projects which incorporate these elements. To perform this task adequately, they must have a thorough knowledge of the available and appropriate intervention techniques. A number of techniques exist and have been tried in a variety of empirical settings. Some, such as model farmer programs, community development, and leadership training programs, are familiar to American development planners and policymakers. Others, like the Francophone technique called Animation Rurale (see below for a definition of the concept and approach of Animation), are less well known to English language practitioners, and experiences with these techniques are considerably less accessible to them. Yet, as USAID has become involved increasingly in rural development in Francophone countries, such as Haiti and the Sahelian nations of West Africa, the need for an objective, detailed and comprehensive understanding of Animation as a set of educational and organizational techniques applicable at the project level has been growing ever more evident.

A partial review of rural development projects submitted to USAID by Francophone countries within the past year indicates how pervasive the concern with Animation and with Animation-type village worker techniques really is. To cite only a few of the Project Review Papers and Project Papers which have considered Animation and attempted to assess the potential effectiveness of this intervention technique:

- Niger - 1) Niamey Department Productivity Projects (PP-March, 1977) (Animation for sensitizing village dwellers, for basic data collection, for recruitment and training of farm demonstrators, for local organization of cooperatives)
- 2) Improving Rural Health (PRP 11/24/76) (Animation as a motivational technique for villagers, as a community organizing technique for generating and maintaining rural health teams, as an instrument for the recruitment of voluntary, base-level, health workers)

- Senegal - 1) Casamance Regional Development (PRP-4/77) (Animation techniques through Human Promotion service to organize farmer credit and to train cooperators)
- 2) Rural Health Services-Sine Saloum (PP-3/14/77) (Animation via Promotion Humaine in pre-implementation stages for sensitizing and motivating base-level population, initiating local organizational action to sustain and implement through "Rural Community" organizations, aid in recruitment of voluntary village worker health teams, support implementation through literacy extension workers)
- Upper Volta - 1) Oncho Freed Areas Village Development Funds (PP-6/11/76) (Animation-type techniques employed with intensive extension design in a resettlement project for village leadership training, and local organizational development--no real concern with participation in extension)
- Chad - 1) Integrated Rural Development (PRP-11/26/76) (Animation techniques employed to motivate local population, as a communication system in pre-implementation, for training functions in technical tasks, for local organization of a village-based, health delivery system--little emphasis on generalized base-level organizational development)
- Haiti - 1) GROMORE Farmer Training Project (AID Funded through Catholic Relief Services, 4/77). Animation for motivation and technical training.
- 2) ONAAC Functional Literacy Program (in conjunction with IBRD Rural Education Loan) Animation for local organization in literacy and agriculture via radio clubs.

Accompanying the proliferation of concern with Animation at the project level has been a more general interest in the technique expressed by a number of Anglophone development specialists. The most influential example is the statement of workability of classical Animation methods summarized by Uma Lele (1975: 79-80) as reported by the authors and evaluators of the Cameroon's Zone d'Action Prioritaires Intégrées project.² This summary was first excerpted in the AID War on Hunger³ and then appeared almost verbatim in one USAID project paper (Chad - Integrated Development) as justification for the viability of the technique.⁴

Yet no systematic effort has been made to analyze Animation Rurale as a development technique in a variety of settings, and to draw general lessons from field experience with the technique which practitioners can consider in designing and evaluating projects attempting to respond to the "New Directions" rural development policies. Lele's summary was never intended to serve such a purpose. Reviewing essentially the same data base and range of available studies, the authors of the MIT Sahel report (1974, Annex 4; 126) concluded that much more study and analysis had to be undertaken before serious evaluations of the experimental forms of agricultural organization employing Animation techniques could be conducted.

In the absence of such a study, USAID practitioners have little to go on in making their assessments about the viability of a specific application of Animation. They have few studies of how Animation methods are used in extension and local organization efforts in specific countries and no data-based generalizations. Neither do practitioners have more than the sketchiest guidance as to the conditions under which Animation is likely to produce outcomes which AID seeks to promote. Finally, in the absence of a systematic review, the important differences between applications of Animation techniques and the differences in outcomes from case to case may well escape the development assistance planner or policymaker. There is the danger that Animation may become another of the shibboleths of the agency, adopted for particular purposes as in the Chad project (above), without adequate consideration of its real potential, instead of becoming another of USAID's tools for promoting specific development goals in well-defined contexts.

A systematic study of the project level experience with Animation techniques is important, not only to AID professionals who will be working on projects explicitly employing Animation, but also to a broader range of project

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designers and evaluators who are increasingly concerned with the problem of organizing village worker systems for the implementation and management of productivity as well as basic needs activities (UNICEF, 1976; ILO, 1976). The lessons gained from understanding how Animation actually functions in a variety of structural and cultural settings should be of value in designing and evaluating similar systems of mass involvement in rural development in countries like Costa Rica, Mexico, Indonesia and in Anglophone African countries which are experimenting with alternative educational and organizing techniques to involve the rural poor in their own future.

Finally, despite the absence of such a prior systematic analysis of Animation experience applied to project level organizational objectives, it is now feasible to perform this task. Many of the empirical and theoretical elements are now available in scattered form. One of the tasks of this study will be to fit these pieces into a common analytic framework and to seek to generalize from the disparate experiences. For this, a number of micro studies of projects and local level development activities, mainly on the Sahelian countries, will be consulted. Many of these studies were not conducted with the precise task we propose to perform as their central focus. Nevertheless, useful data can be extracted from them. A recent doctoral dissertation (Moulton, 1977) adds another important resource to the task at hand in analyzing specifically the educational methods and theory of Animation as an out-of-school training technique. Several French works also exist which summarize educational and organizational theories of animation and which examine these theories in several national contexts (Goussault, 1964; Goussault, 1970; Meister, 1969; Colin, 1966; ILO, 1970). Additional data exists both in written documentation produced for the design or evaluation of projects in Francophone countries, or in the unwritten experience of a number of social scientists who have had

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occasion to work on projects in countries employing Animation techniques (see list of possible consultants in Annex below). Finally, it will be necessary to supplement the written published and unpublished data with a limited amount of field work. This field work will consist mainly of document collection and consultation within host countries, but in several cases (Haiti, Upper Volta and Chad) visits to project sites seem essential to fill out the analytical matrix proposed below. The use of skilled social scientists with country experience and with considerable background in Animation techniques will permit this field work to be performed in an expeditious yet sufficiently detailed manner. Outputs of this study (as outlined below) will be made available to USAID personnel within approximately one year of project start-up and will be presented in a highly applied format which will serve to acquaint relevant AID personnel with the findings in a first-hand way. (See presentation method below.)

II. STUDY FRAMEWORK: The Concept of Animation Rurale as a Distinct Rural Development Technique

This study begins with the premise that Animation Rurale is both an integrated development strategy and a body of intervention techniques which are analytically distinguishable from other major approaches to mass involvement in rural development. There is rather broad usage of the term Animation by the French Ministry of Cooperation (1962) and the International Labour Office (1970) to designate almost all techniques designed to educate and motivate rural dwellers (sensitization), to induce them to participate in development actions (mobilization), to improve communication linkages between the base-level and the bureaucracy, to train members of base-level units in technical skills and to help organize the population for effective transfer of skills and for mobilization of resources to support new practices (encadrement). Yet there is a core of common theory and practice shared by Animation interventions. This

theory and technique has been most clearly developed by the Institut de Recherches et d'Application des Methodes de Developpement (IRAM), a consulting group which supplied technical assistance in Animation methods to a number of North African, sub-Saharan African, and Latin countries and which worked closely with the East Quebec Development Bureau (BAEQ).

As a development strategy, Animation Rurale is fundamentally a group-based, non-conflictual reformist strategy for structural change, designed to reintegrate societies disarticulated by "colonial" institutions and attitudes. Animation views the introduction of new technology and the production of behavioral change at the base level as intimately linked to the forging of new bottom-up institutions and new top-down institutions which interact on the basis of contractual relations between government and plural mass organizations (Goussault, 1964 and 1970). Participation in Animation theory is essential not only for mobilization from above and for the adoption of technical behavior at the base, but for its attitudinal and structural implications at the base level of the society.

Clearly, however, not all host governments adopt a strategic view of Anima-
tion. Many simply see it as a set of techniques developed by IRAM and by African (Centre d'Etude Economiques et Sociales d'Afrique Occidentale: Bobo-Dioulasso) and non-African (Laborde-Canada) research and training institutes. These organizations have adapted animation techniques specifically to the problem of organizing more effective technical extension services through the use of voluntary village workers (vulgarisateurs) and village supervisors (auxiliaires) at the secondary level of mass organization.⁵ Simultaneously, Animation techniques provide both for local-level motivational training in themes designated as priority by national politico-administrative structures, and for organizational counseling and training to assure broad involvement of villagers in institutions which must gain the capacity to support this farmer-based technical system. Voluntary base-level and

secondary-tier level workers in the Animation approach are neither new forms of largely involuntary labor mobilization, individual progressive or model farmers, nor individual holders of new quasi-bureaucratic statuses. They are merely delegates of mass organizations designated by the group to perform specific functions. Nor, in this second optic, is the technical skill transmitted an end in itself. It is rather an essential part of the method whereby participatory processes are promoted leading to viable local organizations, which, although initially stimulated from above, eventually gain the capability to become full partners with governmental services in development activities.

Concretely, Animation Rurale techniques employ a variety of communication and training devices, such as group dialogue at the base level, group self-study and needs-inventory methods, consciousness-raising techniques for groups of delegates which include socio-drama and role playing, and brief specialized training for volunteers who will perform specific technical roles (Goussault, 1964 and 1970).

As a technique for developing extension capability, Animation may best be understood by contrasting it with other major methods of stimulating mass involvement in extension efforts (Lele, 1975: Chapter IV). Briefly these are:

a) Farmer Representation Committees

This technique usually involves a limited number of normally more prominent base-level individuals in a quasi-consultative role with the technical bureaucracy. Sometimes such committees are accorded significant decision-making power in specific task implementation, but rarely is assistance given to encourage on-going local organizational capability in a broader range of functions. Organizational training, if any, is given only to farmer representatives. Little effort is made to see that broad participation, either in decision-making or in distribution of benefits or results.

b) Model Farmer Programs

This technique identifies a limited number of normally prominent individuals, or in some societies of marginal individuals, with whom the technical services work. Model farmers become the privileged clients of the services for information, credit, and material input. Little or nothing is done even among the model farmers and to develop organizational capability at the base level. Villagers are not involved in the implementation of extension services. Empirical evidence indicates that the scheme only works well where the technique demonstrated is very obviously superior to traditional techniques and where access to it is relatively easy both in technical and material terms. In the absence of these conditions, model farmer demonstrations are rarely generalizable to the broader community of producers and the distribution of benefits is hence highly concentrated. Villagers are involved as individuals and only a small, select number are involved at all.

c) Farmer-Demonstrator Programs

At times a project authority or a technical service opts for a large number of on-farm demonstrations using typical producers. Farmers are considered as individual clients to whom advice, material and financial inputs are brought. Most frequently this type of intervention temporarily employs a semi-professional staff used in an intensive manner to supervise demonstrator plots. Rarely do such staff members have any training in working with local organizations or in stimulating new groups to form around the core of demonstrators. Given the limited resources of most governments, it is difficult to generalize interventions which require such a high density of extension workers. Attitudes of paternalism and condescension frequently exist, separating the demonstration supervisors from the farmers. To the extent that demonstrations depend upon credit and material inputs which are not available to other farmers

individually or collectively, demonstrations may fail to "take" in the larger population. The organization does not stimulate significant participation on the part of demonstrators, nor does it leave any added capability to deal with other development problems after the cessation of intensive demonstration activities.

d) Community Development Programs

Like Animation programs, community development techniques are group-based methods of promoting local organizational capability for problem solving and resource mobilization for implementation. Although community development techniques flow from an overall development strategy which is markedly different from that of Animation (Meister, 1969), field techniques for associating the base level with the extension system may in reality be quite similar. Major differences which should be observable between Animation and community development methods, however, stem from the following differences in fundamental method. Animation is much more clearly a method for integrating the base level into higher levels. At the technical level Animation techniques stimulate response to development needs defined in national or regional contexts. Much less participation is likely to occur at the policy initiation level in Animation, at least in the early stages. Unlike community development, Animation techniques are carried to the base level primarily through village volunteers, and not through professional community development workers. Animation techniques seek to promote multi-functional, two-tiered, local organizations by recruiting a wide range of villagers who serve as representatives of the base organization to various technical services. This often includes both base-level workers and auxiliaires (UNICEF, 1976). Community development programs, on the other hand, rarely transcend base-level organizational interests or concerns. Hence, while both community development and Animation techniques concentrate on local level

organizational capacity, community development emphasizes local action projects based on felt needs in which technical services function as limited advisors and providers of scarce resources, while Animation sees the local organizational effort as part of a process for the integration of base-level activities with national technical and service priorities with local communities supporting and managing a greater share of these activities.

Summarizing the above discussion, it is argued that Animation Rurale constitutes a technique for combining the strengthening of extension service capabilities and for developing participatory local organizational capability which is distinct from other major approaches to associating rural populations with their own development. The extent to which Animation techniques differ from other methods, such as those of community development and local leadership training programs, remains to be established by the empirical analysis which this study proposes to conduct.

III. RESEARCH METHOD

This study will proceed by addressing three fundamental questions about Animation experiences in a number of concrete project level settings. Responses to these questions will provide an initial grid of data upon which secondary analyses can be based, and from which generalizations leading to guidance propositions can be formulated.

A. Initial Research Questions

1. What are the techniques which different host governments and development authorities employ in pursuing Animation approaches to extension and local organization development?

2. What are the contextual factors in which the project and national development authorities operate?

3. What are the development outcomes of projects employing Animation techniques?

In answering these questions at the level of a number of development projects, the research staff will complete the data grid (see Table 1) in considerable detail.

Initial observations and analysis will focus on the following issues suggested by the data grid:

1. To what extent do projects which explicitly adopt Animation techniques differ in the methods they employ to develop extension capabilities and local organizational capabilities?

2. To what extent do projects which employ Animation techniques differ in their field emphasis on a) extension network capability as opposed to b) local organizational capability?

These issues seem important in identifying different types of Animation designs which may not be comparable (see above, for example, in the list of recent USAID PPs and PRPs differences in emphasis on a) and b).

3. To what extent do the contextual factors cluster in configurations which permit the generalization of general project context? To what extent must specific factors be retained for separate analysis, even within the same national settings?

It is, of course, desirable to reduce the contextual factors to the least number possible. It seems, on the other hand, important to distinguish between Animation efforts attempted in a given country first under conditions of political competition or external political threat and then under conditions of relatively solidly entrenched military regimes. Similarly, local political and administrative structures may differ considerably even within a single country as the power of traditional elites, private commercial groups, land-holding classes, or even local bureaucrats may differ.

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TABLE 1

DATA GRID FOR ANIMATION STUDY

<u>Nature of the Project</u>	<u>Techniques</u>	<u>Contextual Factors</u>	<u>Outcomes</u>
1. Project goal a. Productive technology b. Basic service needs 2. Project scope--number of basic level units covered 3. Duration 4. Interaction with other <u>Animation-type interventions</u>	1. Methods actually employed for recruiting, training, supervising, and supporting village level workers (<u>vulgarisateurs</u>) and farmers supervisors (<u>auxiliaires</u>) 2. Methods of organizational counseling and participant training employed at base-level and secondary-tier level 3. Relationship between the two primary intervention activities (1) and (2) above in the particular project	1. Power and authority structures nationally at time of project initiation 2. Power and authority structures locally at onset of project 3. Place of <u>Animation</u> in national development strategy; type and degree of support national government brings to implementation 4. National and regional administrative structures of developmental technical services 5. Socio-cultural pluralism/homogeneity at project level setting 6. Degree of economic differentiation and bases of economic differentiation at base-level 7. Level (stage) of economic development in the project setting (technology in use, labor-capital ratio, standard of living and its distribution)	1. Technical behavioral changes a. Adoption of techniques b. Use of new services c. Attention to new information --awareness, knowledge of techniques and services 2. Institutional development a. Capacity to identify new problems b. Capacity to mobilize local resources for implementation c. Capacity to adapt technique or service to local or new needs 3. Distributional patterns a. Relative spread of new behavior (adoption of technique or service) b. Relative equity of distribution of benefits 4. Patterns of participation in a. Decisionmaking in pre-project, implementation, and evaluation b. Participation in implementational activities

4. To what extent must project outcomes be considered on these four separate dimensions? What are the relationships between outcomes on the various dimensions suggested?

A number of theoretical and empirical studies (Huntington and Nelson, 1976; Owens, 1972; Uphoff and Esman, 1974; Lele, 1975; DAI, 1975) offer different observations about the relationship between these four outcomes. There is substantial reason to believe that they are not necessarily mutually interdependent or reinforcing, particularly at specific stages of economic development. Furthermore, all four outcomes can be identified as goals of AID development policy (Butterfield, 1975). It is important, then, to analyze the outcomes first as independent dimensions, then to look for relationships between different outcomes in the cases of Animation applications studied.

a. One question deserving particular emphasis is the relationship between participation and behavioral-technical outcomes.

B. Secondary Analysis--The Generation of Propositions to Guide Design and Evaluation

Having completed the initial data grids and the analysis of the research questions suggested above, the following issues can be explored:

1. How does the application of Animation techniques seem to be related to the contextual factors or to the contextual configuration? A series of specific sub-issues can easily be generated from this broad question such as:

a. Does the degree of local ethnic and cultural or economic differentiation condition the relative emphasis of Animation techniques on 1) extension or 2) local organization.

b. Do regimes with certain politico-administrative structures prefer different types of Animation techniques or place different emphasis on methods 1) or 2)?

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c. Does the place of Animation in the national development strategy influence the type and emphasis of technique employed?

2. How does the application of different Animation techniques or different emphases on extension and local organization factors relate to differences in outcomes produced? An extensive series of promising sub-propositions might be tested, for example,

a. Do Animation techniques which employ different emphases on extension training as opposed to local organizational methods produce significantly different outcomes along the different dimensions defined? (i.e. more successful in promoting technical behavioral outcomes, and less successful in spreading participation and benefits?)

b. Does it seem to matter whether the project goal is the adoption of productive technology or basic services?

3. How do contextual factors or contextual configurations relate to outcomes of projects on different dimensions, irrespective of the relative emphasis on Animation techniques adopted? A series of specific sub-issues can be suggested on the general theme which might have substantial interest for designers or planners, such as:

a. Are there contextual factors which seem to be necessary pre-conditions to positive outcomes on such dimensions as benefits distribution and patterns of participation, but which may not be relevant to such goals as technical behavioral outcomes?

C. Broad Generalizations

On the basis of results obtained from the analysis of the secondary research questions, cautious generalizations, where contextual variables and technique applications prove to be similar enough or where they are found to be sufficiently unrelated to outcomes, may be offered of the following types:

(These should be viewed only as illustrations and not even as hypotheses at this point in the pre-study.)

1. Animation techniques which stress extension methods to the exclusion of local organizational development are likely to be successful in producing the desired technical behavioral change particularly where the behavior involves an obviously superior productive technique and where contextual differentiation in the project setting is low.

2. Animation techniques which depend upon local organization development for the promotion of such goals as equity distribution, participation, and institutional capability are unlikely to be successful in contexts where the local and national power structures are well entrenched and non-competitive or where the administrative structures are vertically organized and devolve little authority to the operational level.

D. Data Base for Investigating Research Issues

This study will develop a set of project level case experiences from which the initial data grid will be drawn. Data for these case experiences will be based on published reports, unpublished project design and evaluation reports, oral consultation with experts who have been involved in the projects, or who have studied them but have not written up results, and finally, by a brief field data collection effort where this seems necessary. As much as possible cases will be selected for the availability of pre-existing data, but this will not be done to the exclusion of some important experiences which should be included in the analysis. Cases will be defined in terms of projects, not as entire country experiences, as both techniques and contextual factors can differ significantly within a single national political unit. This research strategy will also permit us to review a much larger number of cases than would otherwise be possible, due to the relatively small number of countries that have adopted explicit Animation intervention techniques.

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A list of project level cases which seem amenable to analysis at the present time includes the following:

NIGER

Matameye County Generalized Male Animator Program (1966-1970)

Women's Livestock and Gardening Program, Matameye, Maradi, and Niamey Departments (1967-1976)

Villager Managed Peanut Marketing Cooperatives, Maradi and Mataeye (1966-1974)

Farmer Demonstrator and Villager Supervisor Extension Program, Zinder Department Productivity Project, (1973--)

Villager Rural Health Care Program, Matameye and Maradi (1968--), Niamey (1975--)

Self-managed Village Functional Literacy Program, Matameye, Maradi (1969-1974)

SENEGAL

Sine-Saloum Village Credit Cooperatives (1963-1968)

Lower Casamance (Kolda) Animation for District Planning (CER) (1962-1966)

Women's Development Extension and Cooperative Programs (1968--)

Bignona Peanut Marketing Cooperative

Promotion Humaine in Medium Term Food Production Projects (1974-1977...)

Rural Health Services Scheme (1968--)

UPPER VOLTA

Matourkou Resettlement Scheme, Agricultural Extension Program

Yako District Village Level and Supervisor Health Worker Program

CHAD

Animation for Agricultural Training, World ORT Project in Selected Regions

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CAMEROONS

Zone d'Actions Prioritaire Integree (South and East)
 Review of project documentation and field techniques actually
 employed

HAITI

Basic Health Workers Programs (UNICEF)

Dubreuil Area Farmer Training Programs (Laborde - East Quebec
 Development Bureau)

Haitian-American Community Council Program (HACHO-CARE-USAID, North-
 western Haiti)

CAP Haitian Integrated Rural Development Project (1959-1962)

E. Working Methods and Work Plan

A definitive list of projects will be drawn up in conjunction with USAID/TB and will be based on a combination of intrinsic project features and generalizable interests and a preliminary assessment of available documentation and expertise.

Following the selection of projects, one prime consultant will be selected for each country to be included in the study. This consultant will be provided with all the available published and unpublished documentation and with a list of potential project level consultant sources. These will be prepared by student assistant staff members under Dr. Charlick's guidance. The consultant will then complete the data grid for primary research questions identifying early in the process essential gaps in the data sources which might warrant field investigation. It is expected that field investigations will be limited to Upper Volta, Chad, Haiti and, if selected, to Cameroons. Field work will be undertaken by a single researcher if possible (in all probability the principle investigator, Dr. Charlick). Country consultants will then prepare a summary of each project which pays special attention to techniques actually employed, the contextual variables outlined above, and to assessments of outcomes. A common framework for quantifying outcomes and for generating configurations of contextual factors will be generated through exchange of ideas

between Dr. Charlick and the principal country consultants.

A second phase of work will begin with the completion of the data grid and project profiles. Dr. Charlick will then proceed with the analysis of the secondary research issues. A preliminary report will be generated for discussion with TAB and with the primary country consultants. Additional outside scholars working on related issues of participation in development will be asked to comment on the draft.

The revision of this paper and expansion of the most promising research themes which are documented in it will result in the "Generalizations" paper. This paper will be written by Dr. Charlick as a set of guidelines to project designers and evaluators, summarizing the findings of the study. Wherever possible, generalizations emerging from the study will be posed as recommendations for policy orientations, training or evaluation at a level of analysis sufficiently detailed to be of interest to project designers.

A work plan graphic, indicating the timing of each phase of work is included in this proposal. Summarizing that flow chart, the work will be divided into five distinct phases:

Phase I: Project Preparation (October 1977 - January 1978)

Collection of basic documentation, published and unpublished; synthesis and reproduction of essential contextual and project level data by graduate assistants; selection of country consultants; contact with secondary information consultants for projects.

Phase II: Initial Analysis of Project Level Data (February-May, 1978)

Preparation of common conceptual framework for Animation techniques, contextual factors, and outcome measurement by Dr. Charlick in consultation with country consultants; analysis of projects by country consultants and completion of data grids.

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Phase III: Secondary Analysis (June-August, 1978)

Completion of contextual and project profile data by country consultants; systematic analysis of secondary issues (see examples above) by Dr. Charlick; preparation and circulation of preliminary report.

Phase IV: Critical Feedback Phase (September-October, 1978)

Comments generated on preliminary report of secondary analysis and indication of most promising lines of generalization; production of "Guidelines for the Design and Evaluation of Extension and Local Organization Schemes Using Animation Techniques" paper by Dr. Charlick.

Phase V: Presentation Phase (November-December, 1978)

The Guidelines paper will be presented in working conference with USAID design and mission program level personnel. (See below for Presentation Strategy) presentation conferences to be arranged by TB, African Bureau, REDSO/WA or missions as deemed useful. Project director and one country consultant will be available to make the presentation and run the working session. Participant reactions to these presentation sessions will be recorded and a brief summary will be made available to TAB.

F. Field Work Requirements

This study proposes to keep field work to a minimum through a careful selection of case experiences, through extensive use of mails and telephonic communications, and through the use of existing document archives in Washington. Still, some of the projects of significant importance to this study have not been adequately studied in the past, either because no independent evaluations of them have been produced, or because they are still too new to have produced major evaluations and assessments. It appears that this will be the case for the Upper Volta and Chadian Projects and for the Haitian projects. If, in addition, USAID chooses to have a brief review of the Cameroon's ZAPI scheme,

TABLE II

WORK SCHEDULE FOR ANIMATION STUDY

	1977			1978												1979	
	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEP	OCT	NOV	DEC	JAN
Phase I Document collection, selection of consultants, document distribution				<u>(research assts.)</u> <u>(Dr. Charlick)</u>													
Phase II Dr. Charlick-- Niger case and framework; consultants-- other cases				_____													
Phase III Dr. Charlick-- second analysis and preliminary report; Consultants-- context profiles				_____													
Phase IV Dr. Charlick-- prepares "Guidelines"				_____													
Phase V Presentation Seminars				_____													

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that will require additional travel. Because of the proximity of the African projects, basic field work to obtain the needed data on these schemes can be obtained in a relatively short period by an experienced researcher. In addition, it would be highly desirable to have funds in the study to permit travel to East Quebec to consult with the LABORDE--the consulting group which has promoted Animation techniques in East Quebec and in Haiti. Travel to Quebec would probably shorten the requirement for field work in Haiti considerably.

Thus, while this study is essentially a "state of the arts" paper, it will require some travel to insure that some of the more interesting, comparative cases can be included. This requirement is indicated in a rather substantial travel budget for a grant of this nature.

IV. PROJECT OUTPUTS

The outputs of this study will consist of two basic documents and a series of working presentations.

A. The most important document from an applied point of view will be the "Guidelines for the Design and Evaluation of Extension and Local Organization Schemes Using Animation Techniques." This paper will summarize the findings of the study as to

1. the likely outcomes of different Animation techniques on project goals defined in terms of a) technical behavior change, b) organizational capacity, c) distributional patterns, and d) participation patterns;
2. the relationship between salient features of the contextual environment for projects and a) techniques emphasized, b) outcomes probable;
3. distinctions between outcomes likely to obtain in projects stressing technical extension or organizational capability;
4. distinctions between outcomes likely to obtain in projects stressing productive technology adoption and basic service adoption.

The Guidelines paper will attempt, as well, to indicate how these findings lead to recommendations for design or policy regarding projects which strengthen extension, wherever such generalizations seem warranted.

B. Preliminary Report -- This report will emphasize the differences in the way various host governments and project authorities employ Animation techniques. It should clarify for the designer and policy analyst the different types of Animation techniques and should be particularly helpful for distinguishing the specific type of technique emphasized in countries like Senegal, Haiti, Niger, and Upper Volta. It will also present a contextual profile of each host country studied, along with differentiations in regional or sub-regional terms needed to understand project level contexts.

The preliminary report will also address some critically important issues, such as the apparent relationship between techniques, contexts, and different measures of project success. Of special interest to designers should be the findings on the relationship between patterns of participation and technical project outcomes.

C. Presentation Seminars -- A Strategy for Presentation of the Study

The Guidelines paper should be brought to the attention of professional designers, planners and projects evaluators in a way which makes its applied utility apparent to them and to the principal researcher on the study. A variety of presentational devices seem possible. One which suggests itself at the present time is the working seminar format. In this system the principal researcher and a country consultant would prepare a model Project Paper bearing resemblance to a number of actual PPs which designers have recently been asked to develop and review. Alternatively, an actual PP could be selected for the region concerned. The Guidelines paper and the mock PP would then be distributed to a group of designers and policymakers. On an announced day, designers

would be asked to analyze the intervention design and training components of the paper using the Guidelines paper as a primary resource. Deficiencies in the PP or in some of its logical assumptions could be signalled and changes in the PP could be recommended by the assembled planners. Planners would then be asked to assess in as specific terms as possible the outcomes which they thought were likely to result from the original PP and from the recommendations for revision in terms of four success criteria outlined in the Guidelines. Where tradeoffs between success criteria were evident these would be made explicit and justified in terms of the particular project design, the feasibility of a given intervention technique, or the contextual factors. Lastly, participants would be asked to assess the utility of the Guidelines to them for designing or reviewing projects of this type.

The specific form of the seminars and the choice of participants would be left to the discretion of USAID, and its various bureaus. Funding for these seminars, essential if TAB or regional bureaus determined that they should involve mission or regional technical support personnel, would be left to supplementary arrangements. The study director would promise to provide personnel to run the presentational seminars and whenever possible would make presentations himself accompanied by the principal consultant for a country in the area concerned.

FOOTNOTES

1. The term "base-level" is used repeatedly in this proposal to designate the appropriate "primary" level of local organization. This need not be the village level as is often assumed. On the concept of base-level and multi-tiered local organization, see Uphoff and Esman, 1974: 67-70.
2. In reporting the elements of the Animation method for strengthening extension and communication functions, Uma Lele seems to have merely signalled a promising approach recommended by the designers and evaluators of the ZAPI scheme, Gentil and Belloncle. It would undoubtedly be useful to have this experience reviewed by analysts who were not so closely associated with its conception and implementation and analyzed further in terms of a variety of outcomes which USAID seeks to obtain from local development action. Lele, in her project review (1975; 199) suggests that the implementing agency never entrusted the farmer organizations with real responsibility, nor did training of professional personnel or base-level participants have high priority in the project. Apart from the Belloncle description, then, the ZAPI scheme seems to fit better under the description of "farmer representation approaches" than as an example of Animation techniques. One of the purposes of this study is to clarify the distinctions between field level intervention techniques and to make objective judgments as to their outcomes on a number of different grounds.
3. Charles Blankstein, War on Hunger, November 1976 (X,11), 16.
4. Chad - Integrated Rural Development, PRP (11-26-76), p. 47.
5. Secondary tier organizations frequently include village groups, marketing or credit cooperatives which transcend single base-level units, cross-village

FOOTNOTES (cont'd)

producer organizations, farmer unions, or multi-function rural local governments (communes). On the important of a multi-tiered local organizational strategy for development. see Uphoff and Esman, 1974.

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UNICEF

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World Bank

1974 Rural Development Sector Paper, Washington: The World Bank.

APPENDIX I

List of Scholars to be consulted in Preparation
of Country Field Studies of Animation

SENAGAL

- Dr. Jonathan Barker (*,+ ,x)
Dr. Gene Lerner (American sociologist working for Promotion Humane, Senegal) (*,+ ,x)
Dr. Edward Schumacher (*,+ ,x)
Dr. Lucy Behrman (* ,x)
Mr. Guy Belloncle (French, IRAM, x)
Dr. Clement Cottingham (* ,x)
Dr. Shelton Gellar (* ,x)
Dr. Donal Cruise O'Brien (British, * , x)
Dr. Tidjane Sy (Senegalese, * , x)
Mr. Ben Mady Cisse (Senegalese practitioner, x)
Dr. John Lewis (* ,x)

NIGER

- Dr. Robert Charlick, * , + , principal investigator)
Dr. John Collins (*,+ ,x)
Dr. Ralph Faulkingham (* ,x)
Dr. Michael Horowitz (* ,x)
Dr. Guy Nicolas (French, * , x)
Dr. Claude Raynaut (French, * , x)
Dr. James Thompson (* ,x)
Dr. Roger Miller (* ,x)
Mr. Guy Belloncle (French, IRAM practitioner, x)
Dr. Dominique Gentil (French, IRAM practitioner, * , x)

APPENDIX I (cont'd)

NIGER (cont'd)

Dr. Michael Keita (Niger, *, x)

Dr. Issoufou Bachard (Niger, UNCC, *, x)

Dr. Kane Sallaw (Service Animation, Niger, x)

CHAD AND UPPER VOLTA

Ms. Laura McPherson (+,x)

Dr. Claude Salem (*,+ ,x)

HAITI

Dr. Gary Robinson (+,x)

Dr. David Gow (*,+ ,x)

Laborde Institute, East Quebec (* ,x)

GENERAL

Dr. Jeanne Moulton (*,x) for educational methods

Dr. Albert Meister (French, *, x) for intervention techniques

Dr. Yves Goussaut (French, x) for Animation Strategy and methods

NOTE: This list is neither definitive nor sure. Many of the potential consultants have been contacted. Some have not. The list represents an indication of the potential resource in studies and personnel which could be tapped for the performance of the study.

CODE: * original research conducted

+ possible principal consultant on country paper

x possible secondary consultant for project information

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