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Does it Work in Practice? Fostering Knowledge Exchange for Sustainable Development

Second NCCR North-South Report on Effectiveness

Eva Maria Heim, Claudia Michel, Annika Salmi, Thomas Breu

NCCR North-South Dialogue, no. 29

2011

dialogue

The present study was carried out at the following partner institutions of the NCCR North-South:

NCCR North-South, Management Centre,
Centre for Development and Environment (CDE),
University of Bern, Switzerland

and all partner institutions in Switzerland and in the nine partnership regions (JACS)

The NCCR North-South (Research Partnerships for Mitigating Syndromes of Global Change) is one of 27 National Centres of Competence in Research established by the Swiss National Science Foundation (SNSF). It is implemented by the SNSF and co-funded by the Swiss Agency for Development and Cooperation (SDC), and the participating institutions in Switzerland. The NCCR North-South carries out disciplinary, interdisciplinary and transdisciplinary research on issues relating to sustainable development in developing and transition countries as well as in Switzerland.

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Cover photo
Left: Rally of landless Dalit people in Nepal. (Photo by Jagat Basnet) *Right:* Dry toilet in Mexico. (Photo by Annika Salmi)

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Abbreviations

BoD	Board of Directors
CDE	Centre for Development and Environment
DSGZ	Development Study Group Zurich
EAWAG	Swiss Federal Institute of Aquatic Science and Technology
HCES	Household-Centred Environmental Sanitation
HIP	Heads of Institutional Partner
HIV	Human immunodeficiency virus
JACS	Joint Areas of Case Studies
LWF	Laikipia Wildlife Forum
MC	Management Centre
MORE	Monitoring Research Effectiveness
NCCR North-South	National Centre of Competence in Research North-South
NGO	Non-governmental organisation
PAMS	Partnership Actions for Mitigating Syndromes
RC	Regional Coordinator
RCO	Regional Coordination Office
RWUAs	River Water Users Associations
SANDEC	Department of Water and Sanitation in Developing Countries
SDC	Swiss Agency for Development and Cooperation
SECO	State Secretariat for Economic Affairs
SNSF	Swiss National Science Foundation
Swiss TPH	Swiss Tropical and Public Health Institute
UNDP	United Nations Development Programme
UN-HABITAT	United Nations Human Settlements Programme
UNICEF	United Nations International Children's Emergency Fund
WRMA	Water Resources Management Authority
WWF	World Wide Fund for Nature

Executive Summary

This report on effectiveness documents the experiences of the National Centre of Competence in Research (NCCR) North-South with one of its most distinctive features – the Partnership Actions for Mitigating Syndromes (PAMS). PAMS are small participatory projects of limited time and financial scope, designed to ensure that research results are tested for their practical use. In a joint endeavour, researchers and societal partners develop and test new ideas to solve concrete problems of societies, mainly in developing countries. Are PAMS the right vehicle for this? Have PAMS achieved what we envisioned they would, when the NCCR North-South was launched in 2001? We sought answers to these questions in an extensive evaluation of 20 PAMS projects[1] implemented between 2006 – 2010; this "report on effectiveness" is the result.

Chapter 1 gives an introduction to the PAMS programme goals, organisational set-up, and a brief summary of the 20 evaluated projects. It explains the evaluation framework we developed in 2008 –"Monitoring Research Effectiveness" (MORE) – which we used to prepare this report. MORE is a self-assessment and learning approach that aims at enhancing researchers' understanding of how they share knowledge with societal partners, ultimately with a view to providing guidance for further increasing effectiveness.

Chapter 2 summarises the results of this evaluation. It is divided into two parts, reflecting the two aims of this evaluation: first, to evaluate the **effectiveness of PAMS** (2.1), i.e. the outcomes of PAMS for society on the one hand, and research on the other. Second, to evaluate the **PAMS programme design** (2.2) – i.e. the PAMS programme goals, the organisational set-up, and the administrative process – to draw conclusions about how to optimise PAMS to achieve the best possible outcomes.

In 2.1, we shed light on the manifold **outcomes produced in PAMS** in the partner countries. PAMS work at the level of local people, but most often involve different stakeholders from the local to the national level, fostering dialogue and negotiation based on scientific evidence. The societal outcomes of PAMS can be structured along five stages of change: i) awareness, ii) intention, iii) negotiation, iv) implementation, and v) maintenance. We see the process of societal change as an iterative rather than a linear process, with most of these stages being repeatedly passed through. Most PAMS work towards negotiation and implementation, but nearly all achieved the level of awareness-raising at least at some point during the course of the project. In this chapter, we also examine the **contextual factors that contribute to the outcomes of PAMS,** showing that the single most important success factor is the involvement of local partners.

As chapter 2.1 also demonstrates, PAMS differ from conventional development projects. What sets them apart is the fact that they are strongly **linked with academic**

1 For concision, we refer in this report to "PAMS" when we mean the PAMS programme as a whole, and "a PAMS" when we mean individual projects. We are aware that "a PAMS" is not grammatically correct. However, we felt referring to "a PAMS project" throughout the text would have been too cumbersome.

research. Research helps to identify societal problems addressed in PAMS. During implementation, research provides scientific evidence as a basis for discussion, or it delivers concrete tools that can be used to solve a given problem in society (e.g. simple and affordable sanitation systems). Such insights from research are not unilaterally transferred into society. Through the exchange with society, new insights are gained, new research questions emerge, and approaches are adapted to the "real world". In this process of exchange, researchers do not just assume the role of "technical expert" in line with the traditional image of academic researchers. Rather, they switch between different roles: they mediate between conflicting parties, moderate negotiation processes among different stakeholders, or help in finding solutions as discussion partners, using their scientific background.

In 2.2, we analyse five different aspects of programme design. Having asked in the evaluation whether the **PAMS programme goals** are ideally formulated, we conclude that this is only partially so. They are very relevant for the NCCR North-South as a whole, but for PAMS, they set the bar too high to be achieved with such small projects. Second, while **the organisational set-up of PAMS** was evaluated as positive by researchers and executing agencies, the evaluation also showed that there is room for improvement. This could be done by including civil society in the decision-making process, and avoiding dual roles of the people in charge of assessing and selecting PAMS. Third, the evaluation found that the **administrative process** is rather complex and time-consuming. A leaner management is needed to make sure that the invested resources are used for the project itself and not on administration. Fourth, the evaluation highlighted the **collaboration between the NCCR North-South researcher and the "executing agency"** – a partner organisation outside academia which is responsible for the project implementation. In general, researchers and executing agencies work very closely together, share the responsibility for PAMS, and learn from each other over the course of the project. And fifth, the evaluation provides an **overall appraisal of the PAMS tool** itself. It shows that PAMS are a very innovative and much-needed feature and have the desired effect of testing and validating scientific results in the realm of development research in the "real world".

Chapter 3, the last chapter, provides 10 recommendations for the future. We strongly believe that PAMS – or similar vehicles – should continue to be an integral part of development research in future. We also provide recommendations on how to improve PAMS, and what to look out for in the design of such projects.

1 Background

1.1 Partnership Actions for Mitigating Syndromes

Within the National Centre of Competence in Research (NCCR) North-South, knowledge is co-produced by researchers and societal actors. This constant exchange with partners from outside academia helps to ensure that the research is relevant, timely and useful for societies in developing countries. This approach – the "transdisciplinary approach" – allows learning to take place both in research and society, and marks a break from the more conventional "knowledge transfer" – the one-way transfer from research into application.

The founders of the NCCR North-South introduced an innovative feature from the very start of the programme: Partnership Actions for Mitigating Syndromes (PAMS). PAMS are small participatory projects of limited time and financial scope, designed to bring researchers together with societal partners. In a joint endeavour, researchers and their partners develop and test new ideas to solve concrete problems of societies in developing countries. This vision is reflected in the three PAMS programme goals:

1. **Transdisciplinarity**: Researchers of different disciplines work together with non-scientific actors such as non-governmental organisations, ministries, local authorities, civil society organisations, and others, with the aim of finding solutions for problems of the world. Transdisciplinarity aims at understanding the complexity of problems, taking into account a diversity of views, while linking scientific and practical knowledge (Hirsch Hadorn et al 2008).
2. **Social learning:** PAMS trigger learning processes between researchers and non-academic partners, impacting both science and society. Social learning has been defined by various authors as a process of negotiation, communication and perspective sharing, with the aim of understanding problems and reaching a joint solution (Schusler et al 2003; Bouwen and Taillieu 2004; Pahl-Wostl and Hare 2004; Berkes 2009).
3. **Mitigation:** PAMS explore strategies and tools for mitigating the effects of unsustainable development. Mitigation research is defined as "research that contributes to problem-solving by producing knowledge for decision support and by developing tools to enable stakeholders to initiate mitigation measures and processes and work towards sustainable development" (Hurni et al 2004, p 13).

On closer examination, it becomes clear that these three principles are far from mutually exclusive. Instead, they highlight different aspects of the same basic idea: the idea of the co-production of knowledge between researchers and societal actors with the aim of finding solutions which eventually contribute to sustainable development. The first principle highlights the collaboration between scientific and societal actors for a common purpose. Hence this principle mainly focuses on the composition of the project team. The second principle puts emphasis on the interaction, which refers to the process of exchange and co-production of knowledge among the involved partners. And the third principle highlights the outcomes of this process – the solution which contributes to more sustainable development. Interestingly, the aspect of finding solutions is highlighted in all three principles.

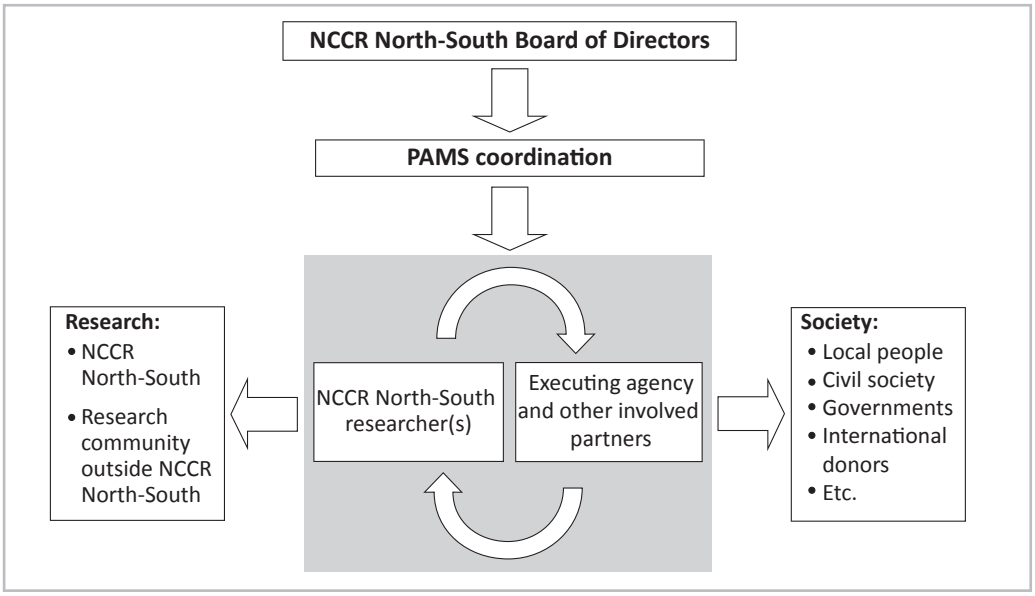

Figure 1: PAMS structure.

The PAMS structure is highlighted in Figure 1. The NCCR North-South Board of Directors (BoD) consists of nine Regional Coordinators (RCs) and nine Heads of Swiss Institutional Partners (HIPs).[2] Regional Coordinators are local researchers responsible for coordinating research and implementation activities in their region, which most often involves several countries. HIPs are the Heads of the Swiss institutions that form the NCCR North-South. The BoD endorses the projects. One part-time staff member at the Management Centre of the NCCR North-South – the PAMS coordinator – ensures compliance with the PAMS principles and provides overall management support. PAMS are jointly implemented by one or several NCCR North-South researchers and an executing agency, a partner organisation outside academia which is responsible for the project implementation. Additional partners may be involved in the project implementation, but they do not have the overall responsibility for the project.

The activities implemented in PAMS are intended to have an effect on stakeholders that are not directly involved in the implementation of the project, such as local people, governments, international donors, etc. At the same time, PAMS are meant to have an effect on research, not only within the NCCR North-South, but also in the broader research community.

1.2 MORE - Monitoring Research Effectiveness in the NCCR North-South

This report is the second in our series of "reports on effectiveness" (Michel et al 2010a, 2010b). This series documents the effects of the NCCR North-South programme both on society and research, as the 12-year programme nears its end. The reports are based

2 For a more detailed description of the programme structure, please refer to our website: http://www.north-south.unibe.ch/content.php/page/id/227.

on an evaluation framework we developed in 2008, entitled "Monitoring Research Effectiveness" (MORE). MORE is a self-assessment and learning approach which aims at enhancing researchers' understanding of how they share knowledge with societal partners, ultimately with a view to providing guidance for further increasing effectiveness.

In the previous report, we defined effectiveness in terms of outcomes: "Outcomes are changing practices observable among external partners to whom the research programme is directly linked and with whom it anticipates opportunities of mutual influence; research is therefore effective when the dialogue between researchers and actors from policy and practice leads to partners' practices changing in a positive direction" (Michel et al 2010b, p 7).

MORE not only looks at the achieved outcomes in science and society, but also at the specific factors within a given context – contextual factors – that foster or hinder these outcomes. Over time, the influence of contextual factors on outcomes and impacts increases. This makes it difficult to attribute the outcomes and impacts to PAMS, resulting in an "attribution gap" (Herweg and Steiner 2002), see Figure 2.

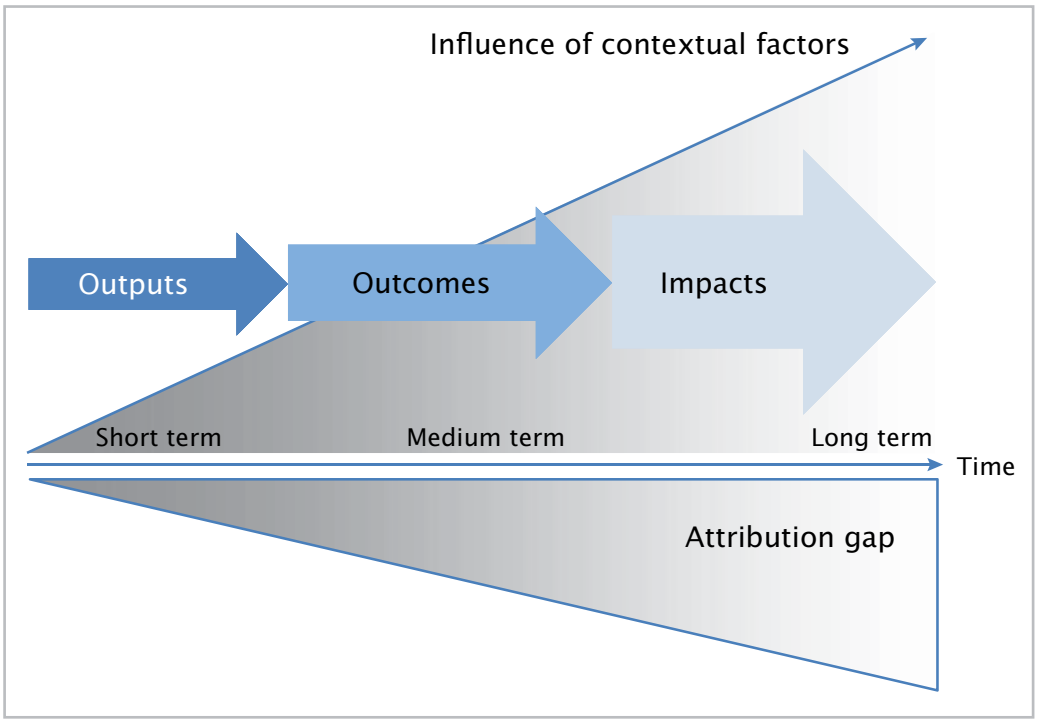

Figure 2: Attribution gap. (Source: adapted from Herweg and Steiner 2002)

In view of the difficulties that emerge with this attribution gap, MORE focuses on outcomes rather than on impacts. Moreover, we do not attempt to establish causal links between NCCR North-South research and societal outcomes, because we will never be able to make an absolute differentiation between the contextual factors and the influence of the NCCR North-South on these outcomes. Instead, we focus on plausible links between research and outcomes (Herweg and Steiner 2002; Horton and MacKay 2003; Michel et al 2010a, 2010b).

In our analysis, we attempt to include the influence of contextual factors on outcomes. We aim to better understand how researchers and their partners adapt their strategies to contextual factors. In the previous report on effectiveness, we concluded that researchers are only partly aware of the importance of such contextual factors on the achieved outcomes. Using MORE, we aim to contribute to increasing researchers' awareness on this topic in view of further enhancing research effectiveness in the NCCR North-South.

1.3 Aims and scope of this report

The present report on effectiveness presents the results of an extensive evaluation of 20 PAMS. The evaluation had two aims. First, to evaluate the **effectiveness of PAMS**, i.e. the outcomes of PAMS both for society and research, and second, to evaluate the **PAMS programme design** – i.e. the programme goals, the organisational set-up, and the administrative process – to draw conclusions about how to optimise PAMS to achieve the best possible outcomes. A series of evaluation questions guided our study and the structure of this report.

1. Effectiveness of PAMS
- a What are the outcomes of PAMS for society?
- b How do contextual factors foster or hinder the outcomes of PAMS?
- c How does research contribute to the outcomes of PAMS?
- d What is the role of researchers in PAMS?
- e What are the outcomes of PAMS for research?

2. PAMS programme design
- a Are the PAMS programme goals ideally formulated?
- b Do we have an optimal organisational set-up?
- c Is the administrative process efficient?
- d What do researchers and executing agencies learn from one another?
- e How do those involved evaluate the PAMS programme in general?

We applied three different methods for this internal evaluation: i) document analysis; ii) online survey with researchers and executing agencies; and iii) personal interviews. The different methods complemented each other, providing the information necessary for the evaluation. The online survey and interviews were only conducted where the written information did not provide enough details. This method triangulation provided different approaches and perspectives, and enabled us to gain an integral view on PAMS. The evaluation methods are described in more detail in Appendix 1.

1.4 Overview of evaluated projects

Twenty-two PAMS were implemented and completed between 2006 and 2010.[3,4] The average duration of a PAMS was 15 months. The total expenditure was between CHF 16,500 and CHF 56,300, with an average of CHF 41,000. All nine partner regions of the NCCR North-South had conducted at least one PAMS: there were five in South Asia, four in South America, three each in Central America and East Africa, two each in West Africa and South East Asia, and one each in Horn of Africa, Central Asia, and the Swiss Alps. Thematically, six PAMS dealt with governance & conflict, five with livelihood and globalisation, seven with health and sanitation, and four with natural resource management.[5] The map below shows the thematic and geographic distribution of PAMS. Out of the 22 implemented PAMS, only 20 were included in this evaluation. One was not yet finished when we conducted the document analysis and online survey, and the other could not be brought to an end because the researcher left the executing agency.

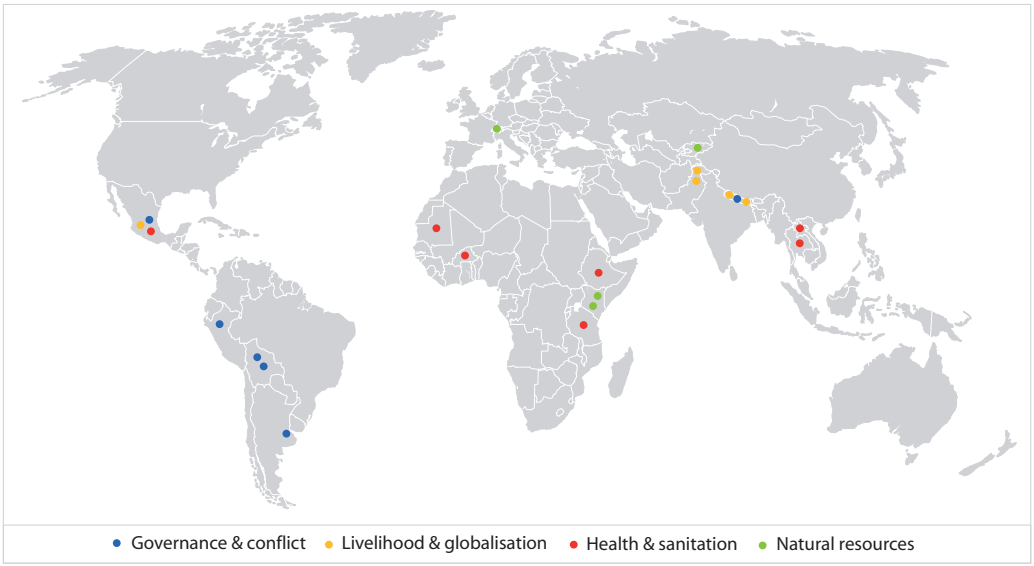

Figure 3: Thematic and geographic distribution of PAMS.

3 For an overview of the PAMS, see Appendix 2 or please refer to our website (http://www.north-south.unibe.ch/content.php/page/id/228).

4 This evaluation only focuses on the second phase of PAMS. During Phase 1 of the NCCR North-South (2001-2005), 55 PAMS were implemented. These PAMS were evaluated in 2006; the most important lessons learnt were compiled in an evaluation report (Messerli et al 2007).

5 These four themes correspond to the NCCR North-South Work Packages of Phase 2.

2 Results

The results of this evaluation are presented in the order of the evaluation questions mentioned above. In 2.1, we examine the effectiveness of PAMS. In 2.2, we focus on the PAMS programme design.

2.1 Effectiveness of PAMS

The idea of PAMS – pilot projects designed to test NCCR North-South research in real-world settings – is a unique and innovative component of the NCCR North-South. Measuring their effectiveness is crucial in determining whether PAMS are a tool that should be more widely promoted. Were PAMS effective – for society as well as for research? What made a particular project more effective than another? Were there any flops, and if so, what caused them? In this chapter (2.1) we examine effectiveness first in terms of outcomes for society (2.1.1). We then determine which contextual factors contributed to the greater or lesser success of a PAMS, in accordance with the MORE approach (2.1.2). Finally, we look into what sets PAMS apart from conventional development projects: the link with scientific research. Specifically, we analyse the contribution of research to PAMS (2.1.3), the role of the researchers in PAMS (2.1.4), and the outcomes of PAMS for research (2.1.5).

2.1.1 What are the outcomes of PAMS for society?

This chapter highlights the manifold societal outcomes of PAMS in the partner countries. What effect has a PAMS had on society? Have people changed their behaviour? Were insights from PAMS taken up by governments or local development organisations? We answer these questions and explain how the variety of PAMS outcomes contribute to societal change in the long run.

Based on the Outcome Mapping Approach, we defined outcomes of PAMS for society as “changes in the behaviour, relationships, practices, activities or actions of the (…) people, groups, and organisations with whom a programme works directly” (Earl et al 2001, p 1). In line with this definition, we looked at both people and groups on which PAMS had an effect, and on the types of effects that were achieved among these people and groups.

The evaluation showed that PAMS have achieved outcomes at all societal levels, from the individual to the national level in the partner countries. Most PAMS implemented a multi-stakeholder approach and achieved outcomes at different societal levels. However, we found relatively few effects of PAMS on international development organisations. Only five PAMS reported having cooperated with international NGOs, and two PAMS showed a clear link with the Swiss governmental development cooperation (State Secretariat for Economic Affairs, SECO and Swiss Agency for Development and Cooperation, SDC). In two other cases, the local cooperation office of SDC showed interest in the approach that was applied in PAMS. Furthermore, three PAMS

had collaborated with international organisations, such as UNICEF, UN-HABITAT, WWF, and UNDP. We also found very few effects of PAMS on the private sector. Some PAMS collaborated with private companies, e.g. to construct sanitation facilities. But there was very little cooperation of researchers with private companies in joint endeavours to develop promising approaches for sustainable development.

A variety of outcomes was achieved in PAMS at different societal levels. These outcomes range from awareness-raising at the local level to policy changes at the national level. PAMS ultimately aim at contributing to societal change towards more sustainable development. From this understanding, we aimed to classify the different outcomes of PAMS in terms of their contribution to societal change.

To do so, we draw on the Transtheoretical Model of Behavior Change (Prochaska et al 1992). This model was originally developed in the context of health promotion at the individual level.[6] While the Transtheoretical Model is based at the individual level, PAMS work at the societal level. For this reason, we modified the Transtheoretical Model and classified the outcomes of PAMS along the following five stages of societal change: i) awareness, ii) intention, iii) negotiation, iv) implementation, and v) maintenance. The most important modification of the Transtheoretical Model is the stage of negotiation. At the individual level, awareness and intention may lead to action and maintenance. But as soon as more than one individual is involved, diverging intentions have to be negotiated before taking action.

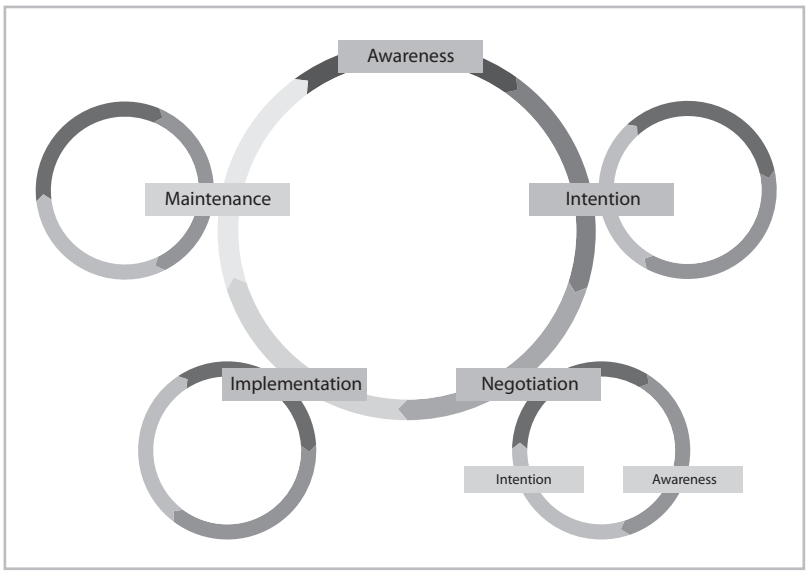

Figure 4: Stages of societal change in PAMS.

The process of societal change is an iterative rather than a linear process, with most of these stages being repeatedly passed through (see Figure 4). For example, awareness about a particular problem and the intention to address this problem are needed be-

6 The model describes the process of behaviour change along a series of consecutive stages: from pre-contemplation (no intention of changing behaviour) to contemplation, preparation, action, maintenance and termination (no temptation to go back to former behaviour). The authors further conceptualised the relapse, which is not a stage in itself but rather the return from action or maintenance to an earlier stage.

fore initiating a process of negotiation and dialogue. When various stakeholders with diverging intentions get together to exchange views on a particular issue, they may develop a joint intention to address this issue. And even if the stages of intention and action are achieved at some point, maintenance is often very difficult to achieve. But societal change can still be described along these consecutive stages, with one stage being the precondition for the next stage. That is, intention cannot be achieved without awareness. In the same way, implementation is most often preceded by intention and – in case of more than one individual being involved – negotiation.

The five stages of change

i. Awareness

The first stage of change is an increase in awareness among the stakeholders involved in a project, be it at individual, community or national level. Nearly all PAMS have achieved awareness about a particular issue at some time during the course of the project. For example, a PAMS in Kenya worked with River Water Users Associations (RWUAs) in the upper Ewaso Ngiro basin. After the interaction with the downstream water users during the PAMS project, people's awareness of the water crisis in the basin increased among the upstream RWUAs. Their perception of water as a (God given) resource with unlimited potential changed, and they started to recognise the need for equitable sharing among all users. In another PAMS in Mauritania on HIV prevention, parents signed an agreement allowing their child to attend training on HIV. This means that they agreed for their children to talk about sexuality, which, according to the project team, was unusual in Mauritanian tradition. While in some PAMS, awareness was raised at the beginning to initiate the programme activities (e.g. improvement of the sanitation system), in others awareness was raised as a result of the activities (e.g. the dialogue among different stakeholders). But we still believe that awareness is the first step in a process of change, and that if awareness is raised in a project, it is more likely that societal change will occur at some time just or long after the PAMS project. Awareness raising leads to changed attitudes, which may result in the intention for change.

ii. Intention

The second stage in the process of change is intention. Intention refers to the moment where people express their willingness to change something. Intention can be achieved at different levels. For example, a PAMS in Ethiopia on HIV prevention reported that participants decided to use condoms or else avoid multiple (sexual) relationships. As anyone working in health promotion will know, such behaviour changes are unlikely to be achieved within a short time. But this expression of intent in Ethiopia is a meaningful outcome and an important marker in the process of change. Intention can also be achieved at national level, for example if a Minister expresses his intention to address the rights of landless Dalits.

iii. Negotiation

The third stage in the process of change is negotiation. This stage is achieved when stakeholders from different backgrounds are willing to come together and discuss their diverging points of view. In one PAMS, for example, women's rights were discussed in a remote rural area in Pakistan. Another PAMS on forest management in Pakistan fostered dialogue and negotiation between the forest department and local communities. Related research in the region had shown that mistrust and a lack of state legitimacy at the local level was one of the main reasons that local communities refused to collaborate with state bodies. The most important outcome of this PAMS was that stakeholders with different backgrounds met to hold round table discussions and started negotiating their diverging interests. Negotiation not only includes the dialogue and mutual learning between different stakeholders, but also the process of participatory planning. In several PAMS, the dialogue and negotiation among local communities resulted in a concrete plan for action, e.g. a plan for a new sanitation system or neighbourhood improvement. The ultimate aim of the negotiation phase is consensus and legitimation of the next stage, the implementation stage.

iv. Implementation

The fourth stage in the process of change is implementation. Implementation describes the turning point from preparation (awareness, intention, negotiation, and planning) to action. In four PAMS, implementation was visible after a process of awareness-raising, negotiation, and planning at community level. In several PAMS, for example, improved sanitation systems were planned and implemented during the course of the project.

v. Maintenance

Maintenance is possibly the most difficult stage to achieve. After the initial euphoria of a project has diminished, the achieved changes are often reversed, due to a range of factors. For this reason, PAMS that maintain their achievements are particularly interesting. From the final reports, we are only able to describe indicators which enhance the chances for maintenance, and not maintenance itself. For example, changes in written plans or legislation are a valid indicator for the maintenance of the achieved outcomes. In one PAMS which addressed risk management at community level in Bolivia, municipal development plans were changed as a consequence of the project. This means that risk management is now enshrined as a transversal theme in these plans, and the activities that were started in the project will most probably continue or be further developed. In Chang'ombe, an unplanned settlement in Dodoma, Tanzania, a participatory approach was used to select sanitation facilities out of a range of alternatives. Three types of improved sanitation facilities were constructed in selected demonstration sites including a school. According to the final report, Chang'ombe will be converted into a planned settlement, and the facilities constructed by the PAMS project provide a model for this government programme. Such important policy changes are an indicator for longer lasting societal change that will be maintained for at least several years.

After defining these five stages of change, we positioned each PAMS in a coordination system, where the y-axis represents the societal levels at which the outcomes occurred, and the x-axis describes the five stages of societal change as outlined above (Figure 5). In this coordination system, each PAMS is located at the "highest" societal level and the foremost stage of change that has been achieved. The positioning of each PAMS in the coordination system corresponds to our own interpretation of the data. Most PAMS could have been positioned at different places within the coordination system. However, while it would be more representative to have "clouds" of outcomes, we chose to map exact points for reasons of clarity.

Most PAMS achieved outcomes in the top right quadrant of the coordination system, which means that they worked at the community level or above. Moreover, six out of the 20 evaluated PAMS had achieved outcomes at the negotiation stage. These results are congruent with the basic idea of PAMS. The PAMS principles and procedures establish that "PAMS projects – irrespective of their topic, objectives and planned activities – should enable social learning between all stakeholders concerned. Their participative approach ought to ensure that the project and its aims are supported by all stakeholders and benefit both research and the target communities" (NCCR North-South 2009, p 4). PAMS are selected according to these criteria, and they have a higher chance of acceptance if different stakeholders are involved in dialogue and negotiation during the course of the project.

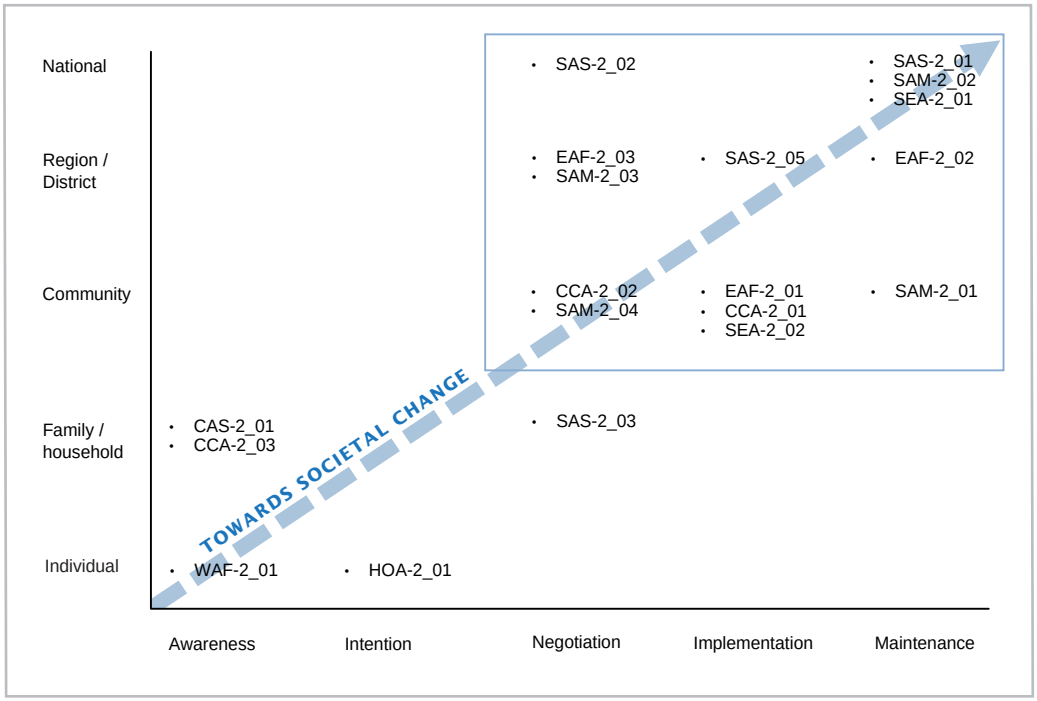

Figure 5: Systematisation of PAMS[7] according to their achieved outcomes.

Differences between PAMS that are located within the top right quadrant can in part be explained by their content. For example, the three PAMS that achieved implementation at community level dealt with improving sanitation. Thus, what they achieved is congruent with what they had planned to achieve. The same holds true for the other PAMS situated at the community level. By contrast, PAMS situated at regional, district or even national level addressed topics that concern different communities and have fostered dialogue between them. A perfect example is the PAMS that addressed negotiation between water users from up- and downstream in the Ewaso Ngiro North catchment. Thus, the finding that most PAMS work at community level or above, and that several PAMS achieved the negotiation state, are a reflection of the way in which the projects are selected. In an overall evaluation, we are therefore able to say that most PAMS fulfilled expectations at a programme level.

However, from this result, we do not draw the conclusion that PAMS that are not located in the top right quadrant did not fulfill the PAMS selection criteria. The two PAMS that are positioned at the individual level are both PAMS dealing with HIV prevention. These PAMS achieved important outcomes at the community level, such as building an association to combat HIV. But the most important achievements in this case are the achievements at the individual level, namely the awareness of HIV and the intention to take preventive measures.

One PAMS that is located at the family / household level (SAS-2_03 in Figure 5) contributed to negotiations about women's rights at the household level in a remote rural area in Pakistan. In this area, there is little awareness on this topic, and very few

7 Brief descriptions of the PAMS displayed in Figure 5 are provided in Appendix 2.

interventions through international development cooperation. From this point of view, having achieved negotiations at household and family level is as much an achievement as any other outcome that has been achieved in other PAMS under completely different conditions.

This example shows that the outcomes of PAMS always have to be viewed in relation to the context in which they were achieved. The next chapter highlights such contextual factors and shows how they contribute to the outcomes of PAMS.

2.1.2 How do contextual factors foster or hinder the outcomes of PAMS?

How effective a PAMS is can greatly depend on the local context. For example, PAMS in which local leaders were heavily involved were more likely to be successful. We asked researchers to describe which contextual factors fostered, and which hindered the outcomes of PAMS. Some of these factors are directly related to the implementation of the project, such as the involvement of local leaders, strategic partnerships with important stakeholders, or the direct support of local and national governments. Other factors are related to the broader context, such as the political environment or recent events (e.g. armed conflicts, floods) that foster or hinder project outcomes. The fostering or hindering contextual factors most often mentioned in this evaluation are highlighted in Figure 6 and Figure 7. These factors can be assigned to four categories described below: i) partnerships, ii) political and cultural context, iii) recent events, and iv) time and financial scope.

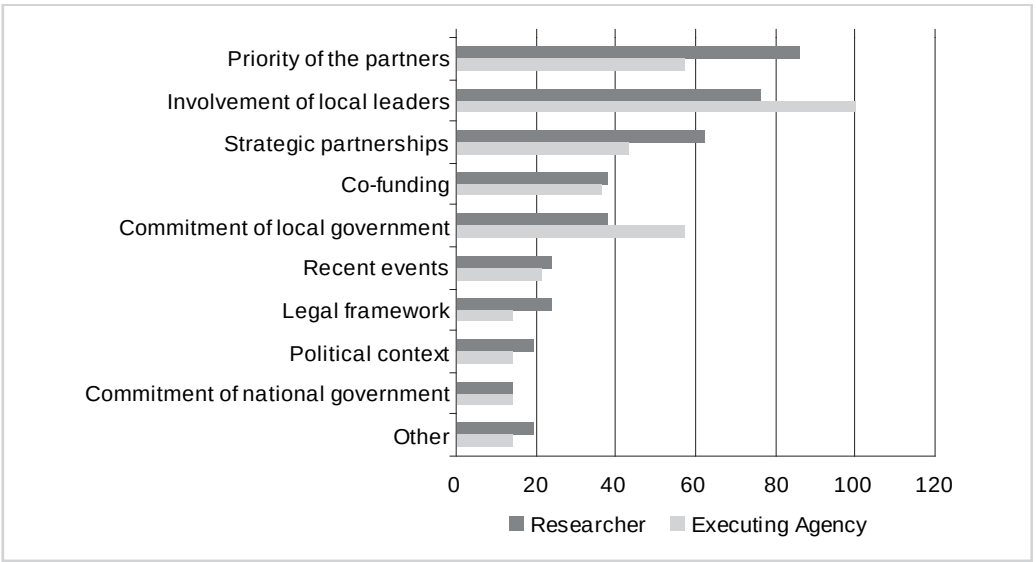

Figure 6: Fostering contextual factors (% of respondents).

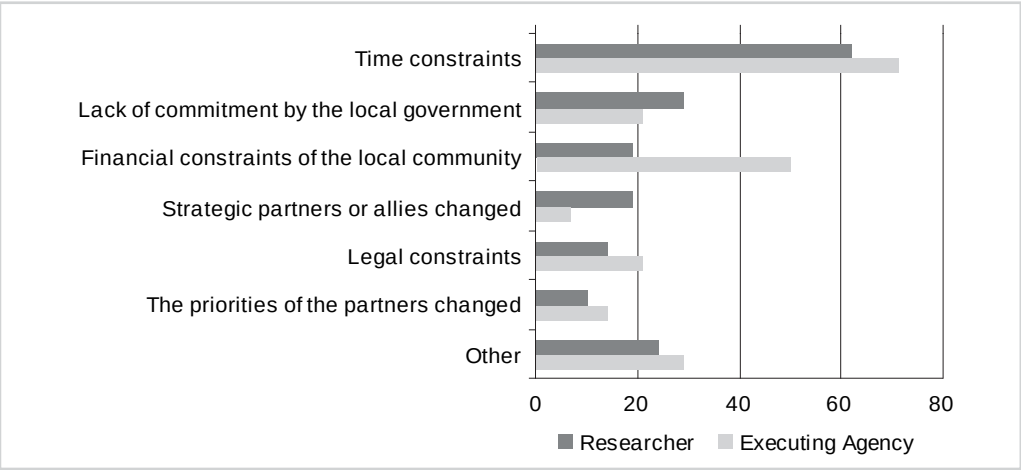

Figure 7: Hindering contextual factors (% of respondents).

i) Partnerships

The single most important factor for the success of a PAMS is the collaboration with the right partners. The involvement of local leaders was repeatedly mentioned as an important factor in fostering outcomes in PAMS. It is important that the project corresponds to a priority of the involved partners to ensure their commitment. For example, in Hatsady Tai, the local authority (Naiban) took a leading role in the PAMS project and contributed significantly to its success. Missing government support is often mentioned in PAMS final reports as a reason for not having achieved the expected outcomes.

Where government support is present, stability of this government is key. Two PAMS reported that their allies in the local or central government had changed during the course of the project, which meant that they had to start over trying to receive support. One PAMS seemed to have been aware of this risk, saying they had selected the municipalities where they planned to implement the PAMS according to the stability of the mayoralty over several years before the project started.

In several PAMS, outcomes were fostered because the project had linked up with ongoing development activities, or they had entered into strategic partnership with other important stakeholders. Two PAMS in the upper Ewaso Ngiro river catchment in Kenya were part of an initiative for sustainable water management in the larger Mt. Kenya region. Strategic partnerships with the Ewaso Ngiro North catchment office and other important stakeholders, such as the Water Resources Management Authority (WRMA) and the Laikipia Wildlife Forum (LWF), contributed to the success and sustainability of these projects. Linking up with ongoing development activities is positive as long as the partner organisation adheres to the aim of PAMS. Three PAMS reported that the priorities of their partners had changed during the course of the project. Such changes can be very difficult for the project team.

ii) Political and cultural context

Factors related to the broader political and cultural context of the project were less often mentioned, but still seem to play an important role in some PAMS. Three projects

had taken advantage of a process of decentralisation underway in their country which encouraged the political participation of the population. For example, one PAMS in Bolivia contributed to improved risk management at community level. Making use of the Law of Popular Participation (Ley de Participación Popular), the project team encouraged registered community-based organisations to insist on having improved risk management strategies included in the Municipal Development Plans.

The political context is most often mentioned only if it has fostered a PAMS; little information was provided on whether a political context had also acted as a hindering factor. An exception is the following statement from a PAMS dealing with sanitation in Lao PDR:

> *The project did not yet have significant influence on national policies. The main reason relates to the small size of the project as compared to the large development programmes currently being implemented in Lao PDR. Policy reforms usually take place within these development programmes with pre-defined goals and approaches. Our strategy was therefore changed during project implementation, namely to influence lower level authorities and sector agencies (city, district authorities, service providers, city planners) rather than national authorities.* (PAMS final report)

This statement contains two important arguments. First, the researcher explains why their expected outcomes at the national level were not achieved. He goes on to outline how policy reforms at this political level take place, and then refers to the project size to explain why they were unable to have an influence on such reforms. Second, he explains how they changed their strategy after analysing the policy context. They decided to shift their focus of attention from the national to the local level, where they believed they could achieve more significant outcomes. This example shows that a careful analysis of the policy context may lead to finding adequate strategies to influence policymakers or other stakeholders at different societal levels.

Cultural factors were only mentioned as hindering, and never as fostering factors. This was most often done in the context of gender: five PAMS reported that cultural factors made it very difficult to achieve their outcomes with regard to women.

iii) Recent events

Recent events such as natural disasters can play an important role in drawing people's attention to PAMS. For example, one PAMS dealing with risk management in Bolivia obtained upwind when, during the project, large areas of the country were flooded due to heavy rain, and houses in La Paz were destroyed because of landslides. For this reason, people were more alerted to the problems and interested in developing measures for prevention and mitigation. By contrast, such events can also play a hindering role. In Pakistan, two PAMS had serious problems in implementing their activities due to armed conflicts between the Pakistan Army and the Taliban, and later because of the devastating flood.

iv) Time and financial scope

Time constraints were by far the most often mentioned hindering factor in PAMS. This topic is further discussed in chapter 2.2.2. Financial constraints were often mentioned as well. It follows that financial support from sources other than the NCCR North-South is an important factor contributing to the success of a project during and beyond PAMS.

Out of the 20 evaluated PAMS, 14 had co-funding in place already during project implementation. In several cases, the funding continued after the project had been completed. For example, one project in Bolivia on risk management received co-funding from OXFAM that was about three times higher than the PAMS funding. After the project was completed, OXFAM continued to finance the activities, and new funding sources were found several years after the project was completed. Similarly, a PAMS in Tanzania contributed to building model sanitation facilities in a neighbourhood of Dodoma. In their final report, the project team found that households were willing to adopt the new types of facilities, but that the ability to pay for them was limited. They said that they hoped to receive support from SECO to establish a microfinance system. In the online survey, they indicated that the microfinance project had started and that SECO was funding it.

These examples show that in several PAMS, at least some financial contribution had been found to continue the initiated activities. In the online survey, we asked researchers and executing agencies directly whether the project had received funding after completion. Among all respondents, 33% of the researchers and 43% of the executing agencies agreed. Without having any more background information, we conclude that about one-third of the projects continued their activities with other funding sources.

2.1.3 How does research contribute to the outcomes of PAMS?

The previous chapters showed the broad range of outcomes that have been achieved at different societal levels in PAMS, and the contextual factors that contributed to these outcomes. But what makes PAMS different from conventional development projects? To what extent was scientific research relevant for these outcomes? In this chapter, we aim to show how research contributes to PAMS. The following two chapters will then highlight the role of researchers in PAMS, and how experiences from PAMS feed back into research.

The online survey showed that over 90% of researchers and executing agencies agreed that the insights from research had been useful for the PAMS, and 70% agreed that research had provided the insights to solve the problem that was addressed. We therefore conclude that research plays a very important role in PAMS and contributes to the achieved outcomes. We found three ways in which research contributes to PAMS: i) problem identification, ii) providing scientific evidence as a basis for discussion, and iii) providing tools to solve a given problem.

i) Problem identification

In their assessment, researchers often describe a specific societal problem they had identified in their research and then explain how this problem was addressed in a PAMS. In Peru, for example, research pointed to the importance of involving indigenous federations in negotiations with extracting industries. In Pakistan, research showed that wives of migrant workers were systematically disadvantaged with regard to remittances. And in Nepal, researchers revealed the systematic violation of the rights of landless Dalits. The PAMS projects provided those researchers with the opportunity to address the problems they had identified in their research, in collaboration with partners from policy and practice.

ii) Providing scientific evidence as a basis for discussion

A second important contribution is that in PAMS, researchers provide scientific evidence as a basis for discussion and action. In Bolivia, for example, research results on protected areas, biodiversity, and natural resources were the starting point for discussions among stakeholders in the context of the Constituent Assembly. The scientific evidence contributed to channelling those topics into the new Bolivian Constitution. In other cases, scientific evidence gave the civil society organisations the legitimacy for advocacy, as in the case of the PAMS dealing with Dalit land rights in Nepal. In the discussion with government representatives, researchers provided evidence from their case studies, including personal interviews and field observations. This evidence was crucial for convincing government representatives to take action.

iii) Providing tools to solve a given problem

Research also contributes to the development of concrete tools that are tested and validated in PAMS. One important difficulty with such scientifically-based tools is often the lack of scientific knowledge of local partners. Tools or models that are too complex will not be taken up, and remain in academic circles. Developing user-friendly tools which enable exchange and discussion with non-academic partners can be a challenge for researchers.

One very good example of a user-friendly tool is the Compendium of Sanitation Systems and Technologies (Tilley et al 2008) as developed by the Department of Water and Sanitation in Developing Countries (Sandec) of the Swiss Federal Institute of Aquatic Science and Technology (Eawag). The Compendium provides an overview and detailed descriptions of sanitation technologies that may be flexibly adapted to local conditions. Fifty-two “technology information sheets” describe the pros and cons of each technology and provide detailed instructions for implementation. Options range from anaerobic filters to pour-flush toilets and waterless sanitation systems that conserve resources and minimise or virtually eliminate environmental harm. The Compendium encourages end-users and planners to expand their view of what is possible. Such tools help to narrow the gap between scientific research, decision-makers, and end-users.

2.1.4 What is the role of researchers in PAMS?

The previous chapter examined how research contributes to the outcomes of PAMS. This is only possible if a researcher is actively involved in the project activities. In most cases, at least one NCCR North-South researcher was strongly involved in the PAMS. Where researchers were involved in the activities, they assumed different roles, ranging from "technical expert" to mediator of dialogue and negotiator between all involved actors.

Of the 21 researchers who completed the questionnaire, 8 respondents (38%) were advanced PhD students and 12 (57%) were post-doc or senior researchers. Six researchers (28%) had worked as staff members in the executing agency and seven (33%) had worked with the agency before the PAMS. The others had either not known the institution or not worked with them before. During the PAMS, four researchers (19%) worked in the executing agency, 14 (67%) were in close contact with them, two (10%) had sporadic contact and one (5%) had no contact at all. From these results, we conclude that in the vast majority of PAMS, researchers work very closely together with societal partners.

Our results also revealed that the involvement of a researcher is crucial to ensure the exchange between science and society. Where the researcher had only sporadic contact or no contact at all, the contribution of research to the PAMS outcomes was limited. They also did not produce significant outcomes for research (see next chapter). We regard projects with only marginal involvement of NCCR North-South researchers as small development activities; they do not correspond to the principal goal of PAMS to foster the co-production of knowledge between science and society. A similar problem emerged in two PAMS where one person had multiple roles: as responsible researcher and representative of the executing agency. Such dual roles inhibit the idea of exchange between research and practice.

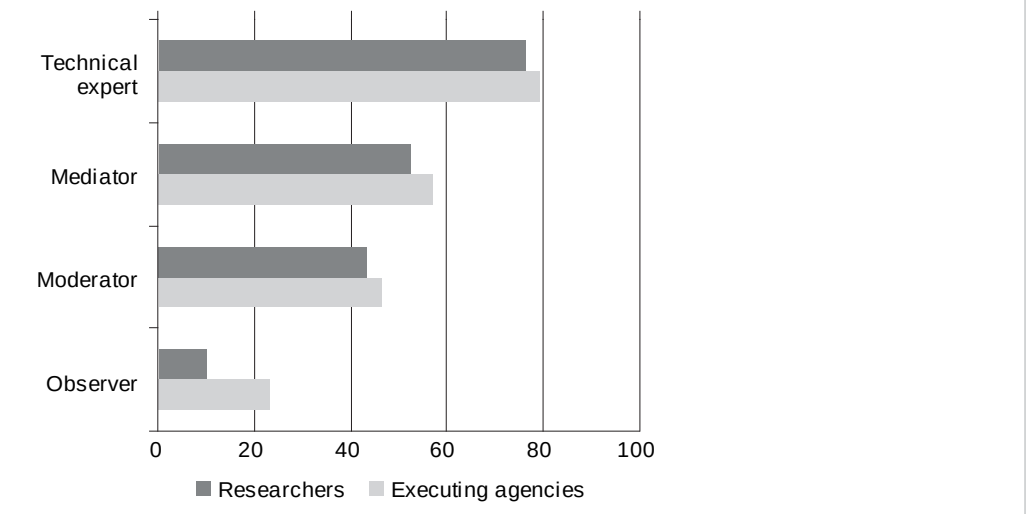

Figure 8: Role of researchers in PAMS (% of respondents).

Further, we analysed the role of researchers in PAMS in which they were actively involved. In the online survey, we provided researchers and executing agencies with four possible alternatives for the role of the researcher in PAMS: i) technical expert: providing advice based on scientific evidence; ii) mediator: critically analysing the views of the different stakeholders and helping to find a solution; iii) moderator: not directly engaging in the contents of the discussion, but helping to ensure that all stakeholders involved have a chance to share their views; and iv) observer: not engaging directly in the activities, but observing what happened. Figure 8 shows the answers to that question.

Nearly 80% of respondents (both researchers and executing agencies) said that the researcher was the "technical expert" in PAMS. But most of them marked two or more options, a result which shows that researchers most often hold more than one role in PAMS. Around 50% of the respondents thought that at some point, the researcher had taken on the role of a mediator, 40% considered him or her being a moderator, and less than 20% thought that the researcher had acted as an "observer".

This result is also reflected in the final reports, where researchers describe their role in the PAMS. According to these reports, researchers in PAMS contribute their (scientific) knowledge, and, at the same time, foster the dialogue between involved partners. In their role as discussion partners, researchers also use their analytical skills, as highlighted in the following examples:

> *My own involvement as a researcher was mainly as a dialogue partner with the research team. I participated and supported initial planning processes and have constantly been in discussions and provided feedback through the process.* (PAMS final report)

> *My participation, along with other researchers, allowed the incorporation of conceptual and analytical elements in the processes of collective reflection and decision making performed in the workshop.* (PAMS final report)

> *The direct participation of researchers in some of these events has permitted them to contribute ideas and reflections to the discussions or, where required, basic guidance on some of the issues not handled in detail by the social movements.* (PAMS final report)

These results confirm that researchers take on different roles in PAMS, thereby contributing to the dialogue and exchange between involved partners.

2.1.5 What are the outcomes of PAMS for research?

PAMS are a two-way street, in that research is not only meant to contribute to societal outcomes, but exchange with society is expected to have outcomes for research as well. In the online survey, most researchers said the PAMS had contributed to new research questions and that the insights had been used in further research. Nearly half the PAMS had led to scientific publications (see Figure 9). The evaluation also showed that the outcomes of PAMS for research are limited when the researcher is not actively involved in the PAMS.

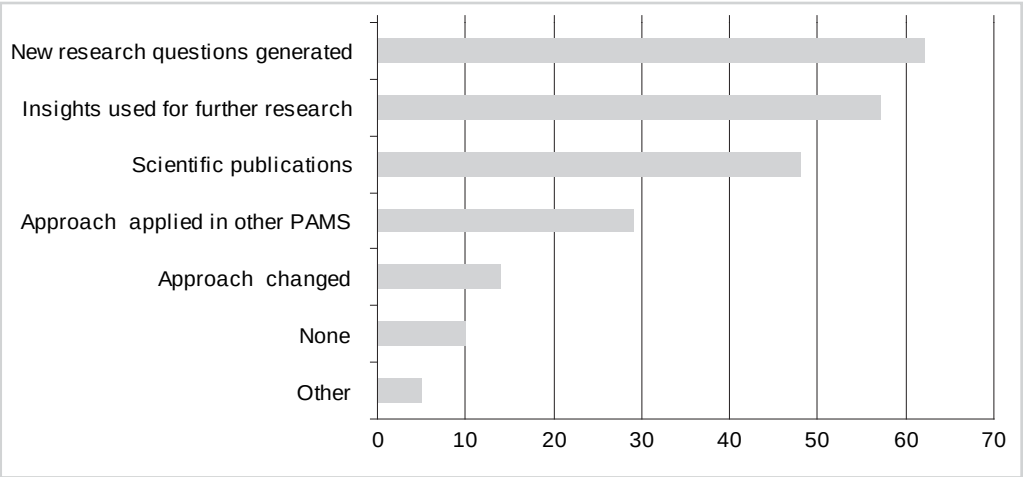

Figure 9: Outcomes of PAMS for research (% of respondents).

PAMS have immediate benefits for the individual researchers involved in PAMS, but also contribute to generating new research questions and developing new approaches. For many researchers, PAMS are a platform to get into contact with people or communities, which helps them for their future research. This is highlighted in the following two examples:

> *Thus the PAMS strengthened the relationship between researchers and community members and it has prompted even more community participation in research.* (PAMS final report)

> *Events and spaces provided by the PAMS have been important for collecting information and establishing contacts for interviews, discussion groups etc.* (PAMS final report)

Other researchers said the PAMS had allowed them to gain practical experience in their research subject and to test their findings against reality:

> *For researchers like myself, this project has greatly helped in analysing the problem by interacting with the real victims of land-based discrimination in Nepal. By conducting seminars and attending workshops, I got the chance to update myself not only on the data and figures, but also got first-hand perspectives of the people who are at the centre of the whole land debate.* (PAMS final report)

In some cases, PAMS are part of the fieldwork and provide researchers qualitative and quantitative data which they can use in their PhD or post-doc study:

> *Participation in workshops has permitted us to obtain the points of view of diverse social stakeholders in the decision-making processes, and recover testimonies and documentation regarding these processes.* (PAMS final report)

PAMS also contribute to the validation and refinement of theoretical knowledge, and the adaptation of new approaches. In some cases, an approach was tested and refined in several PAMS. For example, the Household-Centred Environmental Sanitation (HCES) approach, as developed by Sandec/Eawag, was tested in three different PAMS in Phase 2. The cross-cultural application of this approach provided very important insights about its generalisability. The HCES approach was further developed in each PAMS, based on the insights of the previous ones. The experiences were then compiled in a Dialogue paper (Lüthi et al 2009). There are other examples of consecutive PAMS which led to the refinement and further development of a particular approach. For this reason, it may be worth discussing the option of conducting consecutive PAMS, each building on the experiences of the previous one.

The evaluation also showed that outcomes for research are limited when the responsible researcher is not directly involved in the activities of the PAMS. In some PAMS, the researcher had either completed his or her PhD and was no longer formally involved with the NCCR North-South, or the researcher had been put rather "randomly" on the proposal as scientific backstopper for a project that was initiated by the executing agency. Even if such PAMS may have an important impact on society, their impact on research remains low.

2.2 PAMS programme design

In this chapter, we summarise the results of the second part of the evaluation – the PAMS programme design. In doing so, we aim to shed light on the framework and the conditions that foster or hinder an optimal implementation of PAMS. We focus in particular on the following central aspects of the programme design. First, we analyse the evidence from the evaluation against the PAMS programme goals. We use this analysis to examine to what extent these programme goals are ideally formulated and congruent with the lived reality of PAMS. Second, we analyse the organisational set-up of PAMS, asking whether this structure is fostering or hindering for PAMS. Third, we examine the administrative process to see how it can be optimised to achieve maximum efficiency. Fourth, we analyse the collaboration between researchers and executing agencies. And finally, we look at the involved partners' general evaluation of the PAMS programme, its strengths and weaknesses, and potentials for optimisation.

2.2.1 Are the PAMS programme goals ideally formulated?

In the first chapter of this report, we outlined the three guiding PAMS programme goals: i) transdisciplinarity, ii) social learning and iii) mitigation. From the definition of these goals, we concluded that all three share the idea of the co-production of knowledge between researchers and societal actors, with the aim of finding solutions that eventually contribute to sustainable development. As we mentioned, the first goal emphasises the composition of the project team, the second highlights the process of exchange between all involved partners, and the third focuses on the outcomes of this process. The evaluation showed that, in general, the three programme goals are not ideally formulated. They are very relevant for the NCCR North-South in general, but for PAMS, they are too ambitious.

i) Transdisciplinarity

In transdisciplinary projects, researchers from different disciplines work together with non-scientific actors. The evaluation showed that PAMS are ideal platforms to promote an exchange between research and society. Researchers from different disciplines may not always be involved in PAMS, but the knowledge that is put into practice in PAMS was generated through interdisciplinary research.

All evaluated PAMS have, at least at some point, promoted the exchange between research and society. In all PAMS, an NCCR North-South researcher was involved, and most PAMS worked together with partners from outside academia. Even if the executing agency itself was a university or research institute, there were usually other partners involved from outside academia. An analysis of the partners involved in PAMS showed that in the majority of cases, the executing agency was a local NGO. The types of executing agencies and other involved partners in PAMS are illustrated in Figure 10.

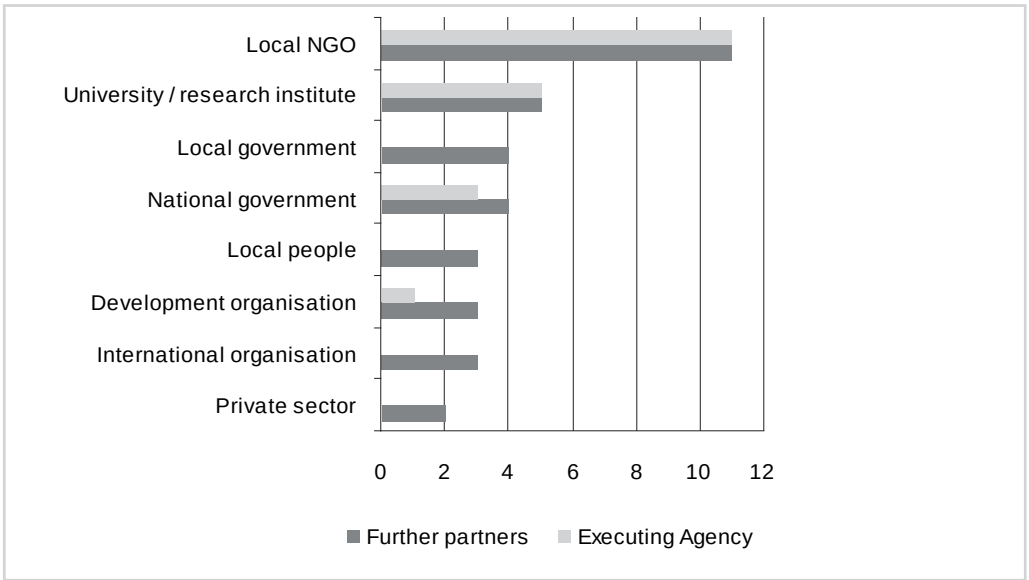

Figure 10: Executing agency and further involved partners (% of respondents).

Most often, one or two NCCR North-South researchers took responsibility for implementing the PAMS and joined up with partners from outside academia. In most cases, the researchers working together had the same disciplinary background. Usually, one researcher was responsible for the PAMS, and the other researchers involved were from the same institute and discipline. We conclude that PAMS are not per se interdisciplinary projects. One reason for this result might be that PAMS are small projects in terms of finances and time. In a PAMS, researchers often address only a part of their research – a part that seems particularly relevant for society. Interdisciplinary efforts often require a longer time, because researchers from different disciplines need to find a common approach to a given problem. It appears that PAMS do not provide the ideal platform for such an exchange; perhaps they are simply too small.

The PAMS goal of transdisciplinarity is a goal of the NCCR North-South as a whole. PAMS contribute to this overall goal by promoting the exchange between science and society. While interdisciplinary exchange seems to happen at other levels within the NCCR North-South, it provides the knowledge that is put into practice in PAMS.

ii) Social learning

The second PAMS goal – social learning – focuses on the process of exchange and co-production of knowledge among the involved partners. Earlier, we defined social learning as a "process of negotiation, communication, and perspective sharing, with the aim of understanding problems and reaching a joint solution" (see chapter 1.1). The evaluation showed that this programme goal is relevant for PAMS, but that an explicit common understanding of "social learning" is lacking in the NCCR North-South.

In the final report completed after each PAMS, researchers and executing agencies are asked about how their PAMS contributed to social learning. The answers we received showed a very diverse understanding of social learning. Most respondents wrote that social learning took place, but without further specifying this process:

> *The whole PAMS was designed as a continuous joint learning activity among the involved individual and institutional collaborators building on the knowledge, experiences and competences of all. It is fully oriented towards a multi-level & multi-stakeholder learning process.* (PAMS final report)

From this example, we do not learn anything about the issues that were negotiated, the different points of view of the involved actors, or the common solution that was achieved. Other final reports repeated the outcomes they had achieved in their PAMS, or they described the platforms of learning (workshops, trainings, focus groups) without going into detail about how learning took place. From such general descriptions it is difficult to conclude to what extent the programme goal of social learning was achieved in PAMS.

Even if all PAMS considered themselves as having contributed to social learning, we would still like to differentiate between PAMS that are more conducive to social learning than others. Several PAMS focused on disseminating information from research

among societal actors, for example through a newspaper or radio. In our view, such activities – even if they contribute to learning among the recipients of the information – are not necessarily conducive to social learning. To us, social learning describes the process of co-production of knowledge, rather than just the transfer of information from research into society. Examples are the newspaper that was produced in Central Asia, or the teaching kit that was developed in the Swiss Alps. Even if these products are effective ways of channelling information from research into society, we do not see how the recipients were involved in the production of this information. Furthermore, we know very little about what the recipients did with the information they received.

We conclude that the programme goal of social learning is relevant for PAMS. As a platform of exchange, PAMS foster dialogue and negotiation between various stakeholders, and a broad range of societal outcomes have been achieved as a consequence of such learning processes. However, answers in the final report to the question "Did the PAMS succeed in triggering social learning processes?" were very diverse, making it difficult to find a common understanding of what social learning actually is. The most relevant information on that topic was often provided in a description of the outcomes of PAMS. One reason for this result might be that the process of social learning is difficult to recall explicitly. Without doubt there is extensive knowledge about social learning in the NCCR North-South, and particularly in the context of PAMS. But we believe that this knowledge is rather "tacit", which means that it is difficult or impossible to describe in a written final report or online survey. Empirical research – e.g. based on field observation – would be needed to obtain clearer and measurable indicators.

iii) Mitigation

The third PAMS goal – mitigation – focuses on the solutions that are tested and validated in PAMS; solutions which ideally contribute to more sustainable development. The previous chapters in this report have clearly demonstrated that most PAMS had achieved very important societal outcomes in their respective contexts. At different societal levels, changes are achieved with regard to attitudes, behaviour, infrastructure, ways of negotiation between stakeholders and even with regard to policy and legislation. But this evaluation also showed that PAMS are very small projects of limited time and scope, which makes it difficult for them to contribute to "mitigation".

Mitigation is a long-term goal which is better understood in terms of impacts than outcomes. However, to assess long-term goals of such small projects is not only very difficult; it would also misjudge the achievements of a PAMS. In the first chapter of this report, we showed that over time, the influence of contextual factors increases while the contribution of the PAMS decreases. Taking into account the scope of PAMS, it would be misleading to expect a PAMS to contribute to mitigation. In our view, it is more appropriate to measure the achievements of PAMS in terms of outcomes.

For this reason, we conclude that the programme goal of mitigation is far from ideal considering what PAMS really are, and are meant to be. This programme goal sets the bar to high, and so misjudges the achievements of PAMS both for science and society. In reality, PAMS most often have a triggering function; they give important inputs and

often have long-lasting consequences in terms of new approaches, continuing projects or ongoing dialogue and negotiation. Herein lie the real strengths of PAMS, and the programme goal should be formulated accordingly.

2.2.2 Do we have an optimal organisational set-up?

The organisational set-up is a relevant element when seeking to optimise the implementation of PAMS. Among researchers, 11 (52%) considered the set-up to be fostering, six (29%) responded neutrally (= 3 on a five-point scale) and four (19%) thought the set-up was hindering. Among the 14 respondents from executing agencies, 11 (79%) felt the set-up was fostering. Taken together, these results show that at the implementation level (researchers and executing agencies), the organisational set-up received a positive evaluation.

We addressed the same question in the document analysis and in personal interviews with those responsible for the programme (see chapter 1.1). This evaluation showed that the organisational set-up is very complex and quite difficult to understand for outsiders. In the personal interviews, the RCs said that when starting collaboration with external partners (e.g. the executing agency), getting partners to understand this complex organisational set-up was difficult and time-consuming, leading to delays and difficulties in communication. One RC even said that development organisations often offer opportunities for funding that are less time-consuming and less demanding in terms of the structural set-up.

The evaluation also showed up a huge distance between the PAMS management on the one hand, and the implementing partners on the other. This can make it difficult for the researchers and RCs who are caught in the middle of these two entities and have to find ways of fulfilling the expectations and requirements of both.

RCs sometimes have a double or even a triple role in PAMS: as RCs, they are responsible for coordinating PAMS in their region and making sure that PAMS are in line with the regional strategy. Some of the RCs were also involved in the project implementation as researchers, and, in two cases, the Regional Coordination Office (RCO) was even the executing agency of the PAMS. This perfectly reflects the role of RCs not only in PAMS, but in the NCCR North-South as well as in their professional life. Many of the RCs build the nexus between research and society. They are experienced researchers working with PhD and post-doc students, but at the same time, they are involved in advocacy activities, influencing policy- and decision-making in their own countries. For this reason, RCs play a crucial role in the implementation of PAMS. They guarantee the exchange between research and society and are “at home” in both areas.

HIPs and RCs also have a dual role in the decisions on PAMS: They assess the quality of PAMS proposals from their professional point of view, and they decide on the endorsement of PAMS as BoD members. Most often, HIPs and RCs have a clear interest in the endorsement of the PAMS they appraise, because the project is thematically linked with their own field of activity and the outcomes are of relevance for them. In

this sense, the BoD is not an independent entity, and objectivity with regard to the PAMS proposals cannot always be guaranteed.

Furthermore, the BoD consists only of NCCR North-South members. As mentioned, RCs represent "civil society" to an extent, but in their role as RCs and BoD members, they are clearly assigned to the research side of PAMS. In view of the main PAMS principle to foster exchange between science and society, the voice of "society" in the PAMS decision-making process is missing.

2.2.3 Is the administrative process efficient?

After examining the organisational set-up of PAMS, we turn our attention to the administrative process. The overall question of this chapter is to what extent this process fosters or hinders a smooth and time-efficient implementation of PAMS, and how this can be optimised. According to the evaluation, the administrative process is very complex and time-consuming. A leaner management is needed to make sure that the resources invested are used for the project itself and not on its administration.

In this chapter we will present findings on i) the selection process, ii) time frame, iii) time investment, iv) financial aspects, and v) the general evaluation of the administrative process. In each paragraph, we will present findings from the personal interviews with HIPs and RCs, and from the online survey conducted with researchers and executing agencies.

i) Selection process

In Phase 2 of the NCCR North-South, we launched five calls for proposals. Forty PAMS proposals were submitted, of which 22 were endorsed. Interestingly, the success rate has shown a steady increase. In the first two rounds, 38% and 25% were endorsed, 57% in the third round, and 75% in the fourth round. In the last round all seven submitted proposals were accepted. We have no explanation for this increase in the success rate.

In the personal interviews, the selection process received a positive evaluation overall. In the online survey, the PAMS selection process was evaluated positively by 13 (62%) of the researchers. Four (19%) evaluated it neutrally and four (19%) negatively. Similarly, seven (50%) of executing agencies responded positively regarding the selection process, and only two (14%) responded negatively.

Despite this generally positive picture, we received a few critical comments regarding the selection of PAMS. Two researchers were unhappy about the decision being taken by the BoD, which may have limited knowledge about the specific context of the PAMS or the issue addressed. One person questioned the role of RCs in the selection process. He said RCs often have their own research agendas and show little interest in PAMS from other sectors, which hinders the selection process. These critical points confirm our observations from the previous chapter.

ii) Time frame

Out of the 22 endorsed projects, nine (41%) complied with the defined time frame of twelve months. The others were implemented in up to 23 months, which is far beyond the limited time scope. Moreover, according to the PAMS principles and procedures, the final report (including all assessments) has to be compiled one month after project completion. Only one-third of the projects complied with this requirement. Forty per cent needed up to six months, 20% up to twelve months, and four projects even more than one year to compile their final report. One reason for this delay is the complicated reporting structure. The final report, written by the executing agency, first goes to the researcher for his assessment, then to the RC, the HIP and finally the PAMS coordinator, all of whom have to write their assessment. Most of the time is used for these assessments. The assessment by the PAMS coordinator was completed within two months after the final report was handed in.

In the personal interviews, most respondents referred to time limitations as a reason for the delays. Furthermore, RCs and HIPs pointed out that researchers often have many different obligations, and as post-docs they are busy looking for jobs or already have new engagements. The involvement of a large number of stakeholders in the implementation and reporting process was mentioned as another reason for delays.

In the online survey, only five researchers (25%) and five executing agencies (30%) considered the time frame of PAMS to be adequate. Several HIPs and RCs stated in the personal interview that the time frame of PAMS was too short. The following example is representative of several similar comments:

> *The time period of the projects is very limited to foster processes of change which involve different actors and need time to develop.* (Online survey, researcher)

iii) Time investment

In the personal interview, the evaluator asked HIPs and RCs about the time they had invested in PAMS, compared to the other duties they have within the NCCR North-South. On a scale of one to ten, the median among RCs was three[8], and among HIPs it was one (the lowest score). Four RCs responded with a value higher than three; the highest value indicated on the ten-point scale was seven. This shows that the time investment for PAMS by HIPs is minimal. Among RCs, the relative time invested for PAMS compared to their other NCCR North-South duties is somewhat higher than among HIPs.

In the online survey, we also asked researchers about the involvement of RCs and HIPs in PAMS. The result is congruent with the RCs' and HIPs' self-assessment of time investment. Five researchers (24%) responded that the RC was directly involved in their PAMS. This explains the high time investment of some RCs. Four (19%) responded that the RC had regularly contacted and visited the PAMS, eight (38%) said the RC had visited them once or twice for monitoring purposes and three (14%) indicated that

8 Median is the value which separates the total sample in two halves. This means that 50% of the sample responded with value 1 to 3, and 50% responded with a value higher than three.

the RC had not been involved at all. By contrast, only two researchers (10%) said that the HIP had been directly involved in the PAMS, five (24%) said that he/she had visited the PAMS regularly, two (10%) said the HIP came once or twice for monitoring reasons, and eleven (52%) said he/she had not been involved at all.

In the online survey, we also asked researchers and executing agencies about their own time investment, using a five-point scale ranging from 1 (= 1-2 days) to 5 (= more than a month). Responses did not differ between researchers and executing agencies. In both samples, 50% of the participants had spent up to five days writing the proposal, and the same amount of time writing the final report. In both samples, 50% had invested more than five days to write these documents, with around 20% having invested up to one month. It is important to mention, though, that these are recall data, based on rough estimates. We do not have any exact figures on the time investment.

Moreover, we asked researchers and executing agencies whether the time they had invested in administrative procedures roughly corresponded to the amount of money they had received, using a five-point scale. Among the researchers, eleven (52%) said that the time investment was just right (4-5 on a five-point scale), five (24%) evaluated it neutrally (3 on a five-point scale), and five (24%) responded that it was too high (1-2 on a five-point scale). Among executing agencies, eight (57%) responded that the time investment was just right, three (21%) evaluated it neutrally, and two (14%) thought it was too high. In the final reports, we found several statements about the additional workload for researchers, as in the following example:

> *From an administrative point of view, the PAMS represented a considerable additional work load for the researchers.* (PAMS final report)

In summary, the overall picture shows that for many researchers, the time invested in PAMS is relatively high when compared to the results. We also asked researchers whether the PAMS had prevented them from conducting research, publishing, or other activities related to research. Four researchers (19%) agreed and 17 (81%) disagreed or marked “three” on a five-point scale. Thus, even if the time investment is high, it has not had a marked negative impact on the investment in research.

iv) Financial aspects

A total of CHF 892,147 was spent on PAMS projects in Phase 2. This does not include the cost of the PAMS coordination (about CHF 40,000 per year). The average budget for a PAMS is CHF 40,525. In the online survey, six researchers (29%) and eleven executing agencies (79%) considered the funding for PAMS to be adequate.

Distribution of the expenditures in all projects is illustrated in Figure 11. In total, 40% of the budget has been used for salaries. This seems appropriate, taking into account that most PAMS included time-consuming activities such as implementing training, workshops, etc. In the online survey, one researcher said he felt that PhD students or post-docs should receive a salary for their involvement. Of the total budget, a quarter was used for consumables, and 15% for equipment. The small share of the budget that was spent on equipment in PAMS shows that most of the activities are more directed

towards social processes, such as dissemination of information, awareness-raising and capacity development. In the online survey, one researcher commented that the amount of CHF 50,000 is very small for PAMS in which infrastructure (e.g. sanitation systems) are constructed. And finally, 12% were spent on travel and 8% on miscellaneous expenses.

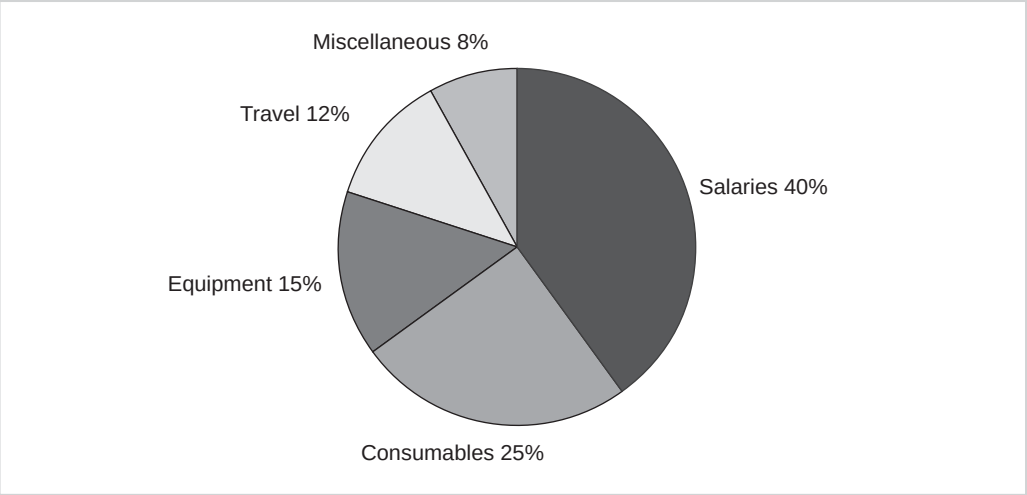

Figure 11: Distribution of expenditures.

v) General evaluation of the administrative process

Based on an analysis of internal documents, the external evaluator developed a chart illustrating the administrative process from the project idea to the proposal, implementation of the project, the final report, and the assessments (see Appendix 3). In the personal interviews, she asked the respondents whether this administrative process was adequate in general.

Shown the chart, the respondents were surprised about the complexity of this process. Most of them considered the process to be adequate and efficient, but some of them felt it was too complex in relation to the duration of the projects. In the online survey, we also asked researchers and executing agencies about the adequacy of administrative procedures. Among researchers, 12 (57%) thought the procedures were adequate, seven (33%) responded neutrally, and two found the procedures not adequate. Among executing agencies, ten (71%) considered the procedures adequate and four (29%) responded neutrally or negatively.

The collaboration with the Management Centre (MC) was generally evaluated positively. Among researchers, 14 (67%) evaluated the collaboration with the MC as good or excellent, four (19%) evaluated it neutrally, and three (15%) responded negatively. Eight (57%) of the executing agencies evaluated the collaboration with the MC as good or excellent, and six (43%) responded neutrally.

We also received several qualitative answers on these questions. Three persons suggested simplifying the administrative process. Several participants raised the question about the audience of the PAMS final report and the included assessments. And one

person said they had difficulty meeting the requirement that final reports had to be in English.

Based on these results, we draw the conclusion that the PAMS administrative process is manageable for all involved actors, but that there is some room for improvement.

The most salient result is the negative evaluation of the time frame of PAMS. From the results of this evaluation, it becomes evident that i) PAMS can most often not be implemented within the time frame of one year, and ii) the reporting process is very complex and leads to severe delays. Several participants questioned the value of these reports as compared to the time investment, since the audience of these reports is not defined.

The funding for PAMS was evaluated more negatively by researchers than by executing agencies. The most critical points were the fact that researchers do not receive salaries in PAMS, and that PAMS funding is too small for infrastructure improvements. The selection process was evaluated positively overall, with a few critical remarks about the dual role of the RCs and HIPs.

2.2.4 What do researchers and executing agencies learn from one another?

One of the principal aims of PAMS is to foster the exchange between the researcher and the executing agency. This chapter examines this collaboration. We found that researchers and executing agencies shared the responsibility for different tasks during the project, and that they learn from one another during this process.

Researchers and executing agencies agreed that in most cases, it is mainly the researchers who write the proposal and the final report. Both parties also agreed that executing agencies are more involved in organising, coordinating, and implementing the activities than the researchers. Over 90% of researchers and executing agencies evaluated their collaboration as being excellent or very good.

The evaluation showed that the level of mutual learning between researchers and executing agencies is very high (see Figure 12 and Figure 13). Researchers had learned most about the practicality of their recommendations, and the differing perspectives of involved stakeholders. They gained “real-world” experiences and learned more about the socio-political context of their research. In turn, the executing agencies had learned how to critically analyse a given situation, and they learned more about “scientific methods”, “advocacy skills”, and “technical knowledge”.

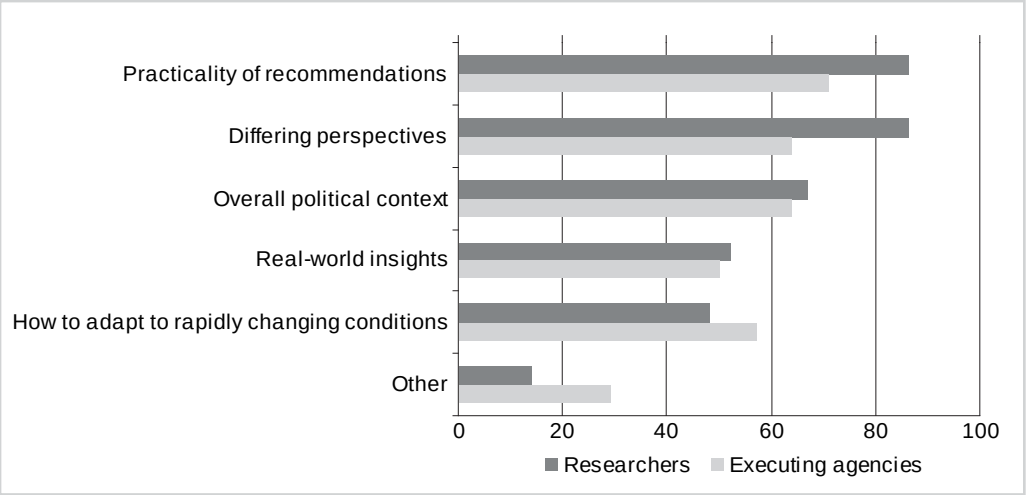

Figure 12: What did researchers learn from executing agencies? (% of respondents).

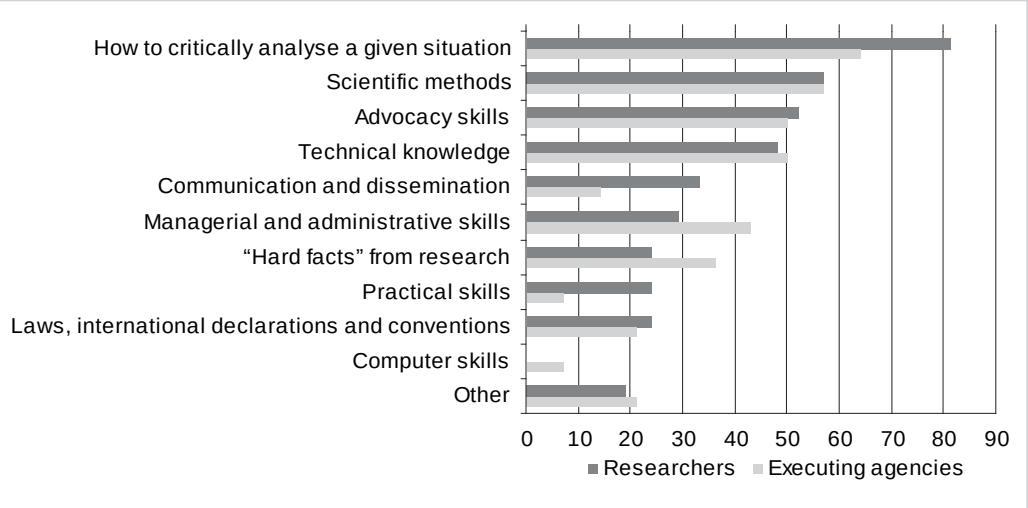

Figure 13: What did executing agencies learn from researchers? (% of respondents).

This result is not very surprising, as scientific methods and technical knowledge perfectly describe the “traditional” role of a scientific researcher. However, we were astonished to find that so many executing agencies thought that they had improved their advocacy skills. We would have expected that executing agencies – which in most cases are NGOs – are themselves experts in advocacy. Hence we expected that researchers might have acquired advocacy skills from the executing agency, and not the other way around. We conclude that some of the NCCR North-South researchers are already very skilled “policy entrepreneurs” if they are able to contribute to enhancing the advocacy skills of their societal partners.

Several executing agencies said they had improved their “managerial and administrative skills”. Thus researchers are not only involved in the operational implementation of the project, but even contribute to enhancing their partners’ skills in project management. Researchers and executing agencies largely concurred in their answers, indicating that our results provide reliable information.

Finally, the evaluation showed that PAMS have very important effects on the executing agency. Nine of them (64%) had started a new field of activity thanks to the PAMS and eight (57%) established new collaborations. Four institutions (28%) found new funding sources and another four (28%) indicated that they had gained in popularity.

2.2.5 How do those involved evaluate the PAMS programme in general?

Finally, we asked researchers and executing agencies in the online survey for a general evaluation of their individual project and an assessment of the PAMS programme component. This evaluation showed that PAMS are very important for researchers and executing agencies, and are highly valued by all involved actors.

All executing agencies agreed that their project had been successful, that the benefits of the project justified its cost, and that they would participate again in such a project. Among researchers, only few were somewhat more critical: three responded neutrally to the question on whether their project had been successful, and one of them even thought that the benefits of the PAMS did not justify its costs. Because they did not expand on their answer, we do not know what led them to this conclusion. Furthermore, all executing agencies and 18 researchers (85%) thought that researchers needed a funding scheme – such as PAMS – to put their research into practice.

Among HIPs and RCs, the general evaluation of the PAMS was also positive. They said that PAMS are important to secure the practical orientation of research, to ensure that research does not remain a theoretical construct. They added that for researchers, it is extremely important to translate their results into practical application. They particularly emphasised the importance of PAMS in fostering a mutual exchange between science and society, rather than a unilateral transfer of knowledge.

However, some of the HIPs and RCs felt that PAMS are too small to have an effect on society if they are stand-alone projects. They said PAMS can only be successful when they are embedded in long-term activities, and the most successful PAMS would be the ones that were implemented in sequences. When asked what we could change in the PAMS component, several researchers suggested introducing the possibility for consecutive PAMS. Their ideas are presented below:

> *I do not know whether there is continuity in PAMS for one topic. If there is not, it would be interesting that you do that, so that the project is actually a process and not only a short research. You could finance the researcher for one or two more years.* (Online survey, executing agency)

> *It would be desirable to provide for a possibility for a PAMS that builds into more than one phase of 12 months just in case there are interesting follow-up innovations that may emerge during the initial phase. Such an opportunity would also help to capitalise on experiences and upscale the successes of best practices.* (Online survey, researcher)

> *In my view, it should be possible to implement several phases of a PAMS, which one could achieve through continuous evaluations during the course of the project.* (Online survey, researcher)

In summary, PAMS as a programme component are very positively evaluated by all involved actors. The only critical remarks came with regard to the time frame, and the idea of consecutive PAMS was expressed by researchers, RCs and HIPs. These comments are taken up in the last chapter, which summarises our conclusions and recommendations drawn from the PAMS evaluation.

3 Conclusions and Recommendations

3.1 Do we need PAMS?

Research for sustainable development is most effective when results are continuously brought into practice, validated, and adapted to rapidly changing conditions. In this context, knowledge cannot be produced without society. We need platforms for exchange and joint knowledge generation to test research results, validate them against "reality", and obtain new inputs for research. Rather than just "neutrally" describing societal processes, research for sustainable development can thus take a stance on them.

If research is assumed to play a role in societal change, then it is the researchers' task to seek the exchange with society. Current literature shows that research is only one voice among many which seeks to influence policy and decision-making (Mendizabal 2009). Sometimes, clear policy demand for research exists; but more often, researchers are confronted with an uninterested or even hostile policy regime (Carden 2009). And when it comes to local people in general, the distance to academic research is even bigger. This means that researchers need to find ways to initiate an exchange with stakeholders at different societal levels through a variety of actions.

However, researchers are increasingly burdened with academic pressure to produce peer-reviewed articles and with teaching. Therefore, it is sometimes difficult for them to comply with the requirement of a "third mission" (Göransson et al 2009) of offering services to society on top of this. Even if they are aware of their "third mission" and willing to assume it, they need the necessary resources, not only for themselves, but also to find societal partners who are willing to collaborate in a joint project.

PAMS contribute to building these bridges. Many of the societal outcomes of the NCCR North-South were produced – at least at some point – through a PAMS. How important PAMS can be for researchers is reflected in the following statement:

> *The PAMS certainly led to increased commitment of the local authorities and the community … The research component of this project … was seriously at risk due to lack of funds for the implementation of the developed plans. The PAMS money created a new momentum within the village and significantly increased (a) the trust of the community in the project team, and (b) the participation of local authorities and the community in the project.* (PAMS final report)

The evaluation showed that PAMS are an important tool for researchers and for the executing agencies. For researchers, they provide a platform where they can test and validate their insights and recommendations against reality. This often leads to new and unexpected insights, which are then taken up in research or in follow-up activities. For executing agencies, PAMS are equally important. The collaboration with researchers often gives them a "boost" in their work. Through scientific evidence, they gain

credibility in their advocacy work with policymakers and society at large. Several executing agencies reported that they had found new donors and have engaged in new activities thanks to the PAMS. Thus, PAMS not only benefit researchers but also the societal partners involved in the implementation.

The NCCR North-South comes to an end in June 2013. But this does not mean that development research in Switzerland will not continue, based on the networks and experiences of the NCCR North-South. We are convinced that whatever form development research in Switzerland takes, it should include a PAMS-like vehicle. In their very specific position at the nexus between science and society, PAMS are a unique feature of the NCCR North-South, and they are crucial both for development research and practice. For this reason, we strongly recommend using PAMS as an integral part of future development research programmes.

Recommendation 1: Conduct PAMS
A funding scheme like PAMS is of crucial importance in the context of development research. Without such a funding scheme, it is highly likely that important research insights are only communicated in peer-reviewed journals and at scientific conferences, where they remain within the scientific community without finding their way into society.

The PAMS evaluation also showed that the PAMS programme goals – transdisciplinarity, social learning, and mitigation – are only partly suitable for setting the framework within which PAMS are implemented. First, PAMS contribute to transdisciplinarity by fostering the exchange between science and society, but interdisciplinarity seems to happen more at other levels within the NCCR North-South. Second, even if most PAMS foster social learning, this programme goal appears to be too abstract to be broken down into clear indicators to measure its achievement. Third, PAMS are too small to contribute to mitigation by themselves. Accordingly, the name "PAMS" – Partnership Actions for Mitigating Syndromes – may not accurately describe this vehicle.

Recommendation 2: Adapt programme goals
Based on the results of this evaluation, we recommend adapting the programme goals to the level of PAMS. Following the results of this evaluation, the principal goal of PAMS is to foster the exchange between science and society. By finding and testing solutions for more sustainable development, they are clearly practice-oriented. At the same time, they are research-driven, as they are strongly linked with research and deal with topics identified in research.

PAMS are too small to have a long-lasting effect if they are isolated stand-alone initiatives. The most successful PAMS had a triggering function: they raised a particular topic, contributed to awareness about this topic, and showed how to address this topic in practice. In the most successful cases, these insights from PAMS were taken up by the societal partner and contributed to new development activities. In this sense, PAMS help in discovering how to solve a given problem, drawing on the insights and knowledge from science and society. But PAMS are not suitable for actually solving this given problem, because of their limited time and financial scope.

Recommendation 3: Emphasise the trigger function
PAMS should clearly show how they trigger new approaches to more sustainable development. They are most effective when embedded in long-term projects, where their results can be used for future actions.

3.2 Setting up PAMS

PAMS aim to promote the exchange between science and society. We found that most PAMS had struck a balance between research and advocacy. The project set-up was crucial for this exchange. Most PAMS were implemented in close collaboration between a researcher and a societal partner, such as an NGO, a local government, or a Ministry. The form of this collaboration varied, with researchers working either directly as a staff member of the executing agency or in close contact with them. The important point is that they closely work together, exchange their ideas and experiences, and divide the tasks according to the strengths of each. We also found examples of less ideal set-ups. In general, the exchange between research and practice is limited when a researcher also represents the executing agency. Even though we showed that most NCCR North-South researchers are often both scientists and engaged in advocacy, we still believe that PAMS need at least two separate entities for implementation.

Recommendation 4: Ensure shared responsibility
PAMS are most successful when implemented jointly by a researcher representing science and an executing partner representing society, so that they can challenge each other's views and ideas. This includes all stages of the project from the project idea to implementation, completion, and planning of future steps.

PAMS are most successful if they are strongly linked with ongoing NCCR North-South research. In some cases, researchers held a marginal role in PAMS or were not involved at all. Even if such projects result in very important outcomes for society, they miss the main objective of PAMS: to foster exchange between research and society. As much as the researcher needs to be involved in the project activities, he also needs to be involved with NCCR North-South research. In some cases, the researcher had finished his PhD or was no longer formally involved with the NCCR North-South. In these cases, the PAMS did not result in NCCR North-South publications, the refinement of research approaches, or new research questions addressed in the NCCR North-South.

Recommendation 5: Link PAMS with research
PAMS need a strong involvement of research to provide outcomes for science. To ensure that the project is part of the strategy of the partner region, support of the regional coordinator is needed. And if the researcher is not a senior researcher him- or herself, a PAMS must be assessed by a senior researcher before its implementation, to guarantee it is of scientific relevance.

And finally, the most successful PAMS involved several stakeholders from different societal levels in a process of dialogue and negotiation. In our view, the PAMS that fo-

cus only on channelling information from research into society are less ideal. In these cases, nothing is learned about how the information was taken up, whether the recipients agree or not with this information, and to what extent the information is congruent with their needs and realities. We observed differences between PAMS with regard to the kind of stakeholders they approached, according to their thematic focus. For example, PAMS focusing on health and sanitation most often work at the individual and the community level, whereas PAMS dealing with livelihood or governance issues often work at higher political levels. But the majority of PAMS involved several groups of stakeholders and contributed to exchange and learning between them.

Recommendation 6: Promote multi-stakeholder involvement
PAMS need to involve stakeholders from different societal levels to ensure the co-production of knowledge among different people, groups, and institutions.

And finally, PAMS need an optimal management structure to ensure they are implemented efficiently. The evaluation found that the administrative process is relatively complex and time-consuming, given the scope of the projects. Most projects showed delays in the reporting phase, which were often caused by the complicated reporting structure.

Recommendation 7: Keep management and administration lean
Since PAMS are small projects, the administrative process (proposal, reporting, financial transfer, and accounting) should be kept lean. Reports should be results-oriented, focusing on outcomes for both society and science.

3.3 Ensuring the use of results

The evaluation showed very important outcomes of PAMS both for science and society. To enable the use of these outcomes, it is necessary to establish mechanisms for knowledge management and continuity of the achieved results.

The most successful PAMS were the ones that built upon the experiences of previous projects. In this evaluation, many researchers suggested that we introduce the possibility of follow-up activities. This was by far the most frequent suggestion, and we agree. Implementing several PAMS on the same topic enables results to be generalised, especially if the projects are implemented in different geographical or socio-cultural contexts. Furthermore, consecutive PAMS help to test the experiences and recommendations from previous PAMS. However, PAMS need to be of short duration, because their function is to trigger larger development activities: they are not meant to implement these activities alone. It is thus recommended to limit the projects to up to two years, with the possibility of applying for follow-up funding if needed.

Recommendation 8: Enable consecutive PAMS
PAMS are small projects with a limited time scope (one year). Follow-up activities of PAMS should be enabled if the project leads to new questions which require the adaptation of the tested approach. In an iterative process, insights from PAMS lead to new PAMS until the desired results are achieved.

The evaluation found that most PAMS achieved outcomes at the local level, and few efforts were made to apply experiences from one PAMS to another country or region. Only few PAMS worked together with international development cooperation and international organisations, which could act as channels to up-scale experiences from one country to other countries and regions. PAMS would be even more effective if they actively promoted the uptake of experiences by such international partners.

Recommendation 9: Foster knowledge management
PAMS should actively seek the involvement of international partners (i.e. development cooperation and international organisations) to ensure uptake and application of results in other countries.

As PAMS are meant to enable exchange between science and policy, policymakers should be involved in the decision-making process. The evaluation showed that those who endorse the PAMS are all strongly linked with research. Furthermore, the reviewers of PAMS who assess the quality of a project before its implementation are the same people who decide on its endorsement. A more independent committee should assess the relevance, feasibility and novelty of PAMS before they are endorsed. To ensure uptake of the results, it is vital to include partners from society in this decision-making (e.g. SDC, SECO, or the Swiss Alliance of Development Organisations [alliancesud]).

Recommendation 10: Involve society in decision-making
An independent committee should be established for selecting PAMS, involving independent experts from both science and society.

We conclude that PAMS are an innovative tool that enables researchers to comply with the difficult task of bringing their research into policy and practice. Many of the societal outcomes of the NCCR North-South have been generated thanks to PAMS. We hope that this evaluation will lead to the implementation of similar programmes in development research in Switzerland and beyond.

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Appendix

Appendix 1: Evaluation methods

i) Document analysis

First, we conducted an extensive document analysis. We reviewed PAMS proposals and final reports as well as additional documents where more information was needed (e.g. e-mails, newspaper articles, etc.). Two people were involved in the document analysis: the current PAMS coordinator and an intern. For the document analysis, we designed a worksheet with predefined categories which corresponded to our evaluation questions (e.g. thematic focus, involved partners, expected and achieved outputs, outcomes, etc.). After designing the worksheet, both evaluators separately filled in the worksheet for two PAMS in a test run to check the congruence of their results. This was done to ensure that the predefined categories were clear and unambiguous. After this procedure, the worksheet was slightly adapted and then used for all 20 PAMS, including the two PAMS that had already been evaluated in the test run.

ii) Online Survey

We designed a questionnaire based on the evaluation questions and the results of the document analysis (e.g. to formulate pre-defined answer categories). This survey contained all questions that could not or not satisfyingly be answered in the document analysis. This survey was sent to all researchers who were directly involved in one of the 20 evaluated PAMS, and to the responsible persons in the executing agencies.[1] They were informed that their results would be treated confidentially. In total, 23 researchers were contacted, of which 21 sent the questionnaire back (91%). Furthermore, 21 executing agencies were contacted, of which 14 responded (67%).[2]

The questionnaire included quantitative and qualitative questions on the following topics: i) project set-up, ii) roles of researchers and executing agencies in PAMS and quality of collaboration; iii) achieved societal outcomes after project completion, iv) sustainability of achieved outcomes; v) contextual factors that contributed to these outcomes; vi) general evaluation of the project; and vii) evaluation of the PAMS management procedures. In addition, researchers were asked about the outcomes of PAMS for research.

iii) Personal interviews

An external person[3] conducted personal interviews with those responsible for the PAMS programme: namely, the Regional Coordinators (RCs), the Heads of Institutional Partners (HIPs), the current and the former PAMS coordinator, and the programme coordinator of the NCCR North-South (N=19). The interviews were recorded, tran-

1 "Executing agency" refers to the organisation which is responsible for implementing the PAMS, in collaboration with the NCCR North-South researcher.

2 In two PAMS, the questionnaire was sent to two executing agencies, and in one case, no executing agency was contacted. In four PAMS, a questionnaire was sent to two involved researchers, and in one case, no researcher was contacted.

3 This external person was a student of the Diploma of Advanced Studies (DAS) in Evaluation of the Centre for Continuing Education of University of Bern. She did this research in the context of her diploma thesis.

scribed and analysed using qualitative content analysis. The external person provided the PAMS coordinator with a report on the aggregated results of these interviews. This means that the PAMS coordinator did not receive any detailed information about the content of each interview. Interviewees were assured that their answers would be treated anonymously.

This evaluation had several limitations. First, it was mainly conducted as an internal evaluation. The document analysis and the online survey were done by the PAMS programme coordinator. The results of the online survey might therefore be distorted to a degree. Researchers and executing agencies have received funding from the Management Centre of the NCCR North-South, and the last call for projects was published shortly after this online survey. The possibility of receiving further funding might have influenced some participants' answers. This may in part explain the sometimes overly positive results of this survey. The personal interviews with HIPs and RCs were conducted by an external person to secure more objective results.

A second limitation was the low response rate among executing agencies. Only 14 out of 21 institutions sent the questionnaire back to us. We received positive evaluations by the majority of these participants. But we do not know whether the seven institutions who did not participate would have responded more critically. By contrast, the response rate among researchers was very high, with 91% of the questionnaires sent back to us.

And finally, the fact that this was a "desk" evaluation limits, to a degree, the validity of the results. We based our analysis on the documents we had and on the data obtained through a questionnaire and interviews. We did not visit the projects and interview beneficiaries in the field. In this sense, this evaluation is somewhat one-sided. For a next evaluation, it would be recommendable to visit at least some of the projects to gain a first-hand impression.

Despite these limitations, we still believe that the results are very important for the design of a future similar funding scheme. They show the strengths and weaknesses of PAMS up to now, and provide information on how to improve the programme. Moreover, this evaluation shed light on how researchers interact with society. It is thus one more step in the NCCR North-South's efforts to better understand the conditions that foster or hinder desired outcomes of development research in society.

Appendix 2: Overview of PAMS projects

West Africa (WAF)

WAF-2_01: Regional collaboration for prevention of HIV/AIDS in Nouakchott, Mauritania	
Short description	This PAMS built on research which showed that adolescents are not aware of the HIV risk when entering sexual relationships. "Peer educators" (adolescents in schools) were trained to disseminate information among their schoolmates. A questionnaire was distributed among 100 school children before and after the campaign, revealing a significant increase in HIV-related knowledge. Most of the parents signed the agreement for their child to attend the training on HIV. This means that they agreed that their children would talk about sexuality. According to the project team, this was unusual in Mauritanian tradition.
Country	Mauritania
Executing Agency	Institut National de Recherche en Santé Publique (INRSP), Nouakchott
Swiss Partner Institution	Swiss TPH
Year(s)	2007
WAF-2_02: Strengthening local stakeholders' capacities to improve the faecal sludge management in Ouahigouya	
Short description	This PAMS focussed on improving faecal sludge management in the municipality of Ouahigouya, Burkina Faso. Three technologies for collecting faecal sludge were developed and tested. Moreover, an awareness-raising campaign on sanitation was started, and the individuals in charge of manually collecting sludge formed an association. However, the PAMS could not be brought to an end, because the researcher – who had worked at the executing agency – left before the PAMS was completed.
Country	Burkina Faso
Executing Agency	Centre Régional pour l'Eau Potable et l'Assainissement à faible coût (CREPA), Ouagadougou
Swiss Partner Institution	Sandec/Eawag
Year(s)	2008–2009

East Africa (EAF)

EAF-2_01: Strengthening resilience through a participatory approach to improved management of human waste in unplanned urban settlements in Chang'ombe, Dodoma, Tanzania	
Short description	In an unplanned settlement in Dodoma, Tanzania, inhabitants selected 3 model sanitation facilities out of a range of alternatives, to be constructed in public places (e.g. a school). The inhabitants expressed their willingness to adopt these facilities for their own homes, but could not afford them. After the PAMS was completed, the Swiss State Secretariat for Economic Affairs (SECO) established a microfinance system which enables inhabitants to purchase the facilities. This PAMS was embedded in NCCR North-South research dealing with the participatory planning of improved sanitation systems in resource-scarce contexts.
Country	Tanzania
Executing Agency	Maji na Maendeleo ya Dodoma (MAMADO), Dodoma; Ifakara Health Research and Development Centre (IHRDC), Dar es Salaam
Swiss Partner Institution	Sandec/Eawag
Year(s)	2008–2009

EAF-2_02: Enhancing RWUAs' potential through training and regional integration in the upper Ewaso Ngiro basin, Kenya	
Short description	This PAMS project was part of a larger research-based initiative for sustainable water management in the Mt. Kenya region. Its main objective was to strengthen River Water User Associations (RWUAs) and to promote integration between RWUAs from upstream and downstream. The project succeeded in fostering negotiation processes on the use of water. As a result of the PAMS, a Water Forum was established, and twenty RWUAs agreed to participate in this institutionalised form of dialogue. The Kenyan Water Resources Management Authority (WRMA) included the Forum in its water governance agenda.
Country	Kenya
Executing Agency	Water Resources Management Authority (WRMA), Nanyuki
Swiss Partner Institution	CDE
Year(s)	2009–2010
EAF-2_03: Model-based capacity building for sustainable water management	
Short description	This PAMS tested the practicality of a software which simulates the effect of different water management schemes on water flow and agricultural production along a river in a catchment area (upper Ewaso Ngiro river). This software was presented to stakeholders in Kenya. Different scenarios were created by the stakeholders and tested with the simulation model, with the help of researchers. The PAMS showed that the software fulfils its aim of providing a sound basis for decision-making. However, the use of the software requires specific technical knowledge. A more user-friendly interface needs to be developed which allows stakeholders to use the software directly.
Country	Kenya
Executing Agency	Centre for Integrated Training and Research in Arid and Semi-Arid Land Development (CETRAD), Nanyuki
Swiss Partner Institution	CDE
Year(s)	2009–2010

Horn of Africa (HOA)

HOA-2_01: Community conversation for comprehensive HIV prevention in three weredas of Borena zone	
Short description	Research showed that multiple sexual relationships in Borena were one of the major risks for HIV infection among the local people. Researchers organised community conversations with the aim of raising awareness on HIV/AIDS. In these conversations, participants identified key factors that make the community vulnerable to HIV infections, and discussed prevention mechanisms. This PAMS raised awareness about the health risk that comes with practicing multiple sexual relationships. Local people learned about the importance of HIV prevention measures, such as using condoms.
Country	Ethiopia
Executing Agency	GOAL Ethiopia, Borena
Swiss Partner Institution	Swiss TPH
Year(s)	2009

South Asia (SAS)

SAS-2_01: Facilitating access of Dalit people to land resources in Nepal	
Short description	The Dalits of Nepal are a marginalised group of people who have suffered systematic discrimination within the hierarchical social system; they were formerly regarded as “untouchable”. Research revealed that many Dalits have no rights to land or other productive resources and are forced into bonded labour – a practice that, while illegal, is still widespread in remote rural areas of Nepal. A PAMS project was launched aimed at mobilising the Dalits, providing capacity building and leadership formation, and raising societal awareness. Its long-term goal was to establish a dialogue between Dalits and government representatives, with a view to enacting changes in land-related policies. This PAMS project played a crucial role in anchoring the rights of landless Dalits in the Nepalese government’s interim constitution.
Country	Nepal
Executing Agency	Community Self-Reliance Centre (CSRC), Kathmandu
Swiss Partner Institution	DSGZ
Year(s)	2006–2008
SAS-2_02: Strengthening communication and trust between actors for sustainable forest governance in the North-West Frontier Province of Pakistan	
Short description	This project on forest management in the North West Frontier Province (NWFP) of Pakistan fostered dialogue and negotiation between the forest department and local communities. Related research in the region had shown that mistrust and a lack of state legitimacy at the local level was one of the main reasons that local communities refused to collaborate with state bodies. The most important outcome of this PAMS was that stakeholders with different backgrounds met to hold round table discussions and started negotiating their diverging interests. Moreover, among the villagers, the PAMS resulted in increased awareness regarding forest-related laws and rules, as well as of the respective responsibilities of the forest department and community.
Country	Pakistan
Executing Agency	Sustainable Development Alternatives (SDA), Islamabad
Swiss Partner Institution	DSGZ
Year(s)	2007–2009
SAS-2_03: Strengthening migrants' wives in rural north-west Pakistan	
Short description	This project contributed to women's empowerment in rural north-west Pakistan. In this region, male migration has negative effects on women’s lives: due to the absence of their husbands, their workload increases, as does their dependence on in-laws. They are exposed to discrimination and family conflicts. Remittances were often intercepted by in-laws and spent on luxuries. In this PAMS, village organisations were built to discuss the situation of migrant wives among the community members. Use of the remittances was negotiated among family members, with the result that more is now invested in the health and education of migrants’ children.
Country	Pakistan
Executing Agency	Dir Area Development Organization (DADO), Dir Sustainable Development Policy Institute (SDPI), Islamabad
Swiss Partner Institution	DSGZ
Year(s)	2008–2010

SAS-2_04: Bridging the gap between research, policy and practice on land issues	
Short description	This PAMS established a Nepali think tank – the Consortium for Land Research and Policy Dialogue (COLARP), representing academic institutions, policymakers, NGOs, and activists. In a joint endeavor, they formulate responses to land-related issues which are in great demand by policymakers who are active in land reforms. The think tank builds on research evidence and the experiences of previous PAMS.
Country	Nepal
Executing Agency	NCCR North-South Regional Coordination Office, Kathmandu
Swiss Partner Institution	DSGZ
Year(s)	2009–2011
SAS-2_05: Developing a community-based tourism model in Kaski district in Western Nepal	
Short description	A PhD study looked at the role of tourism for the process of peace-building after the civil war in Nepal. The insights from this study were validated and further extended in a PAMS project. A model trek route was built in the Pokhara valley in Western Nepal, with camp-sites and shelters for trekkers and porters. Along the route, villages were trained in home-stay operation and management. The PAMS provided local people with an important livelihood opportunity and substantially contributed to their recovering from the civil war.
Country	Nepal
Executing Agency	Trekking Agencies' Association of Nepal (TAAN), Western Regional Chapter, Pokhara
Swiss Partner Institution	swisspeace
Year(s)	2009

Central Asia (CAS)

CAS-2_01: Pastoral Information System (PasIS) for Kyrgyzstan	
Short description	In Central Asia, a constant increase in livestock has led to overuse of pastures. To ensure sustainable development, pasture use, live-stock management, and marketing have gained in importance. In this PAMS, researchers and their partners collected relevant infor-mation on the use of pastures, animal health, disease control, and livestock marketing. A monthly newspaper – Aiyl Ajary – and weekly radio broadcasts were developed to disseminate this collected infor-mation among local herders and local authorities. The newspaper was presented in the local language and an attractive format, which contributed to its popularity. Both the newspaper and the radio broadcasts continued to be produced after project completion.
Country	Kyrgyzstan
Executing Agency	Kyrgyz Sheep Breeders' Association (KSBA), Bishkek
Swiss Partner Institution	CDE
Year(s)	2008–2009

Southeast Asia (SEA)

SEA-2_01: Effective sanitation systems through stakeholder involvement: a case study of faecal sludge management in Thailand	
Short description	A previous PAMS in the Baanklang district in Bangkok focused on the development of technical solutions for effective faecal sludge management. Limited involvement of local people and political authorities resulted in the malfunction of the developed faecal management system, and the technology could not be replicated in other municipalities. This second PAMS aimed at identifying the social and political factors that foster or hinder effective faecal sludge management in the Baangklang district. In a series of workshops, researchers and 500 stakeholders discussed problems, and developed potential solutions. Local authorities learned more about the potentials of effective faecal sludge management and are now willing to adopt the technology that was developed previously. Other municipalities expressed their interest in adopting the approach.
Country	Thailand
Executing Agency	NCCR North-South Regional Coordination Office, Bangkok
Swiss Partner Institution	Sandec/Eawag
Year(s)	2007–2008
SEA-2_02: Participatory improvement of urban environmental sanitation services in Hatsady Tai, Vientiane, Lao PDR	
Short description	This PAMS project helped to improve urban environmental sanitation services in Hatsady Tai, Vientiane, by adopting a demand-led and participatory planning approach. The project benefited about 275 residents in the centre of the village by providing improved urban environment sanitation services, i.e. stormwater drainage, liquid and solid waste management, thereby fostering community-level capacity building and awareness-raising in environmental health and gender equality. This PAMS tested the Household-Centred Environmental Sanitation (HCES) approach, which was then further developed and adapted in other PAMS.
Country	Lao PDR
Executing Agency	Public Works and Transportation Institute (PTI), Vientiane
Swiss Partner Institution	Sandec/Eawag
Year(s)	2008–2009

Central America and the Carribean (CCA)

CCA-2_01: Community-based ecological greywater management in the municipality of Tepoztlán, Mexico	
Short description	Greywater – generated from domestic activities such as laundry, dishwashing, and bathing – is an abundant domestic effluent which represents around 70% of wastewater produced by households in Mexico. Treatment of greywater is quite simple and does not require much energy or space. In this PAMS, greywater filters were constructed and installed in households in Tepoztlán. These filters are easily replicable and were very well accepted by the local people.
Country	Mexico
Executing Agency	Sarar Transformación S.C., Tepoztlán
Swiss Partner Institution	Sandec/Eawag
Year(s)	2007–2008

CCA-2_02: Social Capital and Participatory Planning as instruments for improvement of a historic neighbourhood of Mexico City: Tepito	
Short description	This PAMS brought together different actors in order to develop an improvement plan for Tepito, a neighbourhood in Mexico city. In a participatory process, local people developed a vision of their neighbourhood in ten years as well as strategies to put this vision into practice. During this process, conflicts among stakeholders emerged which were mediated by the project team. Finally, an architectural proposal for the recuperation of a public place – the Plaza Santa Ana – was submitted to the Neighbourhood Improvement Competition by the Mexico City Government. It was approved and implemented after the completion of the PAMS project.
Country	Mexico
Executing Agency	Universidad Autónoma Metropolitana (UAM), Mexico City
Swiss Partner Institution	IHEID
Year(s)	2008–2009
CCA-2_03: Strengthening governance processes for sustainable agriculture in western Mexico	
Short description	RASA is an initiative "for farmers by farmers" which offers training for sustainable agriculture (CSA) near Guadalajara. In this PAMS, researchers and farmers jointly implemented training for local farmers in organic farming and fair trade. The training involved an exchange of scientific and farmers' knowledge, which led to learning on both sides.
Country	Mexico
Executing Agency	Red de Alternativas Sustentables Agropecuarias (RASA), Guadalajara [Network of Sustainable Agricultural Alternatives]
Swiss Partner Institution	IHEID
Year(s)	2009

South America (SAM)

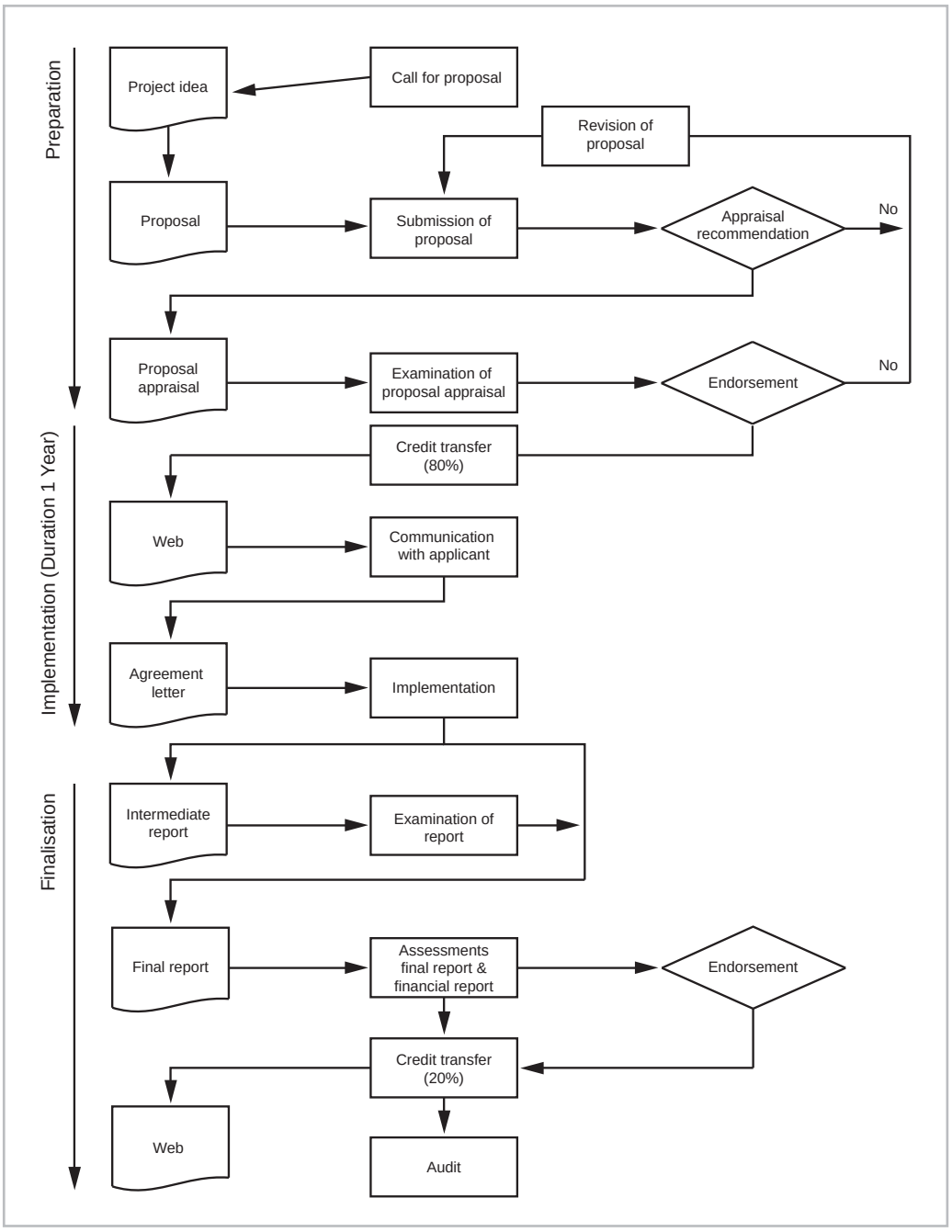
SAM-2_01: Support to local risk management in Bolivia	
Short description	Despite the threat of natural disasters, adequate risk management policies are rare at the local level in Bolivia. This PAMS aimed at improving local risk management by including civil society actors in governance processes. Strategies for risk management were developed in six rural communities. Together with residents, workshops were organised to create "vulnerability maps" illustrating the most important threats, risks, and vulnerable areas in each community. In addition, Emergency Operation Centres and contingency plans were established for each municipality, to coordinate the efforts of local and national authorities, armed forces, firefighters, and health services in the event of an emergency. These experiences led to important insights about the social and political processes related to risk management in Bolivia.
Country	Bolivia
Executing Agency	Fundación La Paz (FLP), La Paz [La Paz Peace Foundation] Fundación para el Desarrollo Participativo Comunitario (FUNDEPCO), La Paz [Foundation for Participatory Community Development]
Swiss Partner Institution	IHEID
Year(s)	2007

SAM-2_02: Formulation of proposals on management of protected areas, biodiversity and natural resources as a contribution to the constituent assembly of Bolivia	
Short description	This PAMS project took an active role in the Constituent Assembly of Bolivia. It supported indigenous communities in the formulation of proposals for the sustainable management of natural resources, biodiversity and sustainable endogenous development. The PAMS offered permanent accompaniment, guidance and training for Assembly delegates. The proposals formulated by the indigenous communities were supported by scientific evidence. Most of the proposals presented to the Assembly today appear in the new constitutional text.
Country	Bolivia
Executing Agency	Agroecología Universidad Cochabamba (AGRUCO), Cochabamba [University of Cochabamba, Agroecology Programme]
Swiss Partner Institution	IHEID
Year(s)	2007–2008
SAM-2_03: Extractive industries and biosphere reserve management: a social learning and capacity building initiative on socio-ecological sustainability	
Short description	Oxapampa province of Peru is rapidly moving towards establishment of a biosphere reserve, and simultaneously facing unprecedented extractive industry exploration and development activities. Research revealed a lack of preparedness of local authorities and social stakeholders to face these new dynamics. In this PAMS, social stakeholders (local authorities, associations, public health officials, and indigenous federations) were strengthened in their ability to negotiate with extracting industries. Moreover, researchers and their local partners developed tools to monitor the negative impacts of extractive industries in the biosphere context.
Country	Peru
Executing Agency	Instituto del Bien Común (IBC), Lima [Institute for Common Properties]
Swiss Partner Institution	IHEID
Year(s)	2009–2010
SAM-2_04: Fighting against poverty reproduction: exploring strategies with young men and women who live on informal waste gathering	
Short description	This PAMS aimed at improving the situation of young waste workers in Buenos Aires. In-depth interviews and group discussions showed that the lack of education among waste workers is one of the most important factors that contribute to their vulnerability. They often do not attend school because they have to work, and also because of the lack of available schools within an accessible distance. As a consequence, a programme for the completion of the secondary school was established in the Community Centre, making it easier for waste workers to attend.
Country	Argentina
Executing Agency	Centro de Estudios e Investigaciones Laborales - Programa de Investigaciones Económicas sobre Tecnología, Trabajo y Empleo (CEIL-PIETTE), Buenos Aires [Centre for Labour Studies – Economic Research Programme on Technology, Work, and Employment]
Swiss Partner Institution	IHEID
Year(s)	2009–2010

Swiss Alps (ALP)

ALP-2_01: Education and Sensitisation on Sustainable Regional Development in the Swiss Alps: A Teaching and Information Kit	
Short description	This project sought to raise public awareness regarding sustainable regional development and its interplay with nature conservation in the Swiss Alps. To this end, an educational resource kit on sustainable regional development – based on scientific evidence – was created and made available to all high school students in Switzerland. Swiss high school teachers and the Swiss UNESCO general secretary described the tool as highly valuable to the region and the school system. The tool is frequently downloaded from the website, which is an indicator of its usefulness.
Country	Switzerland
Executing Agency	Management Centre World Heritage Swiss Alps Jungfrau-Aletsch, Naters
Swiss Partner Institution	CDE
Year(s)	2009–2010

Appendix 3: Administrative process



Source: Gabriela Dömötör

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Does it work in practice? Many researchers are not given the opportunity to find out: they often lack the time and financial resources to work beyond the academic realm. To ensure that research results are not confined to university bookshelves, the NCCR North-South introduced "PAMS" right from the start of the programme. PAMS – Partnership Actions for Mitigating Syndromes – are small projects designed to apply research results in real-world settings. In PAMS, researchers work in close collaboration with a partner organisation from outside academia, to test and validate new approaches aimed at contributing to societal change. Outcomes of PAMS range from raised awareness of HIV prevention among local people in rural Ethiopia, to the anchoring of landless Dalits' rights in the Nepalese interim constitution.

What sets PAMS apart from conventional development projects is their strong link with research. PAMS bring insights from research into practice, and, at the same time, they generate new insights which can be used for future research and scientific publications. We conclude from our evaluation that PAMS are a much-needed vehicle – for both research and society. PAMS provide a platform for researchers and societal partners to exchange knowledge and views, giving them the opportunity to play a greater role in finding innovative solutions for more sustainable development.

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