
***Knowledge Management (KM) and Monitoring & Evaluation (M&E) of
Government to Government Partnerships in sport management: A BRICS case
of the PRC - South Africa relations in the Shandong - Western Cape
Partnership***

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University of the Western Cape



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DECLARATION

I hereby declare that

“Knowledge Management (KM) and Monitoring & Evaluation (M&E) of Government to Government Partnerships in sport management: A BRICS case of the PRC - South Africa relations in the Shandong - Western Cape Partnership”

is my own work, that it has not been submitted before for any degree or examination in any other university, and that all sources I have used or quoted have been indicated and acknowledged as complete references

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August 2018

SIGNATURE:



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“It always seems impossible until it’s done” - Nelson Mandela

Ivy Chen
August 2018

LIST OF ABBREVIATIONS

APRM	African Peer Review Mechanism
ANC	African National Congress
AU	African Union
BNC	Bi-National Commission
BNC	Bi-National Commission
BRIC	Brazil, Russian, India, PRC
BRICS	Brazil, Russian, India, PRC, South Africa
CADF	PRC-Africa Development Fund
CAS	Complex Adaptive Systems
CICC	Cairo International Conference Centre
CCP	Chinese Communist Party
CSIS	Center for Strategic and International Studies
CSD	Commission on Sustainable Development (UN)
CLEAR	Centre for Learning Education and Results
DCAS	Department of Cultural Affairs and Sport
DA	Democratic Alliance
DFA	Department of Foreign Affairs
DIRCO	South African Department of International Relations and Cooperation
FDI	Foreign Direct Investments
FOCAC	Forum on China -Africa Cooperation
GEAR	Growth Employment and Redistribution
GTA	Global Trade Atlas
G2G	Government to government
HRD	Human Resource Development
ICBC	Industrial and Commercial Bank of PRC Limited
IGR	Intergovernmental relations
IR	International Relations
ICT	Information and Communication Technology
IEG	Independent Evaluation Group
IM	Information Management
IoT	Internet of Things
LIC	Low-income countries
KMS	KM System
KMC	KM Capacity
MDG	Millennium Development Goal

MAP	Millennium Partnership for the Africa Recovery Programme
MOU	Memorandum of understanding
NATO	North Atlantic treaty organisation
NEPAD	New Partnership for Africa's Development
NeST	Network of Southern Think Tanks
NPM	New Performance Management
NSRP	The National Sport and Recreation Plan
OSEP	Organisation for Economic Co-operation and Development
OI	Organisation Intelligent
PRC	People's Republic of China
PM&E	Participatory M&E
PGDS	Provincial Growth and Development Strategy
PWDG	The province-wide Data governance
PWMES	Provincial-Wide M&E System
RBM&E	Results-Based M&E
R&D	Research and Development
RBME	Results-Based M&E
SAMEA	South African M&E Association
SADC	Southern African Develop Community
SDGS	Sustainable development Goals
SEP	Sport exchange programme
SPA	Service Plan Agreement
SRAs	Strategic Result Areas
SRSA	Sport Recreation South Africa
SSC	South-South Cooperation
StatsSA	Statistics South Africa
TM	Talent Management
UN	United Nations
UNESCO	United Nations Education and Cultural Organisation
VOPEs	Voluntary Organisation for Professional Evaluation
WB	World Bank
WCG	Western Cape Government

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ABSTRACT

Knowledge Management (KM) and Monitoring & Evaluation (M&E) of Government to Government Partnerships in sport management: A BRICS case of the PRC - South Africa relations in the Shandong - Western Cape Partnership

Government to Government (G2G) partnerships between countries in the BRICS partnerships have significantly increased and with it, the need for more effective strategic management and operational coordination but also for evidence-based decision-making. In this process, improved KM, as well as M&E of outcomes and impacts has become prominent and essential requirements for evidence-based decision-making. The Millennium Development Goals (MDGs) emphasise the need for a global partnership for development with a focus on a new development paradigm that emphasise results, partnership, coordination, and accountability (Picciotto, 2002:3). Subsequently, the 2030 Agenda for Sustainable Development further strengthened the importance of the global partnership in the implementation of the Sustainable Development Goals (SDGs), recognises that the implementation of the SDGs is a challenge for governments and therefore seeks to strengthen the global partnership by calling upon all stakeholders to take part in implementing the SDGs.

In this context, the study investigated the need for knowledge management (KM) as well as Monitoring & Evaluation (M&E) systems in G2G partnerships such as the partnership of Shandong China (PRC) and the Western Cape Government (WCG) in South Africa. This study focused on the sport management aspects of such a partnership, although such systems may also be relevant to economic, tourism and other partnerships programmes.

The research investigation focused on the relevance of KM and M&E systems in sport management on G2G partnerships, as well as the possible benefits of such systems. Readiness Assessments for the establishment of KM and M&E systems were conducted with respect to the Shandong -Western Cape Government (WCG) in PRC and South Africa.

The research methodology consisted of a qualitative approach and a case study was developed of the Sport Exchange Programme (SEP) as a component of the partnership between Shandong PRC and Western Cape Government (WCG) South Africa. The research included a desktop study of primary documentation including the formal agreements, Memorandum of understanding (MoU), regulations and programme annual reports, semi-structured interviews with officials and public sector managers of both governments in PRC and South Africa, as well as focus group discussion, interviews with specialists and experts were also conducted.

The research design included theoretical instruments that were used in analysing the case and these included:

- ✧ The M&E requirements for a Readiness Assessment (Kusek & Rist, 2004),
- ✧ The Readiness requirements for KM (Nonaka & Tkeuchi 1995:10; Yeh, Lai & Ho 2006:797; Gaffoor & Cloete, 2010:3; April & Izadi, 2004:35; Snowden, 2002:101; Angelis 2013:7); and
- ✧ The assessment of implementation capability by using the 5- C Protocol (Cloete & Mokgoro 1995; Brynard 2005; Brynard, Cloete & De Coning, 2011).

Two further instruments were used with respect to the partnership in SEP, namely:

- ✧ *The application of the methodology of the Theory of Change (ToC) model (Jackson 2013; Taplin, Clark, Collins & Colby 2013; Vogel 2012), as well as*
- ✧ *The development of outcome indicators and a monitoring framework (Kusek & Rist, 2004; Cloete, Rabie & De Coning, 2014).*

Some of the key findings included that a need existed to establish more advanced KM and M&E systems in G2G partnerships; The Readiness Assessment of KM showed that a definite need existed for Communities of Practice (COPs) beyond the formal meetings and that professionals and practitioners on both sides needed to exchange explicit and implicit knowledge; A need also existed for improved ICT based-systems including dedicated portals where policy documentation, programme information and data, as well as M&E results, can be loaded and shared by both Governments in Shandong and WCG; The Readiness Assessment conducted regarding M&E showed that a need existed for Results-Based M&E that can be used to ensure evidence-based decision-making in the Shandong-WCG partnership.

In terms of KM and M&E systems establishment, it was found that both governments may benefit from developing their departmental reporting and monitoring systems to the extent where joint analysis and publication of results may be possible. The key priorities for the establishment of KM and M&E systems in G2G partnerships include:

- ✧ *Government departments need to establish their own basic M&E systems and KM policies and practices within their own organisations in order to ensure that they are capacitated to engage in G2G initiatives of this nature;*
- ✧ *The overall key findings showed that although the partnership of Shandong and WCG is regarded as successful, various aspects of the implementation on programmes, reporting and monitoring of the programmes can be improved;*
- ✧ *Although respondents agreed to the need for KM and M&E, a lack of understanding existed amongst participants to the study as to what KM really means. It is recommended that KM and M&E awareness campaign need to be established;*
- ✧ *Furthermore, it is recommended that a resource centre in each country be established as well as an online-based website that should function as a knowledge exchange platform;*
- ✧ *The study concluded that KM and M&E systems are institutionalised in G2G partnerships with respect to this partnership in particular. It is also clear that the Sport Exchange Programme (SEP) may benefit much from the design and formulation of a Theory of Change (ToC) model, as well as development and application an anticipated outcome indicator monitoring framework, in order to measure, assess and improve the performance and governmental decision-making;*
- ✧ *Consequently, it is concluded that the fields of KM and M&E are huge and much underestimated in public sector; It is recommended that the need existed to explore the full value-chain of KM and M&E systems as more integrated and focused approaches are required; The need existed for improving and developing better understandings of the meaning and scope of a variety of KM and M&E initiatives, to enhance capacity building of the SDGs through partnerships.*

The study made an original contribution by developing a Theory of Change (ToC) model as well as a monitoring indicator framework of the SEP for the partnership of Shandong -WCG. The study provided a set of recommendations to governments involved in such partnerships on lessons learned as well as priorities for future research.

Knowledge Management (KM) and Monitoring & Evaluation (M&E) of Government to Government Partnerships in sport management: A BRICS case of PRC - South Africa relations in the Shandong - Western Cape Partnership

Ivy Chen

KEYWORDS OR PHRASES

- ✧ Knowledge Management (KM)
- ✧ Monitoring and Evaluation (M&E)
- ✧ Bilateral government to government partnership
- ✧ Capacity building & Sustainable development
- ✧ Communities of Practice (COPs)
- ✧ BRICS developing low-income country (LIC),
- ✧ Organisation and institutional arrangements
- ✧ Anticipated outcome indicators
- ✧ Readiness Assessment
- ✧ Theory of Change (ToC)
- ✧ Sport Exchange Programme
- ✧ Talent management
- ✧ Evident-based decision making



CHAPTER ONE: INTRODUCTION AND OVERVIEW

“The public value is not more provided only by the government but by collaboration. Sharing power, opening up the decision-making process, forging new relationships and partnering on service delivery are the foundations of 21st-century government.” - (Angelis 2013)

1.1. INTRODUCTION

Knowledge Management (KM) is a well-established management approach that is efficaciously applied across corporate sectors by systematically creating, preserving and optimally utilises the extensive knowledge present in an organisation (Fowler & Pryke, 2003:254). Monitoring and Evaluation (M&E) is an extremely complex, multidisciplinary and skill intensive endeavour (The World Bank 2012:6). M&E offers institutions significant opportunities for innovation and change (Kusek & Rist, 2004:6; Cloete, De Coning & Rabie, 2014:250). Through the implementation of KM practices, governments could deliver the best possible services, function efficiently and operate in an environment characterised by transparency and accountability (Gaffoor & Cloete, 2010:7).

Although an extensive amount of research about the importance of KM or M&E in the organisational context currently exist, this literature mostly focus on the role of KM or M&E in the corporate world (Gaffoor & Cloete, 2010:1). In the government sphere, not many studies have been conducted with regard to KM and M&E as a whole in the public sector and few have been written on the role of KM and M&E in partnerships, specifically at the government to government (G2G) level.

Sport is a global phenomenon with major commercial potential (Babiak 2007:338), its social role should not be underestimated. Sport and development initiatives were strongly driven by civil society (Keim and De Coning, 2014:14), and this issue has received increasing attention from academics and practitioners (Wäsche 2015:542). Partnerships in sport can help institutions overcome resource constraints and exploit new opportunities. However, partnerships in sport warrant more scientific scrutiny, as substantial research gaps remain (Franco & Pessoa 2014:885).

This Chapter will be organised into eight sections. The first section is the introduction; the second section presents the background; the third section outlines the problem statement; the fourth section states the purpose, aim and objectives of this study and its significance;

the fifth section gives an overview of the research methodology, its scope, and delimitation as well as the assumptions of this study; the sixth section briefly introduces the conceptual theoretical framework; and lastly, the seventh section before summarising the Chapter, describes the outline of Chapters comprising the thesis.

1.2. BACKGROUND AND CONTEXT

According to the United Nations Development Plan (UNDP 2014:6):

“[K]nowledge management (KM) is a new phenomenon directly related to the recent emergence of the knowledge economy and technology advancement, it consists of the initiatives and systems that sustain and support the creation, storage, dissemination, assessment, application refinement and exchange of relevant knowledge. The application of KM generally can assist to facilitate the capturing and sharing of various experiences by societies its acquisition can ensure that knowledge is converted to useful information which informs decision making.”

The above quote reveals that the capturing of knowledge can enhance the continuous learning of diplomats in order to respond effectively to challenging yet dynamic global events and crises. The UNDP (2014:9) Knowledge Management Strategy Framework 2014-2017 aims to position UNDP as a thought leader and knowledge broker in the global development debate. The way UNDP develops, captures, and shares and effectively uses knowledge underpins the realisation of development outcomes. To this end UNDP focuses on four work streams:

- ✧ *[I]dentifying, capturing, disseminating and applying lessons learned from past projects and initiatives;*
- ✧ *Strengthening knowledge exchange and networking, through corporate social networking and thematic communities of practice;*
- ✧ *Fostering openness and public engagement through blogging, public online dialogues, consultations, and events;*
- ✧ *Embedding KM into talent management (TM), HR processes, including training. Examples of KM work includes corporate social networking platforms, UN team and knowledge exchange through public dialogues and online consultations, such as the Rio+20 online dialogues, My World 2015, the post-2015 consultations and the online consultations for the world humanitarian summit 2016.*

Over the past decade, PRC’s influence on the African continent has eclipsed that of any other nation. The Chinese Government declared 2006 the ‘Year of Africa’, acknowledging and accelerating PRC’s engagement across the continent and this engagement now spans heightened diplomatic ties. The Brazil, Russia, India, PRC, South Africa (BRICS)

cooperation established in 2010 is particularly interesting as an innovative block comprising countries from the South that have enjoyed policy successes in a number of areas that can be lessons to other regions. Thus, despite increasing academic interest, the nexus between BRICS developing countries is in critical need of further study.

Against this background, this study focuses on development studies as South Africa, PRC are all regarded as developmental states and these countries will be used as case studies. The opportunity to shape the agenda of the field of Africa-PRC studies is a rare opening to frame a new kind of area studies. The researcher wishes to examine more closely the relationships between developing countries as members of BRICS and how their KM and M&E systems may relate to capacity development and capacity performance in partnerships.

The researcher regards 'development management' as an important approach to KM systems, as the multi-sectoral and transversal nature of development studies are necessary requirements in KM systems, and forms important components of KM models in use for capacity development. The researcher reviewed the literature of KM and M&E and its application to the BRICS and undertook case studies into SEP by analysing its strategy, method and results. Different resources will be used to collect information including different data collection instrument and analysis.

Coalter (2010:295) argued that if sport-based initiatives are to make the broader contribution to development, there is a need to view the evaluation of such programmes in a local context. Most examples of KM applications are to be found in the private sector, which utilises the KM process as a means of attaining a competitive edge (Fowler & Pryke 2003: 255; Gaffoor & Cloete 2010:6). Most of the researchers tend to focus on KM and M&E in the corporate sector rather than demonstrating KM and M&E systems to improve the KM and M&E in public sector. Therefore this study seeks to address the lacunae with regard to how KM and M&E may be used in conjunction with each other in G2G partnerships.

1.3. PROBLEM STATEMENT

The problem being investigated in this study is that:

- ❖ *A limited understanding exists of the potential of KM and M&E approaches in bilateral government partnerships;*
- ❖ *How KM and M&E can be practically and efficiently applied in these environments;*
- ❖ *In addition, there is concern that at present insufficient KM and M&E results*

are being utilised by partnerships and

- ❖ *That information is required in economic and social sectors but also with respect to cooperation in sport,*
- ❖ *The capacity performance of partners and capacity development by partnerships.*
- ❖ *Therefore, the need existed for an improved understanding of the use of specific objectives and indicators for the M&E of bilateral partnerships*
- ❖ *To assess the outcomes of partnership initiatives, as well as to develop KM systems to improve the KM aspects of partnerships;*
- ❖ *Lastly, a specific need exists to present a case study on the potential of KM and M&E with a special focus on the development and performance of sport partnerships, by exploring the case of the Shandong-WCG partnership.*

1.4. PURPOSE, AIM, AND OBJECTIVES

The purpose and aim of this study are to explore the need for KM and M&E approaches in bilateral government partnerships and how KM and M&E can be practically applied in these environments. The more detailed and specific objectives of this study are to:

- ❖ *Explore & assess the need and nature of support required for KM and M&E in the Sport Exchange Programme (SEP) of the bilateral government partnership case study;*
- ❖ *Investigate & determine the value & usefulness of KM and M&E practically applied to sport in bilateral government partnerships;*
- ❖ *Identify & develop the specific factors that determine the value & usefulness of KM and M&E in bilateral sport partnerships;*
- ❖ *Explore & determine the need and nature of requiring support in KM and M&E with regard to present a practical case study on the potential of KM and M&E with respect to the sport in the Shandong-Western Cape Partnership.*

1.5. SIGNIFICANCE OF THE STUDY

This study is regarded as an important first step in establishing a good understanding of the potential of KM and M&E approaches in bilateral government partnership and how KM and M&E can be practically and efficiently applied in these environments. The findings of the study will benefit partnerships in the field of international relations, public policy, strategic planning, implementation, performance management, as well as Communities of Practice (COPs) with regard to economic, social, culture and sport development.

The findings, recommendations and conclusions of the study will allow the various regional, provincial and national stakeholders from government including policymakers, all regional, national and provincial federations, sport practitioner in selected partnership, donors and influential decision makers, to understand the specific factors and anticipated outcome indicators that may determine the value and usefulness of KM and M&E in bilateral sport partnerships.

The study will further contribute to the BRICS alliance countries at the global level, particularly South Africa and PRC at the national and provincial level as well as the individual partners in the WCG and Shandong Partnership. The study will serve as an important benchmark that can be used by institutions within BRICS and partnerships in the sport and beyond for the similar studies. It is also important for policy decision-makers to be able to provide the best support for participants to access the best KM and M&E systems to enhance capacity performance and sustainable capacity development in order to strengthen SEP cooperation through partnerships.

1.6. SCOPE AND DELIMITATIONS

The study is confined to G2G partnerships with a special focus on the sport and development field. The geographical scope is limited to Shandong and Western Cape Sister Provinces that use sport as a tool in responding to KM and M&E in partnerships through capacity development in SEP between PRC and South Africa. As the researcher is working within the field of study she had to ensure that objectivity remains in place. The researcher ensured that this objectivity was constantly reviewed through interaction with her supervisors and colleagues. The assumption of this study is that all respondents will provide honest responses and will cooperate to provide important information relevant to the study.

Limitations exist with respect to the extent to which the findings can be applied to other contexts as the research and findings are specific to the Shandong-WCG partnership at the G2G level. Some variations, therefore, exist with respect to other partnerships where the circumstances and conditions may differ. The readers should therefore, be careful to apply the findings directly to other areas as findings may need to be adjusted or interpreted to be relevant to precise conditions. The readers should note that the findings of this study is specific to the Shandong-WCG partnership and this specific context, and that the findings of the study do not necessarily apply to all G2G partnerships.

1.7. ETHICAL DILEMMAS IN QUALITATIVE CASE STUDY RESEARCH

Two key ethical issues should be considered when conducting research. These according to Patton and Cochran (2002:1) are consent and confidentiality. Consent means that respondents participating in the research study should feel free to participate without any coercion and respondents should not perceive to be unfairly pressurised. Individual and group participants were informed about what the participation entailed and they were also reassured that their refusal to participate would not attract any penalties to them. Also, the identity of participants is carefully protected. The purpose of the research was explained to participating groups and individuals before each interview began.

Through the application of the case study the researcher ensures that the context of the case is described in adequate detail. It is also ensured that the study is contextually bounded and that inconsistencies between methodology, study design and paradigmatic approaches are reviewed. These issues normally have implications for methodological integrity and honesty when reporting case study design and if not considered it could contradict the value of the qualitative research tradition and ethical requirements (Hyett, Kenny & Dickson 2014:8). Furthermore, if the methodology is poorly conceptualized it may lead the reader to misinterpret or discredit study findings, which can at the end limit the impact of the study and ultimately deter advancement in the broader qualitative research field.

1.8. RESEARCH DESIGN AND CASE SELECTION

According to the De Vaus (2001:8-11), a research design is:

“... [a]n overall strategy that incorporates different components of the study in a logical approach to ensure that the research questions, aims and objectives are addressed in the most convincing manner”.

The study employed a case study design which is defined by Santos and Eisenhardt (2004:685) and Yin (2012:5, 2014:4) as an empirical investigation that allows a researcher to retain a holistic and meaningful characteristic of a real-life event. Different types exist within a case study. Baxter and Jack (2008:547-549) describe them as explanatory, exploratory, description, multiple case studies, intrinsic, instrumental and collective.

The present research corresponds to a single exploratory case study, as it focuses on a bilateral sport partnership in Shandong-WCG with regard to the Department of Cultural Affairs and Sport in South Africa, hereafter named 'DCAS', and Shandong Sport Bureau in the PRC. The criteria for selecting this unit of analysis were essentially three: it is an

institution with various partnerships in the sport context; the partners involved develop activities in the sport sector and access to any previous knowledge of this institution by the researchers. The details will be discussed in Chapter 6.

This study adopted a qualitative research design to gain an in-depth understanding of the potential specific factors and indicators in bilateral sport partnerships. As a common factor with qualitative research, depth and richness of the data obtained is the key, rather than the ability to generalise or replicate previous findings (Neuman, 2000:21). Normally associated with qualitative methods is the case study method, which consists of analysing a specific situation in greater detail (Rowley, 2002:17). When a scientific field is still underexplored and a substantial preliminary field of research is lacking on the subject, exploratory case studies represent the best option (Yin, 2013:3).

Creswell (2009:232) defines a case study that uses qualitative inquiry as a strategy that allows the researcher to explore the role of the individual in a programme, in an event, activity, process, group or individuals. A single case or multiple cases can serve as the unit(s) of analysis. A case study is a form of qualitative research that investigates a distinct phenomenon in its real environment, based on different sources of evidence, being appropriate when a social and personal content is fundamental for understanding and interpretation (Neuman, 2000:21 & Yin, 2014:4). The research design followed a thematic approach where four thematic issues were identified together with key considerations in each area: 1) G2G partnership; 2) KM Readiness; 3) M&E Readiness and 4) Sport Exchange Programme (SEP).

1.9. THEORETICAL AND CONCEPTUAL FRAMEWORK

The research design included theoretical instruments that were used in analysing the case and these included:

- ✧ *The M&E requirements for a Readiness Assessment (Kusek & Rist, 2004: 41 -42);*
- ✧ *The Readiness requirements for KM (Nonaka & Tkeuchi 1995:10; Yeh, Lai & Ho 2006: 797; Gaffoor & Cloete, 2010:3; April & Izadi, 2004:35; Snowden, 2002:101; Angelis 2013:7); and*
- ✧ *The assessment of implementation capability by using the 5- C protocol (Brynard & Erasmus, 1995, Brynard, 2005:658; Brynard, Cloete & De Coning, 2011:7).*

Two further instruments that were used with respect to the SEP, included:

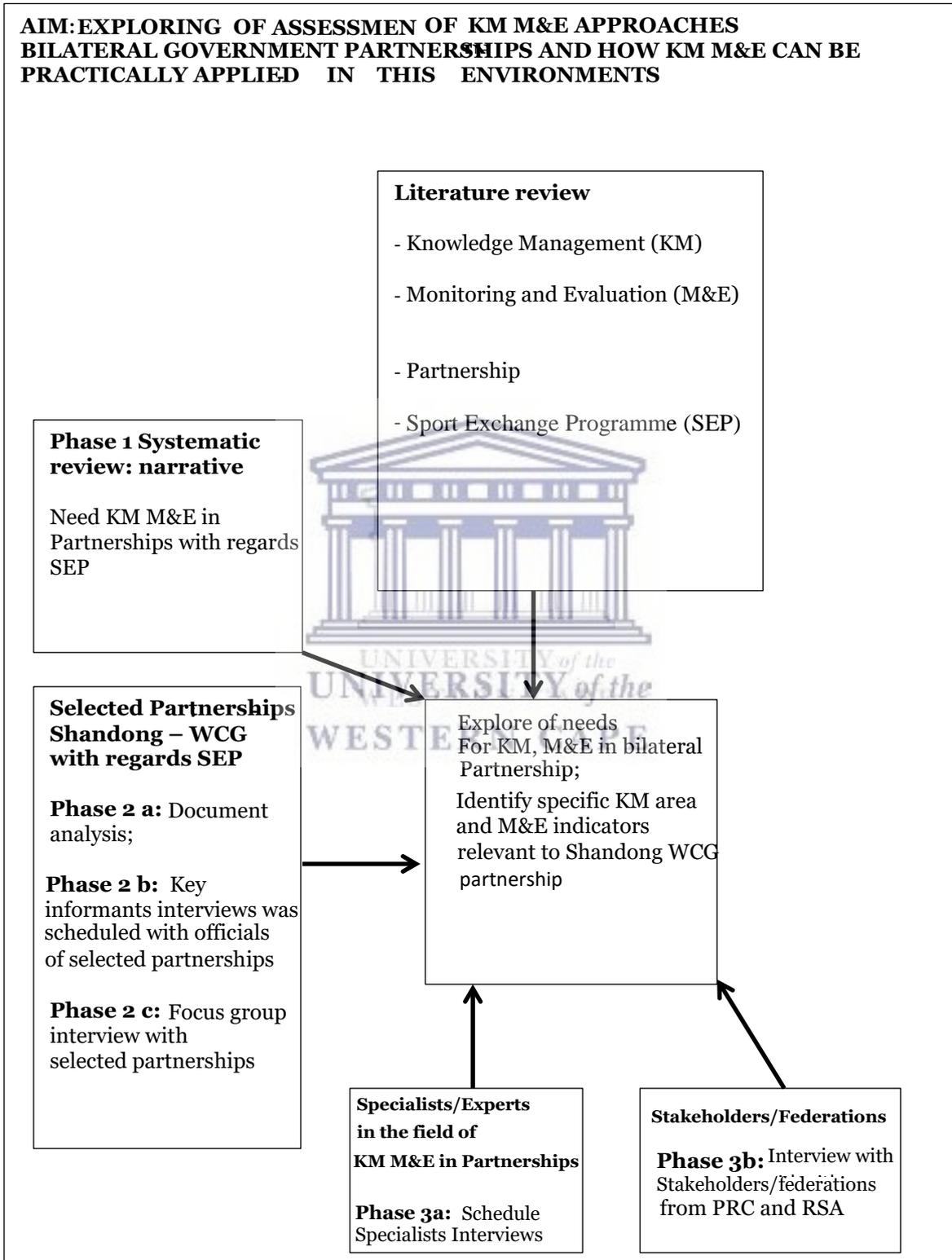
-
- ❖ *The application of the methodology of the Theory of Change Model (Jackson 2013: 100; Taplin, Clark, Collins & Colby, 2013: 1; Vogel, 2012:71), as well as*
 - ❖ *The development of a Results-Based M&E indicator framework (Kusek & Rist, 2004:65; Cloete, Rabie & De Coning, 2014:202).*

The purpose of the research is to explore the need and nature of support required for KM (tacit and explicit knowledge) (Nonaka & Tkeuchi,1995:70), and M&E on institutional arrangements and institutional capacity in building an M&E systems approach (Keim & De Coning, 2014:14; Maralack, Keim & De Coning, 2014:119), as well as the theoretical and conceptual framework in sport partnerships (Aims & Silk, 2005: 355; Babiak, 2007:338; Wolfe, Meenaghan & O'Sullivan, 2002:611; Yang, Shi & Goldfarb, 2009:1095; Wäsche,2015:542; Franco & Pessoa, 2014:895).

A Theory of Change (ToC) model is an alternative or competing sets of logical sequences of linked theoretical and practical assumptions and explanations about the reasons why a specific intervention in society is necessary, and why such policy, programme or project should be successful. This perspective assumes that everything in the universe is comprised of systems and subsystems that have elements with a common purpose and are interrelated toward that common purpose (Senge, Kleiner, Roberts, Ross, Roth & Smith, and 2005: 137). The discussions, analysis and interpretation of findings will be located within this perspective. This involved a desktop review of literature and guidelines relevant to definition, framework and develop the specific factors and indicators that determine the efficacy of KM and M&E in bilateral sport government partnerships.

The Figure 1 below presents the conceptual framework adopted to address aim and objectives of this study.

FIGURE 1 : CONCEPTUAL THEORETICAL FRAMEWORK ADAPTED TO ADDRESS AIM AND OBJECTIVES OF THIS STUDY



Source: Author

1.10. CHAPTER OUTLINE OF THE THESIS

The study is primarily focusing on exploring the value of KM and M&E approaches in bilateral government partnership and how KM and M&E can be practically applied in these G2G environments. The chapters are described briefly as following:

The first Chapter provides an introduction and background to the study explaining the importance of KM and M&E in partnership with regards to sport. Key issues covered in this Chapter included the significance of the study, problem statement, research question, aim and objectives. Chapter one further presents a theoretical and conceptual framework for this study. Finally, the outline of the thesis is provided followed by a summary of this Chapter.

The second Chapter presents the review of the existing literature on KM and relevant concepts, included definitions and policy perspective of KM Readiness in the context of institutional arrangements and development as well as benefits and constraints of KM process and KM models.

The third Chapter presents the review of the existing literature on M&E, including definitions and policy perspective of M&E Readiness in the context of institutional arrangements and development. Chapter three concluded with a summary about the relationship between KM and policy development as well as related contexts. These are therefore of importance and M&E in particular may hold special value in relation to the improvement of KM in a systems context.

The fourth Chapter provides the literature review on capacity building through a sustainable partnership with emphasis on the need of KM and M&E in government to government (G2G) level, as well as the comparative case for the successful experience of SSC in global partnership. It further presents various challenges and opportunity in partnerships.

The fifth Chapter discusses the research methodology: research design, the methodology used and ethical statement are the focus of this Chapter. This acts as a guide to the researcher on how the study will be carried out in terms of data collection and also shows factors that may limit the study.

The sixth Chapter will first discuss the BRICS initiative, followed by PRC and South Africa relations, as well as exploring the potential of KM and M&E in the Shandong -WCG with regards to sport exchange programmes (SEP).

Chapter seven presents the fieldwork results from interviews with officials of selected partnership examined in this study. This Chapter further concludes and summaries from the focus group discussions that included specialists and experts consulted in this study.

Chapter eight will analyse and discuss the empirical research findings. The focus is on the identification studies, the interpretation of findings as well as of cross-case analysis and Readiness Assessment. Furthermore, the anticipated outcomes and indicators monitoring framework with the ToC model that determine the efficacy of KM and M&E in bilateral partnerships in SEP is proposed in this study.

The ninth and final Chapter concludes the study with a set of recommendations that could be implemented to the value of KM and M&E approaches in bilateral government partnerships in SEP. Besides a summary of the main findings and conclusions that arise from the research, some tentative recommendations are provided and suggestions for future research are made.

1.11. SUMMARY

This Chapter provided an introduction and background to the study and explained the importance of KM and M&E in partnerships with regards to sport. Key issues covered in this Chapter are included the significance of the study, problem statement, research question, aim and objectives. The section further provides the theoretical conceptual framework and outlines of the study followed by summary of this Chapter.

- ❖ It is concluded that the rationale of this study confirmed that a real research need exists for the development of appropriate sets of indicators (anticipated outcomes) frameworks and Theory of Change (ToC) models for the monitoring of the partnership in SEP and development programmes in Shandong-WCG and amongst the developing countries like BRICS.
- ❖ It is furthermore concluded that the study performed a literature review in the appropriate areas and that the research design is appropriate for this research investigation.

The ensuing Chapter will provide an overview of the main contemporary theoretical perspectives used in the study and gives the rationale for the theory conducted for this study.

CHAPTER TWO: KM APPROACHES AND MODELS

*“Knowledge is the only treasure you can give
entirely without running short of it.”*
- (African proverb)

2.1. INTRODUCTION

This Chapter will provide an overview of the literature review on perspectives prominent and relevant KM theoretical approaches conducted for this study. The Chapter, together with Chapter 3 and 4, will identify important themes that need to be considered for the development of indicators framework and Theory of Change (ToC) model for Shandong - WCG partnership in SEP and development field. Following this rationale, the literature review for this study will thus focus on theoretical perspectives to:

- ❖ *Clarify key definitions and concepts and outline theoretical approaches and perspectives, different scopes of theories; discuss key themes and debates in the area relevant to KM;*
- ❖ *Identify important themes that need to be considered for the KM readiness approaches and models on the programme level.*
- ❖ *Institutional arrangements for KM integrate the value of implementation as well as performance management process on knowledge activities and Communities of Practice (CoP).*

2.2. CONCEPTUAL CLARIFICATION IN TERMS OF INFORMATION, KNOWLEDGE AND KNOWLEDGE MANAGEMENT (KM)

Knowledge Management (KM) experts often discuss a progression that begins with data, which is transformed into information and then into knowledge. Informally, people often use these words interchangeably— especially “information” and “knowledge” (Galliers and Newell, 2003b:5).

2.2.1. DATA, INFORMATION, KNOWLEDGE, AND WISDOM (DIKW)

Data, information Knowledge and wisdom (DIKW) chain model, also as known as DIKW hierarchy, has been gaining popularity in the informatics field. DIKW chain and the nature of knowledge accepted and the KM domain is not many well-accepted concepts existing, but actually, nearly every model and theory is challenged by others. In order to put all essential puzzle pieces of KM theories into a holistic system, a conceptual analysis of existing theories is extremely important.

Galliers and Newell (2003b:5) endeavour attempt to distinguish features of data, information, and knowledge (See Figure 2 below):

FIGURE 2: CHARACTERISTICS OF DATA, INFORMATION AND KNOWLEDGE

Data	Information	Knowledge
Explicit	Interpreted	Tacit/embedded
Exploit	Explore	Create
Use	Build/construct	Disconorganisation
Follow old recipes	Amend old recipes	Develop new recipes
No learning	Single-loop learning	Double-loop learning
Direction	Communication	Sense-making
Prescriptive	Adaptive	Seminal
Efficiency	Effectiveness	Innovation/redundancy
Predetermined	Constrained	Flexible
Technical systems/networks	Socio-technical systems/networks Outer	Social networks
Context-free	Context	Inner context

Source: Galliers and Newell (2003b:5)

Data is a “set of symbols; it records facts, statements, measurements, and statistics” (Ackoff, 1989:9, McFadden 1999:56); Information is defined as “organised or processed data that are timely and accurate” (Watson 1998). Information should deliver the solutions about 4W: ‘who’, ‘what’, ‘where’ and ‘when’; According to Bellinger, Castro, Mills (2004:2) knowledge represents “a pattern that connects and generally provides a level of predictability and actionable suggestion”; Knowledge should answer ‘how’ and (Bellinger et al, 2004). Ackoff (1989:3), McFadden et al., (1999) point out that the first three types relate to the past; they deal with what has been or what is known, only the fourth category, wisdom, deals with the future because it integrates vision and design. With wisdom, people can generate the future rather than just grasp the present and past. However accomplishing wisdom isn't easy, people must transfer successively through the other categories. The issue about wisdom is beyond this topic, so it will not be discussed so as to avoid confusion.

As is the case with all models, DIKW has its limits; The DIKW model is quite linear and expresses a logical consequence of steps and stages with information being a contextualised 'progression' of data as it gets more meaning. Reality is often a bit different; Knowledge, for instance, is much more than just a next stage of information. Nevertheless, the DIKW model is still used in many forms and shapes to look at the extraction of value and meaning of data and information.

There are important distinctions between these terms, however. Data are the raw or unorganised building blocks of information, often presented as numbers, words, or symbols. Data are converted into information by interpreting them and presenting them in a structured and meaningful way relevant for a specific purpose. Knowledge is ultimately derived from data and information, drawing on experience. Data, information, and knowledge all are important; each contributes to developing sound global programs (Galliers et al., 2003b:5).

Based on the work of Awad and Ghaziri (2004:1), action (actionable data/ information) and decisions are what is needed. Because without action there is little sense in gathering, capturing, understanding, leveraging, storing and even talking about data, information and knowledge. The mean action as in business and customer outcomes, creating value in an informed way. But of course, in the bigger picture, action can also simply be learning or anything else.

Rowley (2002:17) referred to the above-mentioned figure concluded that knowledge as being actionable information and mapped the DKIW model to different types of information management systems:

- ✧ *Data is related to transaction processing systems;*
- ✧ *Information with, indeed, information management systems;*
- ✧ *Knowledge with decision support systems;*
- ✧ *Wisdom with expert systems.*

2.2.2. KM DEFINITION

According to Liebowitz (1999:6), KM defined as "the formalisation of and access to experience, knowledge, and expertise that create new capabilities, enable superior performance, encourage innovation, and enhance customer value". According to Fowler and Pryke (2003:254), KM involves methodically creating, maintaining and allowing access to

the extensive knowledge repositories within an organisation, thus allowing organisations to be better suited to deliver customer services due to a greater understanding of the organisation's internal processes and functioning. These organisations are therefore able to develop and preserve the inherent knowledge of their employees which in turn may be used to facilitate innovation and service provision (Fowler and Pryke, 2003:254).

FIGURE 3: KM EVOLUTION

The World Bank (1998)	KM is a more organic and holistic way of understanding and exploiting the role of knowledge in the processes of managing and doing work, and an authentic guide for individuals and organisations in coping with the increasingly complex and shifting environment of the modern economy.
Gurteen (1998)	The collection of processes that govern the creation, dissemination, and leveraging of knowledge to fulfil organisational objectives.
Svieby (2001)	It is the art of creating value from intangible assets.
Bukowitz and Ruth L. Williams (2002)	It is the process by which the organisation generates wealth from its knowledge or intellectual capital.
OECD (2003)	A broad collection of organisational practices related to generating, capturing, disseminating know-how and promoting knowledge sharing within an organisation, and with the outside world.
McElroy (2003)	It is a management activity that seeks to enhance knowledge processing.
Rothberg and Erickson (2004)	KM is an attempt by organisations to capture, codify, organize, and redistribute the organisational tacit forms of knowing and make them explicit.
CT-GCIE (2006)	A systematic set of processes, articulated and intentional, capable of increasing the ability of public managers to create, collect, organize, transfer and share information and strategic knowledge that can be used to make decisions for the management of public policies and to include the citizen as a producer of collective knowledge.
Rosenheck (2009)	KM can simply be stated as the capturing of knowledge, storing of Knowledge, and transfer of knowledge to others.
Bali, Wickramasinghe, Lehaney (2009)	Knowledge Management is a comprised a set of tools, techniques, tactics and technologies aimed at maximising an organisation's intangible assets through the extraction of relevant data, pertinent information and germane knowledge, to facilitate superior decision-making so that an organisation attains and maintains sustainable competitive advantage.

Source: Angelis (2013:5)

Knowledge Management (KM) as a business philosophy has proven to be very successful in the private sector. However, to appreciate the value of KM it is essential that a number of fundamental principles regarding the role of knowledge in the organisation are understood. Milner (2000:2) identifies the following principles as central to understanding the role of information – and specifically knowledge – in the organisation:

-
- ✧ *Within the organisational context, it is crucial that the process of generating data is understood.*
 - ✧ *Collecting and organising data to make it useful and valuable must then become the main concern.*
 - ✧ *Data is then converted to information by means of diffusion and analysis.*
 - ✧ *Information, when suitably applied, contributes to the processes of knowledge creation and decision making.*
 - ✧ *The process of transforming data to information to knowledge gives rise to what can be termed “organisational wisdom” which can be explained termed as the development of learning in the organisation which allows it to grow productively.*

Given the plethora of perception and the concepts, Figure 5 above proposed the subsequent definitions are amongst the best known. Based on the above-mentioned definition of KM concepts, it is possible to conclude that KM as deliberate intervention is the strategies and practice theory which institution generate value from what their member know in order to then identify, preserve and share the information. This probably to determine that KM has the goal to govern the creation, collection, organisation, sharing, dissemination, storing knowledge that can be used to solve problems and make decisions. According to Honar pour, Jusoh and Md Nor (2012:7), KM as one of the growing fields of management research has been the subject of a large number of studies. As Ahmad Khan point of view (2012:1), KM is changing the paradigm of information systems from data processing and delivering information to one of harvesting and exploiting the knowledge of an organisation.

Knowledge Management (KM) can be defined as the process for acquiring, storing, diffusing and implementing both tacit and explicit knowledge inside and outside the organisation's boundaries with the purpose of achieving corporate objectives in the most efficient manner (Magnier-Watanabe and Senoo, 2008:21). KM is a process of generation, storage and sharing valuable information and views within and among societies and organisations with similar interests and needs.

According to Mohammadi, Khanlari, and Sohrabi (2010:29-45), KM has been identified as a management philosophy that has the ability to impact on all aspects and areas of an organisation, specifically the processes and information and communication structures in the organisation (De Gooijer, 2000:303). For KM to contribute to organisational efficiency there is a need for various organisational processes and departments to work together and for functional silos to be eliminated. KM should also be viewed as a long-term organisational strategy and it must be understood that its value will not infiltrate the entire organisation in the short run (Yeh, Lai and Ho, 2006:805). According to Angelis (2013:5), although KM first emerged as a practice around 1990 along with enabling technologies such as document

management, there is no universal comprehensively accepted definition of KM; Angelis et al.,(2013:5) contemplates that:

“[K]nowledge Management is a set of practices aimed at the interaction between tacit and explicit knowledge to acquire and create new competencies, which allow an organisation to act intelligently in complex environments.”

2.3.THE GENERATIONS OF KM

In a widely accepted analysis of KM theories and practices, Snowden (2002:100) defended in below Figure 4 three distinct movement or generations of KM.

2.3.1. THE FIRST GENERATION OF KM

The first generation of KM dates back prior to 1995. It focused on computer-based business process re-engineering and the structuring and flow of information in databases and information systems to support decision-making. The catchphrase “the right information in the right place at the right time” is still widely used today to market intelligence or information-based repositories. Knowledge was, in this generation, viewed as a *thing or object* to be managed and distributed – the management of information phase. Here, “knowledge” is in fact data or information without human interaction and contextualization. In an intelligence Analysis context, the raw information obtained through technical means like Signal Intelligence (SIGINT) or economic data from a competitor’s sales revenue or crime statistics would qualify as the first generation “knowledge”. Software companies, wishing to bolster sales, would advertise that the outcome of their algorithms is “intelligence”.

2.3.2. THE SECOND GENERATION OF KM

The second generation of KM stretching over a period from 1995 to the beginning of the 21st century focused on the *management of people and knowledge processes*. Nonaka and Takeuchi’s SECI model of the conversion of tacit/explicit knowledge served as the theoretical basis for this generation. The SECI model’s quadrants of Socialisation, Externalisation, Combination and Internalisation attempted to explain the flow of knowledge; however, the model was simplified by practitioners to be more digestible in an industry where knowledge was still required to be measurable and therefore manageable. In the domain of Intelligence Analysis, the focus was about the process of brainstorming an intelligence problem and then writing (codifying) the analyst’s tacit knowledge in a

prescribed format for the client(Waltz, 2003:55-106). There is, apart from the reference by Walz, little evidence in the intelligence literature relating second-generation KM to the intelligence process.

In second generation people were brought back into the KM equation, with a phrase like “Intellectual capital”, so that with strategies and tools and techniques to capture, track and codify the knowledge that “walks out of your door every night”. Although more humanised, knowledge was still a “thing” that could be measured with people-the organisational assets-who should be managed, motivated and rewarded for sharing and codifying their tacit knowledge. However, many of the initiatives, strategies and techniques used in the second generation of KM, still did not create better functioning organisations. Both scholars and practitioners blamed the “failure” of KM on the absence of through KM strategies, bureaucratic organisational structures and specifically on the culture of organisations that inhibited people from sharing their knowledge to benefit the organisation. However, the fault line may lie in the fact that” there is no conversion of tacit knowledge to explicit knowledge; there never has been and never will be” (Firestone & McElroy, 2003:324).

2.3.3. THE THIRD GENERATION OF KM

This definition of the thesis that “knowledge is the human capacity to take effective action in varied and uncertain situations” finds itself in the so-called third generation or next generation of KM. the concept of the third generation started around 2001 with Stacey and Snowden’s notion that knowledge should be managed as both a thing and a “flow”. According to Snowden (2002:100), to survive in the complex environment, the organisation should have the core competencies of:

- 1) *Creating new ideas;*
- 2) *Solving problems;*
- 3) *Making decisions; and*
- 4) *Taking action to achieve the desired result-knowledge
being the driving force behind each of these
processes/competencies.*

To concluded analysed theories and models belonging to the more holistic third generation. KM and identified propositions or themes of KM, Grant (1996:109) provided an excellent summary of what KM constitutes in the third generation. Although some of them originate in the first and second generations, the fact that they are applied in combination, not as single-focused concepts asserts the adaptive principles of this school of thought. These themes can be encapsulated as follows:

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- ✧ *The role of IT should not dominate, but be an enabler;*
 - ✧ *Early models and taxonomies of knowledge (such as the tacit/explicit dimension) are used to understand the nature of knowledge in organisations, but are not the end-all;*
 - ✧ *It is more important to improve on how new knowledge is acquired, than to effectively use existing knowledge, especially in terms of business innovation;*
 - ✧ *There is a greater understanding of the complexity and how it impacts on organisations in the context of complex adaptive systems;*
 - ✧ *The personal, social and collective nature of knowledge enhance complexity and makes it difficult to institutionalise knowledge;*
 - ✧ *Organisations still have an intangible or market value intellectual assets that needs to be managed explicitly.*

2.4. KM, KM PROCESS, KMS & KMC

2.4.1. THE KM PROCESS

Knowledge Management (KM) is a process involving a number of steps and procedures. McAdam and Reid (2000:317) point out that although various representations exist that depict the KM process, the most common steps in the KM process constitute the following activities: Knowledge generation; Knowledge embodiment; Dissemination (Knowledge sharing); Knowledge utilisation.

As mentioned before, there are two expressions of knowledge, namely explicit (codified) knowledge and tacit knowledge. The latter, according to Nonaka (1994:16), is a constant act of “knowing” and is a core element in the generation of new knowledge. At the most basic level, knowledge is generated by individuals who comprise an organisation; the organisation merely provides a platform and supports knowledge generation by individuals (Nonaka, 1994:17). Thus, Nonaka (1994:17) states that knowledge generation within an organisation must be understood as a process that augments individually created knowledge and embodies that knowledge as part of the organisation. Furthermore, Nonaka (1994:17) emphasised that the possible input of informal groups such as suppliers and customers in organisational knowledge should be linked to the organisational structure and strategic development, as this new knowledge could be associated with more beneficial organisational processes.

FIGURE 4: THE GENERATIONS OF KM

	Time period	Main Focus	Content of KM
The first generation of KM	Date back prior to 1995	<ul style="list-style-type: none"> ✧ Focus on computer-based business process re-engineering and ✧ structuring and flow of information in databases and 	<ul style="list-style-type: none"> ✧ Knowledge is in fact data or information without human interaction and contextualisation, ✧ Knowledge viewed as a thing or object to be managed and distributed ✧ The <i>management of information</i> phase; Information systems to support decision making.
The Second Generation	Over a period from 1995 to beginning of the 21 st century	<ul style="list-style-type: none"> ✧ Focus on the management of people and of knowledge process ✧ SECI model of the conversion of tacit/explicit knowledge served as the theoretical basis: Socialisation, Externalisation, Combination and Internalisation. 	<ul style="list-style-type: none"> ✧ People were brought back into the KM equation, with phrases like “intellectual capital” ; ✧ Focus the process of brainstorming an intelligence problem and then writing (codifying)the analyst’s tacit knowledge in a prescribed format for the client ✧ Many of the initiatives, strategies and techniques used in the second generation of KM, still did not create better functioning organisations ✧ Failure of KM in the absence of thorough KM strategies, bureaucratic organisational structures and specifically on the culture of the organisation that inhibited people from sharing their knowledge to benefit the organisation. ✧ There is no conversion of tacit knowledge to explicit knowledge.
The Third Generation	Start around 2001	<ul style="list-style-type: none"> ✧ Complex Adaptive Systems(CAS) a version of the complexity theory 	<ul style="list-style-type: none"> ✧ Knowledge should be managed as both a “thing” and a “flow” <p>Core competencies of organisations:</p> <ul style="list-style-type: none"> ✧ Creating new ideas ✧ Solving problems ✧ Making decisions, and ✧ Taking action to achieve the desired result

Source: Snowden (2002:100)

Knowledge embodiment as a step in the KM process refers to the application or the physical enactment of organisational processes in which organisational knowledge is entrenched and therefore includes a range of activities in the organisation stemming from both explicit and tacit knowledge (Mostert & Snyman, 2007:9). According to Syed-Ikhsan and Rowland (2004b:95), two steps of the KM process, namely knowledge generation and knowledge sharing in an organisation, are crucial to remain competitive and to attain success sharing knowledge. Requires one to have the knowledge and to know where to acquire knowledge. To achieve this it is necessary for an organisation to manage its knowledge since KM presents a means to improve and make the process of creating, sharing, disseminating and comprehending organisational knowledge simpler (Hicks, Dattero & Galup, 2007:6).

Through knowledge sharing and transfer an organisation benefits in various ways: Time and cost savings; More responsive decision making; Facilitation of the orientation of new personnel; Promotion of knowledge utilisation and cooperation; Collection of knowledge for utilisation by the organisation; Promotion of a culture of trust; Promotion of the transfer of “best practice”; Encouragement of product, service and systems Innovation; impact on organisational outcomes (Kermally, 2002:58).

Knowledge sharing can itself be characterised as a process for purposely transforming work experience into shared or common knowledge. Therefore, to achieve knowledge sharing, activities need to decisively capture knowledge and promote its shift to and reuse by other parties (Trudell, 2006:10). Furthermore, Trudell (2006: 28) states that knowledge sharing is a means by which to attain organisational objectives and that over time it can lead to obtaining a competitive advantage, improved operations and ultimately customer satisfaction. With regard to the final step of the KM process, knowledge utilisation, Mostert and Snyman (2007:9) contend that knowledge utilisation allows an organisation to understand information or scenarios presented by the organisation’s internal or external milieu.

Based on the distinction made between tacit and explicit knowledge, Brown and Duguid (2001:198) comparatively draw a distinction between what can be termed as “know how” and “know that”. The latter type of knowledge, which largely comprises theory, is of little use on its own even though it is explicit and fluid.

In order for “know that” to be useful and practical, it is necessary to have “know how”, which can be compared to tacit knowledge (Brown & Duguid, 2001:213). Thus, the concept of

Communities of Practice (CoP) gains significance in terms of KM in view of the fact that it is important to effectively manage knowledge in organisations.

2.4.2. KM AND COMMUNITIES OF PRACTICE (COP)

The Community of Practice as a concept may be defined as “people bounded by informal relations who share a common practice” (Liebowitz, 1999:8-11). These activities are crucial to generating and distributing organisational knowledge. In addition, Brown and Duguid (2001:201) argue that Communities of Practice are central to organisational learning and that it fosters innovation within the organisation.

Brown and Duguid (2001:210) indicate the KM activities comprise the construction of information management systems, artificial intelligence, data mining and other enabling technologies. In this case, knowledge can be treated as objects that can be identified and handled in an information system. The core KM activities encompass assessing, changing and improving human individual skills and/or behaviour. It is a complex set of dynamic skills and know-how that is constantly changing. This simple approach to defining KM, as an IT track and people track, does not take into account knowledge embodied in processes and workflows or generated as a result of people interacting with information systems and the environment around them. An expert in one organisation might not perform in the same capacity when moved to another organisation. Knowledge is not a property of an individual but rather held collectively by people working together. Communities of Practice are organic and self-organised groups of individuals who communicate regularly to discuss issues of mutual interest; they are bound together by shared expertise and passion for a joint enterprise (Wenger, McDermott, William, 2002:4). Communities of Practice are driven by staff members and therefore do not carry the perceived stigma of management authority. Brown and Duguid (2001:208) indicated COP is 'Know how' is a knowledge created out of practice and collectively shared by a workgroup.

According to Wenger (2000:225) indicated that to ensure relevance care needs to be taken that knowledge presented to the Community of Practice is interpreted and contextualised to fit the purpose of the community and that the tone of the presentation is sharing rather than instructing. Apart from using the forums to disseminate knowledge, software engineering organisations can leverage the team spirit and the power of Communities of Practice to solve complex software development related problems. Utilising their strategic relationships with external vendors, the organisation can send their specialist to “sit in” and participate in their partner’s Communities of Practices and tap into the wider experience

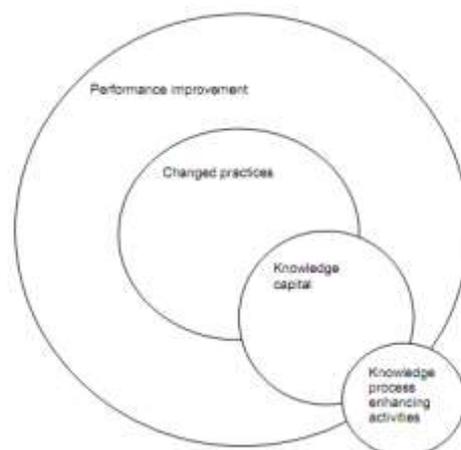
the vendors have. Communities of Practice also enforce the culture of sharing and participation and individuals are diffusion the tendency by some to hoard knowledge. While Communities of Practice are self-driven, organisations need to nurture them and encourage participation so that they can evolve (Wenger, 2000:226). Team members who had participated in project delivery and contributed to lessons learnt can be encouraged to present their findings to the relevant Communities of Practice.

Rowlands and Syed (2004:238) indicated that resource users now bring with them expectations formed through using e-commerce and social networking sites; they want to access information anytime and anywhere, to be able to discover new content through their connections on the social web, and to have content pushed to them based on past behaviour or preset criteria. Despite these expectations, however, some research has found that users of resources are not interested in moving into the social media space (Rowlands et al. 2004:245).

2.4.3. KM AND PERFORMANCE MANAGEMENT

The evaluation of the partners for development program draws on the notion that performance management goes beyond the measurement of program/project performance. To measure this adequately, the evaluation purpose was tailored to reflect: the inclusion of the reconstructed Theory of Change (ToC), the existence and use of a results framework at the program and project levels, the reporting on results achievement, and the extraction of key lessons from programming activity to inform future programming.

FIGURE 5: RIPPLE MODEL FOR KM STRATEGIES



SOURCE: INTRAC, JAMES (2002:51)

According to Figure 5, the accepted model developed the KM strategy value creation ripples for assessing the impact of KM strategies. This model was inspired by the ripple model developed for capacity development (INTRAC, James, 2002:51). The ripples visualise the various levels at which value may be created as a result of KM strategies, and hence need to be monitored. Like the ripples that form in the water when you throw a stone, one ripple flows to the next. The model will help to consider at which level wish to assess the value of Knowledge Management

The first level is the level of knowledge process-enhancing activities, like the organisation of knowledge network meetings, the creation of a database, the introduction of After Action Reviews for teams, etc. This is the level where we need to track the number of activities like the number of participants in an online forum, the number of network meetings, or the number of stories in the database; at the second level, the knowledge capital created, which can partly be counted, like the number of publications or blogposts. But it also includes new or different relationships and connections facilitated, inspiration, access to information and new ideas or insights gained; The third level is the level of changed practices, and what changes can be observed in the way people, teams or organizations act/function. From the second to the third level it shows that the transfer of knowledge into practice is a prerequisite; The last level is the level where we find the business results (for-profit organisations) and performance measures like impact on development (development organisations); The third and fourth levels may be referred to as the “impact levels”. The most relevant performance measures have to be determined for each individual Knowledge Management strategy; is it the extent to which the policies are changed in favour of certain partners or is it the number of projects with a positive evaluation (INTRAC, James, 2002:51).

2.4.4. KM, KMS & KMC

In a recent study, researcher focus on the role of technology, which is seen as crucial in removing the boundaries to communication and knowledge flows and therefore can be considered an enabler of KM (Allameh & Zare, 2011:1211). In particular, following Alavi and Leidner (2001:107) who consider and discuss the role of information and communication technology (ICTs) as a fundamental part of KMS.

Knowledge Management (KM) has already been recognised as a key managerial process necessary for achieving competitive advantage (Dias & Bresciani, 2006:1). In fact, the knowledge-based view has reached growing interesting both information technology and systems, strategic management, innovation management and organisational literature

(Nonaka, 1994:15; Nonaka & Takeuchi, 1995:70; Alavi & Leidner, 2001:107; Bresciani, 2013:195). Specifically, it assumes that tangible resources are sources of competitive advantage only when they are applied with certain knowledge and they are hard to imitate (Grant, 1996:109). However, the true competitive advantage is built through the ability of the firm to apply effectively existing and new knowledge to create new products and processes (Bresciani, 2013:215). Thus, KM regards the identifying and leveraging of knowledge to foster innovation processes.

Knowledge and its management, however, relate even to the more basic work processes of the organisation. Typically, Hernaus and Mikulić (2014:268) find that even with regard to the existence and importance of the interaction between work characteristics and work outcomes, only knowledge characteristics of work design exhibit a significant effect on both dimensions of work behavior. In the opposite side of the spectrum, the relationship between the idea generation of employees and the organisational factors that affect innovation performance. In detail, they find that while many factors proved to be significantly correlated with employees' innovative idea generation, the functional and motivational factors appear to be the most important.

FIGURE 6: DIMENSIONS AND ITEMS ACCORDING TO THE RELEVANT LITERATURE

Constructs	Dimensions	Literature
KMS	IT infrastructures Collaborative technologies ICT adoption	Soto-Acosta and MeritO-Cerdan,2008 MeritO-Cerdan et al.,2007 Lopez-Nicolas and Soto-Acosta 2010
Open Innovation	Partner intensity Openness variety Readiness to collaborate	Aloini,Pellegrini,Lazzarotti,Manzini ,2015 Aloini et al., 2015 Aloini et al., 2016
KMC	Inventive capacity Abasortive capacity Connective capacity	Lichtenaler and Lichtenler.2009 Lichtenaler and Lichtenler.2009 Lichtenaler and Lichtenler.2009
Innovation capacity	New or improved products or services introduced New or improved process of producing introduced Opening of new market	Wang,Chang,Shen,2015;Laursen and Salter, 2006; Soto-Acosta,Popa, Palacios-Marqués 2015 Soto-Acosta et al., 2015 Aloini et al., 2015

Source: Santoro, Ferraris, Giacosa, & Giovando (2016:114)

Two main dimensions are essential in KM, namely enablers and processes. Enablers are mechanisms that facilitate KM activities, such as codifying and sharing among individuals and teams (Ichijo, Von Krogh, Nonaka, 1998:173). Moreover, they stimulate knowledge creation, sharing and protection, and provide the infrastructure necessary to improve the knowledge processes (Yeh, Lai, Ho, 2006:793). In turn, KM processes refer to the structured coordination of managing knowledge effectively, such as knowledge creation, sharing, storage, and application (Lee and Choi, 2003:179).

According to Kim and Kim (2016: 102) who investigate the relationship among KMS, open innovation, KM capacity (KMC), and finally, how this relationship affects innovation capacity of the organisations. Traversing the current knowledge-economy era, KM is being significantly affected by technological progress and collaborative actions between economic players. In this context, the internet of things (IoT) offers to businesses new opportunities to improve KM practices and to increase knowledge flow through advanced ICTs (Kim and Kim, 2016: 102).

In fact, IoT is affecting the approach of organisations to innovation and the way they create and capture value in everyday business activities. Despite this, few studies attempted to investigate the impact of KMS based on advanced ICTs, on internal and external KM processes, which in turn foster organisations' innovativeness.

The above model proposed a positive and significant relationship between KMS and KMC. This means that KMS by itself rarely creates competitive advantage. Notwithstanding that, KMS helps in creating an open and collaborative ecosystem, in exploiting internal and external flows of knowledge, and in effecting a strong impact on the development of internal KMC (Ahn, Ju, Moon, Minshall, Probert, Sohn, Mortara, 2016:1). In addition, firms have to have the necessary internal capacities to commercialise knowledge provided by external partners (Alegre & Mesa, 2016:1). Moreover, firms must cope with both explicit and tacit knowledge. The latter has to be interpreted and reprocessed to be converted in innovation. In this guise, research results indicate that KMS helps in storing and combining both explicit and tacit knowledge, thus also significantly enhancing knowledge exploitation (Alavi & Leidner, 2001: 107).

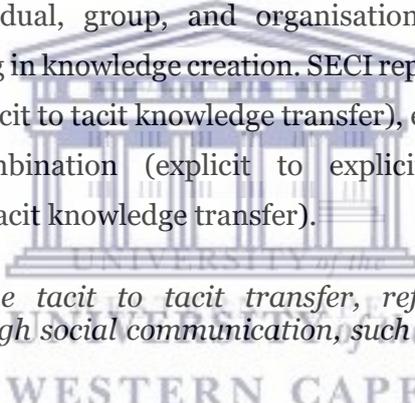
Therefore, the emerging phenomenon of the internet of things (IoT), where network connectivity enables individuals and organisations from different sectors to gather and exchange data, suggests that firms from different manufacturing and service sectors should

invest in new ICTs and develop KMS in order to create internal KMC. The disruptive technologies that arose over the last few decades bear an evident and widely accepted increasing potential to change the way businesses gather and use data. More importantly, perhaps, they also have the ability to transform information into knowledge, itself constituting a lasting and inimitable competitive advantage (Santoro et al., 2016:114).

2.5. OVERVIEW OF KM MODELS

2.5.1. SECI MODELS

The handling of both tacit and explicit knowledge may involve a variety of activities in a variety of frameworks offered by researchers. KM researchers have yet to agree on a framework that can be systematically suitable, although there are some, such as Nonaka and Takeuchi's (1995:70) SECI model that has received much attention. The SECI model is concerned with knowledge creation and involves the transfer of both tacit and explicit knowledge between individual, group, and organisation levels, which interact in a "knowledge spiral" resulting in knowledge creation. SECI represents the knowledge transfer activities of socialisation (tacit to tacit knowledge transfer), externalization (tacit to explicit knowledge transfer), combination (explicit to explicit knowledge transfer), and internalisation (explicit to tacit knowledge transfer).

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- ✧ *Socialisation: the tacit to tacit transfer, refers sharing tacit knowledge through social communication, such as apprenticeship, brainstorming;*
 - ✧ *Externalisation: tacit to explicit transfer, refers materializing the tacit knowledge into explicit, such as documenting;*
 - ✧ *Combination: explicit to explicit transfer refers combining of various elements of explicit knowledge;*
 - ✧ *Internalisation: explicit to tacit transfer refers learning from explicit knowledge, reading documents or studying the prototypes.*

Nonaka and Takeuchi (1995:70) also indicate experimental and routine knowledge assets, conceptual knowledge assets, and systemic knowledge assets. Both experimental and routine knowledge assets are tacit knowledge. And conceptual and systemic knowledge asset are explicit ones. Experimental knowledge assets are employees' skills, ability, and expertise. Routine knowledge assets are employees' understanding of organisation's routine work, structure, and culture. However, SECI model is highly challenged. Critics argue the

distinction between tacit and explicit knowledge is oversimplified, and even that the notion of explicit knowledge is self-contradictory. Besides, some scholars claim the focus on management of explicit knowledge is simply a repackaged form of information management.

SECI model gains greatly value and contribution in KM domain. It verifies knowledge can be managed, directly or indirectly, by the management of explicit knowledge and transfer process. Further, it identifies the sources of knowledge and basic activities of KM. It argues the importance of social perspective in KM. The term ‘Explicitly Knowledge’ can be considered as an activator, a medium for catalysis, which directly or indirectly causes knowledge acquisition (Peter, 2000:6).

2.5.2. OTHER SPECIFIC KM MODELS

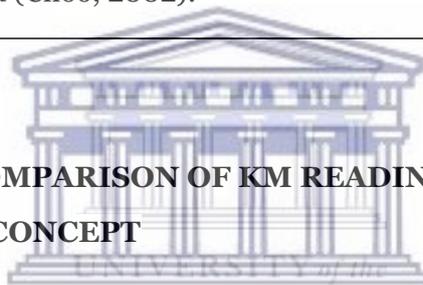
To conceptualise the contribution of KM to organisational efficiency it is useful to consider various models of KM that have been represented in the literature. :

FIGURE 7: CONCEPTS OF THE DIMENSIONS INVOLVED IN KM MODEL

Dimensions	Concepts
Organisational Culture (KMCUL)	Organisational Culture is a set of values, beliefs, norms, meanings and procedures shared by organisational members (Robbin, 2004).
Organisational Strategy (KMSTY)	The organisational strategy can be perceived as the organisation’s plan for creating and deploying knowledge assets. (Zheng, Yang & McLean, 2010:763).
Organisational Structure (KMSTR)	The organisational structure indicates an enduring configuration of tasks and activities (Skevington & Daft, 1991).
Information technologies (KMIT)	Information technology refers to any artefact whose underlying technological base is comprised of computer or communications hardware and software (Cooper & Zmud, 1990).

Dimensions	Concepts
Learning with the environment (KMLWE)	The term implies a multiplicity of players, forces, and systems interacting. The environment is dynamic—changing in response to influences from outside or arising inside. It recognises complexity in causes and effects (Warger & Dobbin, 2009).
Policies and Practices of KM (KMPPT)	KM is the explicit and systematic management of the activities, practices, programs and policies related to knowledge in the organisation (Wiig, 2000).
Organisational Intelligence (OI)	Organisational Intelligence is a continuous cycle of activities that include sensing the environment, developing perceptions, generating meaning through interpretation, using memories of past experience to support perception, and taking action based on the interpretations thereby developed (Choo, 2002).

Source: Angelis (2013:14)



2.6. A REVIEW AND COMPARISON OF KM READINESS

2.6.1. KM READINESS CONCEPT

According to Hotl, Bartczak, Clark, and Trent (2004:7), Knowledge Management Readiness is the ability of an organisation, department or workgroup to successfully adopt, use and benefit from KM. KM Readiness is the receptive attitudes of organisational members to KM effort. Yeh, Lai and Ho (2006: 795) maintain that KM cannot prosper without a strategy and they assert that organisational members must show a readiness to plan and contribute to it. Yeh, Lai and Ho (2006:795) also highlight the link between an organisation's overall strategy and its KM strategy. Meantime, Siemieniuch and Sinclair (2004:79) defined organisational readiness for KM as ensuring the organisation is ready to adopt the philosophy of knowledge lifecycle management as a fundamental *modus vivendi* (lifestyle). Considered factors in KM Readiness, Knowledge is now considered as a strategic property and ability of an organisation classified as an intangible resource to gain competitive advantage (Taghavi, Sherafat; Kalehbasti 2013:11).

2.6.2. CRITERIA FOR KM READINESS

In order to address challenges, following proposes a set of five criteria for assessing the current state of play in KM and for making recommendations:

- (a) *The existence of a strategy and/or policy documents and/or guidelines aimed at;*
- (b) *Defining, institutionalising and operationalising KM processes and tools;*
- (c) *The integration, alignment or programmatic connection of such documents with other strategies and plans of action of the organisation;*
- (d) *The explicit attribution of specific KM-related responsibilities and competencies to various units, managers and staff members;*
- (e) *The existence of policies and training programmes aimed at enhancing the capability, readiness and proactive engagement of staff in KM activities;*
- (f) *The existence of direct or indirect positive impacts on the savings and efficiency of the organisation's operations, including by knowledge sharing and improved transparency.*

The criteria will help to define the enabling environment and the institutional framework needed to enhance the organisations' preparedness for KM.

The three main questions to priorities the KM and identify the current situation of an organisation, it seems essential to determine the factors influencing the successful implementation of KM as follows:

- ✧ *What are the factors influencing the successful implementation of KM in an organisation?*
- ✧ *What is the current situation of the organisation in terms of KM?*
- ✧ *What are the approaches needed to improve the current situation of the organisation in terms of KM?*

2.6.3. KM ENABLER

Knowledge Management has been identified as a management philosophy that has the ability to impact on all aspects and areas of an organisation, specifically the processes and information and communication structures in the organisation (De Gooijer, 2000:303).

According to Yeh, Lai and Ho (2006:805), for KM to contribute to organisational efficiency

there is a need for various organisational processes and departments to work together and for functional silos to be eliminated. KM should also be viewed as a long-term organisational strategy and it must be understood that its value will not infiltrate the entire organisation in the short run.

Knowledge Management cannot be imposed on an organisation from the top; it is crucial that the initiative enjoys the support of the entire organisation to guarantee success. KM involves various changes in an organisation and its implementation is dependent on the absolute support of senior management, as these changes have an impact on the operations, management style and value system of the organisation (Abell and Oxbrow, 1997:4).

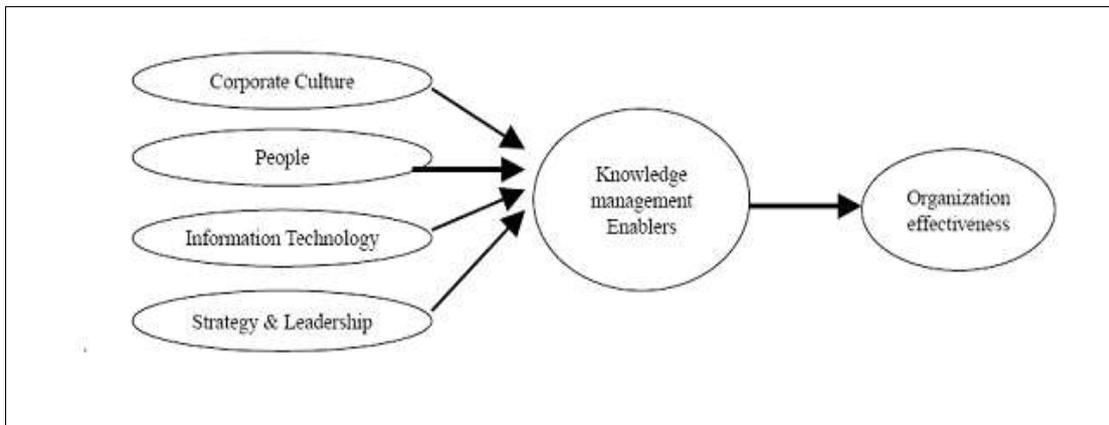
Rylatt (2003:3) proposes the following for an effective KM strategy when implementing KM initiatives in an organisation:

- ✧ *Know your business and effectively place your knowledge.*
- ✧ *Create an environment that is conducive to idea generation.*
Eliminate harassment, information hoarding and backbiting.
- ✧ *Promote group intelligence.*
- ✧ *Highlight the importance of sharing.*

Furthermore, there is a need to establish an organisational memory or knowledge repository when implementing a KM initiative. This fundamentally involves restructuring existing reports and documents from all parts of the organisation and extracting further information related to the document, such as lessons learned. These documents must then be made available electronically and be freely accessible (Lehaney, 2004:238).

Regardless of the type of organisation, there is no doubt that acumen and insight will give an organisation a winning edge. Therefore, leveraging the advantages of knowledge in an organisation requires long-term commitment and leadership that values “trial and error” and a dedication to innovation and continuous improvement (Rylatt, 2003:5). Thus, when implementing a KM initiative in an organisation it is essential to consider various facets of the organisation and their subsequent impact on the KM initiative. Yeh, Lai and Ho (2006:800) state that there are certain KM enablers in an organisation that are necessary for the achievement of organisational effectiveness: the human resources; the organisational culture; the information technology; the strategy and leadership as presented in Figure 8 below.

FIGURE 8: THE RELATIONSHIP BETWEEN KNOWLEDGE MANAGEMENT ENABLERS AND ORGANISATIONAL EFFECTIVENESS



Source: Yeh, Lai & Ho, (2006:800)

2.6.3.1. KM and human resources

Knowledge exists only because of people, as it is derived from an individual's use of information combined with that person's experience. This combination is what makes individual knowledge valuable for organisations and society at large (Syed-Ikhsan and Rowland, 2004a:238). According to Abell and Oxbrow (1997:1), the purpose of KM is to make the most of the combination of people, processes, services and products that characterise and identify an organisation. The type of KM approach followed by an organisation must mirror the unique characteristics of the organisation so as to preserve these characteristics.

Abell and Oxbrow (1997:2) further argue that organisational changes that accompany KM must build on the organisation's strong points. However, it must be remembered that changes cannot occur without the involvement of people. As a result, an organisation's human resources – including its leadership – have an impact on the organisation's KM activities.

To illustrate the importance of human resources in KM efforts it is safe to conclude that knowledge is unable to subsist without a human being, as it is always created, distributed and used by a person. Thus in the modern knowledge society in which the world currently operates, the importance of the knowledge worker is central to any knowledge activity. The knowledge worker performs work that involves the generation of constructive information and knowledge by means of accessing data, personal knowledge, external knowledge and organisational knowledge. Knowledge workers are required to consistently utilise and

convert knowledge from various sources to facilitate decision making and maintain adequate standards of business processes (Taylor and Wright, 2004: 37).

To effectively execute a KM effort in an organisation, the contributions of knowledge workers who are prepared to build a culture conducive to KM by sharing knowledge, generating new knowledge, networking and participating in knowledge-based activities are vital (Sutton 2006:2). Sutton (2006:3) labels these knowledge workers as “knowledge citizens” and calls attention to the need for organisations to create the appropriate environment by making obvious the rewards, recognition and other benefits associated with their role in the KM efforts of the organisation.

The value of human resources in an organisation can constructively be termed “human capital”. Human capital may be defined as an embodiment of an organisation’s skills and knowledge (Taylor, 2004:25). More simplistically, human capital refers to the worth of an individual’s skills and proficiency in an organisation as well as personal behavioural traits such as enthusiasm.

Taylor (2004:39) reasons that the effective development of human capital is reliant on individual and group learning as well as on the generation of explicit and tacit knowledge within the organisational parameters. Moreover, when considering the influence of human resources on KM within organisations, it is necessary to take into account various components of the human resources function. During the recruitment process, most organisations specify and assess an employee’s expected level of knowledge. However, employee knowledge and skills only hold value for the organisation once they are effectively applied to the employee’s new position within the organisation (Taylor, 2004:32). Syed-Ikhsan and Rowland (2004b:103) identify posting, training and staff-turnover as key criteria to consider in this regard. In terms of posting, Syed-Ikhsan and Rowland(2004b:103) argue that employees’ past experiences, skills and qualifications are valuable to an organisation and when employees are placed in the right position within an organisation, it is to be expected that new knowledge will be generated effortlessly. Despite existing employee knowledge and skill, employees are able to gain valuable knowledge from induction and training programmes (Taylor, 2004:33). Adequate training that allows employees to transfer their knowledge into the organisation’s practices, processes, policies and traditions have significant benefits for both the employees and the organisation (Syed-Ikhsan and Rowland, 2004b:103). Training and learning programmes thus make favourable contributions to an organisation’s human capital in the long run (Taylor,

2004:34).

Additionally, the occurrence of high staff turnover also poses problems as far as KM is concerned in that vital organisational knowledge may be lost in the event of employees retiring or moving on to other positions. It is crucial that organisations have suitable courses of action and adequate human resources strategies to prevent the loss of organisational knowledge (Syed-Ikhsan and Rowland, 2004b:104).

Therefore, organisations should implement people-centred KM strategies that foster learning, encourage sharing through motivation and teamwork, and allow employees ample time to learn and reflect on their knowledge (Skyrme, 2011:54).

2.6.3.2. KM and organisation culture

Lehaney et al. (2004:239) argue that in order to effectively manage knowledge in an organisation, it is important to acknowledge the vital role of the organisational culture in determining how knowledge sharing within the organisation is managed. Organisational culture refers to the unique mix of values, beliefs and models of behaviour in an organisation and it is representative of the organisation's core values that dictate the behavioural norms of employees (Yeh, Lai and Ho, 2006:797). Thus, the manner in which people within an organisation relate to each other, especially in a group and a team situation, is important in the KM process (Lehaney et al., 2004:239).

Organisational culture cannot easily be taught or transferred, which means that absorbing the organisational culture, which symbolises collective tacit knowledge, is a very difficult process (Taylor, 2004:30). The organisational culture epitomises both the significance and the benefits of organisational knowledge and it impacts on employees' willingness to share their knowledge and provide it as an input into the organisation (Yeh, Lai and Ho, 2006: 797). Yeh, Lai and Ho (2006:780) therefore argue that effective KM is dependent on the organisational culture, the management style and the collaboration across and between different organisational levels. Therefore, if an organisation has an all-inclusive KM system in place but does not have a supportive organisational culture, the effectiveness of KM in the organisation is restricted. Thus, the real value and meaning of knowledge only become apparent when it is viewed in the context of culture (Lehaney et al., 2004:17).

Accordingly, cultural change is a key component of effective KM and that the necessary behavioural changes among employees are required to establish an environment where knowledge is considered as a collective benefit and where organisational members are also encouraged to participate in knowledge development as part of their duties. The culture of an organisation is fashioned by the people, and this culture is a fundamental cornerstone and prevailing force for KM, which ultimately affects how the organisation acknowledges and cultivates the KM initiative (Sutton, 2005:3).

McDermott (2002:5) state that an organisational culture that supports knowledge sharing within the organisation displays a discernible link between sharing knowledge and practical business issues. They further point out that the practice of knowledge sharing is firmly connected with the established core values of the organisation. Furthermore, an organisation that has a culture supporting KM will introduce its KM endeavours in a way that will match the organisation's management approach on the whole. In addition, an organisational culture that is conducive to KM will also ensure that knowledge-sharing practices take into consideration the networks in which employees are engaged on a daily basis in their jobs. There should also be participation in and support for knowledge sharing by higher level employees and managers (McDermott, 2002:5). In addition, Lehaney et al. (2004:239) highlight the importance of trust, which is a part of the culture and is regarded as a cornerstone of successful teamwork, a lack of trust tends to create an unwillingness to share information.

According to Skyrme (2011:184) an organisational culture that fosters knowledge sharing and enhancement display the following characteristics:

- ✧ *A transparent organisational milieu;*
- ✧ *An empowered workforce;*
- ✧ *A dynamic learning environment;*
- ✧ *A continual quest for novel means of development and innovation;*
- ✧ *concentrated, transparent and extensive communication;*
- ✧ *periods of reflection, learning and experimentation;*
- ✧ *communication and interaction across and within groups;*
- ✧ *objectives and performance gauges that are synchronised across the organisation;*
- ✧ *An inclination toward extensive knowledge sharing among individuals who make up the workforce.*

Thus, McDermott (2002:4) deduce that in an organisation characterised by a knowledge-sharing culture, ideas and information diffusion among peers and co-workers is inherent;

it is not an activity forced upon employees – knowledge sharing is expected among employees and it is considered as the right thing to do.

2.6.3.3. *KM and information and communication technologies*

Information technology is an important KM enabler as it is central to the maintenance and organisation of KM efforts (Yeh, Lai and Ho, 2006:799). According to Yeh, Lai and Ho, (2006:799) information technology supports KM by facilitating quick searching, access to and retrieval of information, which in turn encourages cooperation and communication between members of an organisation.

Information technology tools are essential in implementing an effective KM effort (Syed-Ikhsan and Rowland, 2004b:102). Various information technology tools are available to organisations to aid effective KM. The group of information technology tools that are utilised for the purpose of KM are known as KM systems (Alavi and Leidner, 2001:114). When an organisation considers employing a specific KM tool it is necessary to do an analysis of the organisation and current systems in order to determine which tool would be best in facilitating the organisation's requirements (Taylor, 2004:60). Thus, when KM tools are introduced into an organisation it is essential to identify what worth the tool will have for specific business processes, how the tool will be integrated with current systems and what degree of staff training and development would be required upon implementation of the tool (Taylor, 2004:60). Only when the worth of the tool for the organisation is established and its value is overtly recognised, then it is most likely that it will be utilised successfully (Taylor, 2004:61).

Although it is beyond the scope of this thesis to discuss each of these tools, it is worthwhile mentioning them. Information technology tools that support KM efforts include, among others, collaborative technologies such as groupware, intranets, and other collaborative software tools such as email, discussion boards, video conferencing, project support tools, workflow tools, e-learning tools, and virtual working tools.

Additionally, content management tools such as taxonomies, thesauri, search engines and portals, as well as knowledge generation tools such as data mining, and knowledge development tools such as simulation and modelling, should be considered.

According to Skyrme (2011:71), the category of KM tools that holds the most benefits for KM practices is collaborative software tools. These tools, which include intranets and

groupware, have the most significant influence and impact on organisational knowledge because these technologies connect various individuals and encourage collaboration that would otherwise not be possible. In addition, collaborative technologies provide widespread access to information and create a channel for the flow of knowledge (Skyrme, 2011:95).

There is no doubt that information technologies are crucial in aiding effective KM. However, it must be reiterated that information technologies are merely KM tools that facilitate the process of creating a knowledge framework but they are not a single solution to problems regarding KM as is commonly thought.

2.6.3.4. KM, strategy and leadership

Knowledge Management in an organisation is largely guided by the organisation's strategy. Likewise, the implementation of KM effort requires a strategy based on contributions by various members of the organisation (Yeh, Lai and Ho, 2006:795). Deriving from the organisation's strategy are the various organisational policies and programmes. These policies and programmes must be aligned with each other and should be mutually supportive of an organisation's KM strategy (McElroy, 2003:60). The organisation's KM strategy should thus be articulated in accordance with specific, over-arching policies and programmes (McElroy, 2003:61). Furthermore, there are certain building blocks that must be considered in order to ensure that an organisation's KM strategy is effective. For these building blocks to be effective, the organisation needs to meet the following requirements (Rylatt, 2003:3):

- ✧ *Know your business and effectively place your knowledge;*
- ✧ *Create an environment that encourages people to voice their ideas;*
- ✧ *Eliminate harassment, "information hoarding" and spitefulness among employees;*
- ✧ *Promote collective intelligence. Highlight the importance of sharing.*

Hence, an effective KM strategy requires a long-term commitment from all organisational members, the ability to be receptive to changes in both the internal and the external organisational environment, and leadership that demonstrates an enthusiasm for improvement. Furthermore, an effective KM strategy must take advantage of knowledge-enabling technological developments to allow the organisation to be more responsive in terms of service provision and developing relationships (Skyrme, 2011:33).

Related to a KM strategy, is the concept of leadership. The implementation of a KM effort requires adequate support and dedication from top management as this influences how resources and time are allocated for executing the KM plan (Yeh, Lai and Ho, 2006:797). A successful KM strategy therefore, runs parallel with exemplary leadership that values “trial and error” and shows a commitment to innovation and continuous improvement (Rylatt, 2003:5). In addition, leadership within the realm of KM must display certain traits that are conducive to KM. These traits include the ability to create a milieu for intense discussions and dialogue about specific topics that are relevant, and to eliminate barriers traditionally built by the chain of command and rank within the organisation (Rylatt, 2003:7).

Knowledge leaders, according to Skyrme (2011:145), possess a number of characteristics that distinguish them from ordinary managers. Efficient knowledge leaders promote organisational success by effectively utilising knowledge. These knowledge leaders are usually visionaries who are clear communicators, participative, inspirational, and proactive and who display an unfeigned keenness to learn (Skyrme, 2011:145).

2.6.3.5. KM and organisational structure

The organisational structure may be defined as the manner in which individuals and posts are organised to make the performance of the organisation’s work possible (Syed-Ikhsan and Rowland, 2004b:101).

In terms of organisational structure and the impact on KM efforts, Nonaka (1994:30) argues that a top-down bureaucratic structure is not conducive to the process of creating knowledge within an organisation, as only top management have the power and ability to create information which they use as a mere tool instead of a tangible product. Conversely, in a bottom-up organisational model only lower- and middle-level employees are responsible for knowledge creation, which is also not favourable.

What is required, however, is a model that takes into account all organisational members who work collectively in a horizontal and vertical fashion. This means that no particular department or group has the sole responsibility for knowledge generation in the organisation. The organisational structure must therefore, promote communication across and within organisational boundaries and strengthen interdependence of teams and networks (Skyrme, 2011:185).

McElroy (2003:91) therefore argues that KM should not be positioned in a specific area within the organisational structure, but that it should be a fixed practice by all organisational members that is merely coordinated by senior management. Thus it is imperative that when an organisation embarks on a KM strategy, it realigns its organisational structure to facilitate the creation and effective flow of knowledge throughout the organisation.

With regard to the most suitable organisational structure to enable effective KM, Skyrme (2011:32) maintains that the network design holds the most significant benefits. The networked organisation comprises virtual teams and organisations that allow the organisation to generate greater value via a variety of unique skill combinations that may be flexibly pooled when required (Skyrme, 2011: 33). The networked organisation, comprising of networks of self-managed teams, is able to respond rapidly to changes and to reconfigure as needed. Thus in the networked organisation, teams become the central units of production within the organisation in the public sector.

According to Jones (1998:12)'s benefits of structured analysis that the method is aimed at being a separate exercise, systematic and sufficient for scrutiny, while instinctive/intuitive analysis only aims at satisfying. Usually, the decision or solution in the intuitive analysis is frequently flawed and less effective, while structured analysis tends to be more comprehensive and effective.

The main advantage of structured analytical methods might be found in the fact that they force analysts to make their reasoning processes transparent and verifiable. They specifically ensure that assumptions, preconceptions and mindsets are not taken for granted but explicitly examined and tested. The use and the documentation of these techniques also help at a later stage to review the analysis and identify the cause of any error (Jones, 1998:12). The use of structured analysis methods might not only improve the quality of KM and Intelligence Analysis but can also strengthen the credibility of analysis that is often prone to criticism of real or perceived politicisation and other organisational pressures.

2.6.4. KM READINESS CONTINUUM CURVE

According to Figure 11, KM Readiness continuum curve, a righted-sided organisation, which gives an indication that some fundamental organisational culture, process and structure changes need to take place before embarking on a KM initiative. If the following chart is

weighted to the left side, an organisation is well equipped to establish a KM initiative. If the chart is skewed to the right, then fundamental changes within organisation culture, structure and processes need to be made to prepare the organisation for a KM initiative.

FIGURE 9: KM READINESS CONTINUUM CURVE

	Left-sided organisations	Right-sided organisations
Factors indicating organisational readiness for a KM initiative	<ul style="list-style-type: none"> ✧ Limited hierarchy ✧ Organisational flexibility ✧ Participatory decision making structures in place ✧ Focus on teamwork, but also individual responsibility ✧ Cross-functional teams ✧ Majority of staff are knowledge workers 	<ul style="list-style-type: none"> ✧ Greater hierarchy ✧ Limited organisational flexibility ✧ Limited participatory decision –making ✧ Department-based work as opposed to cross-functional teams ✧ Focus on face-to-face meetings
Planning implications	The organisation can go forward with the KM process with limited change management interventions	The organisational fabric needs to be changed before the KM program can be implemented

Source: April & Izadi (2004:167)

According to Angelis (2013:1), the shift from Web 1.0 (the invention of the internet) to Web 2.0 (the era of networks) has boosted the change from a managerial approach as new performance management to participatory-based networks, which is determined by the substitution of technical efficiency and market purposed with the practice of co-production of policies.

Despite the fact that collaboration through networks have raised efficiency in the form of reduced transaction costs and speeding up the process of innovation, it also produced an avalanche of information that brought to the fore new forms of uncertainty, complexity and loss of focus and credibility, as presented in Figure 12 (types of governance and their characteristics).

There are many governance models that have been used in the past to express paradigm governance changes. An increasingly useful framework is one which emphasises sources of input and accountability in terms of hierarchy, the market, and networks (Wart, Hondghem, Bouckaet & Ruebens; 2012:3).

The hierarchical governance model emphasises laws and rules, compliance, and a regulatory mindset (Wart, Hondghem, Bouckaet and Ruebens 2012:4). Ethics is not simply about complying with legal mandates. It has more to do with morality issues of right and wrong, as well as justice. This philosophy treats those receiving complying with legal mandates as subjects of regulation, those receiving services as authorised recipients, and those paying for services as taxpayers. Chain of command leadership styles tend to be directive, and then delegate within firm parameters. When the system works well, it is highly effective in terms of doing exactly what its legislative masters want, and the technical accountability is very high because it is well-defined. When it is not functioning well, hierarchical governance may result in rigidity, rule mongering, impersonal, lack of commitment by employees, and a technocratic emphasis on inputs over outputs and outcomes, among other bureau pathologies. To the degree that this model of governance is driving leadership purpose and action, we will call it hierarchical leadership.

Market governance is typified by the New Public Management which seeks to integrate market forces into government where possible (Wart et al., 2012:4). Cost and competition become critical considerations to enhance. The “least government possible” argument gets more attention. This philosophy treats those affected by policies as customers and those paying for services as shareholders. The style of leaders in market governance tends to be more strategic and they tend to use a more achievement-oriented approach with subordinates.

Market governance can result in increased corruption, a decrease in public sector values and public spirit, a tilting toward the better-connected groups in society, and a lessening of processes emphasising democratic values and “common-man” egalitarianism. To the degree that this model of governance is driving leadership purpose and action, we will call it market leadership.

Network governance emphasises what many scholars and practitioners feel is a shared-power world (Wart et al., 2012:4) and more collaborative environment. At a governance level, it stresses inclusion and at an administrative level, it focuses on a whole-of

government perspective. This philosophy admonishes that non-elected officials should have an active role in government as socially and ethically conscious administrators, concerned and involved citizens, and collegially-coordinated public organisations.

FIGURE 10: THREE IDEAL MODELS OF APPLIED ADMINISTRATIVE GOVERNANCE

	Hierarchically-oriented governance	Market-oriented Governance	Network-oriented Governance
Theoretical basis	Weberian or neo-weberian model	New Public Management	Whole-of-Government
Organizing principle	Laws and rules taylorism	Market forces Open system	Functional networks and shared power
Guiding purpose	Compliance	Cost	Inclusion
Mindset	Regulatory	Competitive	Collaboration and coordination
Ethical thrust based on	Following the law and rules	Providing least-cost and least government alternatives	Using social values and norms, and thereby allowing personal interpretation of "the good"
Relationship of government to citizens	Subjects of regulation Authorized recipients Taxpaying citizens	Customers of services and policies Citizens as shareholders	Stakeholders Involved citizens
Related leadership model	Hierarchical leadership	Market leadership	Network leadership
Common leadership styles	Directive and delegative styles	Strategic and achievement oriented styles	Collaborative and participative styles
Some features when working at its best	Technical effectiveness (does exactly what it is supposed to); technical accountability (clear lines of authority); clear and well-defined roles	Efficiency (cost); market accountability; organizational learning from the private sector; focus on creativity and entrepreneurism	Inclusiveness; social accountability; organizational learning from the policy stakeholders; strong relationships and social bonds
Some features when not working well	Rigidity, rule mongering, impersonalism, lack of commitment; focus on inputs over outputs	Loss of public values, corruption, disenfranchisement of less well-connected groups, focus on outcomes over due process and democratic values	Loss of focus, chaotic and dysfunctional bickering, lack of results, focus on inclusion and responsiveness over results

Source: Wart, Hondghem, Bouckaet and Ruebens (2012:4)

In this philosophy, society is about relationships, learning directly from those receiving and doing the public good and responsive to all those participating in the governance process, and thus, when network governance is operating well, organic organisational learning from all stakeholders is optimised. When this type of governance is not working well, it tends to lead to a loss of focus, and chaotic and dysfunctional bickering by competing groups claiming legitimacy. When dysfunctional, it also results in an over-emphasis on due process and responsiveness over decisive action. To the degree that this model of governance is driving leadership purpose and action, we will call it network leadership.

2.7. INSTITUTIONAL AND ORGANISATIONAL ARRANGEMENT FOR KM

Cloete and De Coning (2011:244) indicate the growth of the international body of knowledge concerning institutional development and capacity building has been phenomenal. Whereas until fairly recently, important players in development, such as international development agencies and donors, regarded institutional development as largely consisting of legal frameworks and organisational development only, this limited view has over the last few decades grown into a far more comprehensive understanding of a vast array of important institutional dimensions and considerations. Key elements of institutional arrangements for policy (and policy evaluation) systems now include the importance of governance, intergovernmental relations ... the institutionalisation of policy capacities in governmental and non-governmental environments ... the relationships and partnerships between organisations (and networks) in systems context ... and the capacity of civil society to participate in this process (Cloete & De Coning, 2011:244).

2.7.1. NEED FOR KM AWARENESS

According to Cong and Pandya (2003:25), there is a need for increased KM awareness among managers and lower-level personnel in the public sector. Given the many benefits associated with KM in the public sector, several factors discourage public sector KM efforts. These include the sheltered nature of most public sector workers, the need for employees to preserve and guard their personal knowledge, and the continual cut-backs on centrally allocated resources (Edge, 2005:42).

2.7.2. BENEFIT OF KM IN PUBLIC SECTOR ORGANISATIONS

Knowledge Management in the public sector is an emergent phenomenon that offers

government departments significant benefits. With the rise of the knowledge economy, many government policies are taking KM into consideration and there is thus a stronger inclination toward KM practices within the government policy sphere.

The benefits of a KM function to the organisation are many; these include (Bawany, 2000:1) and has raised high expectations. Furthermore, KM assists in identifying, developing and retaining those employees with critical expertise. However, there are several facts already known that represent a barrier to the capacity in applying KM policies and practices.

According to Fowler and Pryke (2003:26), KM holds three major implications for public sector organisations that embody fundamental aspects of the organisation-wide KM strategy: Knowledge creation; Knowledge accumulation and illustration; Knowledge transmission. KM holds a number of benefits for public sector organisations. Cong and Pandya (2003:27) have identified these benefits as follows:

- 
- ❖ *KM creates the opportunity for employees to develop their skills, performance and experience through group work and knowledge sharing;*
 - ❖ *KM improves organisational performance by means of better quality, innovation, productivity and efficiency;*
 - ❖ *KM facilitates better decision making, more collaboration, restructuring of organisational processes and a decline in duplication of work consequently cutting operational costs and improving service delivery;*
 - ❖ *KM increase the financial worth of an organization;*
 - ❖ *Knowledge sharing creates value in an organisation and strategically enables a competitive advantage.*

Despite the benefits associated with KM, there is still great resistance to adopting KM practices among public sector personnel. Thus there is a need for greater consciousness of KM and its benefits among public sector personnel. Despite the rise of KM and the many benefits associated with it, some public sector organisations are still reluctant to employ knowledge practices.

The Figure 18 below presents the key challenges in public sector for capacity development to improve government service and society's need on innovation, efficacy, and transparency.

2.7.3. CHALLENGE OF KM IN PUBLIC SECTOR

Edge (2005:45) states that in addition to the above-mentioned factors, public sector organisations face two noteworthy challenges with regard to implementing KM efforts, namely a “culture of resistance” and a “culture of hoarding knowledge”. This so-called “culture of resistance” implies that public sector employees are unwilling to accommodate change and accept innovation within the organisation. Furthermore, the “culture of hoarding knowledge” as described by Edge (2005:45) implies that public sector employees lack the ability and the willingness to share knowledge and intrinsic skills. Yao, Kam and Chan (2007:54) argue that due to the lack of incentives and the bureaucratic nature of the public sector, employees may see KM practices as not being part of their job and may thus develop a culture of resistance to knowledge sharing. Yao, Kam and Chan (2007:55) further argue that there is a common perception within the public sector that knowledge means power and that knowledge sharing is symptomatic of a loss of power. This “knowledge is equal to power phenomenon” can be attributed to the hierarchical structure of most government departments, which undesirably deters knowledge sharing and information flow (Yao, Kam and Chan, 2007: 55).

These two traits, namely resistance and hoarding knowledge, have negative ramifications for KM efforts within the public sector. A need therefore exists to alter this negative mindset and to encourage a culture of knowledge sharing and acceptance of innovation and change through the exchange of knowledge and information (Gaffloor & Cloete 2010).

According to Brynard (2005:1) and Cloete & De Coning (2011:66-70), the top-down control, lack of recognition of individuals and the nature of public organisation driven by legislation (bureaucratic procedures) are the major obstacles for applying KM practices in the public sector. OECD (2003:21) indicated there are more barriers in the public sector, such as improved KM practices come with an added cost in terms of information overload and wasted time in consultation for a majority of organisations and a dilution of responsibilities for a large minority of organisations. Angelis et al., (2013:9) illustrated that the consequence of this is the difficulty to promote collective learning, the development of competencies and create collaborative work environments in the public administration. This shows that KM policies have to be well designed taking into account these important side effects on productivity and on the internal governance.

2.7.4. FACTORS FOR SUCCESSFUL KM IMPLEMENTATION

According to Yeh, Lai and Ho (2006:800), a thriving KM process is dependent on the interaction between these various elements, and organisations should steer clear of merely associating KM with technologies and information systems.

Knowledge Management (KM) cannot be imposed on an organisation from the top; it is crucial that the initiative enjoys the support of the entire organisation to guarantee success. KM involves various changes in an organisation and its implementation is dependent on the absolute support of senior management, as these changes have an impact on the operations, management style and value system of the organisation (Abell and Oxbrow, 1997:4).

Rylatt (2003:3) proposes the following for an effective KM strategy when implementing KM initiatives in an organisation:

- ❖ *Know your business and effectively place your knowledge;*
- ❖ *Create an environment that is conducive to idea generation;*
- ❖ *Eliminate harassment, information hoarding and backbiting;*
- ❖ *Promote group intelligence;*
- ❖ *Highlight the importance of sharing.*

Some infrastructures are required for the implementation of KM in the organisation and these factors are necessary for the successful KM implementation. Furthermore, there is a need to establish an organisational memory or knowledge repository when implementing a KM initiative. This fundamentally involves restructuring existing reports and documents from all parts of the organisation and extracting further information related to the document, such as lessons learned. These documents must then be made available electronically and be freely accessible (Lehaney, 2004:238).

Regardless of the type of organisation, there is no doubt that acumen and insight will give an organisation a winning edge. Therefore, leveraging the advantages of knowledge in an organisation requires long-term commitment and leadership that values “trial and error” and a dedication to innovation and continuous improvement (Rylatt, 2003:5). Thus, when implementing a KM initiative in an organisation it is essential to consider various facets of the organisation and their subsequent impact on the KM initiative (Yeh, Lai and Ho: 2006:794).

Widely perceived expectations of the OECD survey (2003:21) on KM benefits and constraints are listing in the following Figure 11.

FIGURE 11: BENEFITS AND CONSTRAINTS OF KM

BENEFITS OF KM PRACTICE OECD (2003)	CONSTRAINTS OECD (2003)
<ul style="list-style-type: none"> ➤ <i>Releasing information more rapidly and making it available more widely to the public improving transparency;</i> ➤ <i>Improving working relations and sharing of knowledge with other ministries;</i> ➤ <i>Improving work efficiency and/or productivity by producing and sharing knowledge and information more rapidly within your organisation;</i> ➤ <i>Improving working relations and trust within your organisation;</i> ➤ <i>Increasing horizontality and decentralisation of authority;</i> ➤ <i>Making organisations more attractive to job seekers;</i> ➤ <i>Minimizing or eliminating duplication of efforts between divisions and directorates;</i> ➤ <i>Making up for loss of knowledge (due to shorter staff turnover, future retirement etc.);</i> ➤ <i>Promoting life-long learning;</i> ➤ <i>Integrating knowledge from outside for the creation of new knowledge (i.e. linkage between the front office and the back office);</i> ➤ <i>Betterment of all citizens and the nation from the standpoint of knowledge.</i> 	<ul style="list-style-type: none"> ✧ <i>KM strategies have often not been well disseminated;</i> ✧ <i>The difficulties of implementation of KM strategies have arisen from staff resistance (and in particular in middle management);</i> ✧ <i>The difficulty in capturing employees' undocumented knowledge, and</i> ✧ <i>The organisational focus on ICTs.</i>

Source: OECD (2003:21)

2.8. KM & TALENT MANAGEMENT (TM)

Acquiring talented people has become an all the time challenge for those who are responsible for turning the wheel towards success. As organisations are known by the people it keeps and in today's business world, 'TM' has become one of the most significant buzzwords and omnipresent phenomenon in organisations. The commencement of the concept is recognised in the 1990s when the proclamation war for talent presented by McKinsey to address the shortage of talented people in the future business market. The key to success for any organisation is the ability to ensure inflow and retention of talented people by creating an environment in which people have the freedom to think what they

want, share their ideas among each other and are empowered to work what they want to deliver that organisation desire.

From last few years, in contemporary workplaces especially in emerging economies, practitioners and academia related people have evolved considerably with ‘TM’ literature (Meyers & Woerkom, 2014:193; Minbaeva & Collings, 2013:1762; Schiemann, 2014:281; Vaiman & Collings, 2013:1724). A different perspective has been canvassed with different emphases to conceptualize and contextualize ‘TM’ (Iles, 2013:301), and huge controversy has been found between researchers with the debate of ‘TM’. Recent literature is seen ‘TM’ as bridge field drawing upon the concept of capacity theory, HRM, marketing, operations, the resource-based view and HRM, focusing human capital thinking with assumptions to add value by the talented employees and would help to generate superior outputs (Sparrow & Makram, 2015:249).

For the purpose of this study, we adopt the definition proposed by (Mellahi & Collings 2010:145). As, ‘Talent Management’ is the processes that involve the systematic identification of key positions which differentially contribute to the organisation’s sustainable competitive advantage, the development of a talent pool of high potential and high performing incumbents to fill these roles, and the development of a differentiated architecture to facilitate filling these positions with competent incumbents and to ensure their continued commitment to the organisation. These ‘pivotal positions’ contribute to the organisational performance because these positions differentiated capability among the top and low performer employees that contribute more in organisational competitive performance (Heinen & O’Neill, 2004:67), therefore, such positions need to be acknowledged and filled with top performers (Mellahi & Collings, 2010:143). Consequently, the strategic role of HR practitioners is to ensure the availability of sustainable talent pool, and these pivotal positions adhere adequately with required talented employees in the organisation.

Knowledge plays a strategic role in organisational success; as it signifies intangible competitive resource, operational routines and creative processes that are hard to imitate (Carlsson, 2003:194). It can be defined as information combined with experience, context, interpretation and reflection. Acquisition of knowledge is an integral part of ‘KM’ process and usually acquire from two sources. For example, internally (i.e. intra-departmental communication channel, intelligence teams, R&D department, and knowledge system) and externally (i.e. competitors, academic institutions, consulting organisations, and industry associations), and the integration of both sources plays a vital role in organisational

effectiveness (Choi, Poon, & Davis, 2008:235). Moreover, organisations that constantly own, acquire and manage updated knowledge through proper 'KM' strategy may sustain a superior position among competitors (Sanchez, Marin, & Morales, 2015:138).

Previous studies have illustrated that 'KM' has a positive association with organisational performance, innovation and competitiveness (Chadee & Raman, 2012:50; Hsiao, Chen & Chang 2011:32). External knowledge has a positive effect on organisation performance. Sanchez et al., (2015:138) indicated both tacit and explicit knowledge if managed through proper strategy, may become a key resource of competitive advantage.

Moreover, knowledge related to profitability and competitiveness inside and outside the organisation is imperfectly understood (Zhao, De-Pablos & Qi, 2012:28). Chadee & Raman (2012:50) argued that both external knowledge and talent management has a positive association with organisational and that the latter has strong mediating effects on the relationship between external knowledge and organisation performance.

2.9. CHALLENGE ON KM AND TM IN DEVELOPING COUNTRIES

According to Taghavi, Sherafat, Kalehbasti (2013:11), developing countries are considered as a densely-inhabited region in the world, facing an acute challenge with the talent shortage. However, despite much research, there remains a need to examine further the contextual nature of 'TM' and the prevalence of diverse 'TM' practices within organisations, and 'TM' practices in emerging market like developing countries. The talent shortage is predicted as one of the greatest challenges for organisational sustainability, furthermore organisations do not only have to compete for the best talent in the market but also struggle with high turnover rates.

Many organisations have now turned to invest in KM, however, few of them have the capacity to attract, accept and adapt to KM and many of them fail in this process. As a consequence, the managers should seek for an appropriate tool before wasting the resources to mitigate the ambiguity in the programs of implementing KM. Therefore, identifying the critical success factors for implementing KM, determining the current situation of the organisation for implementing KM and using the identified factors in improving KM are essential affairs (Taghavi; Sherafat; Kalehbasti 2013:11).

According to UN survey, participating organisations identified a large array of challenges in KM design and implementation. They can be clustered as follows:(a)Lack of a common terminology, strategic vision and guidance within the United Nations Secretariat and

system-wide;(b)Lack of support and sponsorship at senior management level; (c) Insufficient staff awareness and organisational culture, including absence of Recognition, incentives and sanctions with respect to knowledge-sharing attitudes; (d) Difficulties in measuring KM impact and in adopting indicators; (e) Loss of tacit knowledge owing to lack of continuity and adequate knowledge-retention Policies;(f) Persistence of the bad practice of working in silos; (g) Incompatibilities artificially created by the technological infrastructure; (h) Lack of financial resources.

According to UNDP, KM challenges are identified as following: (a) Knowledge-sharing expectations and processes are not systematically embedded in the programme and project cycle to capture lessons and with an aim of reuse;(b) Knowledge sharing is not yet fully institutionalised as a natural cross-functional and cross-practice exercise;(C) Even though Communities of Practices significantly contributed to open sharing across regional silos, flattening hierarchies and increasing knowledge flows among professional peers, the fact that they were directly aligned with thematic silos;(d) Staff lack incentives and time to engage in knowledge sharing and learning beyond the bounds of their immediate deliverables;(e) Metrics and indicators for successful KM are underdeveloped, and the potential of evidence-based statistics, including social network analysis, for incentives, business intelligence and data-driven decision making are under utilised;(f) Internal hierarchies and political sensitivities favour private knowledge sharing, with public sharing limited to highly processed knowledge products;(g) Traditional corporate focus of knowledge sharing tends to be on ensuring that traditional donors and direct project clients are included in knowledge exchanges, while engagement with the wider academic and policy communities, emerging and non-traditional donors, civil society and the general public are not been systematised (UNDP, 2014:8).

2.10. SUMMARY

This Chapter outlined theoretical approaches and perspectives of various scopes of KM, KM process, KMS, KMC and TM, particular in KM Readiness, criteria and institutional arrangements for KM, which integrates the value of implementation and performance management process on knowledge activities and Communities of Practice (CoP).

Knowledge Management holds significant benefits for organisations; however, the successful implementation of a KM effort in an organisation is dependent on a number of distinct but interdependent factors that have been discussed in this chapter.

- ❖ It is concluded that there are no technologies, applications, practices, prescriptions,

as well as the theory of economics, organisation, systems or human interaction specific to KM. There are, however, theories and practices from various perspectives. KM to be the capability of an organisation to create new knowledge, disseminate it throughout the organisation and embody it in products, services and systems (Nonaka and Takeuchi 1995:70).

- ❖ It is also concluded that the concept of KM is not new to the public sector, and whether intentionally or unintentionally; limited understanding exists of the potential of KM and M&E approaches in public sector and how KM and M&E can be practically and efficiently apply in this environment.
- ❖ KM initiatives have always been integrated into government tasks, inseparable from strategy, planning, consultation, and implementation. Through public policy, in particular, politicians and public service workers use knowledge to shape their domestic environment and try to make a difference.
- ❖ It is concluded that KM not just tacit and explicit knowledge but knowledge circle and Communities of Practice (CoP), KM processes should integrate the value of strategic planning, policy management, planning and implementation as well as performance management processes (Author).

The preceding Chapter will present a theoretical perspective on M&E approaches and models as well as the relationship between KM and M&E with the emphasis on the M&E Readiness.

CHAPTER THREE: M&E APPROACHES AND MODELS

*“If you do not measure results, you cannot tell success from failure.
If you cannot see success, you cannot reward it.
If you cannot reward success, you are probably rewarding failure.
If you cannot see success, you cannot learn from it.
If you cannot recognise failure, you cannot correct it.
If you can demonstrate results you can win public support”.*
- (Kusek & Rist, 2004)

3.1. INTRODUCTION

This Chapter will outline an overview of the literature review conducted by scholars in M&E area and will provide perspective on prominent and relevant approaches to the conceptual theoretical framework on M&E. The Chapter will identify as followings:

- ❖ *Important themes that need to be considered for the M&E Readiness approaches and models on the programme level;*
- ❖ *KM and M&E related processes, functions related to M&E, with ten steps frameworks to establish Results-Based M&E (RBME) system and Readiness Assessment;*
- ❖ *Institutional arrangements for M&E integrates the value of implementation as well as performance management process and challenges.*

The main focus of this study is to provide options to develop anticipated outcome indicators monitoring framework and Theory of Change (ToC) for Shandong-WCG partnership in SEP, however, it is also equally important to provide a general overview of M&E. Therefore this section will first discuss the purpose of M&E and different types of evaluation. The follow-up section will focus on ToC including steps model of Results-Based M&E and Readiness Assessment which involves key questions, anticipated outcomes, indicators and 5-C protocol Principles and institutional arrangements for M&E will be discussed in the last section.

3.2. OVERVIEW OF M&E

There is an increase in demand for a shift from traditional M&E which mainly focuses on assessing inputs, outputs and implementations process. In the context of development, the focus should further include other factors that contribute in achieving outcomes and impact (UNDP, 2009:5; Kusek & Rist, 2004:3; Puvimanasinghe, Gill & Beck, 2007:263; IEG, 2012:5). It is very important that government and NGOs clearly differentiate between

outcomes, outputs and activities in order to be able to clarify the contribution of each towards the long-term objective of any given programme or project (OSEP, 2011:42).

3.2.1. CONCEPTS OF M&E

The terms “monitoring, evaluation, measurement, assessment” are often used interchangeably, yet they are quite different. Inherent in the idea of M&E processes is “value”. An evaluation takes place at a specific moment in time. Monitoring involves tracking progress over time during the whole KM process (Birch & Veroff, 1966:1). Monitoring as noted by Kusek and Rist (2004:12), as

“... A continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indicators of the extent of progress and achievement of objectives and progress in the use of allocated fund.”

Monitoring is a continuous function that uses the systematic collection of data on specified indicators, to provide management and main stakeholders of development intervention, with early indications of the extent of progress. Monitoring tracks the implementation of an initiative and its impact on specific targets. Monitoring can also improve policy design and implementation, promote accountability and dialogue as well as provide regular feedback on programme performance to managers, policymakers and stakeholders (Cornielje, Velema & Finkenflugel, 2008:40; Khandker, Koolwal & Samad, 2010:1).

Evaluation, on the other hand, provides a complementary but distinctive function from Monitoring. Evaluation is defined as a periodic assessment of the relevance, performance, Efficiency and impact of a project in the context of its stated objectives. It highlights both intended and unintended results, gives evidence of ‘why’ and ‘how’ targets and objectives are (not) achieved and also provides strategic lessons to guide decision-makers and stakeholders (Cornielje et al., 2008:40; Oakley & Clayton, 2000:14). For Kusek and Rist (2004:12):

“.....Evaluation is a systematic and objective assessment of an ongoing or completed project, programme, or policy, including its design, implementation, and results in Evaluation determines development efficiency, effectiveness, impact, and development sustainability. The evaluation must be able to supply useful and credible information and “...enabling the incorporation of lessons learned into the decision-making process of both recipients and donors” (Kusek and Rist, 2004:12).

According to Cornielje et al., (2008:48), M&E generally seek to provide critical information and enable policy makers and managers to make informed and better decisions. M&E is also a way to engage people in active learning and reflection about their work. It can be confidence-building and organisation for all involved. Efficient and effective M&E systems would help promote greater transparency and accountability within institutions, organisations and the general public. Kusek and Rist (2004:12) also stated that a functional M&E system helps in clarifying goals and objectives, and provides a constant flow of information which is crucial for management in achieving results and meeting specific targets.

3.2.2. PURPOSE OF M&E

The following Figure 12 serves as an overview of the difference between M&E and also describes their respective functioning in any given programme or project.

FIGURE 12: DIFFERENCE BETWEEN M&E

MONITORING	EVALUATION
Ongoing process of measuring performance	Event that occurs periodically to measure performance
Clarifies objectives of the programme/project/policy	Analyse why intended results were or were not achieved
Mainly descriptive Links inputs, outputs, and activities to objectives	More analytical Assess specific causal contributions of activities to results
Translates objectives into performance indicators and sets targets	Concerned with the assessment of progress against predetermined goals
Routinely collects data on these indicators	Explores unintended results
Compares actual results with targets	
Reports progress to managers and inform them about gaps and problems regarding the implementation of the programme	Highlights significant accomplishments of programmes, provides recommendations for improvement and informs future programming

Source: Kusek and Rist, (2004:14); Puvimanasinghe et al., (2007:264); Nepal (2013:3)

It can be argued that M&E are theoretical concepts that are closely related to each other and they both provide important evaluative information (Forss, Befani & Kruse, and 2012:5). According to Nepal (2013:3) M&E have their own distinct characteristics and functions and

are described in Figure 21 M&E is undertaken for different purposes and is normally used to measure progress and performance towards programme or project objectives (Kusek & Rist, 2004:1; Mackay, 2007:9; Görgens & Kusek, 2009:1). This involves a systematic collection and analysis of data to provide information about what works, what does not work and the reasons why (Mackay, 2007:9; Imas & Rist, 2009:12; Puvimanasinghe, et. al., 2007:261; Görgens & Kusek 2009:1; UNAIDS, 2010c:13;). The information should be used to identify weaknesses and provide recommendations to improve programmes or projects (Patton, 2002:3; Kusek & Rist, 2004:20; UNAIDS, 2010c:22- 23). M&E is used to demonstrate outcomes and impact of programmes or projects, to identify potential programmes or projects and also to explore unintended results (Kusek & Rist, 2004:14 & 19; Rabie & Cloete, 2011:196). M&E is used for financial accountability within governments and organisations (Kusek & Rist, 2004:20). It is important to have a clear understanding of the M&E and its different components.

3.2.3. TYPES OF EVALUATIONS

Authors like Rehle, Saidel, Mills & Magnani (2001:8) and Byrne (2013:217) argue that M&E should occur at different phases of the programme cycle using different types of evaluation. For the purpose of this study, four types of evaluation, “formative, ongoing or process, summative or effective, and cost-effective” are described briefly below (Rehle et al., 2001:8-12; Rabie & Cloete, 2011:199-200). Formative evaluation is normally undertaken during the development stage of the programme or project (Stetler, Legro, Wallace, Bowman, Guihan, Hagedorn, Kimmel, Sharp & Smith, 2006:1; Rabie & Cloete, 2011:199). It provides an opportunity to identify potential, understand the complexity, suggest solutions to guide and improve the implementation process of any given programme (Atkin & Freimuth, 2001:54; Stetler et.al. 2006:1; Dunn & Mulvenon, 2009:4).

Rabie and Cloete (2011:199) suggest that it is very important to monitor the inputs, outputs and the extent at which planned activities are carried out including the quality of services provided. Process evaluation is another type of evaluation which involves the ongoing collection of information during implementation. It is used to track progress and provide feedback regarding any changes that may be required for the programme (Kusek & Rist, 2004:96). Information collected during process evaluation can be from qualitative or quantitative data (Oakley, Strange, Bonell, Allen & Stephenson, and 2006: 413).

Summative evaluation is undertaken at the end of the specified period of a programme to determine the extent which the objectives were achieved (Rehle et al., 2001:11; Kusek & Rist, 2004: 229; Dunn & Mulvenon, 2009:3). Summative evaluation measures the outcomes of the programme which can be short-term or intermediate programme effects and long-term programme effects known as impact (Rehle et al., 2001:11). According to Rabie and Cloete (2011:200), the findings of the summative evaluation should reflect on both positive and negative changes of the programme. The last type of evaluation is cost-effective analysis and focuses mainly on the allocation of resources of the programme (Rehle et al., 2001:12).

3.2.4. THEORY OF CHANGE IN M&E

Programmes aimed at development are built on various assumptions or theories of change about how these programmes contribute to the achievement of the MDGs. Theory of Change provides a clear picture of the logical connection from the overall goal or objective of the programme, project, strategy or policy to activities and desired changes at different levels of the programme (Church & Rogers, 2006:13; Funnell & Rogers, 2011:6-9; Care International, 2012:3; Dyer, 2012:5). In short, the Theory of Change provides information about what expected change results will be observed from a specific set of actions.

According to Connell and Kubisch (1998:3), a good Theory of Change should be able to suggest that the implementation of a programme will lead to desired outcomes and there are enough human and financial resources to carry out implementation. Furthermore, a good Theory of Change should allow the evaluators to track the progress and assess the effectiveness of the programme (Connell & Kubisch, 1998:3). Studies by Forti (2012:1), Mayne (2012:274), Vogel and Stephenson (2012:3) and Vogel (2013:2) argue that a good Theory of Change should be able to identify the target population, results to be achieved, time frame, activities, resources and actions leading to achieving the results, context and assumptions/risks that influence the programme. Similarly, Mayne (2012:273) emphasise the importance of working in collaboration with all key stakeholders and beneficiaries. In addition, relevant existing research should be considered when developing a Theory of Change (Mayne, 2012:273).

According to Vogel (2013:7), most organisations have found the Theory of Change to be the most useful tool for identifying change they want to see from their programmes and how they contribute to it in a particular context. The basic elements of the Theory of Change namely objectives, outcomes, indicators, interventions and assumptions play an important role in this study and will be considered as part of research methodology.

According to the approaches of Taplin , Clark and Collins (2013:5-8), the most important step in using Theory of Change for M&E is to identify a long-term goal and outcome. Once the long-term outcome is being identified, the organisations should determine other outcomes that supposed to come before achieving the long-term one (Taplin et al., 2013:5). These outcomes are normally called short-term and medium-term outcomes and Taplin et al., (2013:5) further indicate that outcomes in a Theory of Change represent changes in conditions. In the programme/activity context, these changes can be knowledge, behaviour, attitude, belief and skills among the recipients of the programme (UNAIDS, 2010b:9; Rehle et al., 2001:41). A logic model is a good tool to facilitate M&E (Mallett, Talley & Harris, 2011: 10-12). It helps to determine what needs to be put in place in order to achieve the objectives and to identify the expected outcomes at each level of the programme (Bamberger, 2007:1; Rugh & Bamberger, 2012:5; IEG, 2012:20).

3.3. BUILDING RESULTS-BASED M&E SYSTEM

A Results-Based M&E is an exercise to assess the performance of an institution, a programme or a project, on the basis of the impacts and the benefits that the institution or programme/project is expected to produce. According to Gebremedhin, Getachew and Amha (2010:1), Results-Based M&E deal with the measurement and assessment of performance in order to more effectively produce results (outcomes). It also ensures that efforts are translated into changes in the lives of project beneficiaries and their environment. RBM&E can provide vital and sometimes unique information about the performance of projects/programmes/policies.

Results-Based M&E is often seen as a dynamic tool for planning and budgeting, improving performance and achieving results. Kusek and Rist (2004:1), elucidated that:

“...[R]esults-based M&E is a powerful public management tool that can be used to help policymakers and decision-makers, track progress and demonstrate the impact of a given project, program, or policy.”

Kusek and Rist also noted that Results-Based M&E is very different from the more traditional implementation-focused M&E. Results-Based M&E goes beyond an emphasis on inputs and outputs to a greater focus on outcomes and impacts. The main goal of result-based M&E is to achieve outcomes that are relevant to the organisation and both its internal and external stakeholders (Kusek & Rist, 2004:1).

FIGURE 13: KEY FEATURES OF IMPLEMENTATION M&E VS. RESULTS MONITORING

<p>Elements of Results Monitoring</p> <p>(Used for a range of interventions and strategies)</p> <ul style="list-style-type: none"> - Baseline data to describe the problem or situation before the intervention - Indicators for outcomes - Data collection on outputs and how and whether they contribute toward Achievement of outcomes - More focus on perceptions of change among stakeholders - Systematic reporting with more qualitative and quantitative information on the progress toward outcomes - Done in conjunction with strategic partners <ul style="list-style-type: none"> - Captures information on success or failure of partnership strategy in achieving desired outcomes
<p>Elements of Implementation Monitoring</p> <p>(Traditionally used for projects)</p> <ul style="list-style-type: none"> - Description of the problem or situation before the intervention - Benchmarks for activities and immediate outputs - Data collection on inputs, activities and immediate outputs - Systematic reporting on provision of inputs - Systematic reporting on production of outputs - Directly linked to a discrete intervention (or series of interventions) - Designed to provide information on administrative, implementation, and Management issues as opposed to broader development effectiveness issues

Source: Kusek & Rist (2004:18)

Building a Results-Based M&E system is a ten step process. As it is often said “... a journey of ten miles starts with a step”. This study will focus only on the very first step of developing a Results-Based M&E system, namely; ‘Readiness Assessment’. A Readiness Assessment involves key components that need to be taken into consideration before establishing a Results-Based M&E system. These will be discussed in the following sub-section.

3.3.1. THE STEPS MODEL TO BUILD A RESULTS-BASED M&E SYSTEM

Building a Results-Based M&E system started in 1996 with the eight steps by United Way of America, Holzer introduced seven steps in 1999 and Sharp used only four steps also in 1999 (United Way of America, 1996:11; Holzer, 1999:55-58; Sharp, 1999:8). Ever since then, the sequence and number of steps to build a Results-Based M&E system have evolved and in 2004 Kusek and Rist introduced a ten step-model (Kusek & Rist, 2004:23).

There is no fixed number and sequence of steps required to build a Results-Based M&E system (Mackay, 2008: 103). Various authors, experts and organisations propose a different number of steps but they somehow all agree on the essential actions (Kusek & Rist, 2004:23).

Four examples are demonstrated in Figure 14 provides an overview of some models used from 1996-2004 to build a Results-Based M&E system. The examples are according to the United Way of America (1996); Holzer (1999); Sharp (1999) and Kusek & Rist (2004).

The overview reflects that although there is a variation on the sequence and number of steps, there is a consensus about the outcome-focused performance information and measurement indicators (United Way of America, 1996:11; Holzer, 1999:55-58; Sharp, 1999:8; Kusek & Rist, 2004:23). In all examples mentioned, once the planning and the readiness of the program have been identified and assessed, choosing outcomes follows in step 2 and selecting indicators follows in step 3. In addition, it can be argued that although according to Sharp (1999:8) choosing indicators comprises step 2, the example did not directly mention the selection of indicators to monitor and evaluate outcomes. However, Sharp (1999:8) listed step 3 as satisfaction assessment and step 4 as transfers (e.g. skills development, knowledge value-added) which are both in line with measurement performance information (see Figure 14).

It is important to note that M&E is not an add-on activity and must be integrated into the management or institutional environment of an organisation. Sartorius (1997:3) warns us that if we are to avoid M&E operating as an afterthought in the organisation, it needs to be part of the strategic objectives of the organisation and be integrated into the inception phase of any project or programme thus increase benefits such as organisational learning aimed at continuous improvements. Kusek & Rist, (2004:25) identifies 10 steps to building and sustaining a Results-Based M&E system:

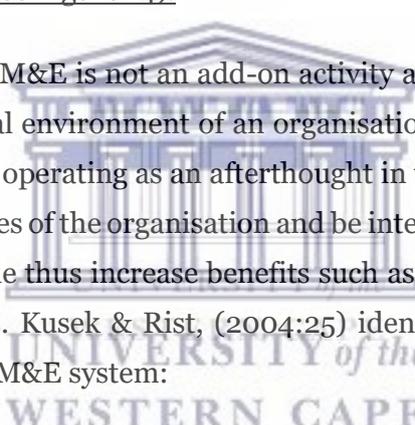
- 
- Step 1: Conducting a Readiness Assessment;*
 - Step 2: Agreeing on outcomes to Monitor and Evaluate;*
 - Step 3: Selecting key performance indicators to monitor outcomes;*
 - Step 4: Setting baselines and gathering data on indicators;*
 - Step 5: Planning for improvement-Selecting results targets;*
 - Step 6: Monitor for results;*
 - Step 7: Using Evaluations;*
 - Step 8: Reporting the findings;*
 - Step 9: Using the findings;*
 - Step 10: Sustaining the M&E system within the organisation.*

FIGURE 14: EXAMPLES OF STEPS MODEL TO BUILD RESULTS-BASED M&E SYSTEM

Steps	Source			
	United Way of America (1996:11)	Holzer (1999:55-58)	Sharp (1999:8)	Kusek & Rist (2004:23)
Step 1	Get ready	Identify the programs to be measured	Needs assessment	Conducting a Readiness Assessment
Step 2	Choose the outcomes you want to measure	State the purpose and identify the desired outcomes	Goals attainment and outcome focused performance (e.g. goal attainment scaling)	Agreeing on outcomes to monitor and evaluate
Step 3	Specify indicators for your outcomes	Select measures or indicators	Satisfaction assessment (e.g. customer satisfaction)	Selecting key indicators to monitor outcomes
Step 4	Prepare to collect data on your indicators	Set standards for performance and outcomes (targets for performance for accomplishments)	Transfers (e.g. skills development, knowledge value added)	Baseline data on indicators-where are we today?
Step 5	Try out your outcome measurement system	Monitor results		Planning for improvement selecting results targets
Step 6	Analyze and report your findings	Performance reporting		Monitoring for results
Step 7	Improve your system	Use outcome and performance information		The role of evaluations
Step 8	Use your findings			Reporting findings
Step 9				Using findings
Step 10				Sustaining the M&E system within the organisations

Source: Kusek and Rist (2004:24)

3.3.2. READINESS ASSESSMENT

Designing and building an M&E system that can produce relevant information, timely and trustworthy results on the performance, outcome and impact of an organisation's projects/programmes and policies requires skills, experience and new capacities.

The majority of existing M&E systems start off by building a Results-Based M&E system without considering certain crucial factors such as “organisational roles, responsibilities, and capabilities; incentives and demand for such a system; the ability of an organisation to sustain the system” (Kusek & Rist, 2004:40). Building an M&E system require the ability to successfully construct indicators, collect, aggregate, analyse and report on project performance in relation to the indicators and project objectives (Kusek, 2011:3). In order for such a system to be successful and sustainable, the organisation needs a strong foundation which, begins with a thorough Readiness Assessment.

According to Kusek and Rist (2004:39), the Readiness Assessment step which, is the first step of their ten-step model to a Results-Based M&E, is a unique addition to the many existing M&E models. This key step which is often missed or omitted provides an analytical framework to assess an organisation's competence and political willingness to monitor and evaluate its goals and develop a framework for determining project/programme performance.

Bearing in mind that building an M&E system presents political and managerial challenges that are as significant as the many technical issues, Readiness Assessment helps determine how well positioned a government, an organisation or an institution is in designing, building and sustaining a Results-Based M&E system. When properly done, a Readiness Assessment can identify the strengths and gaps of an organisation's capacity to develop, use and sustain M&E tools over time (Kusek, 2011:4).

The Readiness Assessment is a means of verifying the willingness and capacity of an institution, an organisation or a government and its development partners to build a Results-Based M&E system. Imas and Rist (2009:113) indicated:

“...[R]eadiness assessment addresses critical concerns such as the presence or absence of champions as well as incentives, roles and responsibilities, organisational capacity, and barriers to getting started.”

3.3.2.1. Three main parts of Readiness Assessments

The preparatory work for a Readiness Assessment constitutes three main parts as noted by Kusek and Rist (2004:41) and an additional fourth part as elucidated by Imas and Rist (2009:115). Incentives and demands for designing and building a Results-Based M&E system. Before beginning the process of designing and constructing a Results-Based M&E system, it is essential to understand what motivations exist for moving forward to build an M&E system, whilst also taking into consideration what disincentives may hinder progress.

a) *Incentives and demands for designing and building a Results-Based M&E system*

There are certain key questions involved in this phase that determines the presence or absence of incentives. The questions include: what is the driving force for building an M&E system? Who will benefit or not benefit from the system (Kusek & Rist, 2004:41).

b) *Roles and responsibilities and existing structures for assessing performance*

In this step, it is important to identify the roles, responsibilities and structures available for monitoring and evaluating designated development goals. It is also important to determine who produces data in the organisation and who the main users of the data are.

c) *Capacity building requirement for a Results-Based M&E system*

Readiness Assessment also involves current capacities within the organisation that can perform M&E. Capacities in this regards will include technical and managerial skills, available technology, available fiscal resources and institutional experience (Kusek & Rist, 2004:42).

d) *Barriers to building a Results-Based M&E system*

It is also important to ascertain the possible impediments to building and sustaining a Results-Based M&E system. As with any organisational change, this last step of Readiness Assessment takes into consideration what could stand in the way of effective implementation. Questions for consideration at this stage involve: “is there a lack of fiscal resources, political will, champions, outcomes linked to strategy or experience and if so, how can such barriers be overcome” (Imas & Rist, 2009:115).

After all the above issues have been taken into consideration, the organisation can determine whether they are ready or not ready to establish a Results-Based M&E system;

and if they are ready, the Readiness Assessment will enlighten them on whether they will be starting with the process 'now', 'sooner' or 'later'.

Imas & Rist, (2009:113) discussed the four key components of Readiness Assessment, the study shall, however, concentrate only on two of the above components, namely; Incentives and demands for designing and building a Results-Based M&E system and Capacity building requirement for a Results-Based M&E system.

3.3.2.2. Eight key questions of Readiness Assessment

Apart from the four main components of Readiness Assessment, it is also imperative to take into consideration the eight key questions of a Readiness Assessment as stipulated by Kusek and Rist (2004:43). As already highlighted above, the Readiness Assessment is used to diagnose whether the requirement for building a Results-Based M&E system is in place. The eight key questions act as a guide for ascertaining a country's or an organisation's ability and willingness to progress with a Results-Based M&E system. The eight questions guide revolves around: the motivation and driving force for building an M&E system, the advocates for an M&E system, the champions and motivation of the champions to support this system, owners and beneficiaries of the system and existing capacity to support the system (Kusek & Rist, 2004:43). These guides help the organisation to put things into perspective and pre-evaluate themselves whether they are ready for such a system or not.

3.3.3. CRITERIA FOR ASSESSING INDICATORS

A Results-Based M&E system however useful is not an easy system to build and maintain as it requires continued commitment, time and resources, and more importantly champions (Kusek et al., 2004:70). Successful attempts at building such a system have nevertheless been well recorded, and according to Kusek et al., (Supra) consists of a 10 Step Model 2. This capacity for a Results-Based M&E reporting system has to include, at a minimum, the ability to successfully construct indicators (Kusek et al., 2004:70). In South Africa, a recent PhD study by Babette Rabie, (2011:199) shows that indicator development in South Africa, although in its infancy have made important progress. As the absence of appropriate indicators may hamper the ability of successfully determining whether the expected results were achieved (Rabie, 2011:200). An indicator can be defined as a “measure tracked systematically over time that indicates progress (or the lack thereof) towards a target” (Immas & Rist, 2009: 1).

According to Rabie (2011:199), one gets different indicators at different levels of the M&E system. She emphasizes the fact that even though all indicators are useful, outcome indicators are seen as authoritative since these illustrate whether the desired goals of the intervention have been achieved and whether the necessary changes occurred (Rabie, 2011:200).

Literature on selecting indicators shows that there should be a set of criteria that should be followed in order to minimise the risk of selecting poor indicators and to ensure that the measurement strategy of any outcome is focused (Kusek & Rist, 2004:68-69; Braun et al., 2009:2; UNAIDS, 2009b:15-17, UNAIDS, 2010b:11-18; USAID, 2010b:4). Different experts have introduced a range of key criteria for selecting good performance indicators. For instance, Kusek and Rist (2004:68) propose the “CREAM” concept which consists of five criteria, (see also Figure 24) and USAID (2010b:4-8) proposes seven criteria (in Figure 16). These three criteria mentioned above will be adapted and integrated to provide a single criterion for selecting indicators in this study. The first five criteria are adapted from Kusek & Rist (2004:68) and the USAID (2010b:4-8) proposes a seven criteria model as guidelines for selection of performance indicators as presented in Figure 25 below.

The following Figures present criteria that should be considered when identifying and developing indicators: Figure 15 and Figure 16 respectively. The indicator selection criteria presented in Figure 15 will be considered to identify and develop the anticipated outcome indicators in Chapter 8 of this study.

FIGURE 15: THE “CREAM” OF GOOD PERFORMANCE INDICATORS

INDICATOR CRITERIA	SELECTION	DESCRIPTION
<input type="checkbox"/>	Clear	-Precise and unambiguous
<input type="checkbox"/>	Relevant	-Appropriate to the subject at hand
<input type="checkbox"/>	Economic	-Available at a reasonable cost
<input type="checkbox"/>	Adequate	-Provide a sufficient basis to assess performance
<input type="checkbox"/>	Monitorable	-Amenable to independent validation

Source: Kusek and Rist (2004:68)

Similarly to Figure 15, Figure 16 will also be considered to identify and develop anticipated outcome indicators in Chapter 8 of this study.

FIGURE 16: USAID’S CRITERIA FOR SELECTING INDICATORS

INDICATOR SELECTION CRITERIA	DESCRIPTION
<input type="checkbox"/> Direct	<ul style="list-style-type: none"> -An indicator is direct to the extent that it clearly measures the intended results -An indicator should be widely accepted for use by specialists in the field
<input type="checkbox"/> Objective	<ul style="list-style-type: none"> -An indicator is objective if it is unambiguous about -What is measured, what data are being collected -In simple, an indicator should be able to collect and produce comparable data over time
<input type="checkbox"/> Useful for management	<ul style="list-style-type: none"> -An indicator is useful to the extent that it provides a meaningful measure of change over time for management decision-making -An indicator should ensure that is measuring the “right change” in order to achieve results
<input type="checkbox"/> Attributable	<ul style="list-style-type: none"> -An indicator is attributable if it can be plausibly associated with USAID interventions -An indicator should be based on the idea that a case can be made to other development practitioners that the program has materially affected identified change
<input type="checkbox"/> Practical	<ul style="list-style-type: none"> -A practical indicator is one for which data can be collected on a timely basis and at reasonable cost
<input type="checkbox"/> Adequate	<ul style="list-style-type: none"> -A set of indicators should be sufficient to measure the stated results
<input type="checkbox"/> Disaggregated as necessary	<ul style="list-style-type: none"> -The disaggregation of data by gender, age, location including other dimension is often important from both management and reporting point of view

Source: USAID (2010b:4-8)

It can be argued that the two examples of criteria discussed consider similar information for selecting indicators. Similarly, Kusek and Rist (2004:67), and USAID (2010b:4) all agree with the “CREAM” concept alongside with other criteria that play a significant role in ensuring that good performance indicators do not suffer and become less useful. These criteria discussed will be very useful particularly in the research design of this study and will be considered to identify and develop anticipated outcome indicators in Chapter 8.

3.4. PARTICIPATORY MONITORING AND EVALUATION

According to Jacobs, Barnett and Ponsford (2010:41), PM&E is a blanket term which, refers to a wide array of methods, whereby, primary stakeholders are active participants in measuring progress and working towards achieving results. Lately, participatory development has become a catchphrase with a variety of meaning for different people. According to the literature, a host of scholars in this field (Burkey, 2002:1; Estrella et al., 2000:5; Hickey & Mohan, 2004:3; Oakley, 1991:2; Sangole, 2007:7; Vincent, 2004:4; Von Bertrab & Zambrano, 2010:8), are of the opinion that participatory development is a more effective way of managing development interventions. It is basically, a proactive experiential learning and self-transformative process, aimed at creating sustainable development.

PM&E is part of a wider historical process that emerged over the last two decades (Estrella & Gaventa, 1998:9; Sangole, 2007:11). Some scholars are of the opinion that PM&E materialised as a result of the limitations of conventional M&E. Traditionally, M&E served mostly the needs of donors and project executors and ignored the needs of project beneficiaries. PM&E is an essential component of a project. It is strongly woven into the whole project cycle. Unlike conventional M&E, PM&E emphasises a broader involvement and participation of all stakeholders in deciding how project progress should be measured (Vernooy, Qui and Jianchu 2006:406).

PM&E approaches are usually, considered under two categories. The first attempts to present reality in an objective term intended to be comprehensible and comparable for persons who do not share the assumptions and experiences of the intended beneficiaries. This is considered from an outsider’s perspective. The second strives to represent reality as understood by persons within their own cultures, communities and societies. This is an insider’s perspective. Both perspectives are valid and should be drawn on when understanding PM&E (Bhatnagar & Williams, 1992:183).

Unlike, conventional M&E, PM&E can be used as a mechanism for self-assessment and it is very flexible and adaptive to the local context, circumstances and concerns of stakeholders.

It is an“... the internal learning process that enables people to reflect on past experiences, examine present realities, revisit objectives and define future strategies, by recognising different needs of stakeholders and negotiating their diverse claims and interests”. PM&E encourages stakeholder’s participation beyond data gathering, thereby, strengthening people’s capabilities to take action and endorse change by promoting self-reliance in decision making and problem-solving (Estrella et al, 2000:4).

3.4.1. REVIEW OF PM&E

Various studies carried out by Estrella et al., (2000:9), demonstrated the rapid spread and acknowledgement of PM&E practices across the globe. PM&E practices are being used in small, medium and large organisations, with an extensive range of participants and stakeholders and in almost every sector (agriculture, community development, conflict resolution, education, emergencies and disaster management, forestry, health, local governance, natural resource management, organisational development and many more).

A study carried out by Von Bertrab and Zambrano (2010:3) on participatory monitoring and evaluation of a Mexico City wetland restoration effort, revealed that although participatory processes come with its own challenges, PM&E actually serves as a basis to aligned activities with stakeholders priorities. It provides a set of tools that allow the integration of various stakeholders’ interests and needs and also helps to improve communication among stakeholders.

The study illustrated that PM&E improved project personnel performance and all project participants were more committed and felt a greater sense of responsibility. Vernooyet et al., (2006:406) in their study of“...the power of participatory monitoring and evaluation, explored the capacity-building experiences of two research teams in two different provinces in developing countries and how PM&E was used to strengthen their development research. Training workshops in line with the field research were carried out. This greatly contributed to a better understanding of the interests and needs of project beneficiaries and also enabled the “...users, project researchers and local government officials to work together to identify the problem as well as opportunities and strategies for improving effectiveness and efficiency of the water-management system” (Vernooy et al, 2006:406). The outcome of this study shows that PM&E improves organisation and personal capacity. It also enhances quality, accountability, trust and confidence.

A survey carried out by Gobisaikhan and Menamkart (2000:5) on participatory monitoring and evaluation of a national poverty alleviation programme (NPAP) in Mongolia, demonstrated that to ensure viability and sustainability of income generating projects, local stakeholders needed to be empowered. This could be accomplished by building on the stakeholders' capacities so as to enable them to monitor and evaluate their own project. It was realised that PM&E was a more effective way to instil a sense of responsibility to the project beneficiaries. The introduction of PM&E system in NPAP revealed the strength and weaknesses of the programme. In this study, PM&E helped in informing policymakers and policies were modified to improve the programme implementation.

In addition, it was also discovered that the involvement of FUGs in designing and adapting their own M&E systems, they developed a strong sense of ownership over the project and were able to better managed and sustained their forest resources. Furthermore, Estrella et al., (1998:3) noted that PM&E is regarded not only as a means of holding project beneficiaries and programme recipients accountable but also as a way for project participants and local citizens to monitor and evaluate the performance of donors and government institutions. PM&E has an incredible potential to inform policies and projects/programmes as well as promote better accountability, transparency, capacity building and empowerment. However, PM&E has its own constraints and pitfalls, given the lack of a unique universally accepted core principle on how to carry out PM&E. This problem is further compounded by insufficient theoretical foundation and methodology issues.

Apart from PM&E, there exist many other forms of monitoring and evaluation systems, namely; results-based M&E, performance-based M&E and the more traditional implementation focused M&E which is only design to address compliance. For the purpose of this research, results-based monitoring and evaluation would be discussed.

3.4.2. KEY CONCEPTS OF PARTICIPATORY M&E

3.4.2.1. Accountability

Accountability, according to Segsworth (2003:15), has been of particular importance in discussions of responsible government and in public administration. Accountability has been the dominant administrative value over the past fifteen years and is likely to remain so for the foreseeable future. Accountability helps to monitor the extent to which funding beneficiaries have fulfilled their commitments and provides a mechanism to re-adjust goals and performance indicators.

However, accountability is no longer solely used by funding and government agencies as a way of holding beneficiaries and other project participants accountable and less as a means of reporting and auditing, but rather as a means for demanding greater social responsiveness and ethical responsibility. With M&E, "...communities assess their own institutions that are held liable in terms of fulfilling their commitments and responsibilities". Given the fact that project coordinators are not only accountable to donors and funders but also to the local stakeholders, it has greatly improved public accountability, promotes a sense of ownership and stimulates action towards improvement (Estrella et al, 2000:107).

3.4.2.2. Capacity building

Capacity building (CB) is increasingly seen as important by official donors and multilateral agencies. The concept is considered as an essential element if development is to be sustainable and people-centred. As elucidated by Eade (1997:3), for capacity building to generate genuinely inclusive forms of development, interventions must, therefore, take into account the different (and potentially negative) ways in which their impact will be felt by individuals and social groups. It is a long-term investment in people and their organisations and a commitment to the various processes through which they can better shape the forces that affect their lives.

As Eade (1997:9) puts it: "...capacity building like most development jargon is now used so indiscriminately that any meaning it once had may soon evaporate". The definition of CB is sometimes vague and inconsistent. The German Agency for Technical Cooperation (GTZ) defines the capacity building as the process of strengthening the abilities of "... individuals, organisations and societies to make effective use of resources, in order to achieve their own goals on a sustainable basis" (The World Bank, 2005: 6). For Eade (1997:24), Capacity Building is not a set of discrete or pre-packaged technical interventions intended to bring about a pre-defined outcome but an approach to development that "... involves identifying the constraints that women and men experience in realising their basic rights, and finding appropriate vehicles through which to strengthen their ability to overcome the causes of their exclusion and suffering".

According to United Nation Development Programme (UNDP, 2009:3), capacity is the "... the process by which individuals, organisations, and societies, develop abilities to perform functions, solve problems, and set and achieve goals premised on ownership, choice and self-esteem". Capacity building is, therefore "... sustainable creation, retention, and utilisation of capacity in order to reduce poverty, enhance self-reliance and improve people's lives" (The World Bank, 2005: 6).

Capacity building is the process of strengthening the skills, competencies and abilities of people and communities, to enable them to overcome the causes of their exclusion and suffering. According to Simister and Smith (2010:23), capacity building is not just an internal process but also involve some degree of external intervention or support, with the intention of facilitating and catalysing change. They believe that capacity building is a complex human process that is based on values, emotions and also involves a shift in power and identity.

M&E is an important capacity building process not just for a single individual but for the entire project team (Estrella et al, 2000:107). When M&E processes are done in a way that strengthens the capacities of the project intended beneficiaries, project activities are better managed and project benefits are often sustained (Bhatnagar & Williams, 1992:183).

3.4.2.3. Empowerment

Empowerment according to Oxfam's basic principles for development and relief work in Eade (1997:4), is "... gaining the strength, confidence and vision to work for positive changes in their lives, individually and together with others". Women and men become empowered by their own efforts, not by what others do for them. When development programmes are not organisational based on people's own efforts to work for change, their impact may be disempowering. The World Bank describes empowerment as:

"... The process of increasing the capacity of individuals or groups to make choices and to transform those choices into desired actions and outcomes. Central to this processes are actions which both build individual and collective assets and improve the efficiency and fairness of the organisational and institutional context which governs the use of these assets" (Nelson, 2010:5).

According to Page and Czuba (1999:5), empowerment is a multi-dimensional social process that helps people gain control over their own lives and fosters power (that is, the capacity to implement) in people, for use in their own lives, their communities, and in their society, by acting on issues that they define as important. In the same light, Nikkhah and Redzuan (2009:174) noted that this is a process by which individuals, groups, and/or communities become able to take control of their circumstances and achieve their goals, thereby being able to work towards maximising the quality of their lives.

Summarily, as Dive (2004:127) rightly puts it, empowerment is the process of enabling people to "... work at the right level without being crowded from above". According to him, true empowerment guarantees correct accountability by ensuring that individuals are

accountable for outcomes which are clear and transparent in an environment which meets their learning needs, fosters participation, teamwork and a sense of personal worth.

The ultimate goal of any community development programme is to empower the community and improve quality of life. Empowerment is the true end of participation. Childcare practitioner's participation in the experiential training programme of Shandong-WCG partnership in SEP will not only be a learning process but also an empowering one. Given the fact that they 'learn' by 'doing', by the end of the programme, they must have acquired skills that will lead to a lifelong career.

Sustainability of every development programme depends on the level of people's participation monitoring as a "continuous assessment of the functioning of the project activities in the context of implementation schedules and of the use of the project inputs by targeted populations in the context of design expectations. This is an internal project activity, an essential part of good management practice and therefore an integral part of day-to-day management" (Oakley & Clayton 2000:14).

Alternatively, academics such as Kusek & Rist, (2004:65) define Evaluation as the "systematic and objective assessment of an on-going or completed project, programme or policy, including its design, implementation and results. The purpose is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An Evaluation should provide information that is credible and useful, enabling the incorporation of lessons of experience into the decision-making process of both recipients and donors" (OSEP, 2003:21). Evaluations can be internal, conducted by someone within the organisation or external, conducted by someone outside of the organisation (often by a consultant).

From the literature, it becomes evident that there has been a shift from traditional M&E to Results-Based M&E (Kusek & Rist, 2004:65). In an attempt to respond to the ever pressing demands from external and internal stakeholders this new approach focuses on the "so what" question, what was the tangible results which occurred as a result of the intervention, in other words, are we making a developmental impact and or improvements (Kusek et al, 2004).

3.5. IMPLEMENTATION AND 5-C PROTOCOL

Brynard (2005:658) stated that in understanding implementation as a complex political process, rather than a mechanistic administrative one, the study of implementation becomes an attempt to unravel the complexity of the following policy as it travels through the complex, dynamic maze of implementation, to understand how it changes its surroundings and how it is itself changed in the process; and most importantly, to see how it can be influenced to better accomplish the goals it sets out to achieve. While the maze through which policy travels in the course of its implementation is unique to each situation, the synthesis of accumulated scholarship on the subject suggests that critical variables which shape the directions that implementation might take are identifiable. Consequently, variables emerge which are important causal factors for a multitude of scholars adhering to otherwise divergent perspectives (top-down or bottom-up), working on differing issues (e.g. environment, education), in different political systems (e.g. federal, unitary) and in countries at various levels of economic development (industrialised or developing).

Cloete and De Coning (2011:145) noted that the major findings of representative analytical research on implementation demonstrate that the scholarship on the subject is diverse, complex and broad. In their book, they state that the goal of the section is not to build a theory because at the moment a universally acceptable predictive theory is considered unattainable. Brynard (2005:658) identified the key clusters of explanatory variables that might allow a better understanding of implementation. The five interlinked variables, also known as the 5-C protocol, are the following:

- ✧ *The content of the policy itself – what it sets out to do, (i.e. goals) how directly it relates to the issue, how it aims to solve the perceived problem (methods);*
- ✧ *The nature of the institutional context- the corridor (often structured as standard operating procedures) through which policy must travel, and by whose boundaries it is limited, in the process of implementation;*
- ✧ *The commitment of those entrusted with carrying out the implementation at various levels to the goals, causal theory, and the methods of the policy;*
- ✧ *The administrative capacity of implementers to carry out the changes desired of them;*
- ✧ *The support of clients/ coalitions whose interests are enhanced or threatened by the policy, and the strategies they employ in strengthening or deflecting its implementation.*

Brynard suggests that the 5-C protocol can be used as a mechanism for understanding and make sense of the complex nature of implementation. This protocol provides for an approach that traverses the complexities associated with policy implementation due to the fact that it is informed by practical findings of policy scholars and the South African policy context in particular. Cloete and De Coning (2011:24) noted that each of the variables is linked to, and influenced by, the others depending to a varying extent on the specific implementation situation. The example cited is that of implementation capacity.

Implementation capacity is likely to be a function of all remaining four variables: policy content may or may not provide for resources for capacity building; the institutional context of the relevant agencies may hinder or help such capacity enhancements; the commitment of implementers to the goals, causal theory, and methods of the policy may make up for the lack of such capacity- or vice versa; or the coalition of actors opposed to effective implementation may stymie the capacity which might otherwise have been sufficient- here again supportive clients and coalitions may in fact enhance capacity.

Mculwane (2009:1) noted that Brynard's development of the 5-C protocol is primarily informed by the pioneering research conducted by the scholars of the Erasmus University Rotterdam in the Netherlands. In the decade of the 1990's and after, scholars pioneered research on the development of a network approach to the policy process building on the criticism levelled against networking as a viable theory of governance.

Mculwane (2009:1) stated that Klijn and Koppejan (2000:2) traced the origins of the network approach from distinctive and influential developments in the evolution of public management science. Klijn and Koppejan argued that it resulted from a realization that government is no longer the cockpit from which societies are governed and that policy processes generally are the result of a characteristic interplay between different actors in the policy arena. To this extent, Mculwane (2009:1) found that the network approach to policy rests on specific critical assumptions which included, inter alia, that public policy is made and implemented in very complex processes of interaction between a number of actors taking place in the context of interdependent networks, that the actors in the policy game are mutually dependent on each other as a result of which policy objectives can only be realized in the presence of sustained co-operation between the various actors and that collaboration cannot happen by itself and that for that reason it requires sustained skills in management and network constitution.

3.6. INSTITUTIONAL ARRANGEMENTS FOR M&E

Dobson (2002:7) define institutionalisation as the process whereby institutions evolve and develop, to the process of establishing structured and enduring patterns (of behaviour). With respect to policy (and policy evaluation) capacity, institutionalisation refers to the process whereby the capacities required to manage policy (and evaluation) become internalised and embedded in an organisational setting and in the broader macro-environment in a way that is sustainable over time organisations only become institutions when they are infused values. According to Cloete, Rabie and De Coning (2014:254), institutional arrangements for monitoring typically require:

- ❖ *An assessment of the state of institutional readiness;*
- ❖ *The development of M&E policy and procedures;*
- ❖ *Strong leadership understanding, support and commitment to the function;*
- ❖ *Buy-in, insight and support from managers;*
- ❖ *A progressive evaluation culture that is organisation-wide;*
- ❖ *Organisational and systems arrangements;*
- ❖ *Clarity on monitoring and related functions;*
- ❖ *Specific human resources arrangements;*
- ❖ *Capacity building and training;*
- ❖ *Sound intergovernmental relations; and*
- ❖ *Sound governance and participative arrangements.*

Kurt argues that “trying to build institutions, undertake administrative and civil service reforms, and revamp legal and regulatory codes—while at the same time establishing M&E systems—can be quite a challenge. However, it should be remembered that instituting M&E systems can help better inform and guide the government in undertaking needed reforms in all of these areas”. Instituting M&E systems can help better inform and guide the government in undertaking needed reforms in all of these areas.

3.6.1. PRINCIPLES AND INSTITUTIONAL ARRANGEMENTS FOR M&E

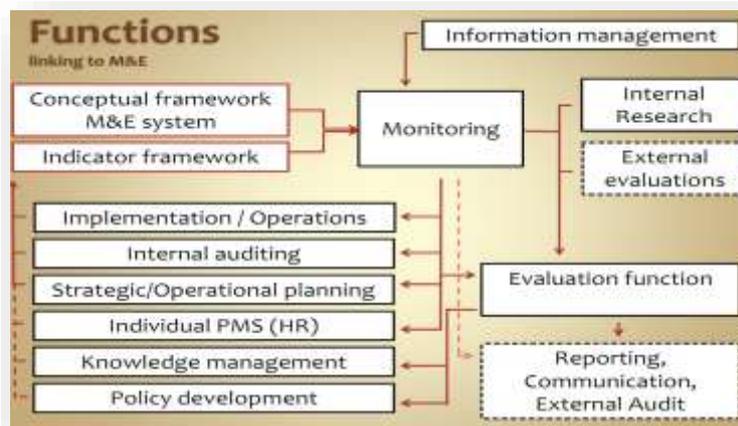
M&E is fundamental and useful to all development programmes but is also a demanding process that requires effective coordination from all stakeholders to ensure sustainability (IEG, 2012:22-23; Porter et al., 2012:124). According to Denvall and Linde (2013:431), M&E can be embraced, rejected and improve depending on the internal context of any organisation. Therefore institutional arrangements in any organisation are important to create a culture for M&E (Caribbean Health Research Council, 2011:118). This involves the development of functional M&E units including human capacity to provide relevant and valuable information to improve the programmes (Kusek & Rist, 2004:21; De Coning, 2014:252-253). This information should be routinely collected, analysed, reported and made available to both internal and external stakeholders (Kusek & Rist, 2004:22).

In liberal democracies and in developing countries such as the “cooperative governance” approach has become important and has assisted with cooperation between spheres of government but also cooperation between government, the private sector and civil society in development and evaluation initiatives (Cloete & De Coning, 2011:66-70).

The Centre for Learning on Evaluation and Results (CLEAR) conducted evaluation study to explore M&E systems of six countries in Africa including South Africa. The study found that the information from M&E is sometimes not taken into consideration (CLEAR, 2013:22). Findings from Mouton (2010:185) also conclude that very few M&E practitioners document their findings in South Africa. A proper information management system plays a significant role in M&E to ensure data quality control within organisations (Mehrotra, 2013:81). Countries and organisations should, therefore, take into consideration factors such as organisational role, responsibilities and capabilities to ensure sustainability of M&E (Kusek & Rist, 2004:40; Cloete, Rabie, De Coning, 2014:255).

Figure 17 below reflects that both KM and the information management functions of the organisation are concerned with capturing, collating, storing and ensuring access to information generated in the organisation. Additionally, KM has concerned with the translation” personal knowledge into formalised organisational knowledge, while information management concentrates on information management systems that protect the integrity of business an intellectual information and enables the organisation to perform its tasks more efficiently. All of these function are conducive to good information and KM and enhances the functionality of the M&E system (Cloete, Rabie & De Coning 2014:268).

FIGURE 17: FUNCTIONS LINKING TO M&E



Source: Cloete; Rabie; De Coning (2014:269)

The author raised the point to encourage readers' forward opinions with considerations to feed KM into 'monitoring' in the above Figure 18. Author argued that KM including reporting, R&D and KM all involve with policy and implementation, should be with 'mornitoring' as well, not only 'evaluation'.

3.6.2. INSTITUTIONAL ARRANGEMENTS AT ORGANISATIONAL LEVEL FOR M&E

De Coning (2014; 261) indicate the institutional arrangements at an organisational level, monitoring arrangements are typically managed and facilitated by a *permanent unit and staff*. M&E is fundamental and useful to all development programmes but also a demanding process that requires effective coordination from all stakeholders to ensure sustainability (IEG, 2012:22-23; Porter et al., 2012:124). It is not advisable to establish an M&E system on a part-time basis or in-house expertise. The M&E function is closely related to functions such as performance management, research, policy development, reporting and information management (Cloete & De Coning, 2011; 10-11, 2014:253).

It is, therefore, possible to conclude that institutional arrangements are indeed one of the pillars on which the establishment of M&E systems depend and that capacity-building support in priority areas are often of vital importance. In the final instance, it was shown that institutional development is not only about the *hard institutional issues* such as *organisational structure, professional staff and systems*, but also the soft institutional side namely that what lies underneath Mintzberg's water surface. *Soft issues* in the institutional arrangements for M&E may include the *commitment of leaders, the quality of policy and strategy, the management style of managers, the relationships between units of government, the corporate culture* towards evaluation practices as well as the *attitudes and approaches* of those involved. Ultimately, however, the *institutionalisation and sustainability* of M&E systems depend on the institutionalisation of *value* systems that support evaluation. This includes the "beliefs" in the values that underpin evaluation systems and may include values such as *transparency, accountability and integrity* that develop over time and show the true character of the system (Cloete, Rabie & De Coning 2014:254).

Mackay (2007:62) refers to sticks, carrots and sermons as three types of incentives that may be employed to implement and sustain the M&E system. "Carrots provide positive encouragement and rewards for conducting M&E and utilising the findings". The

establishment of new M&E units is an encouragement to conduct and use M&E findings “sticks include prods or penalties for ministries or individual civil servants who fail to take performance and M&E seriously”, which may include annual pressures from the Auditor General on the failure to implement proper M&E systems and supporting management information systems. It should be noted that from an institutional point of view, specific institutional capacities are needed during the various phases or related to key activities (Cloete & De Coning 2011:261-266).

Cloete & De Coning (2011:265) indicated that having M&E unit as part of the institution; such as establish M&E unit inside the organisation: where M&E unit located within the organisation; who will it report, directly to head of department (HOD) as a decision maker or just line management is considered as important issues. It is advisable that M&E systems are established by appointing a core unit with a manager and staff, from the beginning so that the M&E unit may be exposed to the various debates and considerations that emanate from the Readiness Assessment. Whether the actual Readiness Assessment is conducted by such a newly established unit or by an external facilitator who could be appointed to facilitate the Readiness Assessment, it is regarded as essential that the management responsibility for the establishment of the M&E system be clearly allocated. It is also important that the M&E manager is competent and able to champion the new function in the organisation. The organisational location of the M&E unit, as with policy, strategic planning and internal audit, should not be placed within the operations(line management)complex but as a support and strategic function, with independent lines of reporting to top management.(Cloete, Rabie & De Coning 2014:254).

3.6.3. INSTITUTIONAL ARRANGEMENTS AT HUMAN RESOURCE LEVEL FOR M&E

According to Cloete & De Coning (2011:266) indicated that key things is to ensure the human resource capacity to manage M&E unit including management capacity (with good managers), technical capacity (with technical staff), qualitative ability/capability (with people who can understand M&E, framework, people could utilise and manage indicators); Different people each department needed managers, technical staff; long term not short term to have ME unit and staff inside the organisation; Always have enough capable candidate for contingency plan.

It is advisable to establish an M&E unit with a core nucleus of at least two staff members from the beginning so that strong ownership of the function can be taken and so that dedicated capacity exist to facilitate and establish the M&E function as indicated in Figure 17. The manager is appointed that can champion and drive the function especially during the initial establishment phases as much orientation and promotion, as well as advocacy of the function is necessary. The M&E manager needs to have a good understanding of the M&E function and methodologies, a good understanding of the public sector environment (if it is an M&E unit in government) and M&E managers need to have a very good lateral knowledge of the business of government/civil society as well as of the subject-matter field at hand. In the case of government, the linkages between M&E and the function to be monitored may also relate to other departments (or organisations) in a transversal sense and cooperative arrangements in order to monitor joint results, require good intergovernmental relations (Cloete, Rabie & De Coning 2014:270). It is advisable to also appoint a good M&E practitioner/advisor to assist the above manager with the various tasks and activities as discussed in this Chapter to ensure that the manager has adequate capacity to fulfil his or her role. The M&E practitioner should also have a good grasp of the M&E function and methodologies and be able to facilitate workshop discussions and converse with specialists and managers on content at various levels.

Cloete, Rabie & De Coning (2014:271) indicated that once established, M&E units soon also develop the need for more statistical, information management and data-collection expertise in order to manage the regular publication of monitoring reports. Networking skills and good interpersonal relationships are necessary qualities for M&E staff as the function is interdependent on high levels of cooperation in- and outside of the organisation. Other expertise needs to be sourced and service level agreements need to be made with for example ICT, marketing and communication. These human resources are normally found in support units outside of the M&E unit/contracted to the organisation; it is also important to ensure that staff retention receive attention as a high turnover of staff may lead to inconsistent processes and relationships. Human resource retention strategies are necessary. As a new function, M&E may have a particular challenge in this area as relatively few experienced staff exists at this stage in the country and as high mobility of professionals in this field is evident (Cloete, Rabie & De Coning 2014:271).

3.6.4. INSTITUTIONAL ARRANGEMENTS AT SYSTEM LEVEL FOR M&E

Results-Based M&E goes beyond traditional implementation-focused M&E in including the assessment of outcomes and impacts (Rabie, 2011:2). This is further illustrated in the designing of an M&E system. Kusek and Rist, (2004:12) conorganisations this when they articulate that “ building an M&E system essentially adds that fourth leg to the governance chair, which is the feedback component with respect to outcomes and consequences of governmental action”. It provides decision-makers an additional performance management tool enabling them to track the consequences of action (Görgens & Kusek, 2009:5).

A Results-Based M&E is an exercise to assess the performance of an institution, a programme or a project, on the basis of the impacts and the benefits that the institution or programme/project is expected to produce. According to Gebremedhin, Getachew and Amha (2010:1), Results-Based M&E deal with the measurement and assessment of performance in order to more effectively produce results (outcomes). It also ensures that efforts are translated into changes in the lives of project beneficiaries and their environment. RBM&E can provide vital and sometimes unique information about the performance of projects/programmes/policies.

Results-Based M&E is often seen as a dynamic tool for planning and budgeting, improving performance and achieving results. Kusek and Rist (2004:1), elucidated that:

“...[R]esults-Based M&E is a powerful public management tool that can be used to help policymakers and decision-makers, track progress and demonstrate the impact of a given project, program, or policy.”

Kusek and Rist also noted that Results-Based M&E is very different from the more traditional implementation-focused M&E. Results-Based M&E goes beyond an emphasis on inputs and outputs to a greater focus on outcomes and impacts. The main goal of result-based M&E is to achieve outcomes that are relevant to the organisation and both its internal and external stakeholders (Kusek & Rist, 2004:1).

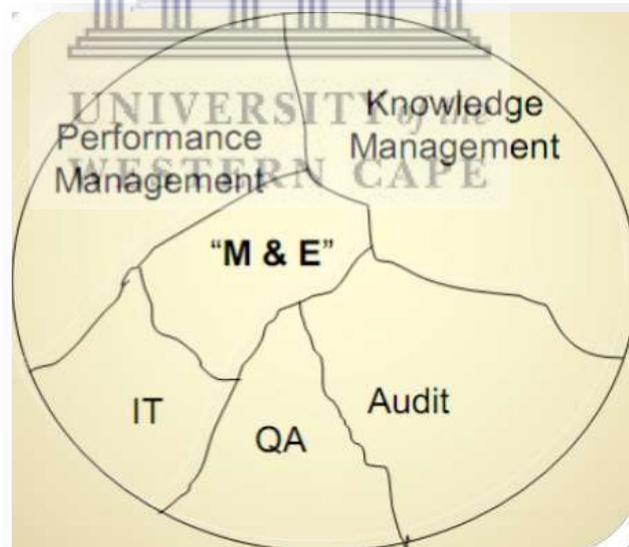
There exist many other forms of M&E systems, namely; Results-Based M&E, Participatory M&E, Performance-Based M&E and the more traditional implementation focused M&E which is only designed to address compliance. For the purpose of this research, Results-Based M&E would be discussed.

3.6.5. M&E AND PERFORMANCE MANAGEMENT

According to Kusek, et al., (2004:65) and Immas & Rist, (2009:1), performance management can be defined as “A process which contributes to the effective management of organisational performance. As such, it establishes shared understanding about what is to be achieved and an approach to leading and developing people which will ensure it is achieved”. The approaches of Kusek & Rist, as well as Immas & Rist, have had a powerful impact on theories, approaches and methods concerning Results-Based M&E. M&E, although one tool, need to be conceptualised as individual entities if we were to give justice to the authoritative role each part of the tool plays. However, there is no single definition of M&E, although the literature draws on common features of Programme M&E.

During the 1980s and 1990s, there has been an increased emphasis on “performance “as an imperative in public sector theory and practice. This was further reinforced by the advent of globalisation which placed increasing pressure on Governments and NGOs to demonstrate performance in their development initiatives.

FIGURE 18: M&E ACTIVITIES CLUSTER FOR ORGANISATIONAL PERFORMANCE



Source: De Coning & Babie (2014:42)

The most explicit level in the policy-making cycle is that of the level of activities. Specific activities that lead to realising the goals and objectives are implemented and defined on this level. These activities should be defined explicitly so that they can be implemented. The

performance indicators of activities are equally explicit. Performance indicators need not just be the result of activities or about the outcome. One may also refer to input, throughput and output activities for monitoring purposes. It is the results that count and should be evaluated ultimately and not exclusively in terms of input, throughput and output. A zero-measurement needs to be established for all indicators so that when activities are being evaluated after a specific period, performance can be compared with the situation at the beginning of policy implementation or programme so that the effectiveness and efficiency of the policy can be established. Target measures should be defined with which the actual performances can be compared in order to determine whether the progress of a policy is occurring as planned (Oakley & Clayton, 2000:14).

Performance indicators which are predetermined are used to measure the performance of a policy. Each step in the policy-making cycle has its own performance indicators, which range from very general to the outcomes, to very specific for the activities. Performance indicators are necessary for evaluation of the outcome of a policy as well as planning and control of a policy. Policy managers need performance indicators to steer the process and to secure processes as well as performance. Performance indicators can thus refer to input, process, through input and output.

Defining performance indicators has far-reaching consequences for a policy. A performance indicator has the capacity to shape policy and its outcome. The successful implementation of a policy is dependent on the use and formulation of the performance indicator. Good performance indicators and their definitions are the most complicated part of policy-making. Common mistakes are to use activities such as workshops or conferences as indicators of performance. These activities are only measures of output and are used to bring about an effect rather than being an end. This effect of the policy is what the evaluator wants to measure using a performance indicator. The policy-maker, official and the public want to know whether the aims and goal of a policy were achieved as opposed to what activities have taken place. It should inform the principal actors in policy-making about the impact of the policy. This impact is what performance indicators should capture.

3.7. CHALLENGE TO ESTABLISH M&E SYSTEM AND IMPLEMENTATION IN DEVELOPING COUNTRIES

Brynard (2005:655) highlighted the point that although Western Europe and North America appeared to have gaps in their implementation theories the two continents are working closely with one another to fill these gaps. However, there seem to be assumptions

relating to whether the implementation theories in the developed world would have bearing on the developing world. Brynard, however, stated that the always implied, often unstated, never actually tested, and practically unchallenged assumption that not only local conditions but the very process through which implementation occurs are fundamentally different in developing as in industrialised societies.

Implementation means transaction. To carry out a program, implementers must continually deal with tasks, environments, clients and each other. The formalities of organisation and the mechanics of administration of administration are important as background, but the key to success is continually coping with contexts, personalities, alliances and events. And crucial to adaptation is the willingness to acknowledge and correct mistakes, to shift decisions, and to learn from doing. Nothing is more vital to implementation than self-correction; nothing is more lethal than self-preservation.

Kusek and Rist (2004:42) argue that the challenge of designing and building a Results-Based M&E system in a developing country is difficult and not to be underestimated. ...All countries need good information systems so they can monitor their own performance—Demand for and ownership of such a system... Difficulties in cooperation and coordination can impede progress toward strategic planning, too. Indeed, lack of sufficient governmental cooperation and coordination can be a factor in both developed and developing countries; The World Bank and African Development Bank study found that: “... the key constraint to successful M&E capacity development in Sub-Saharan Africa is lack of demand. Lack of demand is rooted in the absence of a strong evaluation culture, which stems from the absence of performance orientation in the public sector” ... “Evaluation is seen as a tool to correct policy and public expenditure programs through more direct linkages to the National Development Plan and the resource allocation process”... Given the particular difficulties of establishing M&E systems in developing countries, adopting an enclave or partial approach, in which a few ministries or departments first pilot and adopt M&E systems, may be preferable. Kusek and Rist (2003:15) in the Readiness Assessment recommended that—where some evaluation capacity already exists—be supported as a potential model for eventual government-wide implementation of a Results-Based M&E system.

3.8. SUMMARY

This Chapter revealed the concept of institutional M&E well as functions related to M&E, with ten steps frameworks to establish Results-Based M&E (RBME) system.

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- ❖ It is concluded that the relationship between KM, M&E and policy development as well as related contexts are therefore of importance, and M&E may hold particular value in relation to the improvement of KM in a systems context.
 - ❖ From the literature review on M&E, it is clear that sound methodologies exist to establish M&E systems but also to develop monitoring frameworks with ToC and these specific issues will receive further attention in Chapter 8.
 - ❖ It should be acknowledged that there is limited literature on theoretical perspectives on developing indicators that are published in peer-reviewed articles. As a result, the researcher relied on handbooks, government and organisation's reports on M&E. In addition, sources published over the past 20 years containing valued information on Results-Based M&E were considered for this study.

The succeeding Chapter will present the theoretical perspectives on sustainability of partnerships with the emphasis on the need for KM and M&E.



CHAPTER FOUR: SUSTAINABILITY OF PARTNERSHIPS WITH AN EMPHASIS ON THE NEED OF KM AND M&E

“A successful partnership enhances the impact and effectiveness of action through combined the more efficient use of resource; promotes innovation and is distinguished by a strong commitment from each partner.”- (OECD, 2014)

“If you want to go quickly, go alone; if you want to go far, go together.”

- (Africa proverb)

4.1. INTRODUCTION

This Chapter will overview the theoretical conceptual perspectives on a partnership with an emphasis on the need for knowledge management (KM) and monitoring and evaluations (M&E). The literature review will examine the different definitions and theoretical frameworks and provides the researcher’s position that will be adopted in the study. The following areas are explored:

- ❖ *Nature and origin of partnership-related terms different theories, models and in the field of partnership with emphasise on KM and M&E approaches;*
- ❖ *Institutional partnership and project sustainability. Enhance capacity building through partnerships with emphasis on the need for KM and M&E;*
- ❖ *Challenges and opportunity for partnerships with lessons and experiences of KM and M&E in other partnerships elsewhere in the world.*

Existing data and comparative experience findings that have been produced in previous research on KM and M&E in partnership and SEP development programme. Measuring instruments (interview outlines, scales and indices) that have been developed to measure the extent or scope of this study.

4.2. CONCEPTUAL APPROACHES TOWARDS PARTNERSHIPS AND RELATED CONCEPTS

The partnership literature has not explored the contrasting set of factors that Astley and Van de Ven (1983:245) would consider as structural or relatively predetermined by resources and social structures in partnership environments. To extend Astley and Van de Ven’s (1983:270) analysis, structural explanations of partnership would suggest that their behaviour is neither entirely emergent nor freely negotiated. Instead, preexisting, relatively fixed elements of partnership environments tend to shape inter-organisational choices, behaviour, and outcomes. Examples of structural influences on partnership would include the internal organisational systems of partners and important external stakeholders, such

as donors, governments, and communities.

4.2.1. THE PRINCIPLES OF PARTNERSHIPS AND A WORKING DEFINITION

According to Fowler (2003:254); Hauck & Land (2000:1-2); Hardman (2002b:1) propose that there are principles that distinguish partnership from any other form of collaborative relationship. These may be summed up as follows:

- ✧ *Partnership is a bond that unites members of a group working together;*
- ✧ *A partnership and its members have common objectives;*
- ✧ *There are mutual trust and respect between members of a partnership;*
- ✧ *Partners are accountable to each other and the partnership;*
- ✧ *Partnership implies a sustained relationship over a longer period of time;*
- ✧ *There is sharing of resources in a partnership and sharing may be done in an equal or equitable way, and therefore there are benefits in belonging to a partnership.*

While the above authors agree that there are principles that define the partnership, there is very little agreement on these principles. The list above is thus a collation of principles (and by no means an exhaustive one), which remains open for debate. One can continue mining the literature on partnership indefinitely to find a definition that is acceptable to all. A useful, working definition of partnership is proposed by Mohiddin (1998:3). He suggests:

“... [P]artnership is the highest stage of working relationship between different people brought together by a commitment to common objectives, bonded by long experiences of working together and sustained by subscription to common visions.”

4.2.2. COLLABORATION AND COORDINATION

UNDP (2014:6) define that coordination is a technique of social interaction where various processes are considered simultaneously and their evolution arranged for the optimum benefit of the whole. An institution constitutes humanly devised constraints that structure human interaction. They are made up of formal constraints (rules, laws, constitutions), informal constraints (norms of behaviour, conventions, and self-imposed codes of conduct), and their enforcement characteristics. Institutional arrangements refer to the policies, procedures and processes that countries have in place to legislate, plan and manage the execution of development.

4.3. PARTNERSHIP SYNERGY AND TYPES OF PARTNERSHIPS

Partnerships are widespread and are established to address a variety of economic, social, Health, educational, development and service delivery goals (Hardman 2002b: 22 and Seddon, Billet and Clemans, 2004: 127). They recognise that some goals are only attainable through combining the unique capabilities, networks and resources of different 'base' partners (Sommerlad, Duke and McDonald, 1998: 93). Partnerships provide institutions with a way to increase their business advantage and sustainability through better competitive positioning; improving their capacity, resource and funding bases; and focusing on their areas of strength rather than trying to do everything (Sommerlad et al., 1998: 9, 18 and 27; Jaff, Gewer, Fisher and Wickham 2004:73 and 90). They are also a means to improve the relevance of education and training, increase and widen access, reduce unemployment and contribute to social and economic development.

Partnerships bring many benefits that other kinds of relationships do not, like the possibility to combine competencies and assets and thereby achieve economies of scale (Sommerlad et al. 1998:18). A regularly cited benefit is that they generate synergy.

Synergy includes “policy synergy, which uses partners' differences to create better solutions, [or] resource synergy, which is generated by producing efficiencies or by opening up new funding opportunities” (Hutchinson and Campbell 1998: 2).

Given that sport exchange programme (SEP) development partnerships are seen to contribute to the social well-being social partnership and other partnership-types are clarified in the next sub-section.

4.3.1. SOCIAL PARTNERSHIPS

The term 'social partnership' is used in the literature to describe a broad range of partnerships that focus on addressing social and economic needs through community development or service delivery interventions (Seddon & Billet 2004: 10-11). They are usually based on relationships between government, community groups and nongovernment development organisations. Vocational education and training social partnerships are considered a subset of the broader range and address community issues and needs through educational interventions like school-to-work programmes for youth-at-risk or job-creation programmes for unemployed people.

Seddon and Billet (2004:15-17) distinguish between 'community' and 'enacted' social partnerships with the former being initiated by communities and the latter by external

agencies. Social partnerships are seen to have accountabilities in two directions: to their sponsors and/or enacting agency, and to the communities, they represent or serve.

4.3.2. PARTNERSHIPS IN INTERNATIONAL RELATIONS (IR)

Partnerships in international relations are engagements between states deliberate to establish mutual relationships that do not generate formal legal liabilities (Ng, 2013:1). Buckup (2012:1) classifies partnership as a working relationship that is characterised by a shared sense of purpose, mutual respect and the willingness to negotiate ‘with the emphasis on the values and principles espoused by those in a partnership endeavour. Lister (2000:228) and Sithole (2013:23) characterise the following feature and principles being amongst the elements that should be present for a successful partnership:

“...[M]utual, trust, complementary strengths, reciprocal accountability, joint decision- making and a two way exchange of information; clearly articulated goals, performance indicators and mechanisms to measure and monitor performance, clear delineation of responsibilities and a process for adjudicating disputes; mutual support and constructive advocacy; and long-term commitment to working together, recognition of other partnerships.”

4.3.3. PARTNERSHIPS IN SPORT

In 2015, UNESCO’s International Charter of Physical Education, Physical Activity and Sport of 2015 highlights in Article 1.1:

“.....[E]very human being has a fundamental right to physical education, physical activity and sport [...]”, and in Article 1.2:“The freedom to develop physical, psychological and social well-being and capabilities through these activities must be supported by all governmental, sport and educational institutions” (UNESCO, 2015).

With these premises, the sport has gained great relevance in the social context and supporting sport activities by governments, public authorities, schools and relevant private organisations have become a priority, also in the higher education Sector. A range of challenges impact on higher education institutes, such as shrinking financial resources, demographic changes among the student population, and the need to attract students and remain engaged with the community (Kogan, Bauer, Bleiklie & Henkel, 2006:1; Shapiro, 2005:1).

As these aspects are ever more relevant, the adoption of sport partnership appears as one

strategy to overcome these constraints, through reinforcing resources of a diverse nature. In fact, cooperation in the sport context is a frequent and habitual phenomenon: due to its social dimension, a sport usually requires the interaction of a number of actors and groups, at both the informal and formal level (Wäsche, 2015:542).

However, the nature of partnership in sport is different from those encountered in traditional industrial settings (Wolfe, Meegaghan and O'Sullivan, 2002:611). What predominantly distinguishes sport partnership is the involvement of public institutions and non-profit associations, so that commercial or business-related objectives recede into the background. In fact, Babiak (2007:339) found legitimacy, stability, reciprocity and efficiency as prevailing motives for sport partnership. Zagnoli and Radicchi (2010:1532) and Woratschek, Horbel and Popp (2014:6) proposed that value creation in sport management should embrace a process of interacting social actors integrating different resources. Nevertheless, knowledge of what particularly drives sport partnership in the public sector and makes them effective is scarce, above all concerning the underlying resourced-related success factors at the core of this research.

4.3.4. KNOWLEDGE-BASED PARTNERSHIPS

According to Wäsche et al., (2015:542), Knowledge-based partnerships are associations and networks of individuals or organisations that share a purpose or goal and whose members contribute knowledge, experience, resources, and connections, and participate in two-way communications. They thrive when there is a strategic, structural, and cultural fit, and when members embrace a collaborative process, behave as a coherent entity, and engage in joint decision making and action. All knowledge partnerships have unique histories, drivers, and personalities. However, there is no one-size-fits-all structure for setting up and managing a partnership. In evaluating a strategic alliance and/or interagency partnership, particular attention should be paid to the following:

- *Complexity of activities envisaged in the relationship (are they achievable);*
- *long-term commitment on both sides;*
- *the risk to reputations of each institution;*
- *Staff engaged in the development of the partnership from the start; and*
- *Staff identified and supported in implementing the activities.*

4.4. INSTITUTIONAL PARTNERSHIP AND PROJECT SUSTAINABILITY

As development interventions are delivered by institutions, institutional sustainability has come to be seen as essential to sustainable development (Bell & Morse 2000: 65). In a context of limited funding, strong institutions are viewed as the means to sustainable development initiatives and outcomes after an aid agency withdraws. Furthermore, when the focus of sustainability is on institutions it is easier to measure because these are definable entities with boundaries and their sustainability can be based on measurable factors like financial self-reliance.

4.4.1. SUSTAINING DEVELOPMENT PROJECTS IN PARTNERSHIP

Partnerships are understood in this study to be complex dynamic systems that operate in specific contexts or environments which affect their development, effectiveness and sustainability.

The discussion and analysis of partnership as context-bound systems that follow draw on Patton (2002: 4), Bell and Morse (2000: 80-109) and Nchabeleng (2000: 15-27). When a partnership is viewed as a system it is understood to consist of a number of interrelated parts, processes and relationships that combine in a dynamic way to form the whole which is more than the sum of its parts.

4.4.1.1. Understanding and measuring sustainability

'Sustainability' is a notion which, according to Bell and Morse (2000:3), has achieved "Olympian proportions in all brands of ecology, rural development, institutional continuance, city and nation-building" (2000: 151). These authors note that attracting development funding is difficult "unless the words 'sustainability' or 'sustainable' appear somewhere in the proposal to the funding agency" (2000:3). 'Sustainability' shares similarities with 'partnership' in that it has become a rhetorical term that is seen by some to lack substance (Bell & Morse 2000: 3).

Central issues that arise when considering sustainability are: how one knows when it has been achieved, and how to measure it. Sustainability is a complex phenomenon and its precise meaning varies according to what it is being ascribed to, who is using the concept and in what context (Bell & Morse 2000: 5). A thing or effort can be described as sustainable as can an outcome, and sustainability is used in reference to things like cities, institutions or outcomes like development. Sustainability can thus refer to the 'means-to-the-end' or the 'end' but each is considered distinct from the other (Bell & Morse 2000: 66). This research

is primarily concerned with the sustainability of partnership as a means-to-amend.

The Shorter Oxford English Dictionary on Historical Principles defines 'sustain' as, "To keep going, keep up (an action or process); to keep or maintain at the proper level or standard; to preserve the status of' and 'sustainable' as, "supportable; maintained" (Little et al 1973: 2205). In terms of these definitions when something is sustainable it has the potential to be kept going or maintained at a certain level or standard. To be practically useful, though, this definition needs further qualification. Importantly, the thing or effort that is being sustained needs clarification as does the level or standard of which it is to be sustained.

For Bell and Morse (2000: 12-15) to develop an understanding of sustainability, questions about spatial and time scales, and about quality first, need to be answered as these provide the context in which sustainability occurs. The spatial scale concerns the scope of the thing or effort being sustained and timescale relates to the period over which sustainability is expected to be achieved. Quality is concerned with what sustainability might look like in relation to the thing or effort being sustained. This is considered more difficult to define because it is subjective and depending on their perspective, one person could see quality increasing while another could see it decreasing.

Morse and Bell (2000: 3 & 10) note that while sustainability may be difficult to define, some definition of the sustainable state being sought is needed or at least of the key factors that may decline or increase on the path to sustainability. Sustainability indicators are used as a way to gauge sustainability as these can give a sense of whether things are getting better or worse.

Although Bell and Morse (2000: 30) support the use of sustainability indicators, they stress that something as complex and subjective as sustainability cannot be reduced to a few objective measures. They note that if sustainability indicators are to be used they need to be based on "key components and interactions that represent the system as a whole" and that different interpretations of sustainability need to be acknowledged in the measurement process (2000: 18). Another matter to consider in relation to sustainability is whether the benefits of this outweigh the costs which might be financial, economic, environmental or moral (Bell & Morse, 2000:155).

The issue of case study to analyse and measure sustainability in relation to partnership in SEP is discussed further in the section and Chapter 6.

4.4.1.2. Sustaining development projects in partnership

Even with a focus on institutional and project sustainability, research shows that development interventions are inherently difficult to sustain without external funding because these generally target resource-poor environments (Bell & Morse, 2000: 66). Bell and Morse (2000: 66) report on an evaluation of World Bank projects which found only 52 percent of these to be sustainable and a similar evaluation of United States Agency for International Development projects that found only 11 percent to be sustainable. The literature also shows that sustaining enterprise education initiatives in the long-term without donor support is extremely difficult. A comparative study of nineteen technical and vocational education and training projects implemented in Jamaica and The Gambia over sixteen years found that even successful projects became unsustainable when the donor-supported phase ended (Gamble, 2003a: 39).

Development organisations are clearly in a catch twenty-two situation in relation to institutional and project sustainability. Donors expect them to become self-reliant but they have limited means to generate income because their target beneficiaries are poor people. The drive for financial sustainability can result in organisations ceasing to provide services to those most in need due to their inability to pay for these and thereby invalidate their development objectives (Bell & Morse, 2000: 70).

4.4.2. PARTNERSHIP SUSTAINABILITY

To be worthwhile the investment of time, effort and resources in a partnership need to be balanced by the benefits attained (Seddon & Billet 2004: 25; Sommerlad, Duke and McDonald, 1998: 82). Partnership, however, often do not meet expectations and their costs are reported to frequently outweigh their benefits (Tennyson and Wilde 2000:2).

The literature shows that partnership gains are often tied to longevity, and sustainability is thus a key factor in their success. Seddon and Billet (2004:25), for instance, point out that social partnership needs to be durable to achieve their development goals and Hauck and Land (2000:13) draw attention to the fact that the costs invested in a partnership are only recovered over time. Much effort usually goes into partnership start-up and benefits are often only generated once this phase is complete and implementation is in progress. However, once a partnership is established and operating effectively it has the potential to generate ongoing benefits through expanding or embarking on new projects. Hence, from an efficiency point of view, it is better to develop sustainable partnership than to constantly start new ones.

Balis and Melchior (2004:2) note that sustainable partnership allows partners to "avoid wasting time and energy on repetitive searches, introductions, and project growing pains" and to "focus on developing activities". Ultimately, any partnership needs to be sustained long enough to deliver benefits that exceed its costs, for it to be worth its while.

Framed by the understanding developed in partnership, the next section provides an overview of partnership stages in the context of development.

4.4.3. PARTNERSHIP STAGE OF DEVELOPMENT

According to Hauck and Land (2000: 10-13), partnerships are most effective when partners have a strong value base and have a similar conceptual understanding of the proposed project or problem. Similar interests and needs furthermore contribute to the success of partnerships. They argue that when partners identify the strengths and capabilities they bring (individually) to the partnership and recognise the strengths and capabilities of the other partners, the partnership is strengthened.

The partnership stage of development and evaluation domains sorted by capacity, operation and expectations/outcomes. First identify where the partnership is in terms of its stage of development, expectations and outcomes. It is important to probably identify additional areas for evaluation that are unique to partnership and evaluating the processes that are necessary to support the outcomes when it comes to explaining the results (Jernigan, 2010:33). Researcher proposes that Shandong-WCG partnership presented in this study seen to be at building stage, there is room for further more attention to be developed and upgraded into maintenance stage level.

4.5. PARTNERSHIP FRAMEWORK

To understand a partnership system and the factors that enable it to achieve effectiveness and continuation, the analysis needs to take account of system relationships, interactions and dependencies and the effect of these on the functioning of the whole partnership.

Additionally, the context within which the partnership operates needs to be examined with a view to how this impacts on it. Part of this analysis should include a consideration of the boundary between the partnership and its environment and the interactions that occur across this. A holistic approach to analysis keeps the whole system in perspective at all times while at the same time investigating the parts, processes, relationships and interactions that

combine to form it. It is a continuous downward and upward analysis process.

4.5.1. PARTNERSHIP SYSTEMS

Building on the literature (in particular Seddon & Billet 2004:5, Callan & Ashworth 2004:10; Sommerlad et al.,1998:93; Hauck & Land 2000:10; Nchabeleng 2000:15), this research understands the partnership system as consisting of *two* mutually inclusive sub-systems, the *relationship* between the partners and the project or *activities* they are engaged in. The success and sustainability of a partnership as a whole depend on the success and sustainability of both the relationship element of a partnership and its activities. To their detriment, partnerships often focus all their attention on their combined activities and neglect the relationships that form their partnership. If the relationships on which a partnership is founded develop problems though, its continuation could be threatened.

FIGURE 19: PARTNERSHIP SYSTEMS



Source: Taylor (2009:32)

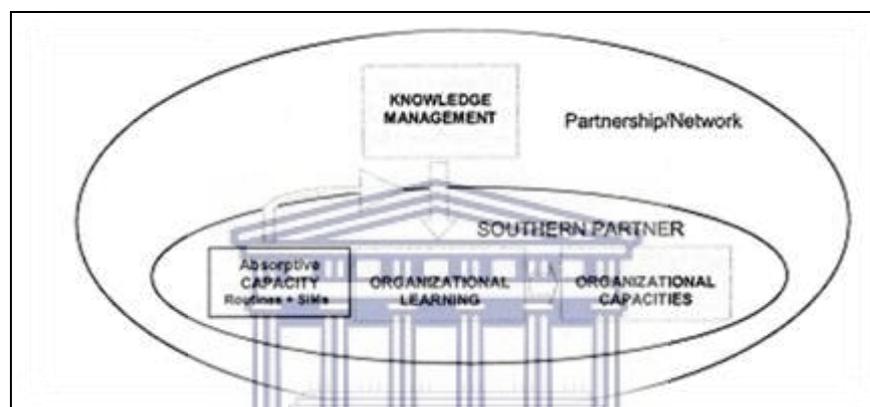
Figure 19 above summarised the partnership system consists of two sub-systems, its *relationships* and its *activities*, and develops in the context of a broader environment. Furthermore, sustainable partnerships are built over time and go through different phases with the earlier phases providing the foundation for sustainability. This understanding of partnerships frames the discussion that follows on relationship between KM, organisational learning and capacity development in partnerships.

4.5.2. KM, ORGANISATIONAL LEARNING AND CAPACITY DEVELOPMENT IN PARTNERSHIP

Organisational learning refers to the acquisition of knowledge by organisations (Maier, Prange & Rosenstiel, 2001:14), with learning to correspond to the acquisition process and organisational knowledge to the output of this process. Considering that knowledge is initially created on the individual level, organisational learning implies the

institutionalization of individuals' and groups' learning, a process by which such learning is reflected and embedded into the organisation's attributes; that is, its procedures systems, structures and strategy (Crossan, Lane & White, 1999:522). Organisational knowledge now corresponds to the knowledge institutionalised in the organisation's attributes. Moreover, the social perspective of knowledge would also lead us to add to this largely explicit knowledge, the explicit and especially tacit collective knowledge embedded in organisational routines (Nelson & Winter, 1982:1; Tsoukas, 2000:104) and disseminated to members via the organisation's various communities of practice (Wenger,2000:225).

FIGURE 20: RELATIONS KM, ORGANISED LEARNING AND CAPACITY DEVELOPMENT



Source: North-South partnership, Boucher and Roch (2016:407)

The model, which is part of the KM approaches, begins by establishing the organisational level relationship between the concepts of capacity development, organisational learning, and KM. Within this framework, organisational capacities are defined as collections of routines (Winter, 2003:991) that, with certain inputs or specific resources, make it possible to carry out, integrate, and coordinate the tasks required by the production of outputs corresponding to predetermined criteria. They constitute the know-how that enables an organisation to carry out its activities (Dosi, Faillo & Marengo 2008:1165).

For its part, the concept of organisational learning refers to the acquisition of knowledge by the organisation (Maier Prange and Von Rosenstiel, 2001:14), with learning corresponding to the acquisition process and organisation knowledge to the output of this process. Considering that knowledge is initially individuals' and groups' learning, a process by which such learning is reflected and embedded into the organisation's attributes; that is, its procedures, systems, structures and strategy (Crossan, Lane and White, 1999:522). Organisational knowledge now corresponds to the knowledge institutionalised

in the organisation's attributes. Moreover, the social perspective of knowledge would also lead to add to this largely explicit knowledge, the explicit and especially tacit collective knowledge embedded in organisation routines (Nelson & Winter, 1982:1; Tsoukas 2000:104) and disseminated to members via the organisation's various Communities of practice (Wenger,2000:225).

As a result, organisational learning as a process of routine acquisition can be considered to underpin organisational capabilities (Winter, 2003:991).Four organisational learning mechanisms have been associated with capabilities development, namely:

- ✧ *Repetition or accumulation of experience (Zollo & Winter, 2002:339);*
- ✧ *Experimentation and exploration(Helfat & Peteraf, 2003:997) with the example of R&D;*
- ✧ *Knowledge articulation, which corresponds to a form of collective learning and occurs when individuals express their opinions and beliefs, constructively confront their interpretations(Zollo & Winter, 2002:350), and develop shared understanding and joint actions; and lastly*
- ✧ *Codification, which results in an artefact (document/product) reflecting shared understanding.*

Lastly, KM relates to the management of organisational learning (Easterby-Smith & Lyles, 2005:1-15). It refers to activities such as capture, sharing, dissemination, and supporting knowledge application which facilitate the knowledge process in the organisation (Dalkir, 2005:1). By making knowledge available and supporting its use, KM process foster organisational learning because they facilitate the functioning of transfer an creation process, which make it possible to reuse and renew organisational knowledge (Boucher & Roch 2016:406).

Having established the conceptual terms, the following sections develop the analytical framework for researching the case study of partnership as the comparative experience of other partnership elsewhere in the world.

4.6. THE COMPARATIVE EXPERIENCE OF KM AND M&E IN OTHER PARTNERSHIP ELSEWHERE IN THE WORLD

4.6.1. SOUTH-SOUTH COOPERATION

South-South Cooperation has been increasing dramatically over the last thirty years Knowledge Management for South-South and Effective Development Cooperation UNDP's

external KM efforts closely align and directly tie in with UNDP’s Global Support to South-South and Triangular Cooperation the Strategy which “focuses on evidence-based research and analysis and global knowledge sharing of scalable Southern solutions for sustainable human development”. (NeST, 2015:11).

UNDP (2014:9) through its Regional and Global Policy Centres and with support of the South-South Task Team in collaboration with the UN Office of South-South Cooperation – support country offices in responding to demands for knowledge from SSC partner countries through clearly established strategic niches and business models, facilitating South-South learning and developing strategies for engaging regional institutions and intergovernmental forums. UNDP further promote knowledge-sharing as part of the Effective Development Cooperation agenda and as a means to help countries and institutions to learn from each other, to create visibility for their experiences and successes and strengthen them in their role as suppliers of development solutions; UNDP, in particular, emphasises the role of its Global Centres of Excellence as knowledge brokers that can connect solution seekers with providers and transmit existing practical knowledge and expertise from practitioners. Proposed Project: “Global South-South Knowledge Exchange platform for Scalable Southern Solutions.

FIGURE 21: INDICATORS TO MEASURE QUALITY OF SSC PARTNERSHIP

Dimension	Inclusive national ownership	Horizontality	Self-Reliance & Sustainability	Accountability & Transparency	Development Efficiency
Indicators	Multi-stakeholder partnerships	Mutual benefit	Capacity building	Data management & Reporting	Flexibility & adaptation
Indicators	People-centred inclusivity	Shared decisions & resources	Knowledge & technology transfer	M&E systems	Time & Cost efficiency
Indicators	Demand-driven	Trust & Solidarity	Use country systems & human resources	Transparency & access to information Mutual	Internal & external coordination
Indicators	Non-conditionality	Global political coalitions	Domestic revenue generation	Accountability & joint reviews	Policy coherence for development

Source: NeST (2015:11)

The above framework presents a new set of 20 indicators, organised in 5 dimensions, which researchers, evaluators and policy-makers can use to assess the quality and effectiveness of SSC and its contribution to sustainable development. Figure 20 derived that knowledge & technology transfer and M&E system as part of key indicators, has been adopted by partner countries as a result of the SSC activities, as well as the strengthening of national capacities (both people and institution) at global level. Accountability & transparency as one of the 5 important dimensions assumes that SSC partners possess a sound information/knowledge

management system and a strong M&E system for the regular review of SSC activities, which will support accountability (based on goals and standards agreed upon by the partner countries at the outset of their engagement). Partners should also publicise necessary information on SSC in such a manner that it is not only available but also useful and easily accessible by all stakeholders. Here accountability is also informed by multi-stakeholders, such that mutual accountability expands to become multiple accountabilities.

4.7. SUCCESS FACTORS FOR INTER-ORGANISATIONAL SPORT EXCHANGE

Regarding success factors in inter-organisational partnerships, there is a reasonable theoretical and empirical body on this subject, but mostly focusing on the private business sector (e.g. Bronder & Pritzi, 1992:416; Lajara, Lillo and Semper, 2003:61; Ariño, 2003:66; Shah & Swaminathan, 2008:485; Lunnan & Haugland, 2008:545; Franco & Haase, 2015:168). Previous studies suggest that partner selection is a crucial aspect of running cooperation (Elmuti & Kathawala, 2001:207; Ireland, Hitt and Vaidyanath, 2002:413; Chen, Lee and Wu, 2008:49; Franco, 2010:267). As for frequently cited success factors, Shah and Swaminathan (2008:490) found trust, commitment and complementarity as key determinants of inter-organisational partnerships' performance. In fact, a large number of scholars have identified trust between partners as a main factor helping to minimise uncertainties, reduce the threat of opportunism and determine the partnership's continuity (Gulati, 1995:85; Teng & Des, 2008:725; Hoffmann & Schlosser, 2001:357; Elmuti & Kathawala, 2001:208; Wuyts & Geyskens, 2005:103; Schumacher, 2006:259; Swoboda, Meierer, Foscht and Morschett, 2011:275).

Again, a high degree of commitment can also prevent partners from Behaving in a manner that is harmful to the outcomes of the partnership (Schumacher, 2006:265; Robson, Katsikeas and Bello, 2008:660). In this respect, the presence of a prior history of cooperation increases trust and limits the perception of expected opportunistic behaviour (Beckman, Haunschild and Phillips, 2004:259).

Experience in the specific area of the partnership also facilitates identifying the Right partner. Moreover, the degree of cultural and organisational compatibility among partners emerged as another chief variable in forecasting the success or failure of a partnership (e.g. Bronder & Pritzi, 1992:418; Lunnan & Haugland, 2008:545; Swoboda, Meierer, Foscht and Morschett, 2011:280). Indeed, when partners are not compatible regarding the objectives of the collaboration, difficulties can emerge (Bronder & Pritzi, 1992:419; Hoffmann & Schlosser, 2001:357). Likewise, the absence of well-defined objectives and goals may present an obstacle to a successful partnership (Elmuti & Kathawala, 2001:212).

Nonetheless, research examining the reasons for partnership failure and instability has also identified the influence of other variables. As collaboration is affected by the attitude of human resources (Lajara, Lillo and Semper, 2003:61), a good relationship and frequent contacts among the people involved is fundamental, not least to develop informal bonds. In this context, Townsend (2003:143) speaks of “relational capital”, the accumulation of which is a function of partnership success. Other researchers underlined the importance of the balance of power and control (Inkpen & Beamish, 1997:177; Heimeriks & Duysters, 2007:25). Ultimately, it seems that partnerships between competitors have high failure rates (Dussauge & Garrette, 2000:120) so that having noncompetitive partners augments the chances of success (Elmuti & Kathawala, 2001:215).

Franco & Haase (2015:179) summarised ten main resourced-related success factors of inter-organisational partnerships identified as: (1) Balance of power and control ; (2) Commitment; (3) Compatibility; (4) Complementarity; (5) Experience in cooperation; (6) Non-competitive partner(s); (7) Partner selection ; (8) Personal relationship ; (9) Trust ; (10) Well-defined objectives.

4.8. SUMMARY

This Chapter presents the theoretical/conceptual framework review focus on institutional partnership and project sustainability with emphasis on capacity building on KM and M&E. It further presents various types and stages of partnerships as well as challenges and opportunities in the partnerships. It is concluded that:

- ❖ Studies have been carried out on the subject, which demonstrates that a partnership is a valuable instrument or institutional model to overcome the weakness of the policy and governance framework, although Baseline information is limited/scared, as mostly only on community, organisational and public-private partnership (PPP) level.
- ❖ This Chapter has shown that in the international experiences an important set of anticipated outcome (or desired results) have been articulated for global partnerships and development programmes particular among LIC developing countries.
- ❖ Four thematically issues need to be addressed in fieldwork and further analysis, namely: 1) G2G partnership; 2) KM Readiness; 3) M&E Readiness; 4) Sport

Exchange Programme (SEP).

These themes and outcomes provide a useful conceptual baseline for the study, the KM, M&E considerations of partnership in SEP will be investigated in the following Chapters and will be discussed in the findings' Chapter 8. The following Chapter will present research design and methodology.



CHAPTER FIVE: RESEARCH DESIGN AND METHODOLOGY

5.1. INTRODUCTION

The purpose of this Chapter is to discuss the research design and methodologies used in this study. The Chapter will begin with contextualising of the research paradigm. Thereafter, it will go on to present the type of research design and the rationale underpinning the type of research design used in this study. This Chapter also present the scope, sample and the sampling strategy to be utilised for selecting the participants that constituted the target group of this study. The Chapter will chronologically presents as the followings:

- ❖ *The data collection process that was followed to collect the data utilised in the study;*
- ❖ *A flowchart of the process was provided in the Chapter. As depicted in the flowchart, the data collection process commenced with the interview process, a collection of documents;*
- ❖ *The methodology that was applied in the analysis of the various data obtained through the interviews, documents, content analysis, focus groups, 5-C protocol and need assessment in thematic and transfer evaluations indicators framework and Theory of Change (ToC).*

5.2. RESEARCH DESIGN

According to Creswell, Hanson, Clark and Morales (2007:236), a research design indicates the plan for conducting the study and it involves the procedures undertaken in the last three steps of the research process, namely, data collection, data analysis, and report writing.

This study adopts a qualitative research design to gain an in-depth understanding of the potential specific factors and indicators in bilateral sport partnerships. As a common with qualitative research, depth and richness of the data obtained is the key, rather than the ability to generalise or replicate previous findings (Neuman, 2000:21).

The study also draws from the literature on Result-Based Management focusing on The M&E Readiness (Kusek & Rist 2004:55),and KM Readiness (Nonaka & Tkeuchi 1995:10;Yeh,Lai &Ho 2006:797; Gaffoor & Cloete, 2010:3; April & Izadi, 2004:35; Snowden, 2002:101; Angelis 2013:7); as well as developing indicators (Kusek & Rist 2004:65; Mackay, 2008:100; Morra Imas & Rist, 2009:106). The criteria set for factors and indicator framework stems from the Theory of Change (Jackson 2013: 100; Taplin, Clark, Collins & Colby 2013: 1; Vogel 2013:71) as the theory of discipline.

5.2.1. THE READINESS ASSESSMENT

Kusek & Rist (2004:40) indicated all industry partnerships need to conduct an effective needs assessment to 1) Understanding the human capital needs and critical challenges facing the industry. External industry trends often translate into employee/employer needs; 2) Employer/employee identified training needs including skill gaps critical to competitiveness and innovation; 3) Identify logistical and/or infrastructural barriers to meeting goals and objectives. The Readiness Assessment will help identify the barriers and obstacles—structural, cultural, political, or individual in a given organisation. The Assessment is a diagnostic tool that can be used to determine whether the prerequisites are in place for building a Results-Based M&E system. It is intended to assist and benefit individual governments, the donor community, and their many development partners involved in public sector reform.

Setting Priorities setting can be done through a general discussion that results in a consensus or through a more systematic, multiple voting processes. In multiple voting processes, all members spread a set number of “votes” individually across a list of needs or invest two or more votes on a single issue. When this method issued, the needs receiving the highest number of votes become the priorities.

This study will presents the findings carried out Readiness Assessment relevant to the KM and M&E mechanism according to the following main objectives:

- ✧ *Explore & assess the need and nature of support required for KM and M&E in Sport Exchange Programme (SEP) of bilateral government partnership;*
- ✧ *Investigate & determine the value & usefulness of KM and M&E practically applied to sport in bilateral government partnership;*
- ✧ *Identify & develop the specific factors that determine the value & usefulness of KM and M&E in bilateral sport partnership;*
- ✧ *Explore & determine the need and nature of requiring support in KM and M&E with regard to present a practical case study on the potential of KM and M&E with respect to the sport in the Shandong-WC partnership.*

5.2.2. THE 5 - C PROTOCOL, TOC AND ANTICIPATED -OUTCOME INDICATORS

By interviewing the person cognisance was taken of the protocols of the 5C protocol. The researcher was able to following the interviews, to understand the nature of the institutional context and the commitment of those entrusted with carrying out the implementation. By

means of the semi-structured interview process, the author was able to develop and propose strategies that will enable to meaningfully engage in the implementation and determine the key factors and considerations to implement the action plan.

5.2.3. INDICATORS ACCORDING TO TOC MODELS

Two further instruments that were used with respect to the SEP, included the application of the methodology of the Theory of Change model (Jackson 2013:100; Taplin, Clark, Collins & Colby 2013:1; Vogel 2013:71), as well as the development of anticipated outcome indicators monitoring framework (Kusek& Rist 2004:65; Cloete, Rabie & De Coning 2014:202) according to the ToC model.

5.3. RESEARCH SETTING

According to Creswell (2007:236), the research setting can be a physical, social and cultural site where the research is conducted or where the researcher collects the data. This study was undertaken in the Western Cape South Africa and Shandong Provinces in PRC. A purposeful sampling strategy of a non-random selection of participants was utilised for selecting the participants that constituted the target group of this study.

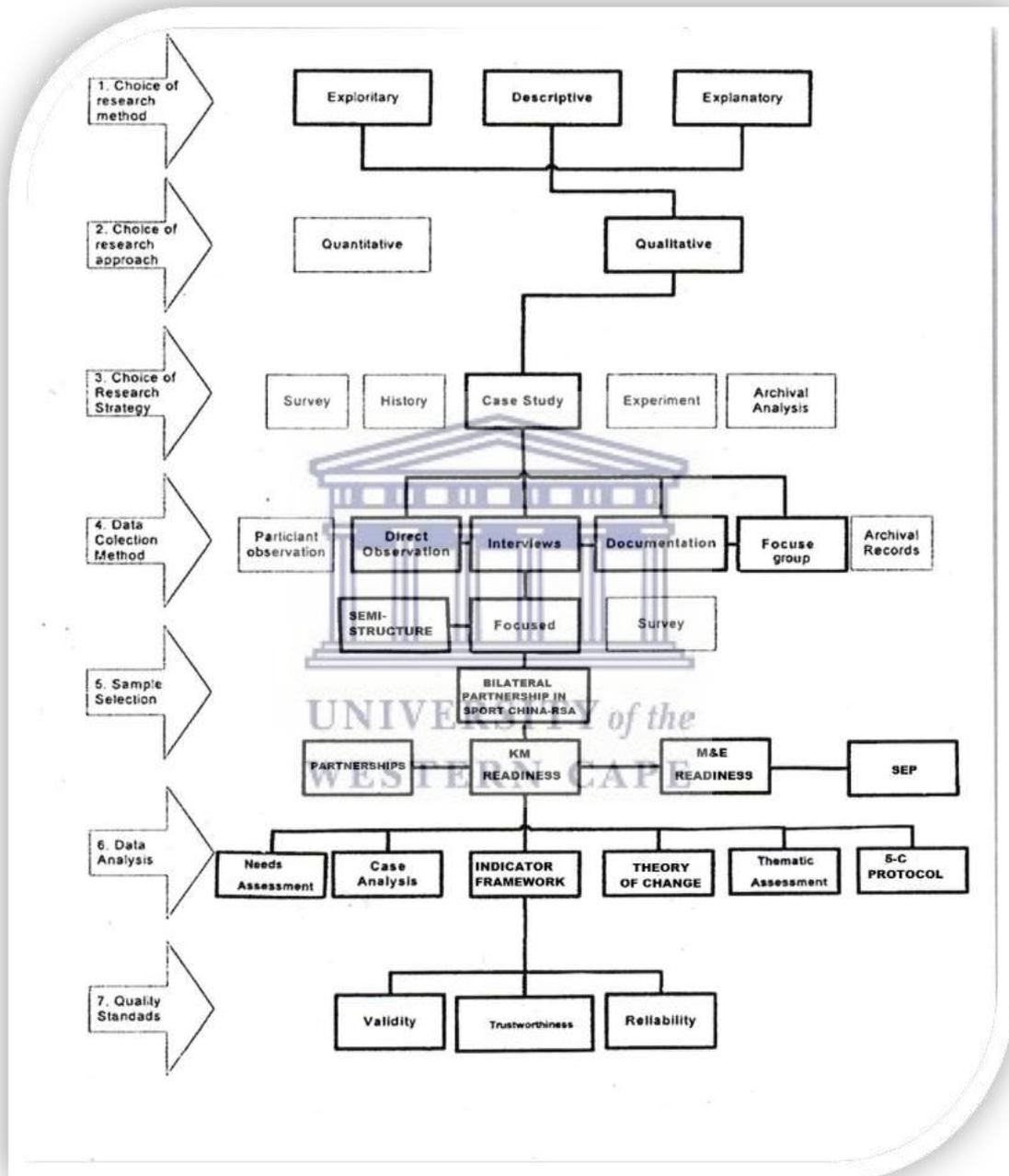
Purposeful sampling is a method in which a researcher selects participants that they judge to be typical of individuals possessing a trait. The target group in this study is comprised of those who were involved in designing, delivery, receiving, or administering the partnerships intervention in the sister provinces as reflected in the interview chart (Figure 23).

According to Patton (2002: 2), the logic and power of employing purposeful sampling in this study lie in its ability to select information-rich cases for in-depth studies. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the inquiry. Studying information-rich cases yields insights and in-depth understanding rather than empirical generalisations. Similarly, in order to reduce the chances of discovery failure, as opposed to reducing (quantitative) estimation error, the qualitative sample must be big enough to assure that one is likely to hear most or all of the perceptions that might be important.

According to Patton and Cochran (2002:1), the purpose of data gathering in qualitative research is to provide evidence for the phenomenon being investigated and to provide the

groundwork on which the findings will be based. The data collection methods used for this investigation include unstructured interviews, semi-interviews, observers evaluation and assessment of documentary data and questionnaires/interview schedule.

FIGURE 22: DIAGRAM FOR RESEARCH METHOD



Source: Author's own construction of the research methodology framework

According to Creswell (2007:236), paradigms are patterns of beliefs and practices that

regulate inquiry within a discipline by providing lenses, frames and processes through which investigation is accomplished. The term paradigm is seen from a broad view or perspective. In order to clarify the researcher's structure of inquiry and methodological choices, an exploration of the qualitative paradigm adopted for this study will be discussed prior to any discussion about the specific methodologies utilised in this study. A schematic representation of the processes followed to collect data in this study is shown in the flowchart as indicated in Figure 22 above:

The use of qualitative methodology in this study was chosen to enable a rich understanding of the subject matter by deploying a wide range of interconnected interpretive and positivistic practices. According to Neuman (2000:21) qualitative research has to be concerned with collecting and analysing information, chiefly as non-numeric as possible. An advantage of qualitative research is that it requires subjects to speak for themselves. This allows the researcher the opportunity of getting their views directly.

5.4. DATA COLLECTION PROCEDURE

Data was collected by means of interviews, observation, participant observation and content analysis. Visits to the participant's places of work and meeting venues took place in South Africa. The participants were contacted via the official structures that they belong to mutually convenient times were agreed upon for the meetings to take place. The researcher informed them about the purpose of the meeting and also informed them that their participation is voluntary and the consent form was then provided to the participants. The participants from PRC responded to the questionnaire/interview Schedule (on page 265) via online means and Skype conference calls.

5.4.1. INTERVIEWS

The intent of the interviews was to investigate thoroughly the subject matter and be capable of reporting on the current and past SEP project intervention in the sister provinces partnership. According to Rowley (2002:17), qualitative interviews attempt to make meanings from individual accounts and experiences. Qualitative researchers are more concerned about uncovering knowledge on how people feel and think in the circumstances in which they find themselves. By being part of the environment, not only is the researcher able to understand what the person is conveying in the form of a rational message and standardised speech, but also the indirect implications of this speech with a specific syntax, contextual lapses, hidden meanings and speech breaks are perceived (Creswell 2007:236).

Similarly, the wishes, expectations, interests, needs and personal opinions of the people included in the research should help the researcher to better comprehend the examined phenomena.

FIGURE 23: INTERVIEW SCHEDULE

Semi-Structured interviews	South Africa	PRC (PRC)
National level (presidency)	1	1
Provincial level(Premier &DCAS)	3	3
Sport Local /district level (Sport Federation)	2	2
Private Sectors/other Stakeholder (business Sponsors)	2	2
Total	8	8

Source: Author

The interview process comprised of semi-structured interviews and focus groups carried out, as indicated in Figure 23 above. The inclusion respondents of selected partnership in this study are conducted with 16 different officials/professionals/participants drawn from the National, Provincial and local level of Department of Culture and Sport (DCAS) and Sport Federation and other stakeholders, 8 from South Africa, as well as 8 from PRC Shandong Sport Bureau, Qingdao Yachting Associations, Qing Dao Administration Center of Sailing Sport, Qingdao Olympic Sailing City Development Centre, SA Embassy in PRC with regards to the partnership in two sister provinces.

5.4.2. SEMI-STRUCTURED INTERVIEW

According to Creswell (2007:236), the semi-structured interview, unlike unstructured interviews, contains a guide which provides a clear set of instructions for interviewers and can provide reliable, comparable qualitative data. Semi-structured interviews are often preceded by observation and include informal and unstructured interviewing in order to allow the researchers to develop a keen understanding of the topic of interest necessary for developing relevant and meaningful semi-structured questions Neuman (2000:21). The semi-structured interviews conducted in the study consist of a list of open-ended questions based on the topic areas of this study. The open-ended nature of the questions provides opportunities for both the interviewer and interviewee to discuss certain topics in more detail.

5.4.2.1. Focus groups interview

Focus groups interview with participants of selected partnership. A focus groups interview with participants that were interviewed was conducted to follow-up on responses that were not clear during scheduled key informants' interviews. The focus groups interview was also used to prepare for the development of the specific factors and outcome indicator framework for SEP of the selected partnership.

The focus groups interview was conducted by post-doctoral fellows and a researcher as an observer during a European research conference in 2017. The guidelines and ethics consideration were explained to the post-doctoral fellow and was followed accordingly. This was done to allow the researcher an opportunity to listen attentively and take valuable notes. The interview was recorded and the permission was obtained from the participants. One coordinator could not be present during the focus groups.

5.4.2.2. Schedule interviews with specialists/experts

The schedule interviews with specialists/experts involved in the field of KM and M&E, partnership in the sport to address objective 3 of the study. Nine specialists/experts were asked to participate in the study in case some could not respond. The minimum number of specialists/experts required to participate was five and six were available. The specialists/experts are KM, M&E managers, practitioners and academics involved in the field of KM and M&E, partnership in the sport. Prior to the scheduled interviews, the draft specific factors and anticipated outcome indicators framework was sent to six specialists/experts by email. The participating specialists/experts were requested to provide

comments, suggestions, recommendations on the value and relevance of the proposed indicators as well as suggestions for refinement of the generic anticipated outcomes and indicators. In addition, to recommend possible or alternative outcome indicators to improve the quality of proposed outcome indicator framework. They were also requested to provide the comments in a form of writing after two weeks. Six specialists/experts responded and sent their comments via email. After receiving the comments from all six specialists/experts, the researcher had schedule interviews with each specialist/expert to gain more clarity on their comments. Schedule interviews with three specialists/experts were conducted using Skype and telephone, as well as face to face. Scheduled interviews were recorded and the permission was obtained from all the specialists/experts where necessarily follow up questions and amendments were made.

5.4.3. DOCUMENT ANALYSIS

As argued by Creswell (2007:238), qualitative research requires robust data collection techniques and the documentation of the research procedure. To this end, this study embarked on the use of document analysis in combination with other qualitative research methods as a means of triangulation. ‘Documents of all types can help the researcher uncover meaning, develop understanding, and discover insights relevant to the research problem’. Document analysis yields data-excerpts, quotations, or entire passages that are then organised into major themes, categories, and case examples specifically through content analysis.

Documents can serve a variety of purposes as part of a research undertaking. Firstly, documents can provide data on the context within which research participants operate. As testimony to past events, documents provide background information as well as historical insight which could help researchers understand the historical roots of specific issues and can indicate the conditions that impinge upon the phenomena currently under investigation. Thus, one can use data drawn from documents to contextualise data collected during interviews. Secondly, information contained in documents can suggest some questions that need to be asked and situations that need to be observed as part of the research. Thirdly, documents provide supplementary research data which can be valuable additions to a knowledge base. Fourthly, documents provide a means of tracking change and development. According to Yin (2014:5), even subtle changes in a draft can reflect substantive developments in a project. Fifthly, documents can be analysed as a way to verify findings or corroborate evidence from other sources so that readers of the report have greater confidence in the (credibility of the research findings. Finally, documents may be the most

effective means of gathering data when events can no longer be observed or when informants have forgotten the details.

To investigate and identify the need and nature of support required for KM and M&E, the Researcher obtained information from the government official reports and from the documents:

- ✧ *The Western Cape Annual performance Plan 2017/8, Department of premier, WCG*
- ✧ *The WCG International Relations Strategy; Department of Premier, WCG Provincial evaluation plan 2013/14-2015/16; updated March 2015*
- ✧ *The Annual Report 2015/1016; 2016/7 of the Department of Cultural Affairs and Sport (DCAS) ;*
- ✧ *DCAS report on Shandong-WCG partnership, July 2013;*
- ✧ *MoU between Shandong-WCG on Sport Exchange Programme (SEP) 2014 (Appedic 1);*
- ✧ *2016-2020 Strategic from Shandong Sport Bureau (Appendic 4);*
- ✧ *Trip Report Shandong Sailing Delegation visit WC 2017 (Chinese version) (See Appendic 3) ;*
- ✧ *Performance information handbook of the Department: National Treasury Republic of South Africa April 2011;*
- ✧ *Measuring results using key government indicators; Bi-Annual release; WCG, Sept. 2014.*

These documents as indicated were analysed in conjunction with the data from the aforementioned interviews in order to enable the researcher to make an informed decision.

To enable the researcher to investigate and explore the need and nature of support required for KM and M&E in SEP bilateral partnerships, the Researcher took an in-depth look at reports and from above-mentioned documents. Finally, the examining all these aforementioned documents, along with data from observatory field notes and interviews, assisted the researcher in developing a framework for the specific factors and indicators that determine the efficacy of KM and M&E in bilateral sport partnership.

These documents were analysed with the application of a computerised qualitative data analysis software package called Atlas.ti. The documents were loaded into the Hermeneutic Unit (HU) of the software and coded to identify ideas, patterns and themes. The process of thematic analysis of qualitative data was utilised as discussed in detail in the Chapter with four thematic fieldwork results, namely: 1) Partnerships; 2) KM Readiness; 3) M&E Readiness; 4) SEP as well as the 5-C protocol, anticipated outcome indicators monitoring framework according to ToC and was utilised under sub-theme, namely: 1) Sport Academies; 2) Talent Identification; 3) Coach and Training; 4) Facilities Development.

5.5. DATA ANALYSIS AND REPORT WRITING

Data analysis involves interacting with data (the analysis) using techniques such as asking questions about the data, making comparisons between data, deriving concepts to represent the data and then developing those concepts in terms of their properties and dimensions. Put simply, this process demonstrates how analysis of the raw data from interview transcripts, organisational documents, and researcher's observatory field notes, progressed toward the identification of overarching themes that captured the phenomenon of SEP as described by participants in the study. Data analysis involves breaking up of the data into manageable items, patterns, trends and relationships. The aim of the analysis is to understand the various constructive elements of one's data through an inspection of relationships between concepts, constructs or variables and to see whether there are any patterns or trends that can be identified or isolated or to establish a theme in the data. Similarly, Neuman (2000:3) argue that qualitative analysis is substantive, involving identification of patterns in the data from which understandings must be developed and interpretation constructed.

The data collected in this study were analysed using content analysis (Mouton, 2001:3), thematic analysis and the Readiness Assessment, 5-C protocol, ToC and anticipated outcome indicators. The content analysis approach was used to analyse data emanating from the unstructured, semi-structured interviews and the document analyses. Content analysis is a 'research method for the subjective interpretation of the content of text data through the systematic classification process of coding and identifying themes or patterns'. In contrast, Rowley (2002:17) argues that the criteria for deciding which forms of data analysis to undertake are governed both by fitness for purpose and legitimacy- the form of data analysis must be appropriate for the kind of data gathered. The data collected in this research was predominantly in the form of text and interview transcripts. Accordingly, content analysis was used to identify patterns, similarities and differences that may arise from the data obtained from the different sources in order to arrive at logical conclusions.

5.5.1. THEMATIC ANALYSIS

Thematic analysis was also used as it requires more involvement and interpretation. Thematic analyses move beyond counting explicit words or phrases and focus on identifying and describing both implicit and explicit ideas within the data, leading to the identification of themes. Codes are then typically developed to represent the identified themes and applied or linked to raw data as summary markers for later analysis (Mouton, 2000:2; Patton, 2002:3). According to Creswell (2007:237), the process of coding generates the bones of the

researcher's analysis, with integration assembling those bones into a working skeleton. Similarly, Neuman (2000:21) describes it as a process that permits data to be 'segregated, grouped, regrouped and relinked in order to consolidate meaning and explanation'. The major categories generated in the study were compared with each other and consolidated in various ways, to transcend the reality of the data and progress toward the thematic, conceptual, and theoretical understanding.

5.5.2. CASE ANALYSIS

Normally associated with qualitative methods is the case study method, which consists of analysing a specific situation in greater detail (Rowley 2002:16). When a scientific field is still underexplored and substantial preliminary field research is lacking on the subject, exploratory case studies represent the best option (Yin 2013:3).

A case study is a form of qualitative research that investigates a distinct phenomenon in its real environment, based on different sources of evidence, being appropriate when a social and personal content is fundamental for understanding and interpretation (Neuman, 2000:1; Yin 2013:3). A single case or multiple cases can serve as the unit(s) of analysis. The present research corresponds to a single exploratory case study, as it focuses on a bilateral sport partnership in PRC Shandong province and South Africa Western Cape Government, hereafter named "WCG".

The criteria for selecting this unit of analysis were essentially grouped in three:

- ✧ *They are institutions with various partnerships in the context;*
- ✧ *The partners involved develop activities in the bilateral relations in sporting sector; and*
- ✧ *Access to any previous knowledge of these institutions by the researcher. The Author acting as official interpreter and consultant obtained first-hand resource for Shandong-WCG.*

5.5.3. CONTENT ANALYSIS AND CROSS ANALYSIS

In this study, content analysis and cross-analysis were performed to explore the focus area and identify the emergent themes. The ATLAS.ti version 7.0. as the software package was used to extract, compare, explore and reassemble the data to further delineate the relationships among emerging themes. Atlas.ti has proved effective in revealing underlying conditions in the information seeking process (Rowley,2002:17). It is a workbench for

qualitative analysis of large bodies of textual, graphical, audio, and video data. It is a systematic approach to unstructured data, for example, data that cannot be meaningfully analysed by formal, statistical approaches. Similarly, Computer-Assisted Qualitative Data Analysis Software (CAQDAS), unlike the human mind, can maintain and permit the researcher to organise evolving and potentially complex coding systems into such formats as hierarchies and networks for ‘at a glance’ user reference. The software efficiently stores, organises, manages, and reconfigures the data to enable human analytic reflection (Patton 2002:5).

The method of analysis chosen for this study to analyse the interview transcripts, field notes and organisational documents was a data-driven inductive approach of qualitative methods of thematic analysis geared towards identifying patterns in the data by means of thematic codes. The coding process involved recognising (seeing) an important moment and encoding it (seeing it as something) prior to a process of interpretation.

According to Patton (2002:3), inductive analysis means that the patterns, themes, and categories of analysis come from the data; they emerge out of the data rather than being imposed on them prior to data collection and analysis. In addition, a theme is a pattern in the information that at a minimum describes and organises the possible observations and at maximum interprets aspects of the phenomenon. The researcher decided to use this approach due to its inherent benefits of flexibility in application, that thematic analysis is not wedded to any pre-existing theoretical framework, and therefore it can be used within different theoretical frameworks and across a range of epistemologies and research questions.

In order to complement the use of data-driven inductive approach for textual analysis in this study, a matching latent or interpretative approach of thematic analysis was utilised in the study. Thematic analysis at the latent level goes beyond the semantic content of the data and starts to identify or examine the underlying ideas, assumptions, and conceptualisations and ideologies that are theorised as shaping or informing the semantic content of the data. The sequence of steps and the processes followed by the researcher in using ATLAS.ti for this study is shown below:

Two types of coding were used in this study based on a sentence or a phase unit of analysis: namely, open coding and focused coding. The coding process was cyclical. The first cycle of coding data perfectly attempted? The second cycle (and possibly the third and fourth, and so on) of recoding further manages, filters, highlights, and focuses the salient features of the qualitative data record for generating categories, themes, and concepts, grasping the

meaning, and/or building theory. In addition, thematic analysis involves macro- and micro-examination of the data and identification of emergent patterns and themes. A micro view of data promotes recognition of the importance of details that may have barely been noticed during data collection, identification of the relationship between data and themes, and discovery of patterns and consistencies.

Open coding is the first analysis process in the study involves breaking down of data, reading through the data analysing line by line and coding whatever is deemed fascinating to the researcher. Through open coding, data was broken down into discrete parts, closely examined for similarities and differences and given a code that represents or stands for it. After the codes had been allocated to different segments of the textual data, the process of focussed coding then started whereby related codes were grouped or categorised into families that became possible themes. According to Neuman (2000:21) category is a classification of concepts whereby concepts are grouped together under a higher order to form more abstract concepts called a category. Each theme could be represented with a network structure generated by Atlas.ti.

5.6. VALIDITY AND RELIABILITY

The validity and reliability of collected data interpretation are of paramount importance in any scientific research. Reliability is concerned with establishing dependability and consistency of the data gathered while validity within the qualitative research approach is concerned with establishing a fair and balanced view of reality from the perspective of the research participants (Neuman, 2006:188). As a result, a variety of data sources was used to investigate the same aspects of this study. Babbie and Mouton (2001:1), highlight triangulation as one of the best ways to enhance validity and reliability in qualitative research. The credibility of information is enhanced when it is corroborated by different, independent sources (Neuman, 2000:3). This procedure is called triangulation. In other words, by triangulating data, the researcher attempts to provide a confluence of evidence that breeds credibility. By examining information collected through different methods, the researcher can corroborate findings across data sets and thus reduce the impact of potential biases that exist in a single study.

According to Patton (2002:1), triangulation helps the researcher guard against the accusation that a study's findings are simply an artefact of a single method, a single source, or a single investigator's bias. Accordingly, this research triangulated information from

different methodologies such as interviews, observations, documentary analysis and survey. The objective of triangulation is not only to demonstrate that different data sources yield similar findings but also to understand the differences that may arise due to the use of different data sources. Creswell (2007:236) distinguishes between five different types of triangulation, namely data triangulation, investigator triangulation, theory triangulation, methodological triangulation and environmental triangulation. In this study, methodological triangulation was used. Methodological triangulation establishes validity between different methods, for example, the use of qualitative and quantitative methods (Rowley, 2002:17). This became evident in this study by using both qualitative analyses with the aid of Atlas.ti to analyse the participants' SEP intervention programme and thinking processes.

5.7. TRUSTWORTHINESS

Creswell (2009: 190-191) identifies procedures to ensure reliability. In this study, the following strategies will be used to ensure trustworthiness and accuracy of the findings.

(i) Triangulation of data - documents and observations will be used to complement the information gained from a key informant and focus groups interviews.

(ii) Member checking - the researcher will serve as a check throughout the data collection and analysis processes and will be involved in all stages of data collection and analysis.

(iii) A researcher will constantly compare data with the codes to ensure that there is no shift in the meaning of codes.

(iv) Follow up focus groups interviews will be conducted with employees of selected partnership immediately after the analysis of the data from phase 2 and 3 to ensure accuracy.

(v) A rich, thick description will be used to convey the findings.

(vi) The negative and discrepant information from the findings will be presented and explained.

(vii) Peer debriefing - A doctoral student will serve as peer examiner by reviewing the study and asking a researcher questions about the study to enhance the accuracy of the findings.

Assumptions of the study are that all respondents will provide honest responses and will cooperate to provide important information relevant to the study.

5.8. ETHICS CONSIDERATION

The researcher has an obligation to respect and to protect the rights, needs, values, privacy and dignity of the participants. The researcher will be in compliance with the following ethical principles.

Organisational permission - a letter requesting permission to conduct a study will be sent to each relevant participants.

Beneficence - the researcher will ensure beneficence within the relationship with the participants and will maximise possible benefits and reduce possible harm.

Autonomy - participants will be informed verbally and in writing about the overall purpose of the research including the risks and benefits of participation.

Participation - the participants will be informed verbally and in writing about their voluntary rights to withdraw from the study at any time.

Informed Consent - the purpose of the study will be explained verbally and in writing to the participants. Key informant, focus groups and specialist interview confidentiality binding forms will be used to ask participants to consent to the confidentiality of the group (Appendic 3).

Confidentiality - personal information and all data obtained will be kept confidential at all stages of the research. Participants will not be required to submit their names or surnames, the names of their organisation or any other form of identification during interviews. All data obtained and transcriptions will be coded using numeric codes and be kept in a locked cabinet at the researcher's office at the university and only the researcher and the supervisors will have access to it. Disposal of all records of the data from audiotapes and transcripts will be done after three years once the study is completed.

An information sheet will be given to participants explaining the purpose of the study, data collection procedures, issues of confidentiality, risks and benefits of the study. Participants will be informed about their rights and voluntary participation (Appendic 3).

Scientific integrity - Ethical clearance will be obtained from the university and will also be required from the hospital. A researcher will liaise with the participants to set up a convenient time to schedule interviews.

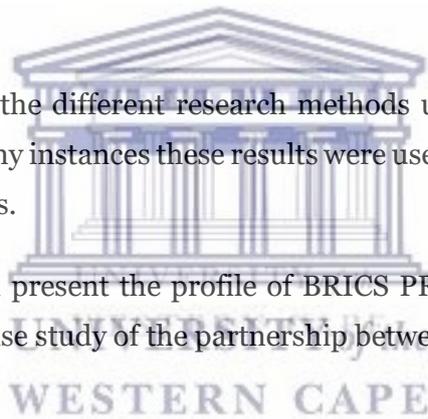
An application is made to the UWC ethics committee and obtained approval (see ethics clearance in the appendices) all the issue to be addressed and discussed are contained thereof.

5.9. SUMMARY

This Chapter focused on the research methods including research design, settings, population, sampling, data collection instruments, procedures for data collection and analysis.

- ❖ It is concluded that the research methods used and the research design that was determined for this study provide a sound basis to ensure that research results were valid, reliable and trustworthy.
- ❖ The research design and methods very much focused on the best possible ways to obtain new information as well as empirical evidence of thematically issues need to address.
- ❖ It is concluded that the different research methods used worked well with each other and that in many instances these results were used to cross-validate data and information in others.

The preceding Chapter will present the profile of BRICS PRC-South Africa with bilateral relations and present the case study of the partnership between Shandong WCG in SEP.



CHAPTER SIX: PROFILE OF BRICS, PRC AND SOUTH AFRICA WITH BILATERAL RELATIONS AND SHANGDONG-WCG PARTNERSHIP

*“The rise of Asian-African networks is a potential harbinger of positive forms of cooperation with significant implication for Africa”
- Alden and Aran (2012)*

6.1. INTRODUCTION

This Chapter will provide an insight into the background of the People Republic of (PRC) and Republic of South Africa (RSA) bilateral relations and Shandong-WCG Bilateral partnerships in SEP. The social profile of the BRICS, WCG and Shandong in terms of social economic, culture, sports, as well as the review of sport development and SEP to strengthen the capacity performance and capacity development, as well as fieldwork results, are presented in the Chapter.

6.2. PROFILE OF BRICS, PRC AND AFRICA RELATIONS

Brazil, Russia, India, China and South Africa (BRICS) are striving to capitalise on their economic leverage for more political influence. BRICS growing impact on Low-Income Countries (LICs) through trade, foreign direct investment and development financing is significant. When the BRIC foreign ministers met in New York in September 2010 they agreed that South Africa would be accepted into the alliance. South Africa was accordingly invited to the Third BRIC Summit held in PRC in April 2011, and BRIC became BRICS. This was an occasion widely celebrated in South Africa but also received with a degree of scepticism by a number of commentators in the country and internationally (Alden & Aran 2012:23).

South Africa’s Business Report put it like this: “The hearty self-congratulation with which South Africa welcomed its accession to the BRIC grouping of major emerging countries has been met with a deafening silence from global investors”. The misgivings had to do with Jim O’Neill’s initial conception of the BRIC as a grouping of nations outside the historically recognised global core high potential for future economic growth on the basis of the size of their economies and population, and growth performance in the immediate past (Womack, 2004:350).

6.2.1. REVIEW OF BRICS, PRC AND AFRICA RELATIONS

With the endorsement of South Africa’s membership of the BRICS in December 2010, the group comprising Brazil, Russia, India, PRC (as BRIC) was expanded to the ‘BRICS’, to

include South Africa. South Africa joined the BRICS to pursue its national objectives as identified in the President's State of the Nation Address, to promote regional integration and related infrastructure related programmes, as well as partner with key players of the South on issues related to global governance (Alden & Aran, 2012:5).

The BRICS represents 43 percent of the world's population, 18 percent of global trade, attracts 53 percent of foreign capital, accounts for 20 percent of global GDP and generates 61 percent of economic growth in the world economy and has an estimated USD 4.4 trillion foreign reserves base. The grouping is not simply an economic grouping but has evolved into a fully-fledged diplomatic cooperation, engaging on political, economic, financial and various sectorial levels such as agriculture, science and technology and health as stipulated in the Delhi Declaration and Action Plan (DIRCO 2012:3).

At the BRICS business forum in India in 2012, business leaders called for improvement of the quality of trade by focusing on value-added trade in the sectors of manufacturing, services and agriculture. Notably, the Western Cape's exports in terms of the top 15 products were agricultural products. The Western Cape, in particular, has strengths in agro-processing and services, which provides niche opportunities in BRICS markets. The newly formed BRICS Business Forum cited further opportunities in energy, infrastructure and healthcare. South Africa's New Growth Path, geared to achieving inclusive growth and creating jobs, entails amongst others a focus on skills development. Businesses are encouraged to promote youth training and empowerment through engagement with BRICS countries. The Western Cape can use opportunities in these areas to facilitate engagement with the BRICS whilst fulfilling our provincial priorities. The table below indicates that only Russia and PRC appear in the top 20 Western Cape export destinations. India, which imported 0.8 percent, and Brazil 0.6 percent, of the Western Cape exports, are absent (Directorate International Relations, 2016:5).

Presently, the BRICS grouping is one of the world's top forums among the leading powers within the developing world for economic discussion, influencing policy alignment and building pressure to change the international economic system towards becoming more inclusive. South Africa and PRC are both BRICS countries and enjoy bilateral relationships since 1998. With a combined two-way trade reaching R202 Billion, PRC has become South Africa's largest trading partner since 2013. PRC-Africa Summit held in December 2015 in Johannesburg where PRC announced a USD60 Billion injection into Africa for upcoming five years. PRC-State owned companies follow a "one belt one road policy" which will now "go aboard".

Since the end of the Cold War, Sino–African co-operation has witnessed new and positive changes. In the new era, the common interests between the two sides are increasing and the potential for co-operation is expanding. This recent strengthening of PRC–Africa relations is not accidental phenomenon: it reflects the reality that Africa needs PRC, while PRC needs Africa even more (Lister, 2000:228).

According to Sithole (2013:23), PRC is to play an increasingly important role in the international arena, it will need to expand co-operation with African countries, in order to engage more actively and constructively in world affairs. First, in order to implement the New Partnership for Africa’s Development (NEPAD), Africa urgently needs international support and assistance. On the question of assistance despite their generous rhetoric, the developed countries have seldom provided their promised assistance, except with harsh political conditions attached, causing great disappointment in the African states. Africa has high expectations from PRC: they look forward to PRC’s support on questions like prevention of AIDS, promoting access to developed markets for African products, and the WTO talks. Mutual support between PRC and Africa helps to enhance their respective international standing and play a greater role in the process of world multipolarity.

As far as comprehensive national power and the strategic importance of Africa are concerned, the continent is home to some of the weakest developing countries. But Africa as a whole plays a unique role for PRC in international affairs. With 53 members, Africa takes up one-quarter of the UN General Assembly seats. In today’s fast-changing world, where unipolarity competes with multipolarity, PRC needs the support of the vast majority of developing countries, including African countries (Womack, 2004:359).

Africa is an important partner for PRC’s bid to explore new markets and resources. To address the challenges of economic globalisation and strive for sustained development, the Chinese government has encouraged Chinese enterprise to adopt a strategy of “going global,” by investing abroad and exploring overseas markets. Economic and trade ties between PRC and Africa have been good in the past decades, but the scale is not large. PRC’s machinery, electronic products, textile, and other light industrial products are cheap but good, and competitive in international markets (Alden, 2012:17).

There is a huge potential for growth of trade between PRC and Africa. More importantly, in the long run, PRC is attaching more and more importance to the diversification of import of oil and other strategic resources so as to ensure its national economic security and sustained development. Africa is richly endowed with oil resources with proven reserves of over 80 billion barrels.²⁶ As the Western oil companies are rushing to those African states

where oil has just been discovered to compete for oil exploration and markets, PRC should set up a platform for mutually-beneficial co-operation with African countries on an equal footing in areas of resource exploration (Lister, 2000:228).

African states are very impressed by the success of PRC in the reform and opening up of its economy. They are also interested in the Chinese experience in exploring modes of development. The technological know-how and managerial expertise of Chinese enterprises could be a useful reference for Africa. There is, therefore, great potential for co-operation between PRC and Africa in this area. Co-operation in the field of peace and security has also been strengthened. PRC has dispatched a total of more than 3000 persons to participate in 12 UN peacekeeping operations, with 838 of them joining 8 UN peacekeeping missions in 2004 alone (Sithole,2013:15).

Since the 1990s, Africa had engaged with countries worldwide, as a result of economic globalisation and multiparty democracy. Politically, Africa is divided and westernised, and economically, most African states have been marginalized. Their international standing and influence have been weakened. Under these circumstances, Africa has become increasingly dependent on the West. However, in Africa's dealing and relations with PRC, some leaders of the new generation in Africa pursue a policy of pragmatism. On some political questions, however like human rights, they are sympathetic, and on the Taiwan question, however, they cannot resist the temptation of money offered by forces working for Taiwanese independence, going back on the principle of "One PRC" (Womack,2004:365).

Some of them expect great benefits by asking for assistance beyond PRC's means and linking economic requests to political trust. Moreover, African states also compete with PRC on attracting foreign investment. Although there are wide-ranging common interests between the two sides from the political and economic perspectives, the conflict of interest between PRC and Africa should not be easily forgotten. To better seize opportunities and mitigate challenges in handling PRC's policy towards Africa, new thinking and measures have to be explored in light of the spirit of keeping pace with the times and being innovative and creative. With changes in the international situation and in accordance with the expectations of the international community and the requirements of PRC's modernization drive, major-power diplomacy has to be balanced with policy towards developing countries, including those in Africa. More attention should be paid to research on US infiltration into the political, economic, and military fields in Africa as well as other diplomatic efforts of major powers (Sithole,2013:12).However, changes taking place within Africa require that PRC's policy should be more focused, making the majority of developing countries,

including the African states, reliable allies of PRC. Possible co-operation between PRC and other major powers in Africa should also be looked into so that Africa becomes another stage for major-power co-operation; positive interaction between major powers in Africa does not necessarily mean the weakening of PRC's unity and solidarity with most African states Womack (2004:360).

China PRC's renewed interest in Africa was concurrent with a lessening of Western engagement with the continent. While many in the West now consider PRC as a threat, Africans see PRC mostly as an opportunity. PRC's engagement in Africa is long-term and policymakers will need to plan and manage responses to it. If the West wants to have increased leverage in Africa, the business investment will have to be much more visible and aggressive across the continent. PRC is a rising strategic power and among many others, will continue to be an important actor on the continent. The challenge is to find openings to engage PRC to contribute to Africa's development and prosperity.

6.2.2. HISTORICAL BACKGROUND TO SINO-SOUTH AFRICA RELATIONS

The first Chinese arrived in South Africa as indentured labourers in the mid-1800s, and initial Chinese diplomatic representation was established in the early 1900s to support these labourers. Between 1904 and 1910 there were almost 64,000 Chinese working on the Witwatersrand gold mines near Johannesburg. By the late 1950s, the Apartheid government became increasingly nervous about there's solidarity with the colonially-oppressed in the developing world, particularly in Africa. The PRC's participation at the Asia-Africa or Bandung Conference in 1955 served to validate these fears (Lister, 2000:228).

Furthermore, the Chinese Communist Party (CCP) supported the promotion of anti-colonialism and racial equality, thereby reinforcing Pretoria's fears that the PRC government could lend support to the liberation struggle, and undermine its own economic and security interests inside South Africa, as well as within the region. Ideologically, the South African government was opposed to the pro-communist stance of PRC and regarded the Chinese involvement in Africa as potentially harmful to its own agenda. The threat of communism taking root in Africa, and thereby inciting violent uprisings in African states, was in direct opposition to the ideals of the Apartheid government of the time. Official diplomatic relations thus ended in 1960, and Pretoria established relations with Taiwan in 1976. Despite the cessation of official relations between Mainland PRC and South Africa, economic relations were maintained, albeit on a more furtive level. The CCP supported

various liberation organisations throughout Africa, including the African National Congress (ANC) and the Pan-African Congress (PAC) Womack (2004:360).

Despite their communist links, Sino-Soviet relations at the time were poor and the PRC was competing with Russia in terms of funding liberation movements in Africa. This enabled the PRC to promote their own ideological agenda and gain powerful alliances with opposition leaders in Africa. In Cold War terms, such alliances were crucial in securing future cooperation in other areas such as within the United Nations. With Taiwan being a permanent member of the UN Security Council, it was important for Beijing to oust Taiwan, and support from the African bloc was crucial in achieving this goal (Alden, 20012:32).

Relations between the CCP and the ANC became more strained when the ANC decided to align itself with the Soviet Union in terms of ideological, financial and technical support. This was in response to the alliance between the ANC and the SACP, where the latter was more closely aligned to Moscow. In response, the CCP started to develop closer relations with the PAC, however, their aid contributions were never very substantial, and support always remained rather 'meagre and unreliable'. In the 1980s, when the Soviet Union started experiencing serious political and economic problems, they were unable to continue to support the liberation movements within Africa and encouraged such organisations to look towards alternative sources. The ANC renewed its engagement with the CCP and strengthened ties after 1983 when it was announced that all such liberation organisations would be treated equally and without discrimination (Lister, 2000:223).

Following deliberation over the One PRC Policy, the Mandela Administration decided to switch diplomatic recognition from Taipei to Beijing in 1997. This was viewed as the beginning of a new era in Sino-South African relations. South Africa established formal diplomatic ties with the People's Republic of PRC on the 1st of January 1998. Thereafter relations with the Chinese Mainland developed rapidly, in terms of political engagement, economic ties and social or cultural exchanges Womack (2004:359).

Both the PRC and South Africa have emerged as key players on their respective continents. The two countries co-operate in many multilateral fora. This, in turn, has also increased their mutual interdependence, which is clearly reflected in their expanding volumes of bilateral trade and other interactions.

6.2.3. POLITICAL EXCHANGES PRC AND SOUTH AFRICA

After the re-establishment of diplomatic relations, the South African Vice President, Thabo Mbeki, paid a visit to PRC in September of 1998, followed by the Speaker of the South African National Assembly, Frene Ginwala, in October. The following year, Chinese Vice President Hu Jintao visited South Africa and President Nelson Mandela paid a state visit to PRC. At the invitation of President Mbeki, Chinese President Jiang Zemin paid a state visit to South Africa in September 2000. During the visit, the two signed the “Pretoria Declaration” that provided a framework for closer cooperation and provided for the establishment of the PRC-SA Bi-National Commission (BNC). The two presidents conducted an in-depth exchange of views on bilateral ties along with international and regional issues. PRC and South Africa are both regarded as developing countries with significant influence in their respective regions. There were also independent talks held with other prominent actors in the South African political scene Womack (2004:353).

FIGURE 24: ILLUSTRATION OF ASYMMETRY BETWEEN THE PRC AND SOUTH AFRICA COMPARISON OF A FEW KEY METRICS

	The PRC	South Africa
Population	1,355,692,576 (July 2014 est.)	48,375,645 (July 2014 est.)
Government type	Socialist/Communist state	Republic (democratic)
Size of economy	Second largest	Twenty seventh
GDP	\$8.939 trillion	\$ 353.9billion (2013 est.)
GDP-real growth rate	7.6% (2013 est.)	2 % (2013 est.)
Exports	\$2.21 trillion (2013 est.)	\$91.05 billion (2013 est.)
Imports	\$1.772 trillion (2013 est.)	\$99.55 billion (2013 est.)
Budget	Revenues \$2.064 trillion (2013 est.)	Revenues: \$88.53billion (2013 est.)
Military forces	2,285,000 (active), 800,000 (reserve)	39,445 (active) 12,300(reserve)

Source: Sithole (2013:2)

In the following year, contact between the PRC and SA increased, in the form of official visits by foreign ministers, trade ministers and heads of state. In 2001, a large delegation, led by President Mbeki, visited PRC at the invitation of President Jiang Zemin. During this visit, President Jiang and President Mbeki co-chaired the first meeting of the BNC. President Jiang suggested that this meeting brought forth a new stage in bilateral, friendly cooperation between PRC and South Africa, the Centre for Chinese Studies (CCS) was created within the framework of this Commission, at the second meeting, which took place in 2004 (Sithole,2013:12). Some of the other points discussed at the meeting included the reorganisation of PRC's policy statement on Africa and the new ideas and measures to strengthen PRC-Africa cooperation as elaborated in the Addis Ababa Action Plan (2004

- 2006) of the Forum on PRC - Africa Cooperation (FOCAC). PRC's commitment to building a new type of partnership with Africa based on long-term stability, equality, mutual benefit and all-around cooperation was also emphasised. There has also been considerable cooperation between the two countries within the framework of the United Nations. Having regularly met at the UN General Assembly, the countries expressed their commitment to shared interests and each other's foreign policy agendas (Alden, 2012:8).

In February 2007, President Hu Jintao started an African tour, visiting eight African countries including South Africa, Cameroon, Liberia, Sudan, Zambia and Mozambique. The tour highlighted PRC's solidification of the FOCAC commitments made in 2006 and the consolidation of relations between PRC and South Africa. It underscored PRC's renewed interest in the continent and provided a platform for new agreements and dialogue with the countries visited. President Hu's stop in South Africa focused on trade, political, development, investment and economic cooperation in addition to cultural exchanges between the two countries and seven agreements were signed (Sithole, 2013:17).

Discussions followed up on the agreements made during the Forum on PRC-Africa Cooperation (FOCAC) in Beijing in 2006 and focused on four principles; broadening of political mutual trust and strategic consultation, enhancing economic cooperation trade, enhancing coordination, cooperation and diplomatic consultations, as well as strengthening cultural and personal interaction between Africans and Chinese.

6.3. COUNTRY POLICY AND LEGISLATION ON PARTNERSHIP

6.3.1. A BRIEF BACKGROUND TO THE PRC'S FOREIGN POLICY

The PRC's foreign policy is characterised as strongly influenced by its nationalism. It can be traced back to 1949 when the then Chairman of the Communist Party of PRC, Mao Zedong, announced the principle of –leaning to one side by which the PRC would seek an alliance with the Soviet Union and fight against the US and its Western allies (Tianbiao Zhu, 2001: 7). Another pillar of its foreign policy even then was developing relationships with the Third World served the goal of promoting and preserving national independence (Tianbiao Zhu, 2001:10). With the PRC's opening up a policy which began in the late 1970s, it began to follow an independent and open foreign policy eschewing formal preferential ties to specific countries. The stated goals of the PRC's foreign policy are to safeguard world peace, oppose all forms of hegemony, and work to achieve domestic economic modernisation. The PRC's foreign policy remains rooted in the following principles (Nathan & Ross, 1997, Panda,

2014);

- ✧ *Maintaining Independence and safeguarding national sovereignty;*
- ✧ *Opposing hegemonism and safeguarding world peace;*
- ✧ *Upholding the Five Principles of Peaceful Coexistence;*
- ✧ *Strengthening solidarity of the developing countries, and together opposing imperialism and colonialism;*
- ✧ *Improving relations with developed countries to promote common progress.*

It has recently introduced the concepts of a –harmonious society domestically, and –harmonious world, –peaceful development and places particular emphasis on the development of –good-neighbourly relations and –a partnership in its relations with its neighbours and diplomatic allies.

6.3.2. THE ORIGINS OF THE PRC'S SOUTH AFRICA FOREIGN POLICY

Diplomatic relations between the PRC and South Africa were established in 1998 and bilateral visits by senior government official and heads of state ensued. There were a number of bilateral agreements that were signed to regularise the relationship. However, the key foundational document in the formalisation of the relationship between the PRC and South Africa is the –Pretoria Declaration on the Partnership between the People's Republic of PRC and the Republic of South Africa signed on 20 April 2000 (Pretoria Declaration).

Although the Five Principles of Peaceful Coexistence are a foundation of the relationship between the PRC and South Africa with equality, sovereignty and mutual benefit lifted verbatim into the Pretoria Declaration, mutual respect has become –sincere friendship, non-interference in each other's internal affairs and peaceful coexistence get addressed through South Africa's acceptance of the –One PRC policy. It is specifically stated and generally understood that by accepting the –One PRC policy, South Africa cannot have diplomatic ties with Taiwan (Alden, 2012:9). What is often overlooked is that it also means that it cannot recognise Tibet or any other region that seeks to secede from the PRC. What stands out is the importance placed on–increased consultation and cooperation in International Affairs, cooperation in the establishment of a new international political and economic order, and mutual support in the international economic milieu. Again, the PRC makes its priorities in its relationship with South Africa very clear Womack (2004:351).

South Africa's intentions to leverage the relationship for its own developmental priorities are also clearly articulated in the declarations and communiqués, especially the Beijing

Declaration and the 2011 White Paper on foreign policy. The relationship is also driven by areas of shared interest such as the reform of the international multilateral political, economic and financial architecture to reflect new global realities. These shared interests are not unique in the relationship between South Africa and the PRC and their individual relations with other similar states. Nonetheless, the PRC's relationship with democratic South Africa can also be understood in the context of its longstanding relationship with the liberation movements.

Alden and Aran (2012: 61) advocate for a greater recognition of the role of the relationship between political parties in international relationships. They argue that political parties often determine the ideological orientation of foreign policy and that this often becomes the policy of the government. This is why an important aspect of the PRC-South African relationship is the relationship between the South African Communist Party (SACP) and the Communist Party of PRC which has grown to encompass and has been taken over by the ANC (Mofokeng, 2011:1; Butler, 2012:5; Kane-Berman, 2013:3). This was a major factor in South Africa's acceptance of the –One PRC Policy which was a precondition of its diplomatic ties with the PRC and its breaking ties with Taiwan. It also explains, in part, the apparent disjuncture between South Africa's avowal of human rights, democracy and liberal economics and close ties with the PRC which is currently opposed to these principles domestically.

The relationship between South Africa and the PRC was beset by contradictions that were difficult to reconcile and required concerted effort to address, for example, South Africa prioritised human rights while the PRC did not. South Africa's decision to desert Taiwan for the PRC was involuntary. It may have harboured resentment towards the PRC for forcing it to choose when it preferred to have diplomatic ties with both. Hence the PRC's focus on engendering mutual understanding and appreciation of their societies and histories, actively working to convert resentment to friendship through the adept management of a relationship using what Womack (2004:351) in his theory of asymmetry calls routinisation and diplomatic ritual.

6.3.3. SIMILARITIES BETWEEN THE PRC AND SOUTH AFRICA'S FOREIGN POLICIES

The PRC and South Africa share many objectives with regard to key multilateral issues and on the need for the reform of the international multilateral political (e.g. United Nations Security Council), economic and financial architecture (e.g. International Monetary Fund

and World Bank) to reflect the changes in geo-economics and political sphere marked by the rise of the PRC as an economic power, the growing role of emerging markets and growing populations of many developing nations. In this regard, the PRC will not have to goad South Africa into a particular line of action. South Africa will act following its own convictions. The PRC's benefit from such action will be incidental even if it is significant. However, there is no doubt that the PRC has its national interests at heart in this relationship and it will ensure that it achieves them. The PRC's may be merely following a soft power approach in responding to South Africa economic and developmental focus in their relationship. This could lull South Africa into complacency that the PRC would take advantage of. In this regard, Nye (2012:153) says that economic resources can be used for both soft as well as hard power behaviour. They can be used to attract as well as coerce. The challenge is to tell the difference and respond accordingly.

From an asymmetry theory perspective, in a relationship between two unequal countries, the relationship will hold larger significance for the smaller and/or weaker than the larger and/or stronger country. The smaller and/or weaker would pay attention to it to avoid being overpowered and taken advantage of by the larger and/or stronger one (Womack, 2004: 360).

From this perspective, in the relationship between South Africa and the PRC, the relationship probably matters more for South Africa than for the PRC. Therefore, asymmetry theory would envisage South Africa focusing more on the relationship than the PRC. It would spearhead most of the initiatives pursuant to its partnership with the PRC, in its interest, rather than following the PRC's lead.

6.3.4. AGREEMENTS AND MOUS SIGNED BETWEEN SOUTH AFRICA AND PRC

- ✧ *Joint communiqué on the establishment of diplomatic relations;*
- ✧ *Maintenance of the consulate-general of the Republic of South Africa in the Hong Kong Special Economic Administrative Region;*
- ✧ *Establishment of diplomatic relations;*
- ✧ *Civic air transport;*
- ✧ *Trade, economic, and technical cooperation;*
- ✧ *Establishment of a joint economic and trade commission;*
- ✧ *Reciprocal encouragement and protection of investments;*
- ✧ *Scientific and technical cooperation;*
- ✧ *Police cooperation;*
- ✧ *Cooperation in the fields of arts and culture;*
- ✧ *Maritime transport;*

-
- ◇ *Animal health and quarantine/ phytosanitary cooperation;*
 - ◇ *Public health and medical sciences;*
 - ◇ *Avoidance of double taxation; and*
 - ◇ *Understanding on cooperation between national prosecuting authorities.*

6.4. BACKGROUND OF SHANDONG AND WESTERN CAPE SISTER PROVINCES PARTNERSHIP

The Republic of South Africa (RSA) and the Peoples' Republic of China (PRC)'s formal diplomatic relations were established in January 1998. The two countries are strategic partners in global relations, particularly the advancement of South-South cooperation. South Africa and PRC continue to enjoy good bilateral relations and are determined to increase interaction in trade, investment and tourism. South Africa and PRC are partners within the BRICS grouping (world' leading emerging economies) and have become important and strategic players within the geological affairs. South Africa participated in the 2011 BRICS summit held in PRC, India 2012 and had an opportunity to host the 5th annual summit held in Durban, 2013 and China-Africa Summit FOCAC 2015 in Johannesburg. This aforanisations South Africa's stand to strengthen relations, access markets, promotion of intra-trade & investment and culture exchange etc. with the rest of the world including PRC (Directorate International Relations, 2016:2).

The Western Cape Province of the Republic of South Africa and the Shandong Province of the People's Republic of PRC enjoy friendly bilateral relations which were also established in 1998. Shandong is a coastal province in Northern PRC and is considered the birthplace of ancient Chinese culture, with a rich tapestry of local history.

The Western Cape and Shandong are partners within the Regional Leaders' multilateral forum since 2008. This is a forum for seven Regions/Federal States/ Provinces from five continents and in which perspectives and strategies for the sustainable world are discussed under the main topic 'Policy for Generations". The Regional Leaders emphases that an exchange of views and experiences among other things and comparisons at policy levels are particularly valuable and concrete cooperation could be proactively and effectively developed in certain fields of common concern and interest (Directorate International Relations, 2016:2).

The Western Cape attended the 4th edition of Regional Leaders' summit hosted by Shandong in Jinan from the 4th until 10th August where it became the member. Consequently, the Western Cape hosted the 5th Summit in September 2010 and the 6th Summit was hosted by Sao Paulo, Brazil in April 2012. Bilateral discussions between

Shandong and the Western Cape during this Summit focused on possible cooperation in agriculture, aquaculture, tourism and culture. The Premier and Governor could use the opportunity to share ideas regarding the next Regional Leader Summit and cooperation with that multilateral forum.

FIGURE 25: WESTERN CAPE CONVERNMENTS TWINNING ARRANGEMENT WITH SHANDONG PROVINCE BILATERAL AGREEMENTS

AGREEMENTS	DATE ENTERED INTO	STATUS
SHANDONG, PRC(Total: 9 agreements)		
▪ Memorandum of Understanding between the Department of Economic Development and Tourism and the Shandong Provincial Tourism Administration	23-May-16	Active
▪ Memorandum of Understanding for a Sport Exchange Programme	July/ Aug 2014	
▪ Memorandum of Understanding between the Department of Economic Development and Tourism and the Shandong Provincial Tourism Administration	26-Mar-08	
▪ Joint Declaration ▪ Memorandum of Sport Cooperation	31-Oct-07	
▪ Memorandum of Understanding – To further enhance co-operation in the field of Education	25-Jan-07	
▪ Framework Agreement for further collaborated projects	20-Jul-06	
▪ Joint Declaration	20-Jul-06	
▪ Joint Declaration	17-Jun-04	
▪ Memorandum of Understanding	12-Jun-00	
▪ Protocol	26-Nov-98	
▪ Joint Communiqué	12-Mar-98	

Source: Directorate: International Relations (2016:2)

FIGURE 26: MULTILATERAL AGREEMENTS WHERE SHANDONG IS INVOLVED

	AGREEMENTS	DATE ENTERED INTO	STATUS
R	REGIONAL LEADERS' SUMMIT (Total: 10 agreements)		
	▪ Final declaration	15-Jul-16	Active
	▪ Final declaration	03-Jun-14	
	▪ Final declaration	12-Apr-12	
	▪ Final declaration	29-Sep-10	
	▪ Final declaration	07-Aug-08	
	▪ Final declaration	12-Jul-06	
	▪ Summary of decisions	10-Dec-04	

Source: Directorate: International Relations (2016:5)

6.4.1. OVERVIEW SHANDONG PROVINCE

Shandong is an eastern, coastal province in northern PRC, with a population of 94million at the end of 2012, Shandong is the second populous province of PRC, the area of Shandong measures at 158,800 square km.

FIGURE 27: SHANDONG GENERAL INFORM

GENERAL	INFORMATION
Capital	Jinan
Governor	Guo Shuqing
Population (2014)	97,333,900
GDP (2015)	RMB 6,300 bn
GDP per captia (2014)	RMB 60,879
GDP growth (2015)	6%
Area	157,000 sq km
Exports (2014)	USD 144.7 bn
Imports (2004)	USD 132.4 bn
Retail Sales (2014)	RMB 2,511.2bn
Utilized FDI (USDbn)	USD 15.2 bn

Source: Directorate: International Relations (2016:5)

6.4.1.1. Shandong success in sport

As Shandong is one of the leading provinces in the world in terms of sport, the Western Cape would benefit a great deal by sending coaches and athletes to learn the methods behind the success of their Chinese counterparts.

The Shandong Sport Bureau based in Jinan forms the headquarters for sport in the province. Therefore, the outcomes of the meetings held with the Bureau have been tabled and provided a way forward in compiling a concrete Service Agreement. Each coach from their specific code will be based in the city where the code is most successful. E.g. Sailing coaches will be based in Qingdao.

FIGURE 28: SHANDONG SUCCESS IN SPORT

SHANDONG PROVINCE				
Venue	Year	Gold	Silver	Bronze
Sydney	2000	2		
Athens	2004	4	3	
Beijing	2008	5	3	3
London	2012	7	4	1

WESTERN CAPE PROVINCE				
Venue	Year	Gold	Silver	Bronze
Sydney	2000	-	-	-
Athens	2004	-	-	-
Beijing	2008	-	-	-
London	2012	-	-	-

Source: DCAS report (2013:15)

The Shandong province has boasted 18 medals won at the Olympic Games from Sydney 2000-London 2012 (Figure 28), the aim is for the WC to learn from the Shandong Province as to their methods of conditioning their athletes for international success.

6.4.1.2. The strategic framework of Shandong

The strategic framework of Shandong province summarised as follows:

- ❖ *To promote sport and culture;*
- ❖ *Enrich the national sport activities;*
- ❖ *To promote sport development and social institutional innovation;*
- ❖ *To co-ordinate the construction of sport facilities;*
- ❖ *To promote the services of sport development;*
- ❖ *To encourage the international sport exchange with foreign countries.*

More details will discuss in Chapter 7 as more reference in this regard.

6.4.2. OVERVIEW WESTERN CAPE PROVINCE

The Western Cape is one of the nine provinces that make up the Republic of South Africa. It is located in the South-Western part of the country and it is the Southern-most part of the African continent. The province is bordered by the Atlantic Ocean to the West and South-West, the Indian Ocean to the South and South-East, the Eastern Cape to the East and the Northern Cape to the North. The province is the fourth largest and one of the most beautiful and greatest tourist destinations in South Africa, having the mother city of South Africa-Cape Town as its provincial Capital. The province covers a land surface of 129,307 km and has an estimated population of about 5.3 million (IR strategic WCG 2014:40).

6.4.2.1. *The Strategic framework of WCG*

In order to facilitate change, a common vision of how the WCG would like to engage in meaningful international relations is necessary; Figure attempts to achieve this vision by formulating an international relation vision, goals and objectives;

6.4.2.2. *International Relation vision*

To promote economic development. Social inclusion and increase sustainability through the global positioning of the Western Cape with the rest of Africa, BRICS and the rest of world (IR strategic WCG 2014:49).

6.4.2.3. *Vision strategic goals and objectives of WCG*

The International Relations Strategy centres around three strategic goals and is aligned with Provincial Strategic Objectives 1, 7, 8 and 11:

- ✧ *Strategic Goal 1: Create an enabling environment to facilitate trade, tourism and attract strategic growth and jobs, thus reducing poverty;*
- ✧ *Strategic Goal 2: Develop skills and best practices through knowledge sharing in all social sectors of the WCG by the cooperative, multi-dimensional exchanges with emerging and developed regions. Strategic international partnerships of WC*
- ✧ *Strategic Goal 3: Improve environmental resilience and adaptation to climate change and increase sustainability in the Western Cape for future generations through.*

In order to facilitate change, a common vision of how the WCG would like to engage in meaningful international relations is necessary. These above-mentioned frameworks attempt to achieve vision by formulating an international relations vision, goals and objective (See Figure 29a & 29b below):

FIGURE 29a: STRATEGIC PARTNERSHIP WCG

STRATEGIC GOAL 2 - DEVELOP SKILLS AND BEST PRACTICES THROUGH KNOWLEDGE SHARING				
Strategic Objective	How	Who	Targets/Opportunities	Countries/regions
Benchmark the Western Cape Province through collaboration with international agencies such as the OECD, World Bank etc. on key policy issues.	<ul style="list-style-type: none"> Build on existing networks created with international agencies to ensure we achieve the vision of the best-run regional government in the world. Existing initiatives, such as the Agribenchmark initiative can be used as the international benchmark of various industries (in this case for grains, fruit, dairy, meat etc.) Budget allowing - commission studies on benchmarking against aspirational countries in economic, social and governance sectors. 	<ul style="list-style-type: none"> WCG Cabinet Wesgro EDP Municipalities 	<ul style="list-style-type: none"> UN agencies (UNESCO etc.) OECD WorldBank SADC African Union 	<ul style="list-style-type: none"> n/a
Learn best practices on good governance by active consultation with like-minded regions and leaders in the field.	<ul style="list-style-type: none"> Participate in international forums on key sectors, in environment, economy, and governance. Bolster international initiatives such as student/educator, school exchanges on policy priority areas such as health, education etc. Promote mutual engagements on key policy areas of the WCG. Seek out collaborative partnerships with leaders in institutional governance, financial management, promoting integrated planning. 	<ul style="list-style-type: none"> WCG (WCED, DSD, DoH, DHS, DCAS) Cabinet EDP Wesgro Municipalities 	<ul style="list-style-type: none"> Private sector 	<ul style="list-style-type: none"> United Kingdom - financial and good governance, civil service practices. UAE - performance management Canada - financial systems Bavaria Burgundy Australia (Aus+HS) for international development programme for civil servants.

Source: The WCG Annual Performance Plan 2017/18

FIGURE 29b: STRATEGIC PARTNERSHIP WCG

STRATEGIC GOAL 2 - DEVELOP SKILLS AND BEST PRACTICES THROUGH KNOWLEDGE SHARING				
Strategic Objective	How	Who	Targets/Opportunities	Countries/regions
Create and expand innovative cultural, health, sport, social education, safety, housing, technological and educational ties with targeted regions in the world.	<ul style="list-style-type: none"> Seek out collaborative partnerships with leaders in health, education etc., as well as develop cultural and sport ties. 	<ul style="list-style-type: none"> WCG (DCAS, DoH, DHS, DSD, WCED) Cabinet Municipalities 	<ul style="list-style-type: none"> Work with ODA agencies in WC Cultural councils based in WC 	<ul style="list-style-type: none"> Design Industries in the UK and elsewhere Scandinavian countries for education best practices. Tunisia - education Singapore and S. Korea - education
Promote the brand of the Western Cape as a learning region by exposing its potential and strengths through international exchanges and participation.	<ul style="list-style-type: none"> Continue participation at key international events hosted in the WC and rest of SA. Officials and MECs to leverage off existing engagements overseas and in hosting diplomatic missions to create awareness of the WCG brand. 	<ul style="list-style-type: none"> WCG Cabinet Get buy-in from EDP Wesgro Municipalities 	<ul style="list-style-type: none"> BRICS Summits Tourism Indabas and exhibitions/ 2014 World Design Capital Africa Day celebrations Overseas engagements Diplomatic Corps brunches Premier's public addresses Cape Town Tourism 	<ul style="list-style-type: none"> Africa BRIC countries Rest of the world

Source: The WCG Annual Performance Plan 2017/18

6.5. HISTORICAL CONTEXT, CONTEMPORARY TRENDS AND NATURE OF ACTIVITY

South Africa adheres to the One PRC policy, which it adopted in 1998. South Africa's adoption of the policy is consistent with international law, which recognises Tibet to be an inalienable part of PRC. The Bi-National Commission (BNC) established in 2002 became a key vehicle of facilitating relations between the two countries. Through it, critical decisions such as the establishment of the 2008 strategic dialogue, economic and trade, education, environmental affairs, poverty alleviation, agriculture, environmental affairs, health and public service and administration agreements were discussed (DIRCO, 2012:5).

6.5.1. AGREEMENTS SIGNED BETWEEN THE REPUBLIC OF SOUTH AFRICA AND THE PEOPLE'S REPUBLIC OF PRC

Agreements and MoU's signed between South Africa and PRC summarised as following:

- ✧ *Joint communiqué on the establishment of diplomatic relations;*
- ✧ *Maintenance of the consulate-general of the Republic of South Africa in the Hong Kong Special Economic Administrative Region;*
- ✧ *Establishment of diplomatic relations;*
- ✧ *Civic air transport;*
- ✧ *Trade, economic, and technical cooperation;*
- ✧ *Establishment of a joint economic and trade commission;*
- ✧ *Reciprocal encouragement and protection of investments;*
- ✧ *Scientific and technical cooperation;*
- ✧ *Police cooperation;*
- ✧ *Cooperation in the fields of arts and culture;*
- ✧ *Maritime transport;*
- ✧ *Animal health and quarantine/ phytosanitary cooperation;*
- ✧ *Public health and medical sciences;*
- ✧ *Avoidance of double taxation; and*
- ✧ *Understanding on cooperation between national prosecuting authority*

6.5.2.2. Protocol signed by Former Premier Gerald Morkel, 26 November 1998 in Cape Town. The Protocol on the establishment of friendly relations conorganised the commitment of the two provinces to cooperate in 1) Trade; 2) Science and technology; 3) Education; 4) Cultural exchange; and 5) Tourism.

6.5.2.3. Memorandum of Understanding signed by Former Premier Gerald Morkel, 12 June 2000 in Jinan. The Memorandum of Understanding committed the two provinces cooperate in 1) Agriculture; 2) Trade and Investment; 3) Economic Cooperation; and 4) Exchanges and cooperation in Tourism, 5) Education, 6) Culture, 7) Sport, 8) Environment and 9) Public health. Furthermore, both partners agreed to promote exchanges and

cooperation through reciprocal visits by the leadership, trade delegations or other persons or groups that can promote the spirit of the MOU, exchange information on economic policy and regulatory framework, investment and trade opportunities. Although the Province receives incoming delegations on a regular and consistent basis, no tangible projects have flown from the partnership.

6.5.2.4. Joint Declaration signed by Former Premier Ebrahim Rasool, 17 June 2004 in Cape Town. The Joint Declaration was signed to further develop friendship and cooperation in the fields of 1) culture and 2) education. The leaders agreed that there remains immense potential for mutual economic and social development. The Provincial Governments agreed to support and encourage the development of interpersonal contacts and exchanges, cooperation and mutual understanding and friendship, enhance cultural exchanges through programs such as cultural exhibitions and theatrical performances, support education and training cooperation and encourage the respective universities to establish friendly relations and enter into joint research projects, cooperation between International Relations Offices to coordinate governmental and non-governmental relations and promote high-level visits.

6.5.2.5. Joint Declaration signed by Former Premier Ebrahim Rasool, 20 July 2006 in Cape Town. The Joint Declaration was signed to further consolidate and develop cooperation between the Western Cape and Shandong Provinces. The leaders agreed to pay close attention to and encourage 1) economic trade and cooperation, 2) encourage competitive companies to invest in partner regions; 3) enhance cooperation in agriculture; 4) support and expand cooperation in the fishery and cooperate in technology and the aquaculture industry; 5) encourage cooperation in the tourism sector, particularly through government agencies; 6) ensure focused cooperation in education, youth exchanges and research in language and culture; and 7) develop cooperation in energy and medical care through the Regional Leaders' Summit. The 2006 Joint Declaration was followed by a Framework of Agreement for Further collaboration which explored the possibility of implementing the student exchange project. The proposal was made for the exchange of 3-5 interns of government/ young professionals to enhance their linguistic abilities: English lessons for the Chinese candidates and Mandarin lessons for the Western Cape candidates who would be trained in the Partner's province for a period of 2 years. It was envisioned that the candidates would act as facilitators/ translators during official visits. The project has not yet been implemented.

6.5.2.6. Joint Declaration signed by Former Premier Ebrahim Rasool, 31 October 2007 in Jinan. The Joint Declaration was intended to further consolidate cooperation by the two

partners. The partners realized that the Sino- Africa relations were important in the context of the New Partnership for Africa's Development (NEPAD). The leaders agreed that there was a need for further development in the following areas:

- ✧ *The expansion of bilateral trade and investment;*
- ✧ *Strengthen cooperation in education and promote dialogue between the Education Departments of the two Provinces;*
- ✧ *Expand exchanges and cooperation in agriculture (including the plantation sector, agricultural machinery, horticulture, fruits and vegetables);*
- ✧ *Promote cooperation in the tourism sector;*
- ✧ *Promote cooperation in sport and cultural affairs;*
- ✧ *Learn from each other in areas of transport and public works;*
- ✧ *Cooperate in health, including collaboration in Tuberculosis and traditional medicine.*

6.6. OVERVIEW SPORT EXCHANGE PROGRAMME (SEP)

UNESCO's International Charter of Physical Education, Physical Activity and Sport of 2015 highlights in Article 1.1:

“[E]very human being has a fundamental right to physical education, physical activity and sport [...]”, and in Article 1.2: “The freedom to develop physical, psychological and social well-being and capabilities through these activities must be supported by all governmental, sport and educational institutions.” (UNESCO, 2015)

With these premises, the sport has gained great relevance in the social context and supporting sport activities by governments, public authorities, schools and relevant private organisations have become a priority, also in the higher education sector. Today a range of challenges impact on higher education institutes, such as shrinking financial resources, demographic changes among the student population, and the need to attract students and remain engaged with the community (Kogan et al., 2006:1; Shapiro, 2005:1).

6.6.1. SPORT PARTNERSHIP FOR DEVELOPMENT

As these aspects are ever more relevant, the adoption of sport partnerships appears as one strategy to overcome these constraints, through reinforcing resources of a diverse nature. In fact, cooperation in the sport context is a frequent and habitual phenomenon: Due to its social dimension, a sport usually requires the interaction of a number of actors and groups, at both the informal and formal level.

However, the nature of partnerships in sport is different from those encountered in traditional industrial settings (Wolfe et al., 2002:611; Wäsche, 2015:542). What predominantly distinguishes sport partnerships is the involvement of public institutions

and non-profit associations, so that commercial or business-related objectives recede into the background. In fact, Babiak (2007:345) found legitimacy, stability, reciprocity and efficiency as prevailing motives for sport partnership. Zagnoli and /RadicchiRadicchi (2010:1532) and Woratschek et al. (2014:8) proposed that value creation in sport management should embrace a process of interacting social actors integrating different resources. Nevertheless, knowledge of what particularly drives sport partnerships in the higher education sector and makes them effective is scarce, above all concerning the underlying resourced-related success factors at the core of this research.

6.6.2. BILATERAL RELATION SEP SHANDONG AND WCG

In terms of background of the partnership between the Western Cape and Shandong , Currently, Department of Cultural Affairs and Sport (DCAS) is working with four universities in the Western Cape i.e. (1) University of Western Cape (2) Stellenbosch University (3) University of Cape Town and Cape Peninsula University of Technology. The Beijing Sport University consists of four centres which specialise in scientific research, teaching experiment centres, modern technology and training centres. It is the only university in PRC that specialises in sport and it is also the top sport science university in PRC. They are internationally active and have signed Memorandum of Agreements (MOA) with 80 universities in 35 countries. The university is open to accepting invitations for exchanges programme between students and lecturers. Shandong has 17 academies throughout the province. The academy system provides a critical component in the development of athletes advancing to the next level. The coaches from the Western Cape will be exposed to the academies based in the cities of the Shandong province.

With regards to the official visiting, during 30 October-6 November 2007, the government delegation of Western Cape province(Sport Department of the Western Cape Province) visited the Shandong Province(Shandong Sport Bureau).The outcome of this visit resulted in a memorandum of Sport Cooperation between the two provinces. The memorandum states that the tow sport administrations would visit each other every year and engage in the exchange of sport expertise and Knowledge. Interest Areas included: *Disability sport; Mass participation; School sport/Physical education; High-performance sport/elite sport.*

The Shandong Sport Bureau visited the Western Cape on 14 November 2012, and engaged with DCAS on possible ways for the exchange of sport knowledge and expertise. From this meeting, the initial agreement was scaled down to 4 areas: *Sport Academics; Training and Coaching; Talent Identification; Facilities Development.* The actual visit is carried out in an efficient and effective manner.

6.6.3. WAY FORWARD – ACTION PLAN

Upon the return of the sport delegation that visited PRC from 28 June-6 July 2013, the DCAS delegates reported to all stakeholders of sport in the Western Cape on their findings of sport structures in PRC (DCAS Shandong-WCG report 2013:15).

The two provinces (Western Cape and Shandong) agreed that an updated version of the MOU signed in 2008 or a new Service Level Agreement (SLA) to be drafted. The Service Level Agreement of the partnership between Western Cape and Shandong focus on four interest areas: Sport Academics; Training and Coaching; Talent Identification and Facilities Development.

The exchange programme will focus on the development of the coaches in terms of sport academies, training and coaching and talent identification. They would also have an opportunity to have first-hand experience as to the type of facilities that are most conducive to specific codes. The codes for the first phase of the partnership with the Shandong province, the coaches sent to Shandong will be from the Codes: Badminton; Gymnastics; Cycling; Table tennis; Chess; Rugby and Sailing/Yachting the Shandong province has expressed urgency in hosting coaches for rugby sevens and sailing.

6.7. SUMMARY

This Chapter first discusses the BRICS initiative, followed by PRC and South Africa relations, as well as the Shandong-WCG partnerships in a review of sport development and SEP.

- ❖ It is concluded that the above case study has recorded the existing partnership in SEP between Shandong-WCG which is on building stage of partnership; In regard to SEP through intensive research and interaction between the WC and Shandong provinces have been developed for the Service Level Agreement (SLA). The SLA will form the core of the partnership which will aim to condition coaches and athletes through an ongoing process for development towards elite level.
- ❖ The evidence and research information on additional indicators that may be considered for the Shandong-WCG partnership in SEP, also possibly in other partnership in sport and development programmes amongst BRICS particular in PRC and South Africa. This issue, namely the general applicability of the research findings with respect to its future and potential application to other partnership and SEP development projects /programmes, will be discussed in Chapter 8.

The succeeding Chapter will provide the fieldwork results from interviews conducted with the participants based on the research design with a discussion on the need of KM and M&E in SEP of Shandong -WCG partnership.



CHAPTER SEVEN: PRESENTATION OF FIELDWORK RESULTS

7.1. INTRODUCTION

This section will provide the fieldwork results including the desk-top review of primary research material as well as focus group discussions and interviews conducted with the participants based on the research design, this focus was in particular on information and data gathered on:

- ❖ *The Readiness Assessment for KM and M&E in the partnership;*
- ❖ *The 5-C protocol application to the partnership;*
- ❖ *The development of a theory of change (ToC) model for the Sport Exchange Programme (SEP) of the partnership; and*
- ❖ *Anticipated outcome indicators for the Sport exchange programme (SEP) of the partnership, according to the ToC Model.*

The Shandong-WCG partnership was selected as case study to determine the readiness of government institutions to effectively implement KM and M&E practices by assessing the incidence of KM and M&E enablers at two sister provinces.

The fieldwork was carried out for a period of three months, from August to October 2017. The first part of data collection was done from August to September 2017, a follow-up study was done in October 2017 with regards to Readiness Assessments. These assessments determined the needs for the establishment of KM and Results-Based M&E systems in G2G partnerships. As noted in Chapter 5, sixteen semi-structured selective interviews were conducted to get an appropriate variety of responses. Ten interviews were initially conducted between August and September 2017, while six follow-up interviews were carried out in October 2017. Focus group discussion was done during the first half of the data collection process (August-September 2017) at European research conference 2017 as indicated.

Essential to the theme, the questions posed to the respondents sought to elicit their views on the development aspects of KM and M&E in terms of its purpose so as to address the needs for G2G partnerships.

7.2. IDENTIFIED THEMES AND SUB-THEMES

The fieldwork has been presented based on the thematic categories identified in the overall understanding of KM and M&E in G2G partnerships. These themes and sub-themes

profoundly reflect the views, comments, experiences and aspirations of the Shandong - WCG partnership in SEP. Moreover, it concisely mirrored the dimensions as to explore & determine the need and nature of requiring support for KM and M&E with regard to SEP in the Shandong-WC partnership. Thus, four main themes and 12 sub-themes emerged from the data analysis. These themes and sub-themes were summarised in Figure 30 below:

FIGURE 30: SUMMARY OF IDENTIFIED THEMES AND SUB-THEMES

Themes	Sub-Themes
G2G Partnership	The Need for KM and M&E at G2G partnership level?
	What is the need for KM and M&E in G2G partnerships?
	What value/benefits will KM and M&E add in G2G partnerships between Shandong and WCG?
KM Readiness	What is the current situation of the governmental institutions in terms of KM? Focus on KM Enablers as sub-theme areas: Institutional/organisational culture; Human resources; Information technology; Strategy and Leadership; Institutional/organisational structure.
	What are the approaches needed to improve the current situation of the governmental institutions in term of KM?
	What are the factors influencing the successful implementation of KM in governmental institutions?
M&E Readiness	Incentives and demands for designing and building a Results-Based M&E System
	Roles and responsibilities within existing structures for assessing

	performance of the government
	Capacity building requirements for the Results-Based M&E system
SEP	Analysis via three of the 5-C protocol criteria, namely: Commitment, Capacity and Context plus two additional criteria namely Communication and Coordination. Focus on four key sub-theme areas: a) Sport Academies; b) Training and Coaching; c) Talent Identification; d) Facilities Development
	Anticipated outcome indicators framework (Section 8.6 in Chapter 8)
	Theory of change (ToC) (Section 8.7 in Chapter 8)

Source: Author

The above Figure illustrates the thematic category and the sub-themes. Each thematic category and the respective sub-theme will now be discussed in the rest of the Chapter. Chapter Eight will respond to the research objectives as the findings in Chapter Seven. The fieldwork is based on four key components, namely: 1) G2G partnerships; 2) KM Readiness; 3) M&E Readiness; and 4) the Sport Exchange Programme (SEP). Against the above-mentioned background, the following sections will present in detail the responses of the respondents and their opinions to the questions posed. Interview subjects were assessed regarding respondents' understanding and general awareness of KM, M&E and the partnership in SEP.

7.3. FIELDWORK RESULTS ON G2G PARTNERSHIPS

The aim of the analysis was to determine the key issues as well as any patterns or trends that may have emerged, based on the interviews. The questions were posed, and responses

solicited from the interviewees. The respondents were questioned about their experiences relating to the KM and M&E aspects, as well as their opinions on a series of questions regarding the Shandong-WCG partnership in SEP.

7.3.1. OPINIONS ON THE NEED FOR KM AND M&E ON G2G PARTNERSHIP LEVEL

The discussion in this section will probe into issues of the need for KM and M&E on G2G partnership level. The Figure 31 below indicated the status of fieldwork and the need for KM and M&E in the Shandong -WCG partnership as a whole.

FIGURE 31: INDICATE THE STATUS AND THE NEED FOR KM AND M&E IN THE SHANDONG-WCG PARTNERSHIP

	Do KM and M&E exist in the partnership?	Is there a need for M&E?	Is there a need for KM in the partnership?
Respondent says Yes	0%	87.5%	81.25%
Respondent says No	100%	12.5%	18.75%
Totals	100%	100%	100%

Source: Author

The above Figure elucidated the desired results from the participants interviewed. The participants' own assessment of the content in terms of understandings on KM and M&E, as well as the sustainability of the need and support requiring from KM and M&E initiatives in the Shandong-WCG Partnership. The information/data obtained from the fieldwork, revealed that out of 16 respondents questioned, 14 respondents agreed that M&E is needed and 13 respondents agreed KM is needed in the Shandong-WCG partnership.

When Respondents were asked about the need for KM and M&E,

Respondent [G] responded by saying that: “... Yes, there is always a need. By continually fulfilling the obligations of the agreement”. Respondent [H] also commented: “... Of course, yes. It’s the tools to ensure the partnership is working and the impacts are achieved. KM in all partnerships, not just G2G is required ... Parties must be open to sharing information on policies, regulations, data, performance indicators, and development, benchmarking and audit reports.” Respondent [P] acknowledged that: “... The IOC has recommended KM system in place. But it needs enhancement and alignment to local user standards. G2G will definitely help.”

The respondent obviously expressed the view that the value of KM and M&E was already accepted by international institutions such as IOC for the system to be in place and effectively engage in global partnerships. The need of KM and M&E also required being extended to all other sectors and levels, in particular in partnerships.

When respondents were asked how well did the Shandong and WCG partnership perform in recent years,

Respondent [D] said that: “... Trust between the PRC and SA is very good. The MoU between Shandong and WCG will foster even greater trust ... in terms of lessons that can be learnt as Government- Government Partnership, my opinions is that G2G is good, but there is geopolitics to consider, BRICS and the countries’ own growth plans. Only if both parties respect this can G2G work ... with regards to whether the challenges for the partnership still meet its aims and objectives ... I will say NO, the situation is that after the 1st one project the aims have gone cold. However, with the advent of new projects and soonest PRC comes out of the recession, the MoU can be kick-started again.”

Respondents noted initially that various aspects of the implementation of programmes is important but that particular concern existed about the sustainability of the partnership and joint programmes, and the assessment showed that there is still room for improvement.

7.3.2. OPINIONS ON THE NEED FOR KM AND M&E IN PARTNERSHIPS

The discussion below will focus on the quality of content of KM and M&E in terms of what is needed for G2G partnerships.

When respondents were asked about their opinion with regard to strengthening the KM and M&E functions in the partnerships, the following emerged.

Respondent [G]: "... Partnerships among BRICS should encourage more migration among the countries, with the exchange of people and cultural experiences. This enquires open borders for the people mobility ... In spite of presenting economic similarities, the BRICS are still socially quite different among themselves. Not necessarily their contribution must be equal, although equitability must be considered when partnerships are evaluated ... Firms should work more together, sharing technology and market strategies. I believe strategic partnerships should be encouraged. Academia is another place where partnerships among the BRICS could be improved.

Respondent [M]: "... Evaluation is extremely important. There is a huge and increasing literature in evaluation based on evidence which must be explored by the BRICS, and not only in the partnerships: "... This is a question which is particularly relevant to me ... The evaluation must always be based on empirical evidence. For this, the collection and analysis of data must be constant in any partnerships ... There is not one single indicator. Each partnership looks for a specific target. However, I believe indicators must consider all partnership members in the way to evaluate partnerships works in a gain-gain system."

Respondents highlighted that the need existed to establish more advanced KM and M&E systems to ensure sustainability at partnership level, as well as to ascertain constant KM and M&E support throughout partnership development and performance management.

7.3.3. OPINIONS ON KM AND M&E ADD VALUE/BENEFITS

The discussion below will emphasise the value/benefits of KM and M&E that can be added to G2G partnerships.

When respondents were asked about whether the KM and M&E system has been established to support the partnership, they responded as follows:

Respondents [J]: "... Under normal circumstances, rules of conduct (e.g. good communication between actors, regulator attendance of meetings, continuity of personnel, and regular transfer of information among the partners) are adhered to by the partners ... Resources, knowledge, know-how and ideas are shared within the partnership ... PLUS to build strong institutions, strong people development/human capital, good governance

and create sustainability.”

Respondent [I]: “... Under normal circumstance, there’s a need for KM and M&E system to support partnerships ... Partnerships as an effective way of working together-operate under different local conditions, institutional environment, political factors, experiences and culture ... The partnership process needs to be monitored and evaluated to ascertain whether it’s meeting the objectives. Otherwise, it needs to be redesign in such a way as to be able to fulfil its objectives.”

Respondents succinctly illustrated that the KM and M&E did add value to partnerships as the effective way of working together, operate under different local conditions, institutional environment, political factors, experiences and culture as well as resources, knowledge, know-how and ideas were shared within partnerships were also important factors to build strong institutions, strong people development/human capital, good governance and create sustainability.

7.3.4. SUMMARY

From the fieldwork results captured, it was anticipated that the Shandong-WCG partnership was regarded as successful. However, various aspects of the implementation can be improved. Thus, from the discussions, it has become evident that meaningful partnerships as an effective way of working together to operate under different local conditions was dependent on the detailed nature of the problems, the institutional environment, political factors, experiences and organisational culture. KM and M&E aspects individually are very important in partnerships as KM and M&E allow for improved decision making, collaboration efforts, streamlined organisational processes and less repetition, which lowers operational costs and allows for better service delivery.

7.4. FIELDWORK RESULTS ON KM READINESS

The aim of the analysis was to determine any patterns or trends based on the interview subjects’ response to a series of questions focus on key components, namely the following three KM readiness questions and sub-themes:

- ❖ *What is the current situation at the institutions in term of KM?*
- ❖ *What are the approaches needed to improve the current situation of the institution in term of KM?*
- ❖ *What are the factors influencing the successful implementation of KM in an institution?*

The interviews were centered on questions about four organisational elements, namely:

organisational culture and strategy; structure; Human resources; and Information and Communication Technologies (ICT).

Against the background of these questions, interview subjects were assessed in terms of their understanding and general awareness of KM readiness in public sector, as well as in Shandong-WCG partnership.

7.4.1. OPINIONS ON THE CURRENT SITUATION OF THE GOVERNMENTAL INSTITUTION IN TERMS OF KM

The discussion below will probe into the current situation of the institutions in terms of KM.

7.4.1.1. Strategic services

The first theme assessed for the purposes of this section was strategic services. The strategic services reflected in the partnership focus on the roles in building a strategic and integrated approached to work with the governmental institutions.

During the interview with the Department of the Premier in WCG, respondent [C] acknowledged that:

“ ... The department [of the Premier], in collaboration with the other departments, seeks to transform the [WCG] into a data-and information-driven organisation. This means that department requires better data and information for a better decision that can be known to all data governments across the departments become critical and frees to the overall management of the availability useability integrity and security of data assets within the WCG ... The province-wide data governance (PWDG) framework and a draft implementation roadmap for PWDG have been endorsed by Provincial Cabinet.”

Respondent evinced that knowledge sharing via province-wide data governance (PWDG) framework, and intend to promote intergovernmental relations (IGR) within the governmental institutions existed in the WCG.

Respondent [J] noted initially that:

“ ... Other KM initiatives initiated by the Department is the department’s centre of e-innovation (Ce-I) which has been consistent growing in the demand for information and communication technology. Factors which have contributed to this include the recognition

by departments of the enabling role that ICTs can play in contributing to departmental outcomes. The renewed focus on the Corporate Governance of ICTs, the successful implementation of Broadband as well as the growth of the ICT user base.”

Respondents elucidated that strategic services also have a number of information systems and KM practices in place. The Department adopted a new vision, strategic goal and objectives. This system was devised and implemented by the institutions in WCG.

According to Respondent [E] commented on problems to accept KM, he indicated that:

“... Although information sharing among personnel members was prevalent, the Department’s attempt at fully implementing KM had not quite taken off ... strategic measures were required to convince personnel to accept KM and that this would involve identifying key strategic areas for KM ... the problems associated with accepting KM were largely due to the general lack of knowledge of how to effectively utilise information and reluctance on the part of personnel to add new information to their present workload.”

Respondents raised the important matter that the challenges of implementation and accepting KM, and identified the KM strategy and the vision to reflect all the institutional needs of the organisation, addressed the need for KM awareness.

Respondent [F] illustrated the culture of reluctance among personnel to use the Strategic Management System (SMS) and he explained that:

“... Even though SMS had been implemented in the Strategic Services Department there was still a lack of understanding of what it entails. What was required was “buy-in” from other departments and senior personnel; however, it was difficult to change the mindsets of top management.”

From the interview, it reflected the culture of reluctance among personnel to use the Strategic Management System (SMS). Although the organisational/institutional structure was conducive to KM and various information technologies supporting KM were in place, the organisational culture was not wholly supportive of the concept of KM.

Respondent [B] acknowledged that: “... Through the implementation of the new structure, a position for a knowledge manager was created, the position was still was not filled since previous staff resigned, there was internal staff on duty even without qualification background for KM.”

The point raised by the respondent is important, namely that although the senior managers in the government institutions had acknowledged the importance of KM, as a consequence, lack of human capacity and in the Department was still underestimated.

7.4.1.2. Information technology

Essential to the theme, the questions posed to the respondents sought to elicit their views on Information Technology, and how Information Technology services that facilitates communication between the various governmental institutions functioned and performed.

According to respondent [K], his understanding of KM was that:

“... I think KM concerns the dissemination of information.”

When respondents [H] were asked about implicit explicit knowledge, she commented that: *“... Not sure what it means. For I understand knowledge is a commodity, its tradable has extremely valuable and must be used to benefit both parties in G2G”.*

Respondent [E]: *“... Although no formal strategy existed for KM, their approach was to create a favorable environment and opportunities to facilitate communication flows.”*

Respondents emerged that within the ICT departments, there were not broad-based understandings of what KM is. It appears not understand the distinction between implicit and explicit knowledge. It was clear that KM has not been identified as a vital aspect within the governmental institution and no formal measures have been taken to facilitate the implementation of a KM strategy within governmental institution.

Concerning the influence of organisational structure on KM, respondent [K] pointed out that:

“... The current organisational structure was not conducive to effective KM, purely because of the size of the organisations. Within the department, communication flows are predominantly hierarchical, where information cascades from the top levels to lower level. Within the precinct of the Department, the information technologies can be considered as user-friendly. However, officials in other departments are not able to access this information easily nor do they always comprehend it.”

It was therefore clear that although there were communication and a degree of information exchange among the directorates, these directorates and their respective departments essentially function in silos.

Respondent [K] commented on the culture of knowledge sharing,

“... Our department encourages this through various training and development initiatives where employees receive on-the-job training and skills development.”

Respondent [E] also argued that:

“... The human resources appointments within the department are all competency based and employees need to possess certain skills and meet specific technical requisites. Employee turnover within the department is relatively low.”

Respondents expressed the view that a positive impact was the low turnover rate on knowledge retention within the ICT departments in terms of HR as well as training and skill development for KM culture.

According to respondent [I]: “... On my view and opinions, I would say the all departments within the Province operate within functional silos where each department considered their own objectives as important and thus departments do not collaborate and share information with other departments when tackling certain projects or programmes. As a consequence of these functional silos, very little interdepartmental knowledge sharing occurs.”

Respondent accentuated the fact that a culture of knowledge sharing among the ICT departments was not flourishing. Although departments had extensive information technology platforms and backbone. However, the primary limitation of this arrangement was that the various systems in different departments were not integrated.

Respondent [M]: *“... Regarding organisational structure, the ICT department, like the rest of the provincial departments, has also adopted the new microstructure ... The aim of the microstructure is to build capacity and get the ICT department in line with the greater objectives of the organisation... The ICT department has lagged behind in certain areas, especially in terms of KM and the department, therefore, views the microstructure as a means to reorganise the department to align itself with certain functions of the province. This realignment has resulted in the identification and creation of new functions such as systems administration, information security and desktop support.”*

Respondents lamented the fact that the ICT department has not grown in relation to the provinces' growth in general. Although the Province has a number of information and communication technologies in place, these technologies do not facilitate knowledge sharing and management within the organisation. As regards to the information and

communication technologies utilised by the Department, it was deemed as being relatively effective but acknowledged that it was in need of upgrading.

Respondent [B]: *“...What this means is that the same information is positioned at different places in the organisation on different systems. Each municipal department has its own database system but no cross-departmental knowledge sharing is supported. The local government also does not use advanced information systems such as decision support systems (DSS), expert systems and management information systems.”*

Respondents raised the important matter that various information systems were in place but there was no single database that served as a central information repository.

Respondent [K]: *“... Management information systems are used in some departments but on a small scale. Another deterrent to knowledge sharing within departments is the fact that the local government has outsourced certain functions to consultants who operate information systems independent of the province. Because the consultants have their own systems, the department has no access to the information on these systems. An example: the debt collection function of the province, which has been outsourced. The consultants involved have their own management information system and the finance department had no direct access to the information on the system.”*

Respondents warned against the possibility that there were no links with a certain information system to benefit intergovernmental institutions. Although the senior managers in the government institutions had acknowledged the importance of KM, as a consequence, what required was the means to clarify to staff members what benefits knowledge sharing and management hold, to encourage a change in the approach to dealing with information and knowledge in order to widespread knowledge sharing in the institutions.

7.4.1.3. Human resources

The third theme assessed for the fieldwork was in terms of human resources.

Respondent [C] expressed his understanding of KM:

“... My understanding about KM is information and how it is utilised and that it also comprises general and institutional knowledge ... KM forms part of the management function and that it is a new concept with many components and that it is much more than just information technologies.”

Respondent emerged that a clear grasp of the basic concept of KM.

According to respondent [K], it acknowledged that:

“... A need for KM had not been identified within the human resources up to that point, but within the entire organisation there had been talks about it.”

The respondent noted that in the situation of KM culture, the need existed for KM within the organisation, especially in terms of procedures and methodologies to capture and retain staff members' tacit knowledge.

Respondent [G] emphasised her opinion that employee placement has a certain impact on organisational knowledge and she stated that:

“... One way of retaining organisational knowledge is to have a good blend of internal and external placements, focusing only on internal promotions causes inbreeding and subsequently, no new knowledge comes into the organization. If new people are brought in from the outside knowledge frontiers are pushed back, which facilitates a growing knowledge base in the organization. There are certain limitations with regard to bringing in new people from outside, such as political pressure and directives to recruit internally... Even though there is pressure to develop people within the organisation, it is sometimes impractical because there are certain skills that need to be brought in from the outside.”

The respondent expressed the view that a vibrant KM culture was required and that the cross-pollination of internal institutional knowledge and external or new knowledge was important.

With regard to the impact of employee turnover in HR, a respondent [H] noted that:

“... Employee turnover rate is below 10%, which is considered relatively low. This low rate may be attributed to the fact that the local government operates in a political environment. Since the local government's exposure to staff turnover is limited, the effect on the local government's KM efforts is somewhat positive.”

Respondents succinctly illustrated that the low staff turnover has allowed the institutions to build up an adequate knowledge base. However, the downside and the pending challenge were to employ the necessary mechanisms and structures to retain that organisational knowledge.

According to respondent [D] made a point on training and development initiatives as organisation culture:

“... The department has a number of training and development initiatives in place which facilitates the creation of new knowledge, but no training currently existed for KM as a discipline in its own right. The Department has, however, engaged in several specific programmes focusing on knowledge sharing. This includes a network called Ce-I, which is a network for provincial governments to share information among municipalities, internationally. The department also has staff members who have received training and are champions for the network, which is a web-based resource-promoting knowledge sharing and transfer initiative. It comprises a database of case studies for the purposes of research and information sharing among staff members.”

Respondent emphasised the fact that the Department had training on information sharing with an extensive information technology platform and backbone.

Concerning KM framework, a respondent [F] accentuated the fact that:

“... The Department did not have a KM framework and strategy and we need to draw attention to the need to consider policies and procedures on how to go about implementing such a strategy.”

The respondent expressed the view that there was a need to devise a KM framework and strategy. The need also existed for someone to drive it.

With regard to organisational culture, respondent [L] stated that: *“... On the whole, knowledge sharing is encouraged by the organisation. This is practically illustrated by means of a monthly forum, where those in leadership roles, representatives and other members of staff exchange information and discuss successes and failures within their departments ... However, many departments still operate in silos and there is thus an ensuing reluctance to share information willingly.”*

In terms of organisational structure, respondent [S] noted that: *“... Within the human resources, there is a formal structure with four distinct levels, but communication flows across levels in all directions. As communication is not influenced by hierarchy, a culture of knowledge exchange is encouraged.”*

In terms of the organisation as a whole, respondent [M] acknowledged that: *“... Compared to five years ago, there is now a much more open communication flow within the*

organisation as the local government has moved toward a more consultative and participative style of management.”

The respondent raised the important matter that the Department, which was in a transformative state, operates in a political environment and consequently there were cases where people are reluctant to share information willingly. However, this tendency varies from individual to individual.

In this regard respondent [V] believed that:

“... Due to the major influence of the political environment on the province, politicians can play a critical role in terms of KM with regard to receiving and disseminating information. However, if there is no political buy-in, KM will never prosper and the department will not be able to reap the benefits KM has to offer. ”

The respondent drew a distinction between the Departmental structure and the overall organisational structure's influence on KM activities and pointed out that KM happens on a daily basis but not in the confines of a formalised framework. There were individuals in the organisation who were progressively implementing KM practices, but attention must be given to transforming into a learning organisation. KM within the organisations will also be beneficial to the politicians as it will enhance the way it works. Nevertheless, implementing a KM initiative will be a major change as a management issue and the concept of KM will have to be convincingly sold to politicians.

7.4.1.5. Summary of current situation on KM readiness

From the fieldwork, it has been evident that KM was still a relatively novel concept. Although the terminology associated with KM was familiar, it appears that there was a general lack of comprehension as to what exactly comprises KM. Furthermore, it emerged from the interviews that KM practices have been put into effect to some extent but that no formal policy framework existed in this regard. Generally, the institutional/organisational culture, structure, information technology and human resources functions appear to be supportive of KM efforts. The strategic services have made some strides in KM in their attempt to create a post for a knowledge management official, but as representatives from all the department's reiterated, senior management and political acceptance and approval were lacking. In term of qualification and capacity of the proper KM candidate still underestimated.

7.4.2. OPINIONS ON THE APPROACHES NEEDED TO IMPROVE THE CURRENT SITUATION OF INSTITUTIONS IN TERM OF KM

The discussion below will focus on the approaches needed to improve the current situation of the institutions in terms of KM.

Respondent [P]: “... I think you know we have various contemporary information technology systems in place. However, we utilise various systems in various departments, thus there is no single system spanning the entire institution. As these systems are not integrated, information and knowledge sharing is hampered and the accessibility to information sources is limited.”

It emerged that there was room for improvement in governmental institutions and the need existed to implement an institutional-wide information system and to establish knowledge exchange platforms spanning all stakeholders. The system would allow for easy access to the retrieval of information and knowledge in various parts of the institutions.

Respondent [C] acknowledged the need to establish a resource centre: “... Centres must be necessarily multi-located. Every BRICS country needs a resource centre connected to the others, maybe more a centre of excellence”

Respondent [H] also commented that: “... if the G2G does not have a common data collection tools, technology systems, capable people, assign responsibility and accountability then everything will fall ... as information is critical but needs a good technology platform.”

Respondents believed that not enough intensive information and knowledge sharing has been taking place. In order to develop a common technology platform, there is a need to create a purpose-built and independent data warehouse and this needs a good technology platform, and able to develop data collection tools, a technology system, and capable people to assign responsibility and accountability. The option might be to establish resource centres in each country with ICT based systems including dedicated portals where policy documentation, programme information and data, M&E results, can be loaded and shared by both counterparts.

7.4.3. OPINIONS ON THE FACTORS INFLUENCING THE SUCCESSFUL IMPLEMENTATION OF KM IN AN INSTITUTION

The data obtained from fieldwork revealed that out of 16 respondents questioned, all of them agreed that the partnership is comprehensive and Communities of Practice (COPs) exist and are of importance:

Respondent [G]: "... To supports my previous points, only through a dedicated, project basis handling of the G2G with responsible and accountable people will it be easy to attract and use a Communities of Practice (COPs) to ensure G2G success But COPs extremely important to the success of the project".

Respondent expressed the view that knowledge practice and COPs, accountable people, evaluation have extremely value in partnerships and MUST be utilised to mutual-benefits the partners to enhance capacity development on successful SEP exchange projects. It was suggested that the responsibility lies with all the stakeholders and delivery counterparts.

Respondent [J]: "... From what I'm thinking is that greatest challenge to KM adoption are largely from lack of awareness and lack of time. For me, the lack of time can be interpreted as lack of awareness of KM importance and employee resistance to change which is still the biggest barrier to successful change ... KM activities come with an added cost in terms of information overload and wasted time in consultation with a majority of organisations and a dilution of responsibilities for a large minority of organisations."

Respondent raised the important point on the barriers to the successful KM adoption, and the consequence of the difficulty to promote collective learning, the development of competencies and create collaborative work environments in the public administration. KM policies need to be well designed taking into account these important side effects on productivity and on the internal governance.

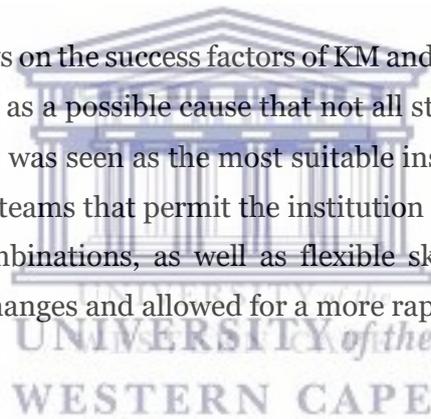
Respondent [X]: "... Another issue is the acceptance of the concept by the institution's leadership as the biggest constraint to KM, largely due to the lack of knowledge concerning KM... Unless the institution's leadership are committed to a support KM efforts, otherwise, any attempt at KM will be futile."

Respondents presented that awareness and the role of leaders in the success of KM initiatives are important as the implementation of the KM effort requires adequate support and dedication from top management as these commitments influence how resources and time are allocated as well as for executing the KM Plan and strategy.

Respondent [K]: “... The key to successful KM is found in the culture and mindsets of an organisation. The right mix of incentives is, therefore, critical.... An institution’s strategy for KM must be organisation rooted in its core competencies, embedded in its work processes and linked tightly to its main products ... Successful KM strategies build on existing assets, while the appropriate hardware is essential.”

Respondent [M] also commented on institutional structures: “... If I take your question, literally the answer is that we comprise few directorates, each housing a number of departments. Each directorate has a microstructure mapping in various departments and officials within the directorate. We have a top-down, hierarchical structure, which means that there is a definite chain of command and authority and responsibility is clearly defined. However, from my view, this type of structure is not the most conducive to KM efforts, in that it is characterised by a bureaucratic nature and thus it is not very responsive to changes. Furthermore, it is also a deterrent to horizontal communication flows.”

Respondent expressed views on the success factors of KM and pointed out institution driven from top-down approaches as a possible cause that not all stakeholders took ownership in KM. The network structure was seen as the most suitable institution structure to facilitate KM as it consists of virtual teams that permit the institution to generate greater value via a variety of unique skill combinations, as well as flexible skills pooled when institutions required more adaptable changes and allowed for a more rapid response to changes.



7.4.4. SUMMARY

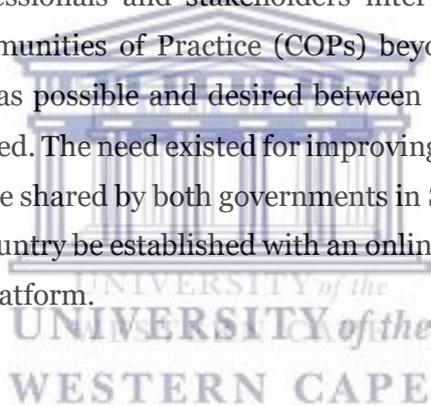
In observing the culture presented in each of the departments assessed, there was a common trend that emerged that there was a willingness to share information and a proclivity toward the implementation of KM efforts. Despite the apparent culture of sharing within the confines of specific departments, the overall institutional culture was still one of hesitation in terms of sharing across departments.

From the interviews and focus group discussions conducted and the supporting desktop study, it stated unequivocally that the Shandong and WCG partnership did not have a formalised KM strategy in place as yet and the greatest challenge facing the partnership in terms of becoming a knowledge organisation and achieving institutional effectiveness was attaining leadership support and establish in a culture of sharing across the institutions among counterparts. Once top management supports the concept and the institutional

culture acknowledges the importance of KM then the plan and strategies in terms of KM initiative will be followed.

In response to KM awareness, there were only few respondents with an academic background who displayed an understanding of what KM comprises. The majority were not familiar with KM and were prey to the common misconception that KM is synonymous with information management, which was but one of the many facets of KM. Some respondents were also not familiar with the concept of KM and thought it to be the mere dissemination of information. Based on these responses it is safely assumed that the concept of KM was still an indistinct and novel idea among respondents and that a greater awareness of its importance and subsequent benefits need to be instilled among respondents' particular government officials and senior managers and stakeholders.

The fieldwork on Readiness Assessments results succinctly illustrated that KM within the Shandong –WCG partnership was an area recognised as needing further attention by government officials, professionals and stakeholders interviewed. There was a general consensus that more Communities of Practice (COPs) beyond the formal meetings and collaborations in this area as possible and desired between government, civil society and other stakeholders are needed. The need existed for improving ICT based-systems including dedicated portals that can be shared by both governments in Shandong and WCG as well as a resource centre in each country be established with an online website that should function as a knowledge exchange platform.



7.5. FIELDWORK RESULTS ON M&E READINESS

This section will be presented according to three main themes. Using the Kusek and Rist (2004:41-42) model of Readiness Assessment, namely as follows:

- ✧ Incentives and demands for designing and building a Results-Based M&E system.
- ✧ Capacity building requirements for a Results-Based M&E System.
- ✧ Roles and responsibilities and existing structures for assessing the performance of the government.

Though the model consists of three main themes, for the purpose of this research as indicated, the researcher concentrated on the first two themes above.

7.5.1. INCENTIVES AND DEMANDS FOR DESIGNING AND BUILDING A RESULTS-BASED M&E SYSTEM

7.5.1.1. Knowledge and understanding of a Readiness Assessment as part of preparing for the establishment of an M&E system

In order to determine the respondents' knowledge of Readiness Assessment as a preparatory process for establishing an M&E system, respondents were asked to explain what they understood by a Readiness Assessment for establishing an M&E system.

Respondent [K] presented his understanding of a Readiness Assessment as:

"... My understanding is the need assessment, with putting together secretariate and committee members from both counterparts, interview and observe business processes existing within the current working environment of the organisation"

Respondent [C] also acknowledged with regards to knowledge and understanding of Readiness Assessment included:

"... Gathering of any information related to M&E within the organisation to assess the preparedness of putting in place an M&E framework."

The respondents illustrated what the basic understanding was of what Readiness Assessment entails. A Readiness Assessment was the first step in establishing a result based M&E system as very fundamental to the success of any M&E framework in developmental or public organisations. However, most of the respondents that were interviewed seemed not to have a clear understanding of a Readiness Assessment. The interviews conducted showed that respondents were of the view that Readiness

Assessment includes formulating, gathering of any information related to M&E within the organisation in order to assess the preparedness of putting in place an M&E framework and observing business processes existing within the current working environment of the organisation.

7.5.1.2. Motivation of the organisation for developing an M&E system

With regards to what motivates the organisation to develop an M&E system, the researcher gathered information on this subject matter by interviewing respondents on the driving force for the organisation to establish an M&E system.

The respondent [H]: "... There is always a reason or a driven force for an organisation to want to establish an M&E system. This motivation may vary from one organisation to

another. I think the main motivation for Shandong and WCG to develop an M&E system is generally to help the organisation track its progress, identify successful project/activities, make an adjustment to programmes that are not doing well, reporting to the funders.”

Respondents showed that the motivation for establishing an M&E system was various: to measure the impact and progress of the pilot project and programmes implemented throughout the various departments in the organisation, and being aligned with the monitoring processes required by funders, government, and other stakeholders.

7.5.1.3. The champions involved in the process of building an M&E system

With respect to whether champions were involved in the process of building an M&E system in the organisation, respondent [M] acknowledged that:

“... Based on my experience and interactions with the fraternity, the M&E unit to be established in Shandong-WCG will be in charge of collecting information and data related to the M&E system, also be responsible for reporting first-hand information to the technical secretaries, the responsibility will reside mostly with the technical secretariat reporting to committee both countries M&E system in the partnership. Also, need leadership and management like on the bilateral committee to understand and drive M&E.”

Respondents accentuated the fact that the sustainable M&E system in the Shandong-WCG partnership will require technical secretaries that will be liable for compiling all reports and together with the committee take appropriate decisions. With specific reference to the partnership, the technical secretariat reporting to committee in the systems of both countries, the expectation is that leadership and management on the bilateral committee needed to understand and drive M&E as important priorities.

7.5.2. CAPACITY BUILDING REQUIREMENTS FOR A RESULTS-BASED M&E SYSTEM

7.5.2.1. The role of an M&E system in achieving goals and objectives

With regards to whether the M&E system will in anyway help to achieve programme objectives and goals, the respondent [G] acknowledged that:

“... My personal opinion, having an M&E system in place, professionals and participants’ will be able to identify all new projects by prior agreement to outcomes to be monitored

and evaluated based on findings of previous pilot projects. On the basis of the agreed outcomes, key indicators and baseline information on indicators will be selected, results will be monitored and adjustments made where necessary and finally, findings will be used to sustain ongoing M&E in the institution.”

Respondent believed that a well-designed M&E system provided institutions with a consolidated source of information that records project progress and allows the project/programme committee to make appropriate, informed decisions in deciding whether project design, approach, implementation and activities should be adjusted to better achieve programme objectives and goals.

Respondent [K]: “... In South Africa, the importance of M&E has been recognised by the Office of the Presidency to ensure that the government performance makes a meaningful impact on the lives of people. The recent establishment of the Department of Performance M&E (DPME) and its strategic plan for 2011/12-2015/2016 showcases government’s commitment to M&E. In order to ensure a meaningful performance assessment and support across all departments, the DPME works closely with other government spheres, offices and structures such as: Department of Public Service and Administration, National and Provincial Treasuries, the Office of the Auditor General, the Office of the Public Service Commission and office of Premiers.”

Respondents raised the important matter that in South Africa, for government to deliver services effectively, it was important that all government departments and stakeholders have effective M&E systems to ensure the element of good practice and to deliver quality in all the services provided to people.

With regards to M&E in PRC, a respondent [C] commented that:

“... Because of its size, institutional setup and transition history, PRC is in a league of its own and faces a unique set of challenges in building its performance management system. Even more than other countries, it needs an effective M&E system to support its multilevel administration.... To strengthen performance, monitoring and evaluation, PRC can draw lessons from other countries that have gone through the same process. It can also learn from reviewing its own efforts over the past decade, both positive and negative, especially at the local level.”

Respondent lamented the fact that the challenge in PRC for building M&E, and the importance of new performance management (NPM), organisational capacity for supporting a results-based M&E system cannot be overemphasised. Having adequate and

relevant capacity within an organisation was of prime importance for an efficient and effective M&E system in developing counties such as Shandong and WCG.

7.5.2.2. Capacity for supporting a Results-Based M&E system

In the interview with respondents [F] in DCAS WCG on the current M&E system in the institution, he acknowledged that:

“... Even governmental institutions such as WCG and DCAS already established M&E systems but evaluation only focus on sport development and performance reports, M&E on SEP partnership still need to implement ... At the moment, the bulk of the work is being handled, capacities are not enough at the moment to handle all areas.”

Respondents warned against the possibility that the need existed for the M&E unit to maintain positions for capable specialists as a reference on sustainable institutional development with regards to establishing the meaningful Results-Based M&E unit within the institutions. Having adequate relevant capacity within an organisation was of prime importance for a successful, efficient and effective M&E system. The results also expressed the fact that lack of M&E capacity and focus existed even though there have been ongoing technical assistance and capacity building training in M&E (such as the support mentoring and coaching programme on M&E, training workshops, networking forums offered by the provincial government).

Respondent [Y]: “... It is clear that participants will benefit from the system through the monitoring of their performance according to the objectives set for each project. Giving the fact that the institution will be carrying out capacity building training, it is anticipated that such training programmes will empower and develop the skills of the participants in M&E related matters.”

Respondent emphasised the fact that all participant will benefit from M&E system, and the partnership training programmes will enhance capacity building and development.

7.5.3. PARTICIPATORY M&E

This section probed into issues of participation taking into consideration the key concepts of participatory M&E namely: participation in decision making, accountability and transparency.

7.5.3.1. Participation in decision making

In order to gather the necessary information concerning participation in decision-making processes, the researcher found-out how decisions were being taken in the government institutions as a whole and also in the various activities.

According to Respondent [L] he acknowledged that: "... Information sharing and reflections take place during team meetings. Furthermore, information sharing takes place through formal and informal networks among the participants of sport exchange programme (SEP) and other stakeholders such as sport federations ... The purpose of these team meetings is for the partnership practitioners to discuss latest developments, crisis situations, challenges and happenings in a various situation with the bilateral Committee and stakeholders ... Some of these meetings are actually planning meetings, which involve the discussion of the various on-site activities. Any decisions concerning the SEP came from those working directly with the partnership, which in this case are the WCG International relation, DCAS and Shandong Foreign affair, Sport Bureau officials and stakeholders."

Respondents succinctly illustrated that decisions were usually made during team meetings. Participation often generated information which leads to information sharing.

Information/knowledge sharing was fundamental to the growth, sustainability and cohesion of any group/organisation. PM&E can generate relevant information that can be used by different stakeholders to make informed decisions.

The author at this point would like to accentuate the fact that knowledge sharing instead of information sharing is important, as KM involved not only tacit and explicit knowledge but Communities of Practice (COPs) beyond formal meetings, to enhance capacity development and implementation through partnerships.

Respondent [P]: "... In the same light, after every site visit, the practitioners present their feedback to the senior administration. Findings from site visits are discussed with the Project Coordinator in a meeting. Both practitioners discuss their findings and challenges respectively and brainstorm on a way forward in a meeting with the Project Coordinator ... For the time being, we barely know the Readiness Assessment process in the department nor participate in decisions for Readiness Assessment."

Respondent stated that stakeholders participated in the decision-making processes of their respective activities. It was foreseen that these practitioners who did not know the readiness process, would have to agree on anticipated-outcomes for it to be included in the future monitoring framework. It was also noted that all decisions regarding the establishment of an M&E system was taken by the senior Administration, and a need existed for stakeholders to be more involved in the future.

7.5.3.2. Enhancing accountability and transparency through PM&E

In an interview, the respondent [Y] indicated that:

“... Accountability is presently exercised in two ways in these programmes. Both parties are accountable to each other. On the part of the SEP and Federations, they have to deliver their services diligently as participants of partnership. They are supposed to be very honest with their findings which are reflected in their reports. This is essential given the fact that major decisions are drawn from the findings in these reports.”

Respondent raised the important matter that the important role of reporting, accountability and transparency to programme participants will serve as a basis for individual performance evaluation and monitoring. It was anticipated that such accountability will enhance the relationship and confidence between project beneficiaries and project implementers.

Respondent [B]: “... In the same light, my understanding of accountability means by way of fulfilling the commitment to MoU. This constitutes providing the partnership, the Federations and practitioners with the quality programme and equipping them with the necessary information ... The government institutions also provide the federations with extended field support even after the programme. Putting theory into practice is sometimes difficult and needs support and guidance. The Federations specifically trained as field facilitators and enablers, and they visit on-site in training to build them in the implementation process. They also ensure that there are a file and a report explaining what has been done, how it was done and why it was done. The Project Coordinator also reports to external parties, which are the Board of Directors and the funders.”

The point respondent raised is important that the ways to promote accountability and transparency among partners and stakeholders. This is due to its emphasis on reporting and information sharing inherent in almost all PM&E approaches. More so, it offers communities an opportunity to assess their own institutions that held liable in terms of fulfilling their commitments and responsibilities. One of the key principles of participatory

M&E (PM&E) as information sharing and reflection.

Respondent [C] acknowledged that:

“... It is common knowledge that leaders, programme and project coordinators and even managers of institutions hardly ever share information about financial resources. This usually leads to abuse of resources by whoever is in charge without the knowledge of other members or subordinates. Given the nature of this programme, it is important to note that except for the experiential training participants, both the practitioners and the federations are all employees of the government institutions, making it difficult for the Administration to be totally transparent especially when it comes to financial issues.”

Respondent lamented the fact that on accountability perspective, Programme Coordinator on behalf of the entire Administration had followed through with their own part of the bargain to the various groups in sharing useful information stakeholders need. This was also done by fulfilling their commitment and responsibilities by guiding and supporting throughout the training and implementation process.

7.5.3.3. Beneficiaries of the M&E system

In the interview with respondents [T] on beneficiaries and no beneficiaries of the M&E system respondent identified that:

“... In this regard, the whole institution will be using the system but the technical secretariat and the committee will be using it the most, given the fact that they will be the ones to sustain the system and make it user-friendly for the rest of the institutions.”

The respondents made a point that the organisation as a whole, including the stakeholders, will benefit from the system. It was demonstrated that the system will serve everyone either directly or indirectly in the institutions.

Respondent [C]: “... Once a project or an event has come to end, it is important to record and evaluate it. Furthermore, feedback collected from different event stakeholders can inform future planning and management activities.”

The point raised by respondent was important to systematically evaluate a project or an event, its management mechanisms and assess social impacts and outcomes to be able to sustain and maximise event benefits.

Respondent [P]: “... Once impacts and outcomes are evaluated, the newly gained knowledge can contribute to the planning and managing of future initiatives, sustainable

M&E of development goals before, during and after projects or events.”

Respondent expressed the view that the evaluation of long-term outcomes was necessary to provide evidence of the longevity and profundity of projects. Indeed if the goal of an initiative was to advance social development within or between partners and stakeholders, then the sustainability of relationships, partnerships and social networks beyond the sport project provide key areas for ongoing assessment.

7.5.4. SUMMARY

The fieldwork results showed that both governments from Shandong and WCG may benefit from developing their departmental reporting and monitoring systems to the extent where joint analysis and publication of results may be possible. In terms of the Results-Based M&E (RBME) system establishment, the results expressed the fact that RBME can be used to ensure evidence-based decision-making in Shandong-WCG partnership. However, it was also found that further strengthening and increased participation was needed in other areas, especially with regards to participation in the establishment of the monitoring framework with anticipated outcome indicators and Theory of Change (ToC).

The Readiness Assessment results illustrated that the Shandong and WCG as counterparts included the availability of key champions to establish, build and sustain the system and also the various training programmes initiated to build on the capacity of its human resources.

It was obvious that the M&E system was institutionalised in G2G with respect to Shandong-WCG partnership. There was need for a better design and formulation of a Theory of Change (ToC) models and anticipated outcome indicators framework to better measure, assess and fit the long-term outcomes. It was found that in such instances proper indicators need to be developed to measure such impact and the outcomes should also be articulated in such a way so that ones were clear as to what expected results or impacts one aim for. This has tremendous implications for the expectations of beneficiaries and donors, governments and society as a whole, and in numerous cases, it appears too difficult to display meaningful results for impact even though the change was noticeable.

From the Readiness Assessments captured and summarised in the field work results, it was clear that although the focus has been on the development of monitoring frameworks

applied to ToC, several other challenges have featured in the research that does not relate primarily to indicators but that may impact negatively on the efficiency of monitoring generally speaking. These include factors such as poor and *inaccurate reporting*, challenges with *limited capacity* and the need to establish a meaningful Results-Based M&E system that produces regular results and reports on findings. According to Kusek and Rist (2004): “*Results-based M&E could provide accessible, understandable, relevant and timely information and data.....a highly placed government champion can be a strong advocate for more well-informed decision making.*” Generally, it can be concluded that while there were adequate incentives and demands for designing and building a Results-Based M&E system, but the capacity requirement for building a Results-Based M&E system in Shandong-WCG partnership still underestimated and need more attention.

Additional information illustrated that Readiness Assessment for building a Results-Based M&E system, was essential to determine how participants will benefit from the M&E system and also how the M&E system will benefit participants (Kusek and Rist 2004). As emerged in fieldwork the evaluation of long-term outcomes will contribute to the feedback cycle that seeks ongoing improvement.

7.6. FIELDWORK RESULTS ON THE APPLICATION OF THE 5-C PROTOCOL IN THE SEP

This section will probe into issues of SEP implementation by applying the 5-C protocol focus mainly on key components of four sub-themes namely: 1) Sport Academies; 2) Training and Coaching; 3) Talent Identification; 4) Facilities development. Though the protocol consists of 5-C, for the purpose of this research as noted in Section 1.4, the researcher concentrated on 3 of the 5-C: Commitment, Capacity, Context; as well as Communication and Complementarity. Against to this background, interview subjects were assessed regarding respondents’ understanding and general awareness of KM and M&E in the Shandong - WCG partnership in SEP.

7.6.1. COMMITMENT

Commitment refers to leadership, senior management and technical people and whether they are actually committed to the partnership.

Respondent [P] :“ ... Absolutely, the commitment has to translate into creating opportunities for people who have never had the opportunities before, and in the process identify talent, build the nation and foster social cohesion. Commitment is thus giving effect to the National Outcomes of building an active citizenry and also building the nation

as a sport could be used as a tool for sport for development and for peace... the commitment was analysed in terms of the budget, activities and programmes that followed in the years following the acceptance of the NSRP... There may be other resources that are needed to assist commitment.”

Respondent expressed the view on commitment as an active nation, health benefit speaks out social cluster, socio-economic, social development cluster of government. On the other hand and sport for peace is about peacekeeping and peacebuilding and enough funding was a need.

Respondents [E] acknowledge: “... I suspect in terms of commitment; when Minister as leadership is interested in a projects/ event when the leader is a commitment, manage will run; when leader by attracted by something else, then the managers stopped working... I suspected that’s what happens here, that’s why there is no follow through sustainability all the time, is because of various commitments to leadership as priorities, things might never happen.”

Respondent warns against the possibility that the commitment in regard to leadership, senior management. It was lamented the fact that one could either highly motivated or just say yes but no commitment and implementation thereof.

7.6.2. CAPACITY

The capacity in this section refers to leadership capacity; senior management capacity; technical people and human resource capacity, whether the ones actually qualified for the position and capable to achieve the targeted goal assigned.

When respondents were questioned in some areas whether administrators do have the capacity, the following emerged:

Respondent [L]: “... I think the capacity is a real issue that must be unpacked as doubt existed that the administrators have the capacity and passion, as well as whether the low entry level is assisting the building of capacity and whether the ego and agenda of individuals are perhaps not inhibiting the growth of the capacity of the sporting code... I think there is a gap that I referred to in terms of the intergovernmental coordination and institutional arrangements still existed.”

Respondents raised the important matter that as having passion and desire doesn't mean you have the capacity. On the other hand, those who had the capacity and drive it in the

right way will find that those guys were challenged by those who lack capacity. Capacity defers depending on the various spheres of government and the effective and efficient administrative coordination, as well as institutional arrangements issues as important aspect need to be highlighted.

When respondents were asked whether the capacity existed:

Respondent [E]: "... So here if I answer this fully I would say unequivocally there may be limited administrative capacity as it would require more staff that could assist with verification and the information technology system would also have to be overhauled."

Respondent doubted whether the capacity existed due to limited administratively in terms of resource to do that kind of verification to find evidence of the desire changes in term of the strategy is being achieved.

When respondent was asked about administrative capacity,

Respondent [L]: "... I think the necessary administrative capacity existed but the question is whether the political or executive will existed among stakeholders to effect the desired changes, as well as whether the necessary resource exists to give effect to the capacity necessary to make the changes... the low entry barrier for sport officials was seen as a barrier as the skills set among administrators were not uniform. The voluntary nature of sport leadership was seen as a problem because officials may be elected but do not possess the requisite skills, knowledge and goodwill."

Respondent lamented the fact that the administrative capacity in the current situation of governmental institutions existed but lack of human capital and an insufficient budget. Talent identification was only actualised if talent retentions can be sustained, too many talented athletes were falling through the cracks and become soft targets for the social ills of society.

When respondents were questioned about Human Capacity,

Respondent [R]: "... I think the implementation is the matter of people capacity... as that manage has more capacity with more staff, sometimes the capacity is not allowable... so it's the commitment and capacity especially those two things."

Respondents [S] agree with first respondent: "... In my personal opinion... we lack M&E reports on SEP in bilateral partnerships at the G2G level due to most reports on sport

development only at local community level. We [DCAS] used to have KM unit but not anymore as lack of the capacity to keep all the experts and specialists in the field, most of them resigned and department challenge to recruit capability candidate, might due to funding issue..... At this stage, only one person who has been promoted from other internal position, in charge of this role, obviously with no relevant qualification and education background on KM.”

The point raised by respondents was important that governmental institutions not always have highly educated and qualified staff on the position particular in KM and M&E units. It's clear that the designing and rebuilding a KM and M&E unit in governmental institutions is a challenge and also a need not to be underestimated.

7.6.3. COMMUNICATION

Information from fieldwork succinctly illustrated that among 16 respondents questioned, all of them agreed that communication was an important aspect promoting KM and M&E.

When respondents were asked what has been done regarding communications, they responded as follows:

Respondent [T]: “... based on my experiences, not enough communication has been taken place. An intensive campaign of information and knowledge sharing with regards to KM and M&E could possibly be run on. Once people understand the content more they will get to appreciate it more. It is significant that we have not yet had knowledge centres as platforms to share information, this will allow every person with an interest in the objective of the partnership to analyses the existing clauses and monitor their implementations.”

Respondent raised the important matter that not enough communication and information has been done at the various levels. The respondent called an intensive campaign of information and knowledge sharing at all levels not only to people on the ground but the decision –makers also, there should actually be discussion groups and stuff around it but at all the level not only at the lowers level.

Respondent [K] commented that: “... I think they need to communicate via workshops, seminars, pamphlets down to lower club level may be an important strategy to achieve

awareness and understanding.”

Respondent expressed the view that aspect individually were very important as the campaigns need to be launched to inform, educated and create awareness and to get the buy-in of all concerned so that the implementation of the KM and M&E in the partnership can be robustly promoted. If people were not aware of what they need to know they will inevitably not understand the value and need obviously no follow in term of the KM and M&E awareness.

7.6.4. CONTEXT

The context refers to the MoU and cooperation between two countries as the partnership agreement on political, economic and social aspects. When respondents were asked about changes, they responded as follows:

Respondent [F]: “... My frank opinion is that careful consideration should thus be given to what changes the government institutions and stakeholders would like to see through development initiatives, and perhaps this is a call for more extensive thinking in our conventional principles and design theories, pushing us to incorporate and perhaps personalise our approaches in the various contexts.”

Respondent raised important matter that the context of the specific environment should determine or at least to great extent contribute to the type of outcomes organisation wish to achieve partnership, KM and M&E unlike the conventional approach goes beyond data gathering as it enhances organisational learning and demands greater social responsive thus leading to better service delivery.

7.6.5. SUMMARY ON 5-CS BEFORE OTHER DISCUSSIONS

The above lessons were presented bearing in mind the many challenges with the 5-C's faced sustaining for the partnership. It was concluded that implementation cannot be seen as an activity to be carried out according to a carefully predetermined plan, it as a process that at the very best, can only be managed, and lessons must be learned as one proceeds through the different implementation stages. Managing the process and steering it towards a more effective outcome entails strategically “fixing “those variables over which one has some direct or indirect influence. In addition to the 5-C above, the discussion below will be other considerable factors to be notified.

7.6.6. COMPLEMENTARITY

Complementarity refers to the ability of the partners involved to combine their resource to satisfy their needs in a way that would complement each other. The interaction of cooperation results in cooperative behavior, allowing the partnership to work by ensuring that both parties received the benefits of the relationship.

Respondent [P]: "... the [Chinese] government attached great importance to physical education at school. School have professional physical educators and exercise facilities, and students failing to reach the required physical standards are not allowed to go on to higher schools. Spring and autumn sport meets are annual events at school. Promising teenagers are sent to amateur sport schools to receive specialised regular training."

Respondent utilised Chinese physical sport education system for young amateur athletes as a case to show the difference between PRC and South Africa. According to Figure 30 in Chapter 6 the summary shows that the Shandong province has boasted 18 medals won at the Olympic Games from Sydney 2000-London 2012. This aim for the WCG to learn from the Shandong province as to their methods of conditioning their athletes for international success.

The information on fieldwork accentuated the fact that partnerships formed in the field of sport by Shandong and WCG were motivated by the needs felt by the parties. When partners identify the strengths and capabilities they bring (individually) to the partnership and recognise the strengths and capabilities of the other partners, the partnership was strengthened. As complementarity of resources was an important aspect in selecting appropriate partners, the scientific eminence and the sport infrastructure offer by seem to be attractive elements for potential allies. Generally, establishing a partnership needs each institution to contribute specific strengths and functional capacities that the others lack.

7.7. OTHER FACTORS

This section probes into the issue of the importance of developing a talent identification plan for the academies system and learning from Chinese counterparts in particular on talent identification methods via exchange on knowledge sharing and exchange.

7.7.1. SPORT ACADEMIES

The academy system refers to a range of institutions that will be part of a national unified, integrated approach with the aim of developing sporting talent at different levels. The system must also assist in addressing the demographics of the national teams by accelerating the development of talented athletes, particularly from disadvantaged backgrounds.

Respondents [S]: "... I think this with its many nature, [Academies] as a possible area of cooperation could exchange of idea, strategy and personnel to develop an academy system in the Western Cape making use of the Shandong model of mass participation to elite level ... It assists in the rollout of the Academy focus sport schools in the district/regions...there are 3000 sport schools in PRC, example Weifang city Sport school."

The respondent [A] directly linked excellence to the academy system:

"... The academy system is one of the strategic enablers that will assist South Africa to become a winning and active nation. The pathway that athletes should follow will start at the district level, then move on to the provincial level and if the athlete is successful then on to national level. The support that the athlete will receive as part of the academy system will depend on the national ranking of the athlete."

Respondent pointed out the figure and indicates that Academies as a possible area of cooperation could benefit exchange programme and develop strategy systematically between WCG and Shandong partnership. Academies form the critical component of the sport continuum. The academy system refers to a range of institution that will be part of the national unified, integrated approach with the aim of developing sporting talent at different levels.

7.7.2. TRAINING AND COACHING

Training and coaching refer to create an effective, inclusive, cohesive and ethical coaching system that promotes transformation and excellence.

Respondent [K]: "... Currently, we defining coaching and talent to scout the Shandong way... based on readiness and need assessment from PRC, there are 5 Olympic Coaches in the Western Cape and the area of training and coaching will be done via the Western Cape Coaches Commission, federations and the District Academies ... the SA coaching framework officially launched 2012 was used for implementing coaching methods in SA."

The coaches that will be sent from Shandong, PRC will be on the level of the Western Cape provincial coaches' level."

Respondent emphasised the codes to identify coach and talents part of an exchange programme between the two sister-provinces. The structure and mechanism used were guided by the coaching framework. The area of training and coaching was done via the Coaches Commission, federation and the District Academies.

7.7.3. TALENT IDENTIFICATION

The Talent Identification process refers to a process whereby the athlete moves to the next level in the sport continuum for further development. The first level of Talent

Identification involves mass mobilisation to form a foundation which will lead into a sport that is inclusive and transformed. From the foundation level of the Talent Identification process, a group of talented athletes were tested and then selected to move on to the second level of the Talent Identification process. This is the most critical phase of Talent Identification.

Respondents [O]: "... From my personal experiences, in term of developing a talent identification plan for the Academies system, we should understand the long-term athlete's development plan the Chinese way. By 1992 PRC was placed fourth at Olympics, in 2008, 300 athletes are training full time, five times more than the number that can compete and many athletes entered the [Academies]system."

Respondent [G]: "... It is important to improve international sports successes by supporting athletes at all levels of participation. The identification and development of talented athletes will take place through the implementation of a structured system. In order to promote excellence, the academy system is seen as a critical component of the South African sports development continuum ... South Africa is a competitive sporting nation. It has set itself reasonably tough goals of wanting to be in the top three of most sports codes in the world. SA competes at the Olympic Games, World Games, various World Cups and continental showpieces. The excellence that is aspired to must translate into medals and results at these events."

Respondent warned against the possibility that although there has also been significant talent identification that took place due to the SEP partnership programme. Gaps were however found in the process of the talent identification as well as the long-term plan

afterwards with the athletes.

7.7.4. FACILITIES DEVELOPMENT

Facilities development refer to: 1) Establish a grading system for sports facilities according to national standardized norms which are internationally compatible, include school sport and recreation facilities in the national facilities norms and standards; 2) New sport and creation facilities to engage stakeholders in the planning and construction of new facilities. Lobby for the inclusion of sport and recreation facilities in spatial planning; 3) Lease agreements to encourage municipalities to develop effective partnerships with leaseholders to ensure equitable access to facilities that subject to leases; 4) Accessibility to facilities to review municipal facilities by-laws and tariffs to allow accessibility to all communities; 5) Facility maintenance to lobby Department of Public Works to assist with the maintenance of sport and recreation facilities.

Respondent [G] acknowledged lessons to learn from Chinese counterparts on facilities development issues:

“ ... We could utilise of military and community facilities and linkages with academy focus sport schools as 96 percent of PRC’s athletes train in PRC in the build-up to major competitions... My other question is out of 900 athletes who enter sport schools, 899 never make it to the Olympics. What happens to them and what can we do?”

Respondent [L] also commented that: “... in terms of the Municipal Infrastructure Grant, that you will recall; we made a very strong case to get 15% of that grant allocated, ring-fenced, to sport and recreation, to address precisely the lack of facilities, to upgrade facilities, and to maintain them, to ensure that you have a manager in place.”

Respondents noted lessons to learn from Chinese counterparts, there were many facilities that were not being utilised as much as they can be. Through partnering with the provincial government and the sport council, municipalities’ local government should make efforts to assist federations to gain access to sport facilities at the affordable rate.

7.7.5. SUMMARY (ON 5-C PROTOCOL AND SELECTED FACTORS)

This section further argues that major opportunities existed to position sport as a sector with a comparative advantage in increasing economic growth and social development. However, information agencies were not geared to assess, measure and record related

information resulting in a lack of KM and M&E and evidence-based decision making on policy priorities, as well as resource and budgetary allocations.

In addition, the Sports Exchange Programme (SEP) may benefit much from the development anticipated- outcome indicators framework according to the Theory of Change (ToC) model to be used in SEP, in order to improve performance and decision-making, as well as have meaningful contributions in responding to SEP in parallel with other existing sectors. However, the maximum effort was required from all stakeholders using sport as a means for developers to intensify KM and M&E of their programmes. This collaborative effort will help to minimise the risks of raising the expectation that cannot be met by using sport alone in contributing to development.

7.8. SUMMARY

This Chapter provided the fieldwork results from interviews conducted with the professionals and participants based on the research design and focused in particular on the Readiness Assessment, the 5-c Protocol, with a discussion on the need of KM and M&E for Shandong-WCG partnership in SEP.

- ❖ The fieldwork results in this Chapter stated unequivocally that in terms of actual improvements in KM and M&E outcomes with respect to successful factors in partnerships that various specific indicators in this field can and indeed should be used as Results-Based indicators in monitoring and evaluating of Shandong–WCG partnership in SEP.
- ❖ It was anticipated that the findings of this fieldwork results and the provisional baseline information, will provide the basis of government to prioritize KM and M&E. Information was required in economic and social sectors but also with respect to cooperation in sport, capacity performance of counterparts to enhance capacity building through partnerships development particularly among developing states.
- ❖ As KM and M&E are still emerging in most development partners, measuring SEP remains challenging. Studies by Burnett (2009:1192), Coalter (2010:99), all shared the similar thoughts about the urgent need to strengthen the evaluation of sport-based initiatives. Keim and De coning (2014:8) recommends that all development practitioners “... should not be afraid to engage in some very difficult self-reflection and evaluation” (Keim et al., 2014:8). Therefore, understanding and strengthening indicators to monitor and evaluate any development programme as critical to reflect effectiveness and to provide evidence in a credible manner.

The ensuing Chapter will provide the research findings, where the fieldwork results in this Chapter will be assessed against the theoretical requirements as discussed in Chapters 2, 3 and 4 of this study. An indicator monitoring framework and Theory of Change (ToC) model will be developed.



CHAPTER EIGHT: FINDINGS AND DISCUSSIONS

8.1. INTRODUCTION

This Chapter will present the research findings that ultimately illustrate the empirical results through the filters of relevant theories. It is imperative to compare the fieldwork results with the theoretical underpinnings and to furthermore, provide evidence from other content and contexts. This will specifically give meaning to the research objectives which the study attempts to address and furthermore reflect on empirical findings.

The study was based on a thematic approach to assess the need and nature of support required for KM and M&E approaches of Shandong-WCG partnership in SEP. The main categories included: 1) G2G partnership; 2) KM readiness; 3) M&E readiness 4) and the Sport Exchange Programme (SEP); As well as, links to subthemes namely: 1) Sport Academies; 2) Training and Coaching; 3) Talented Identification; and 4) Facilities Development. This section will provide the findings based on fieldwork results from interviews conducted with the participants and the research design with a focus in particular on information and data gathered on:

- ❖ *The Readiness Assessment for KM and M&E in the partnership;*
- ❖ *The 5-C Protocol application to the partnership;*
- ❖ *The design and formulation of a Theory of Change (ToC) model for the Sports Exchange Programme (SEP) of the partnership; and*
- ❖ *The development and application of an anticipated outcome indicators framework for the Shandong-WCG partnership in SEP according to the ToC Model.*

As noted in Chapter 5, three different categories of interviews were used in this study. The first category was the individual semi-structured interviews. A total of sixteen individuals from different sections of government were interviewed. The second category was the focus group discussion. The third category was the specialist/experts.

The research findings deduced from the fieldwork results were analysed using the theoretical and conceptual framework as a point of reference. The researcher had the opportunity to get the views of several international scholars including three professors in the field of KM and M&E, partnerships, economic and social development as well as governance through the European Research Conference 2017 referred to. The findings are regarded as significant due to with the perspectives from specialists who work in different countries and at the global level, each with their own unique context within the field of KM and M&E, partnership and development in governmental institutions.

8.2. FINDINGS ON G2G PARTNERSHIPS

The findings discussed and analysed below were derived from the fieldwork results and the theoretical and conceptual framework.

- The modern literature specifically focusses on the concept of partnerships as an effective way of working together and operating under different local conditions, depending on the nature of the problems, the institutional environment, political factors, experiences and culture (as reference in Chapter 4) and as a valuable instrument or organisational model to overcome the weakness of the policy and governance framework.
- ❖ The fieldwork elucidated that partnerships face several obstacles: they were difficult to set up and maintain, they required political will, support and resources. Furthermore, the results of partnerships were not likely to come instantaneously.
- The literature generally emphasised different views by institutions or stakeholders, and focus on mutual trust, reciprocal accountability, joint decision –making, a two way exchange of information; clearly articulated goals, performance indicators and mechanisms to measure and monitor performance; mutual support and constructive advocacy and long-term commitment; and multi-benefit and long-term sustainable potential as a whole (Lister:2000:228 & Sithole 2013:23).
- ❖ Key findings from the fieldwork showed that the significance of strong stakeholder relationships or partnership can enhance sustainability and the ultimate success of the partnership. This was especially important if one recognises partnerships as multi-faceted requiring the provision of a platform for harnessing the collective resources of society toward a coordinated and impactful development environment. Here the findings emphasise the need for a clear commitment to the respective roles and responsibilities of different stakeholders. It was found that even though the approaches of these institutions or stakeholders generally differed, they shared certain common characteristics, such as paying attention to trust, mutual- benefit and long-term development of sustainable partnerships.
- The literature illustrated that a partnership’s sustainability depends on continuing demand for the services it provides. Partnership thus needs to ensure that the services provided remain relevant and maintain the goodwill and support of their beneficiaries. Partnership trend to ebb and flow, one relationship often developed into another. What was core to partnership continuation? However, what was the quality of relationships that develop between partner organisations? If they build a strong healthy relationship organisations will be able to move on to form a new partnership on the basis of pre-

existing relationships.

- ❖ Fieldwork revealed that ‘institutionalisation’ involves moving a partnership beyond the people involved and locating responsibilities for it in an organisation’s structure. It also involved ensuring that it was part of the organisational strategy, was known about, and has buy-in at all levels in the organisation but especially at senior management level. Furthermore, the partnership was able to survive the loss of key people through having backup built in.

8.3. FINDINGS ON KM READINESS

The core findings of the research on KM readiness will be discussed in this section, which were deduced from the fieldwork results which were analysed using the theoretical and conceptual literature framework as a point of reference.

8.3.1. KM AWARENESS

- In the context of the literature, the definition of KM is given as “the formalisation of and access to experience, knowledge, and expertise that create new capabilities, enable superior performance, encourage innovation, and enhance customer value” (Liebowitz’s 1999:6). According to Angelis (2013:5), KM is a set of practices aimed at the interaction between tacit and explicit knowledge to acquire and create new competencies, which allow an organisation to act intelligently in complex environments.
- ❖ In observing the KM awareness presented in the fieldwork, it deduced that the senior professionals and participants were not familiar with KM and thought it to be the mere dissemination of information and officials were prey to the common misconception that KM is synonymous with information management which is only but one of the many facets of KM. Based on these responses, one can safely assume that the concept of KM was still an indistinct and novel idea particular in public sector and that a greater awareness of its importance value and subsequent benefits need to be instilled in the Shandong-WCG partnership.

8.3.2. ORGANISATIONAL CULTURE

- According to literature, organisational culture refers to the mix of the values, beliefs, behavioural norms and symbols inherent to an organisation, and the success of a KM effort as dependent on the culture, management and collaboration between various levels

in the organisation. In the context of KM, the culture of an organisation goes beyond defining the value of knowledge and the benefits it holds for the organisation; it also impacts on the employees' level of work and willingness to share (Yeh, Lai, Ho, 2006:798).

- ✧ In observing the culture present in the fieldwork, it revealed that although the current organisational culture showed potential for developing into a thriving culture that can sustain the implementation and functioning of KM efforts, there is a common trend that emerged in that there was a willingness to share information and a proclivity toward the implementation of KM efforts in each of the institutions assessed. However, it still faced the challenges of fully implementing KM as part of operational functions. The culture of information and knowledge sharing was reasonably established in the organisations assessed, but a culture persists with regard to a lack of enthusiasm to learn how to utilise technologies and information. As a consequence, what was required was the means to clarify to staff members what benefits knowledge sharing and management hold and to encourage a change in their approach to dealing with information and knowledge.
- As the literature described in Chapter 3, 'trust' which forms part of the culture, was the cornerstone of successful collaborative efforts and a lack of trust causes an unwillingness to share.
- ✧ The fieldwork conducted revealed that although the senior officials/managers acknowledged the importance of KM and knowledge sharing was widespread in the institutions and the culture of knowledge sharing was present and thriving in the department, but only within the boundaries of each department. Although there was a certain degree of communication and exchange of information between the institutions, the common opinion was that all the departments essentially operate in functional silos. Despite the apparent culture of sharing within the confines of specific departments, the overall organisational culture was still one of hesitation in terms of sharing across departments. This can largely be attributed to a general lack of understanding of KM value and related concepts, as well as a lack of trust.

8.3.3. HUMAN RESOURCES AND TALENT MANAGEMENT (TM)

- Literature illustrated that knowledge existed only because of people, as it was derived from an individual's use of information combined with that person's experience. This combination was what makes individual knowledge valuable for organisations and society at large (Syed-Ikhsan and Rowland, 2004a:238). According to Abell and Oxbrow (1997:1), the purpose of KM was to make the most of the combination of people, processes, services and products that characterise and identify an organisation. The type of KM approach followed by an

organisation must mirror the unique characteristics of the organisation so as to preserve these characteristics. It was founded that an organisation's human resources including its leadership have an impact on the organisation's KM activities. Organisational changes that accompany KM must build on the organisation's strong points. However, it must be remembered that changes cannot occur without the involvement of people (Abell & Oxbrow 1997:2). To effectively execute a KM effort in an organisation, the contributions of knowledge workers who are prepared to build a culture conducive to KM by sharing knowledge, generating new knowledge, networking and participating in knowledge-based activities are not to be underestimated.

To illustrate the importance of human resources in KM efforts, it is safe to conclude that knowledge was unable to subsist without a human being, as it always created, distributed and used by a person. Thus, in the modern knowledge society in which the world currently operates, the importance of the knowledge worker is central to any knowledge activity. The knowledge worker performs work that involves the generation of constructive information and knowledge by means of accessing data, personal knowledge, external knowledge and organisational knowledge. Knowledge workers are required to consistently utilise and convert knowledge from various sources to facilitate decision making and maintain adequate standards of business processes (Taylor, 2004: 39).

An organisation's workforce is the most important element in its pursuit of becoming a knowledge organisation. Knowledge persists because of people and an organisation cannot fully capitalise on the benefits of KM unless its workforce was willing and competent enough to effectively manage its knowledge resources. Yeh, Lai and Ho (2006:798) argue that organisations should regard their employees as their chief knowledge source and should seek to combine KM in their human resources management policies so as to encourage employees to willingly create and share knowledge.

- ✧ Fieldwork results acknowledged that as provincial government institutions, Shandong and WCG subscribe to a number of regulations and policies in terms of their human resources practices. This includes adherence to stipulated recruitment and selection procedures and adequate training and skills development initiatives. In Chapter 2, the importance of employee placements or posting, training and staff turnover were identified as key criteria to consider with regard to the value of employees' knowledge and skills in the organisation. Since the Shandong and WCG are both provincial government institutions, all employee appointments are done in accordance with a set of predefined requirements regarding skills and competencies. However, one must bear in mind that the provincial functions operate in a political milieu which could also influence

employee placements.

It can be deduced from the interviews that the provinces' human resources were functioning effectively and that employees were geared toward embracing KM initiatives. Employee capacities were developed via training and development programmes. Furthermore, it appeared that continuous efforts were made to ensure that employee replacements are aligned with employee competencies, skills and qualifications and that these were well matched in terms of the technical requirements and job descriptions.

- From the literature review, the incidence of high staff turnover was also problematic in terms of KM, in that fundamental organisational knowledge may be lost when employees retire or promoted. It therefore critical that organisations have the necessary contingency plans and strategies in view of the loss of organisational knowledge (Syed-Ikhsan and Rowland, 2004b:104).
- ✧ As derived from the fieldwork interviews, the government institutions had a low employee turnover rate, which was conducive to KM as it encourages learning and enables the retention of tacit knowledge and the transfer of knowledge. However, notwithstanding the importance of developing and recruiting personnel internally, the need always existed to recruit external personnel who bring new skills and ideas to the organisation.

8.3.4. INFORMATION TECHNOLOGIES

- According to literature, Yeh, Lai and Ho (2006: 800) state that information technologies are vital tools for KM, as they rapidly facilitate the transmission of knowledge among employees. Information technologies function to support a wide range of an organisation's KM activities, including enabling fast search, facilitating access to and retrieval of information as well as supporting cooperation and communication between employees (Yeh, Lai and Ho, 2006:799).
- ✧ Fieldwork results showed that Shandong and WCG both had various contemporary information technology systems in place. However, the sister provinces utilised various systems in various departments, thus there was no single system spanning the entire partnership. As these systems were not integrated, information and knowledge sharing was hampered and accessibility to information sources was limited. Furthermore, there was room for improvement and the need existed to implement an institution-wide information system, spanning all directorates. This would allow for easy access to and retrieval of information and knowledge in various parts of the institutions.

8.3.5. STRATEGY AND LEADERSHIP

- According to literature, KM cannot prosper without a strategy and the literature also assert that organisational members must show a readiness to plan and contribute to it. Yeh, Lai and Ho (2006:795) also highlight the link between an organisation's overall strategy and its Knowledge management strategy.
- From the fieldwork, it has become evident that Shandong and WCG did not have a formalised specific KM strategy in place as yet. Following strategy, the importance of leadership and the role of leaders in the success of a KM initiative is important. The implementation of a KM effort requires adequate support and dedication from top management as this influence how resources and time are allocated for executing the KM plan (Yeh, Lai and Ho, 2006:797).
- ✧ From the fieldwork, it was clear that the greatest challenge to KM was the acceptance of the KM concept by the leadership. Buy-in by the leadership was mentioned in all the interviews as the biggest constraint to KM, largely due to the lack of knowledge concerning KM, unless the leadership committed to and support KM efforts, any successful attempt at KM will be futile.

8.3.6. ORGANISATIONAL STRUCTURE

- The literature review emphasised that organisational structure refers to the way employees and posts are structured to facilitate organisational work processes. Although Yeh, Lai and Ho (2006) do not specifically identify the organisational structure as an enabler of knowledge management in an organisation, a number of authors, including Nonaka (1994) and Skyrme (1999), identify the organisational structure as a key enabler of an organisation's pursuit of KM initiatives. According to Skyrme (1999:185), the organisational structure must promote communication across and within organisational boundaries and strengthen interdependence of teams and networks. It was therefore necessary that when an organisation plans a KM strategy, that it realigns its structure to aid the generation and flow of knowledge throughout the organisation.
- ✧ The fieldwork results do however point out that PRC and South Africa as developing states, both had a *top-down, hierarchical organisational structure*, which means that there was a definite chain of command and authority and responsibility was clearly defined. However, this type of structure was not the most conducive to KM efforts, in that it was characterised by a bureaucratic nature and thus it was not very responsive to changes. Furthermore, it was also a deterrent to horizontal communication flows. As pointed out in Chapter 2, Skyrme (1999:32) claims that the *network structure* was most suitable to facilitate KM. The network structure consists of virtual teams and

organisations that permit the organisation to generate greater value via a variety of unique skill combinations that may be flexibly pooled when required (Skyrme, 1999:33). The networked organisation was thus more adaptable and allows for a more rapid response to changes.

- The concept of literature reviews emphasised that KM mainly served as a contribution to the decision-making, projects/programs preparation/adjustment and for improving understanding of environmental issues, projects, programs or processes (Cong & Pandya 2003:27). The significance of KM for the public sector was apparent, many public sectors have shown declination toward exploring what KM has to offer to their institutions.
- ✧ The fieldwork results do however point out that not all priority stakeholders were aware of the relevance of relevant KM. The fieldwork indicated that needs existed to explore the full value-chain of KM systems as a need existed for a more integrated and focused approach as the KM field is huge and much underestimated. A need also existed for an improved and a better understanding and the meaning and importance of KM initiates and awareness campaigns.
- The literature concluded that the awareness should be from national to provincial to the district level. This will allow each decision-making level to be aware of the opportunities that the role of KM affords and also their reciprocal obligations (Gaffoor & Cloete 2010:5).
- ✧ The fieldwork assessment showed that there should be a renewed effort to promote awareness campaigns, in order to make all stakeholder participants in G2G partnerships aware of the knowledge exchanged centre and the KM and M&E system.
- From the literature, it was clear that a large amount of qualitative evidence existed that emphasized the need for KM in G2G government partnerships as it has a major impact on development.
- ✧ The fieldwork results revealed that an urgent need also existed for a systematic approach to record and interpret *quantitative and statistical information* to utilise the benefits of KM and Results-Based M&E as support tools in public sectors especially in G2G partnerships.

It becomes evident that a limited understanding existed of the value and potential of KM and M&E approaches in public sector and how KM and M&E can be practically and efficiently applied in this environment. From the study, it become apparent that the findings and the provisional baseline provided by this research, will offer the basis of government to priorities KM and M&E initiatives and present sufficient KM and M&E results to be utilised by partnerships and that information was required in economic and social sectors, also in public sector with respect to cooperation in sport, capacity performance of partners and capacity development by partnerships.

The responses of the interviewees as set out in Chapter 7 reflected that all the respondents agreed that it was essential to establish a *knowledge-exchange platform* to gear and assess, measure and record related information resulting from the Shandong-WCG partnership. The Readiness Assessment of KM showed that a definite need existed for COP beyond the formal meetings and that professionals and practitioners on both sides needed to exchange explicit and implicit knowledge. The need also existed for improved ICT based-systems including dedicated portals.

8.4. FINDINGS ON M&E READINESS

As referred in Chapter 3, the research adopted Kusek and Rist's (2004:55) Readiness Assessment approach for building a results-based M&E system. The key concepts of participatory M&E (accountability, capacity building, participation and decision making) were employed in analysing the participatory aspects of M&E in the organisation. Notably, this study only focused on the first step of Kusek and Rist's (2004:51) ten-step model, namely; the Readiness Assessment step for establishing an M&E system.

This section will discuss the research findings of M&E readiness based on the empirical research results. The findings discussed and analysed below were derived from the fieldwork results and the theoretical and conceptual literature framework.

8.4.1. KNOWLEDGE OF READINESS ASSESSMENT IN ESTABLISHING A RESULTS-BASED M&E SYSTEM

A Readiness Assessment is the first step in establishing a results-based M&E system and is very fundamental to the success of any M&E framework in developmental or public organisations.

- The literature review showed that Readiness Assessment is a vital and a crucial stage in establishing a results-based M&E system. Kusek and Rist (2004:39) elucidated that the Readiness Assessment step, is a unique addition to the many existing M&E models. According to Kusek and Rist (2004:43), it was important to reiterate the fact that a Readiness Assessment as a diagnostic tool is used in determining whether the organisation meets the requirements for building a results-based M&E system. As discussed in Chapter 3, building an M&E system requires sufficient knowledge of what the process entails including the ability to successfully construct indicators, collect,

aggregate, analyse and report on project performance in relation to the indicators and project objectives (Kusek, 2011:3).

- ✧ Using the case of Shandong-WCG partnership, though there existed the basic understanding of Readiness Assessment as part of preparing for the establishment of an M&E system, Readiness Assessment requires adequate understanding in order to be able to successfully construct indicators, collect, analyse and report on project performance in relation to project objectives.

For an organisation to successfully conduct a Readiness Assessment and establish an M&E framework, it is very important for the champions involved in the process to have adequate knowledge of the subject matter. It also serves as a guide for ascertaining the ability and willingness of a country or an organisation to move forward with establishing an M&E system and taking into consideration who benefits from the system and whether there existed adequate capacity in the organisation to support such systems.

8.4.2. SHANDONG-WCG MOTIVATION FOR DEVELOPING AN M&E SYSTEM

- The literature illustrated that there was always a reason or a driving force for an organisation to establish an M&E system. This motivation may vary from one organisation to another. In respect to what generally motivates an organisation to develop an M&E system, the literature indicated that constructing a results-based M&E system may be motivated by existing legal requirements of an institution/organisation, beneficiaries demand, donor requirements and public sector reforms. (Kusek and Rist, 2004:45).
- ✧ The fieldwork findings showed that the main motivation for the Shandong-WCG partnership in SEP to develop an M&E system is generally to enable the organisation to track its progress, identify successful projects/activities, and to make adjustments to programmes that are not doing so well and also for reporting to the funders. This is in line with the debates on the concept of motivation in developing a results-based M&E system as indicated in the above paragraph. In the same light, according to the fieldwork, the motivation for establishing an M&E system is to be able to measure the impact and progress of the pilot project and programmes implemented throughout the whole organisation, as well as being aligned with the monitoring processes required by funders, government, and other stakeholders.

8.4.3. THE CHAMPIONS INVOLVED IN THE PROCESS OF BUILDING AN M&E SYSTEM

- According to literature, a results-based M&E system enables champions to find rewards and recognition both at institutional and individual levels and these champions may be motivated by a sense of public responsibility. By demonstrating accountability and results, champions may find favour with public and private stakeholders and the international and donor communities. Constructing a results-based M&E system entails various risks and benefits. A results-based M&E that is well designed can help strengthen the life cycle of a project, programme or policy and add value to every stage, from design through implementation to impact assessment (Kusek and Rist, 2004:19).
- ✧ The fieldwork findings reflected that in the Shandong-WCG, there existed champions to lead the establishment of the results-based M&E system as well as develop, implement and sustain the M&E framework. However, these champions were not enough to manage the entire project cycle. The main champions involved in this process was the technical secretariat reporting to the committee of both countries that made up the M&E system in the Shandong-WCG partnership. This is generally inadequate taking into consideration the load of work involved in putting an M&E system together.

8.4.4. USERS, BENEFICIARIES AND NON-BENEFICIARIES OF THE M&E SYSTEM

- As noted by Kusek and Rist (2004:45), in order for a results-based M&E system to be effectively used, such a system must be able to provide accessible, understandable, relevant, and timely information and data. These were the driving factors for the need of a careful Readiness Assessment prior to designing the system, especially with regards to such factors as ownership of the system, benefits and beneficiaries of the system and utility to key stakeholders. An analysis of the fieldwork results indicates that although the whole organisation will be using the system the technical secretariat and the committee will be using it the most. This is because they will be the ones to sustain the system and make it user-friendly for the rest of the organisation's staff.

As indicated in the literature, in building a results-based M&E and conducting a Readiness Assessment, it was essential to determine how participants would benefit from the M&E system and also how the M&E system will benefit participants of the Shandong-WCG partnership in SEP.

- ✧ Drawing from the fieldwork results, one can conclude that the organisation as a whole, including the stakeholders and beneficiaries of projects and programmes, will benefit

from the system. Participants will benefit from the system through the monitoring of their performance according to the objectives set for each project. This may result in improved organisational performance and also impact indirectly on salary increases, permanent employment or access to other organisational benefits. Given the fact that the organisation will be offering capacity building and training programmes, it was anticipated that such a training programme will develop the skills and empower participants in M&E related matters.

- As elucidated in the literature, the understanding of what a Readiness Assessment entails, is important for building a results-based M&E system, and is essential to determine how participants will benefit from the M&E system and also how the M&E system will benefit participants (Kusek and Rist 2004:30).
- ✧ Fieldwork results indicated that participants will benefit from the system through the monitoring of their performance according to the objectives set for each project which may result in participant's salary increases, permanent employment or access to other organisational benefits. Given the fact that the organisation will be carrying out capacity building and training, it was anticipated that such training programmes will empower and develop the skills of the participants in M&E related matters. The main objectives of Shandong-WCG partnership in SEP are to provide and promote good quality sport exchange programmes and to create for other grassroots developments to develop. It was thus anticipated that the M&E system will provide for better delivery of programmes and activities for the partnership in SEP as a whole.

8.4.5. ACHIEVING PROGRAMME GOALS AND OBJECTIVES THROUGH M&E SYSTEM

- As noted in the literature, it was widely acknowledged that a well-designed M&E system provides organisations with a consolidated source of information. This information records project progress and allows the project/programme director to make timely, appropriate, informed decisions in order to decide whether the project design, approach, implementation and activities should be adjusted to better achieve programme objectives and goals. Imas and Rist (2009:107) note that an M&E system helps an organisation to establish outcomes, select indicators and set targets and above all try to achieve them.
- ✧ As indicated in the fieldwork results, it was anticipated that establishing a results-based M&E system will, in the future, enable professionals and participants to identify new projects by agreement on outcomes to be monitored and evaluated prior to project implementation and based on findings of previous pilot projects. On the basis of the pre-

agreed outcomes, key indicators and baseline information on indicators will be selected, results will be monitored, and adjustments made where necessary and finally, findings will be used to sustain ongoing M&E in the organisation.

The research findings are in line with the UNDP (2009:81) justification for programme/project monitoring and evaluation. It notes that in the absence of effective M&E, it would be difficult to know whether the intended results are being achieved as planned, and what corrective action may be needed to ensure delivery of the intended results. It can be concluded with certainty that establishing an M&E system will afford the Shandong-WCG partnership in SEP an opportunity to implement and achieve its stated goals and objectives.

8.4.6. ORGANISATIONAL CAPACITY FOR SUPPORTING A RESULTS-BASED M&E SYSTEM

- As discussed in the literature, the importance of organisational capacity for supporting a results-based M&E system cannot be overemphasised. Having adequate and relevant capacity within an organisation was of prime importance for an efficient and effective M&E system. As indicated in Chapter 3, Imas and Rist (2009:114) noted that a Readiness Assessment involves an analysis of the current capacities within the organisation that can perform monitoring and evaluation. Capacities in this regard include technical and managerial skills, available technology and resources, and institutional experience. On a more specific note, in order to build a results-based M&E system, the organisation must have adequate skills in the area of the project and programme management, data analysis, project and programme goal establishment, budget management and performance auditing (Kusek and Rist, 2004:45).
- ✧ Fieldwork findings indicated that there was the capacity to support an M&E system. However, at the moment, these capacities are not enough to handle all the above-mentioned areas. In this regard and taking into consideration the fieldwork results and the theoretical framework for capacity building requirement for a results-based M&E system, it can be concluded that Shandong-WCG partnership in SEP's capacity for supporting a results-based M&E system was still very lacking. In particular, the areas that needed to be strengthened included data analysis, budget management and performance auditing.
- As noted in the literature (Cornielje et al, 2008:48), it was widely acknowledged that a well-designed M&E system provides organisations with a consolidated source of information that records project progress and allows the project/programme director to

make appropriate, informed decisions in deciding whether project design, approach, implementation and activities should be adjusted to better achievement. In the same light, the UNDP (2009:81) handbook on M&E clearly reiterated that M&E was an essential management tool which enables an organisation to commit to accountability for results, resources entrusted to it and organisational learning. It was also noted that in the absence “... of effective monitoring and evaluation, it would be difficult to know whether the intended results were being achieved as planned, what corrective action may be needed to ensure delivery of the intended results, and whether initiatives are making positive contributions towards human development” (UNDP,2009:81).

- ◇ From the fieldwork results, it is clear that having an M&E system in place, will motivate professionals and participants to identify all new projects by prior agreement and to engage and agree on outcomes to be monitored and evaluated based on findings of previous pilot projects. On the basis of the pre-agreed outcomes, key indicators and baseline information on indicators will be selected, results will be monitored, and adjustments made were necessary and finally, findings will be used to sustain ongoing M&E in the organisation.

8.4.7. PARTICIPATION IN DECISION-MAKING

- As pointed out in the literature, participation in decision-making processes gives project/programme participants ownership of the project. The literature also acknowledged that a sense of ownership can go a long way in project sustainability. The research revealed that the project beneficiaries participated in decision-making processes that were related to their various activities.
- ◇ Fieldwork emerged that even though the project beneficiaries participate in the decision-making processes of their respective activities, it was only foreseen that the partners and the practitioners have to agree on the anticipated outcomes for it to be included in the future M&E framework. Concisely, PME promotes participation in decision making by all stakeholders and also increases the success and sustainability of projects.

8.4.8. ACCOUNTABILITY AND TRANSPARENCY THROUGH PM&E

- As explained by Gorgens and Kusek (2009:3), an M&E system has the ability to promote accountability and transparency within an organisation or a government institution and provide stakeholders with a lucid status of projects, programmes and policies. It also observed that community-driven participatory M&E provides decision support for

process-oriented management and builds capacity and skills in assessing the quality of service delivery and enhances downward accountability to communities by service providers.

As noted in the literature review, accountability and transparency are one of the key concepts of PM&E and at the same time a major principle for consideration when establishing an M&E system or operating an already existing M&E system. The literature indicates that accountability was no longer solely used by funding and government agencies as a way of holding beneficiaries and other project participants accountable and less as a means of reporting and auditing but rather as a means for demanding greater social responsiveness and ethical responsibility. PM&E enables communities to assess and hold liable their own institutions in terms of fulfilling their commitments and responsibilities (Estrella et al, 2000:107). PM&E if properly carried out, was seen as a certain way of enhancing accountability and transparency which also makes for a good M&E system.

As indicated in the literature, PM&E promotes transparency and accountability among stakeholders. This was due to its emphasis on information and knowledge sharing inherent in almost all PM&E approaches. More so, it offers communities an opportunity to assess their own institutions that held liable in terms of fulfilling their commitments and responsibilities to that community (Estrella et al, 2000:107).

As noted in the literature review, accountability and transparency is one of the key concepts of PM&E and at the same time a major principle for consideration when establishing an M&E system or operating an already existing M&E system.

- ✧ The fieldwork, showed that the M&E system once established was expected to be accountable and transparent to both the participants of the SEP's activities and the Board. Moreover, it was anticipated that the M&E system once established will promote accountability which will in turn enhance the relationship and confidence amongst all stakeholders (funders, project beneficiaries and project implementers).
- The literature review showed that M&E systems are essentially political challenges, and to a lesser extent, technical ones. Creating, implementing, and sustaining Results-Based M&E systems can help to bring about major cultural changes in the way governments and organisations operate and M&E systems can bring about positive cultural changes that lead to improved performance, enhanced accountability and transparency, and learning and knowledge (See reference Chapter 3 Kusek & Risk 2004:6; Cloete & De Coning 2011:153).

Literature also showed that that good Results-Based M&E systems must be used to ensure sustainability. Six components are necessary for sustaining these systems: demand, incentives, clear roles and responsibilities, trustworthy and credible information, accountability, and capacity. Sustainable M&E systems do exist in many developing countries and some developing countries are on their way towards building and sustaining such systems as well. Above all, Results-Based M&E systems are powerful public management tools that facilitate positive cultural and political changes in governments and organisations to demonstrate results, accountability, and transparency. They also facilitate knowledge and learning.

The literature emphasised that key elements of evaluation capacity included an evaluation culture, data quality, analytic experience, and collaborative partnerships. Ideally, institutions demonstrated an evaluation culture through regularly evaluating how well programs were working. Managers valued and used this information to test out new initiatives or assess progress toward institutional goals. Institutions emphasised access to data that were credible, reliable, and consistent across jurisdictions to ensure that evaluation findings were trustworthy. The institution also needed access to analytical experience and research expertise. Finally, an institution formed collaborations with program partners and others to leverage resources and expertise to obtain performance information (Gao and Yao, 2014:5). From the literature, it becomes evident that there has been a shift from traditional M&E to Results-Based M&E (In reference Chapter 3 Estrella et al., 2000:3)

- ✧ From the fieldwork, it was revealed that South Africa and PRC, being developing states among BRICS which benefits from international aid, have committed themselves to adhering to the priorities of the Millennium Development Goals (MDG) and the SDGs; Thereby forcing the state to move away from the traditional approaches of performance management to managing and accessing for results.
- From the literature, it was clear that over the last decade the field of M&E experienced yet another new development due to the International community's dissatisfaction with the more conventional top-down approach to M&E. This called for more approaches to M&E, arguing that stakeholders are directly benefiting or are affected by development initiatives normally excluded in decision making processes with little or no input in the evaluation process itself (Kusek & Rist, 2004:65).It emerged that M&E, unlike the conventional approach, goes beyond data gathering as it enhances institutional learning and demands greater social responsiveness, thus leading to better service delivery (In reference Chapter 3: Estrella et al.,2000:4).

✧ The fieldwork findings support this statement, as the context of a specific environment should determine or at least to great extent contribute to the type of outcomes we wish to achieve through our SEP partnership. Careful consideration should thus be given to what changes the government institutions and stakeholders would like to see through development initiatives, and perhaps this was a call for more extensive thinking in our conventional principles and design theories, pushing us to incorporate and perhaps personalise our approaches in the various contexts.

The fieldwork illustrated that although detailed monitoring frameworks with Results-Based outcomes and indicators have been developed at national and provincial levels, a detailed bilateral partnership, sport and development framework for monitoring has not yet been developed and officials have reported work in progress in this respect. In terms of our request for information from the WCG and Shandong sport bureau, as specified in the case study Chapter 6 of KM and M&E in partnership report, no information was received and specific recommendations have been made in this respect.

From the fieldwork results, it was unfortunately found that M&E was predominately still used as a reporting function, to merely appease funders or in government, and to reflect the achievements of the outputs as articulated in the Annual Performance Plans. An emphasis was for instance placed on numbers, for example, the number of consolidated reports submitted on key partnerships and engagements (See reference Appendices 2 WCG Annual performance Plan 2017/18). This however, clearly indicates that M&E is regarded as a reporting instrument as it does not say anything about the development outcome or impact that the programmes intends to achieve.

It also emerged from fieldwork that even though several evaluation reports were done on the programme of sport development, the problem still existed that these evaluation results were not used in decision making on the partnership programme. KM and M&E seem not yet part of the culture of the Directorate of Sport Development. This is reflected in the literature and was one of the major steps in institutionalising M&E in many governmental institutions (See reference Chapter 3 literature review).

It was also revealed that M&E was still considered a compliance function and a lack of institutional capacity existed. The Partnership was also seen to be driven from the top down, not all staff take ownership in M&E as well as lack of integration in planning between governmental institutions were evident. Therefore, a need existed for a better design and to formulate indicators to measure governmental institutions to better fit the outcomes and strategic placement of the M&E functions. It was revealed that in such instances proper indicators need to be developed to measure such outcomes and the

outcomes should also be articulated in such a way that clear as to what expected results or impacts governmental institutions aim for. This has tremendous implications for the expectations of beneficiary's donors, governments and society as a whole.

8.5. FINDINGS ON SEP

This section discusses the research findings of M&E readiness based on the empirical research results.

- Theoretical approaches showed that the nature of partnerships in sport was different from those encountered in traditional industrial settings (Wolfe et al., 2002:611; Wäsche, 2015:542). What predominantly distinguishes sport partnerships was the involvement of public institutions and non-profit association such as federations and sport councils, so that public sector and commercial or business-related objectives recede into the background. In fact, Babiak (2007: 348) found legitimacy, stability, reciprocity and efficiency as prevailing motivates for sport partnership. Zagnoli and Radicchi (2010:1532) and Woratschek et al. (2014:20) proposed that value creation in sport management should embrace a process of interacting social actors integrating different resources.
- ✧ The fieldwork showed that SEP in Shandong -WCG, like many other exchange programmes, also has relationships with various stakeholders like the Department of Social Development, Public Works, Department of Education etc. the findings, however, suggests that challenges existed regarding the role and responsibility of each stakeholder that was not clearly defined and poses numerous challenges to enhance intergovernmental relations. With respect to the cooperation and coordination between the various government spheres and departments, there must be an emphasis on co-operation and relations with civil society to strengthen clients and coalitions. A closer working relationship between civil society and government was imperative.

Furthermore, the analysis of the Shandong-WCG partnership in SEP according to the 5-C Protocol shows that the SEP Partnership contains definite strengths, such as good content and commitment from key role players in implementing the partnership and SEP plan. The fieldwork/study/research findings also apparent that various aspects of maintaining and development of partnership in reporting and monitoring of the SEP programmes requires further attention and strengthening to ensure that the Shandong-WCG partnership was sustainable.

The fieldwork found that SEP may benefit much from the development and application of a Theory of change (ToC) model as well as to develop and adopt an indicator monitoring framework to be used in the SEP in order to improve performance and

decision making.

- ✧ The findings exposed that major opportunities existed to position sport as a sector with a comparative advantage in increasing economic growth and social development. Nevertheless, information agencies not geared to assess, measure and record related information resulting in a lack of KM and evidence-based decision making on policy priorities and resource and budgetary allocations.

Communication was all-encompassing, and it was clear from the interviewing conducted that more workshops and awareness campaigns must be conducted. The aim of the workshops and campaigns would be to highlight the roles and responsibilities of KM and M&E in partnerships. Respondents called for a clear distinction between information management and knowledge management.

8.6. Monitoring framework of outcome indicators for SEP

Building on the discussions in this study, the researcher refined and updated the analytical framework by proposing a set of qualitative indicators, organised around the dimensions of objectives and themes in Shandong-WCG partnership in SEP in Figure 32.

Evaluating the results and impact of the partnership may be premature, as many institutions still do not have basic accounting and monitoring of partnership inputs, owing to the lack of a common conceptual definition on what to count as partnership. Yet progress has to be made by agreeing on a common system to assess the quality and effectiveness of partnership.

The monitoring framework has been developed as a contribution to the Shandong-WCG partnership in SEP. Monitoring framework was generally used in M&E system to anticipate outcome indicators. The objectives have been used in the monitoring framework system work based on the four-objective theme: 1) Sport Academies; 2) Training and Coaching; 3) Talented Identification; 4) Facilities Development.

The following proposed monitoring indicator framework (See Figure 32) has been developed based on the objectives of the partnership, aiming to explain the reasons how the monitor framework has been developed and how it is to be used. The framework includes output and outcome indicators as per the focus and scope of the research objectives, and it was acknowledged the outcomes were but one part of a successful M&E system for SEP. A total of four objectives, twelve outputs (Short-term), twelve generic anticipated outcomes (Medium-Term) and twelve generic anticipated outcomes (Long-term) and twelve impact indicators were identified.

FIGURE 32: MONITORING FRAMEWORK OF OUTCOME INDICATORS FOR SEP

Aim of partnerships: *Through intensive research and interaction between Shandong and Western Cape the aim is to develop sport participation and high performance through an ongoing process of development towards the elite level*

(Source: adapted summary: Action plan and MOU Shandong WCG partnerships Signed 2014:1)

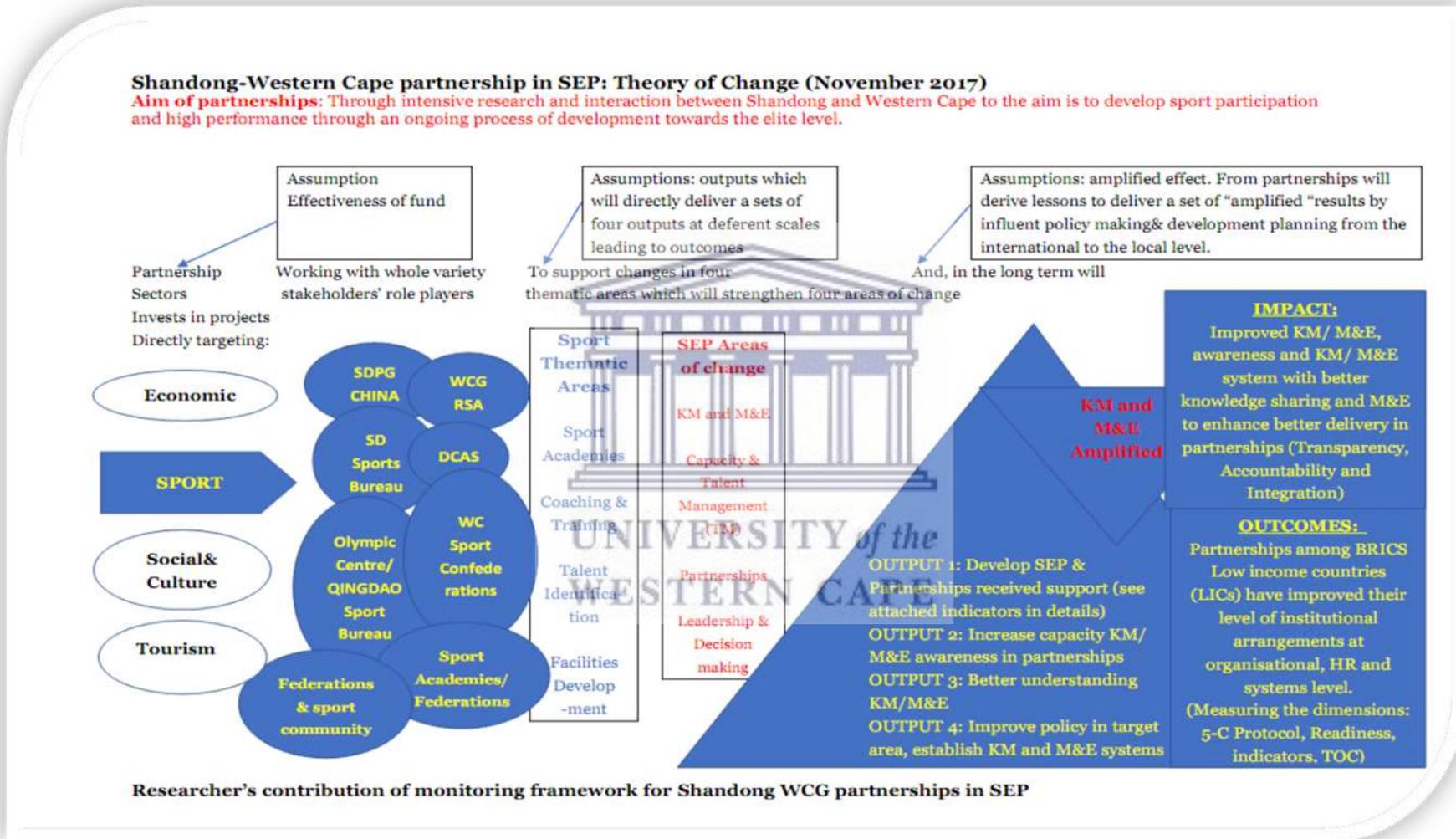
Themes	Objectives	Outputs (Short Term)	Anticipated-Outcomes (Medium Term)	Anticipated-Outcomes (Long term)	Impact Indicators
Sport Academies	<p>Developing sport and sport talent at different levels of specialised training and technical service;</p> <p>Exchange of idea, strategy and personnel to develop an academy system for the elite level.</p>	<p>1) Significant number of athletes received specialised training;</p> <p>2) Substantial number of high-performance athletes tested;</p> <p>3) Large number of athletes have been talent identified;</p> <p>4) Web-based online technology and resource centres have been established in both sister provinces.</p>	<p>1) High performance achieved;</p> <p>2) technical test translated into higher performance;</p> <p>3) Talent identification has been improved;</p> <p>4) KM and M&E awareness Campaign and KM resource centres achieved better understanding and knowledge sharing between sisters provinces in partnership.</p>	<p>1) A significant increase in a number of athletes involved in high-performance training;</p> <p>2) Athletes received more advanced technical support and testing;</p> <p>3) New athletes have been talent identified;</p> <p>4) Resource centres and web-based applications have been established with M&E system established for LT partnership.</p>	<p>1) % increased and # of athletes received high-performance training and excels in the competitive sport;</p> <p>2) % increased and # of athletes that received technical support and testing;</p> <p>3) % increase and # of new athletes that have been talent identified;</p> <p>4) % increase of web-based applications that are monitoring and evaluating the LT partnership.</p>

Theme	Objectives	Outputs (Short Term)	Anticipated-Outcomes (Medium Term)	Anticipated-Outcomes (Long term)	Impact Indicators
Coaching & Training	Create an effective, inclusive, cohesive and ethical coaching system that promotes transformation and excellence in an active and winning nation.	1) Selected coaches and athletes on sport exchange programme between two provinces; 2) Coaching framework has been designed and developed for sport development.	1) Coaches exchange and training programmes active and in place as a priority; 2) Improved high performance of coaches and athletes through the ongoing SEP.	Increased exchange of coaches, athletes and administrators in partnership programmes; Increase in exchange training projects and SEP coordination of future funding; More exchange programmes Evident on the web-based sharing platform.	1) % increase and # of coaches, athletes and administrators involved in exchange programmes 2) % increase in exchange training projects and SEP secured sustainable future funding 3) % increase in exchange programmes been uploaded on the web-based sharing platform
Talent Identification	A pro-active approach to identify, select and develop talent is an absolute pre-requisite if SA sport is to progress; an effective talent	1) Establish objective performance baselines for athletes 2) Set training Goals 3) Monitor progress and modify programme as	1) Athletes received all the necessary testing to perform at the highest level 2) Athletes develop fitness capacities that compliment talent and skills levels 3) Improvement of the	1) More elite athletes have been tested using the baseline physiological testing via latest scientific principles of performance enhancement. 2) More elite athletes received one-on-one training with individually assigned performance coaches as well as a significant amount of	1) % increased and # of elite athlete been tested by baseline physiological testing via latest scientific principles of performance enhancement 2) % increased and # of elite athletes received one-on-one training with individually assigned performance coaches as well as a significant amount

	optimisation programme is important for the success of every sporting team, federation and nation	necessary	performance of coaches to understand the athlete's unique needs as elite athletes 4) Accomplish intermediary results of the LT athletes development plan and develop a TI plan for the Academies system	supplemental training evident. 3) Substantive changes in improvement of the performance of coaches to understand the athlete's unique needs as elite athletes evident 4) Accomplish long-term results and impacts of the LT athletes' development plan and LT plan for the Academies system developed.	of supplemental training 3) % increase of substantive changes in the improvement of the performance of coaches to understand the athlete's unique needs as elite athletes evident 4) Long-term results and impacts of the LT athletes' development plan accomplished.
Facilities Development	Utilisation of military and community facilities and linkages with academy focus on sport schools	Support from stakeholders to assist federations evident. Access to sport facilities at different geographic area secured.	Gain support from government and Municipalities at different levels to utilise facilities as much as they can	The grading system for sport facilities in place and operational. Facilities meet international standards, Long-term security of tenure secured. Long-term maintenance of facilities secured for specific codes.	% increase inadequate facilities for the different codes ensured. International standards are met continuously. Security of tenure and adequate long-term maintenance established
Theme	Objectives	Outputs (Short Term)	Anticipated-Outcomes (Medium Term)	Anticipated-Outcomes (Long term)	Impact Indicators

Source: Researcher's contribution to monitoring framework for Shandong WCG partnerships in SEP

FIGURE 33: THEORY OF CHANGE FOR SHANDONG-WCG PARTNERSHIP IN SEP (AUGUST 2018)



In addition, discussions show that the monitoring indicators framework can be developed as a derivative of a ToC Model. The review of M&E framework and the proposed monitoring framework would rely mostly on the theory of Change (ToC) model (See Figure 33).

8.7. THEORY OF CHANGE (TOC) MODEL

The ToC model (Figure 33) has been designed and applied to explore the reasons and the area for change to achieve most impact for the selected partnership. It is also seen as a contribution to the management of the Shandong-WCG partnership in SEP. The ToC model form the base of a monitoring framework (Figure 32), also as it helps readers to understand why and how to use ToC.

Results-Based M&E often associates behavioural change among the managers in terms of how performance was being monitored and how it is measured. The monitoring framework was the focus, not just output, but Results-Based outcomes. The researcher composed the ToC Model that is intended to encourage readers to forward their own opinions for consideration.

8.8. SUMMARY

This Chapter presented the findings based on the thematic categories. Various sub-themes have emerged from the themes identified, for each thematic category.

- ❖ Drawing from the research findings, it can be concluded that conducting a Readiness Assessment as part of the preparation for the establishment of KM and M&E systems is essential as it lays a solid foundation on which basis the system can be developed. It also identifies the gaps and possible areas of intervention on the part of the government institution in order to establish an efficient and sustainable KM and M&E system. It appeared in the research findings that there were adequate incentives to establish KM and M&E systems. However, there was the insufficient human capacity to develop and sustain KM and M&E system in the Shandong-WCG partnership.
- ❖ The findings of the study revealed that it will be challenging for the selected partnership to measure directly the contributions of establishing Results-Based M&E system and KM policies and practices within their counterparts' own organisations, in order to ensure evidence-based decision-making. It can be concluded that improved performance

management and enhanced capacity building, inter alia through the improvement of institutionalised KM and Results-Based M&E systems, is the vital requirement in meeting the quest for meaningful reconstruction in LIC developing countries amongst BRICS such as PRC and South Africa.

- ❖ Attention should be given to improving institutional capacity including management and organisational capacity as well as expertise in implementation. The capacity of the delivery partners must be enhanced including the intangible and tangible resources. This will assist to implement KM and M&E coupled with the requisite allocated resources that has been identified by the respondents as a challenge.
- ❖ There should be a focus on intergovernmental relations with respect to the co-operation and co-ordination between the various government spheres and departments. Fieldwork noted national government and provincial government were committed to the partnership but doubt existed as to the commitment of local government and in particular rural municipalities and federations.
- ❖ The overall findings indicated that the proposed monitoring framework would rely mostly on the theory of Change (ToC) model. The selected partnership should make use of the CREAM concept of selecting good indicators as defined by Kusek and Rist (2004:68) referring to clear, relevant, economic, adequate and monitorable to priorities the usefulness of proposed outcome indicators to their programme.
- ❖ It also concluded that KM policies and M&E indicators for partnership and SEP development should not only be developed at the local and national levels in South Africa and PRC but that compendia of indicators should also be developed at a global level. Indicators for the SDGs amongst BRICS developing states should be further developed and contain KM policies and practices, as well as Results-Based M&E indicators on the socio-economic impact of sport in future.

The proceeding Chapter will elaborate a range of research conclusions and focus on recommendations. The Chapter also discusses the areas for future research followed by the final remarks of the study.

CHAPTER NINE: CONCLUSIONS, RECOMMENDATION AND AREAS FOR FUTURE RESEARCH

9.1. INTRODUCTION

The purpose of this final Chapter is to summarise and bring together the different aspects and findings of this study. Following the theoretical perspectives on KM and M&E as well as the development of the case study on the Shandong-Western Cape Partnership, the application of theoretical frameworks to the case has resulted in a set of fieldwork results as well as findings on the status and future prospects of the partnership. This Chapter will draw final conclusions on the study and provide a set of recommendations to decision-makers. Subsequently, priority areas for future research has been identified.

The purpose and aim of this study has been to explore the need for KM and M&E approaches in bilateral government partnerships and to show how KM and M&E can be practically applied to these environments. As discussed the Chapter One, the more detailed and specific objectives of this study were to:

- 
- ❖ *Explore & assess the need and nature of support required for KM and M&E in the Sport Exchange Programme (SEP) of a bilateral government partnership;*
 - ❖ *Investigate & determine the value & usefulness of KM and M&E practically applied to sport in a bilateral government partnership;*
 - ❖ *Identify & develop the specific factors that determine the value & usefulness of KM and M&E in bilateral sport partnerships;*
 - ❖ *Explore & determine the need and nature of requiring support in KM and M&E with regard to present a practical case study on the potential of KM and M&E with respect to sport in the Shandong-WC partnership.*

With reference to the above objectives, it was found that:

- ✓ *The study met the first objective above, as the need and nature of support required for KM and M&E in the Sport Exchange Programme (SEP) of the bilateral government partnership was explored and recorded as a case (Chapters 4 and 6) and the Programme was subsequently assessed by using selected theoretical frameworks (Chapter 5, 7 and 8);*
- ✓ *It was found that value & usefulness of KM and M&E was established through research, comparative perspectives and through desk-top study,*

interviews with practitioners and experts as well as through focus group discussions (see Chapters 5, 6, 7 and 8). Specific findings were made, and recommendations provided (see below);

- ✓ *Following the above, the study identified the specific factors that determined the value and usefulness of KM and M&E (see Chapter 7 and 8) and the study developed a monitoring indicator framework as well as a Theory of Change Model for the partnership (Chapter 8);*
- ✓ *With respect to the final objective above, it is concluded that the study successfully determined the need and nature of KM and M&E support necessary to institutionalise these important functions in G2G partnerships and the Shandong-WCG partnership in particular.*

The study found that it was important for government institutions to assess what challenges and weaknesses existed in KM and M&E systems in order to improve and establish effective and efficient systems in order to improve the assessment of government performance and to maximise development impact. More directly it was found that the institutionalisation of KM and Results-Based M&E systems will most likely improve implementation and evidence-based decision-making for the Shandong-WCG partnership in SEP.

9.2. CORE CONCLUSIONS OF THE STUDY

As for following conclusions, four themes were addressed in order to achieve the above-mentioned aim of the study, namely: 1) G2G partnerships; 2) KM Readiness; 3) M&E Readiness; and 4) SEP. The Section will provide a summary of conclusion from the findings of each theme as referred, followed by recommendations areas and further research concluding with final remarks of this study.

9.2.1. G2G PARTNERSHIPS

✓ *It is herein concluded that there are many areas in South Africa and the PRC's relationship that can serve as the basis of complementarity and cooperation.*

South Africa and the PRC are similar in many ways despite size differences. Both counterparts had the characteristics of developing countries among the BRICS. Counterparts can thus learn from each other. Counter-intuitively, South Africa cannot counterbalance the PRC directly due to the asymmetry on many dimensions. Therefore, it should focus on leveraging the

partnership with the PRC. To do so effectively it needs to have a better understanding of the reasons and impact of the partnership at the global level. The development of the partner's *absorptive capacity*, or in other words, its external learning capacity, is the by-product of a massive effort to develop a whole set of institutional /organisational capabilities within the context of the partnership.

✓ *It is concluded that the Shandong-WCG partnership is considered as successful at the building stage, to become a knowledge partnership, and a need existed to implement formalised specific successful KM policies and practices, as well as to establish sustainable M&E systems.*

The Shandong-WCG official outgoing visit between government officials and listed exchange partnership programmes activities between two sister provinces carries much significance as it underscores the Western Cape's commitment and goodwill to the existing bilateral relationship with Shandong. The visit further strengthens the capacity building/development of Western Cape's existing governmental and Civic society and stakeholders' ties with Chinese counterparts. However, it is anticipated that various aspects of the implementation can be improved in terms of partnership, such as the potential to implement formalised specific successful KM policies and practices, establish basic then advanced sustainable M&E systems within counterparts' own institutions/organisations, to ensure evidence-based decision making that capacitated to engage in G2G initiatives of this nature, assist to facilitate the capturing and sharing of various experiences by societies. KM strategy should be tactically aligned with the institution's overall strategy and should be used as a plan to highlight the institution's goals in term of KM. The strategy must take into account the institution's resources and needs must be identified. The strategy should also contain an outline of how to attend to these needs and provide suitable solutions. A good KM strategy requires enthusiasm and continuing commitment from all governmental institutions' members. With regard M&E systems establishment, both Shandong-WCG governments may benefit from developing their departmental reporting and monitoring systems to the extent where joint analysis and publication of results may be possible. All recent findings concluded that KM and M&E had the potential to greatly influence and improve the public sector particularly when many interactions within and between several stakeholders, and their impact on policy and service provision.

✓ *It is concluded that for the partnership to be effective and continue over time, it needs to be evolutionary and go through cycles of implementation, reflection, learning and renewal. Good leadership, management and communication play a central role in this process.*

It is concluded that numerous factors were found to strongly influence the sustainability of partnerships. Of these factors, *institutional “will”* was found to drive the establishment and continuation of Shandong-WCG partnership, and the strength of this was largely determined by the relevance of the partnership to the strategy of organisations and the degree to which it delivered outcomes and benefits that matched expectations and were considered mutual. Furthermore, for Shandong-WCG partnership to be effective and continue over time, it needs to be evolutionary and to go through cycles of implementation, reflection, learning and renewal. *Good leadership, management and communication* play a central role in this process. Additionally, *healthy relationships* are at the heart of effective long-term partnerships and as such, a focus is needed on developing and maintaining the ‘relationship’ element of partnerships if there are to continue over time. Finally, the sustainability of Shandong-WCG partnership will be facilitated by formalised agreements, and the continuation beyond the individuals that established them is ensured through institutionalisation.

9.2.2. KM READINESS

✓ *It is concluded that KM is institutionalized and should be viewed as an important contributor and creator that made a substantive and significant contribution to the public sector.*

KM in the public sector is not only plausible but necessary for the effective functioning of the public sector, in order to achieve sustainable development goals. It is essential for Shandong –WCG to learn how to locate knowledge and strategically place it in the institutional systems to be available when it is needed. These documents should be made available electronically and should be easily accessible from a single point of access. It is recommended that to build an institutional memory as a knowledge repository; it is concluded that public sector has a unique role in promoting the sharing, creating, integrating and dissemination of knowledge resources available in this context. Due to one-way conversation fail to build credibility and trust in government, and perhaps more importantly, fail to harness the knowledge, skills and resources that could be tapped by the government using more collaborative approach to service delivery and policy-making. This signalled the importance of implementation of KM practices in the public sector, governments must move beyond e-gov (openness, accountability,

efficiency and effectiveness), creating a circle of policy innovation and adaptation through the integration of knowledge and experience of a large number of stakeholders, which have a capacity infinitely superior to create knowledge; KM is institutionalised and made a substantive and significant contribution to the public sector in real terms. As a matter of fact, the study showed the benefits of quality KM initiatives for the public sector are largely underestimated, and KM should be viewed as an important contributor and creator in public sector, made the significant contribution to cooperation in partnerships, the capacity performance of partners and capacity development. The field of KM and M&E in public sector are huge and much underestimated, needs existed to explore the full value-chain of KM and M&E system in public sector, as more integrated and focused approaches are required to enhance transparency and accountability of excellent service delivery.

✓ *It is concluded that a definite need existed for Communities of Practice (COPs) beyond the formal meetings and that professionals and practitioners on both sides needed to exchange explicit and implicit knowledge.*

It is evident that KM not just tacit and explicit knowledge but Communities of Practice (COPs) and playing a key role in supporting the policy-making process. Policies and practices are very useful to create knowledge, the practices of KM also produce too much information. In the Shandong-WCG partnership, the volume of information available to decision-makers has increased greatly. The challenge is how to analyse interpret, integrate the key information needed to decision making and solving problems. Such as, the ability to analyse the knowledge of particular Communities of practice (COPs), as one of the most important issues in KM practices. It is concluded that KM provides methods for identifying, storing sharing and creating knowledge, while organisations intelligent (OI) integrate and interpret these inputs to accomplish complex, institutional/organisational level decision making. In an ambiguous and uncertain world, the most important part of decision making is to digest the information from the environment to structure the unknown.

✓ *It is concluded that KM enablers (ICT, structure, HR, strategy, leadership support and commitment) are specific success factors to achieve institutional/organisational effectiveness. Cultural change is the basis for creating a strategic KM plan.*

To sum up, it is concluded that the institutional/organisational *culture* (input) impact firstly on the construction of the plan of KM (*Strategy*) and on the *structure* to implement it, as well as the learning with the environment and the *information technologies* (means). On the second stage the organisation structure, the organisational strategy and the learning with

environment impact the KM practices and policies. It is evident that necessary a profound cultural change in the Shandong-WCG partnership from ‘*people-to-documents*’ to ‘*people-to-person*’ approach, taking advantage of personal competences. As cultural change is the basis for creating a strategic KM plan. In line with this, the main driver for the adoption of diverse KM initiatives in public services is the change of organisational culture. Nevertheless, the biggest challenge to the Shandong-WCG partnership is to change from prevailing culture of “*Knowledge is power*” to “*Knowledge sharing is power*”. It was concluded in regard to need and nature of support required KM in public sector such as cooperation in Shandong-WCG partnership, the capacity performance of partners and capacity development, specific success factors to achieve institutional effectiveness are to attain leadership support and establish a positive institutional/organisational culture geared toward sharing, an institutional/organisational strategy conducive to knowledge management, strong leadership support, an appropriate structure and the assimilation of employee knowledge are vital value in achieving success among the governmental institutions. Once top management supports the concept and the institutional culture acknowledges the importance of KM, then the counterparts can plan and strategies in terms of their KM and M&E initiative. It is concluded that the top-down control, lack of recognition of individuals and the nature of public organisations driven by legislation (bureaucratic procedures) are the major obstacles for applying KM practices in Shandong-WCG partnership. Experimental knowledge assets are employees’ skills, ability, and expertise. Routine knowledge assets are employees’ understanding of organisation’s routine work, structure, and culture. The institutions/organisations knowledge resources may be developed, shared and protected by identifying and restructuring the enablers. Various institutional/organisational components could be developed to enable KM and subsequently to illustrate institutional/organisational effectiveness may be achieved.

✓ *It is concluded that insufficient understanding of KM and Readiness existed and that KM awareness campaigns need to be established.*

Although the findings do reflect that interviewees agreed to the need for KM and M&E, a lack of understanding existed amongst participants to the study as to what KM and Readiness are really meant. it is evident that needs existed for improved understandings of value and usefulness of KM, M&E and Communities of Practice (COPs), as well as available indicators for the improved M&E of partnership development in SEP. Therefore, awareness campaigns need to be established. Shandong-WCG partnership could introduce specific training seminar and workshop to this purpose to inform, educate, and create awareness and to get the buy-in of all concerned so that the implementation of the KM policies and practices, as well as

RBM&E, can be robustly promoted.

✓It is concluded that KM is distinct from, but overlaps with organisational learning, HRD, Information Management (IM) and R&D.

It is concluded that organisation learning as a system of actions, actors, symbols and processes that enables Shandong-WCG partnership to transform information into valued knowledge which in turn increase long-run, adaptive capacity. Organisation learning occurs when there is a change in content or beliefs shared in a group of individuals in the organisation, hence, organisation learning is about a continuous process of organisational adaption whereas KM is about connecting professionals to knowledge resources and enabling them to create new knowledge an innovation.KM and human resource management (HRM) are mutually supportive in the sense that HRD activities provide individual professionals with the capacities they need to be effective knowledge workers in Shandong-WCG partnership. Research and Development (R&D) contribute to the organisation's critical knowledge and develops new products and services based on certain knowledge management processes. Information Management (IM) is concerned with data and information. If one visualise knowledge as an iceberg, then IM is dealing with the tip of the iceberg- information, whereas KM equally deals with the large underwater part of the iceberg that represents intangible knowledge.

✓It is concluded that KM required an institutional relationship based on trust and confidence, which are necessary for mutual learning and will impact the partnership in a positive way.

Knowledge management has gained significant prominence in terms of adding value to business processes and it directly influences how effectively an institution/organisation conducts its operational functions. Within the private sector, these benefits of KM are well-founded and the same holds true for public sector organisations. KM has a positive effect on organisational performance only when knowledge is strongly applied to a whole organisation. An intelligent organisation must ultimately exist in an environment that encourages and supports the development and management of knowledge. KM requires a relationship based on trust and confidence, which are necessary for mutual learning, impact the partnership in a positive way. Working towards an atmosphere in which partnerships are equal and might share ideas, learning insights and knowledge. It's valuable to understand more about these dynamics in order to improve Shandong-WCG partnership relations towards mutual learning instead of donor-recipient.

9.2.3. M&E READINESS

✓ Building the institutionalised M&E system may come with many organisational, technical and political challenges.

It is apparent that building and sustaining an RBME system is a daunting task. Building an RBME system comes with many organisational, technical and political challenges. It takes great commitment, champions, effort, resources and time to successfully put such a system in place. Nonetheless, it is possible and doable, and the rewards of having such a system abound. An RBME is a public management tool that enables governments and organisations to determine successful policies, programmes, and projects as well as identify programmes and policies that are unsuccessful. It is anticipated that building an RBME system in Shandong-WCG will enable the institutions/organisations to generally identify what works, what does not work and why. In the same light, an RBME will permit the institutions/organisations in Shandong-WCG to take timely and informed corrective measures where necessary. As indicated in the literature, there is a rapid spread and increased acceptance of PME practices across the globe. Just like RBME or any other approach, PME has its own pitfalls. PME is a social and a political process which is susceptible to conflicts and disagreements amongst stakeholders and broader social interests. While the challenges of PME may be immense; so too are the stakes. The concepts of PME are used and applied in many public and private institutions/organisations and in a wide array of sectors such as; community development, local governance, health, agriculture amongst others. It can be concluded that PME provides project/programme beneficiaries and all other stakeholders the opportunity to own and control the projects through their participation at various levels.

✓ It is concluded that Readiness Assessment is a vital stage in establishing an M&E system that requires sufficient knowledge and adequate understandings thereof.

It is concluded that Readiness Assessment, as the first key step of the ten-step model, which was often missed or omitted, provided an analytical framework to assess institutions/organisations competence and political will to monitor and evaluate its goals and develop a framework for determining project/programme performance. Readiness Assessment supports the building a Results-Based M&E system and it is essential to determine how participants will benefit from the M&E system and also how the M&E system will benefit participants. With regards to Shandong-WCG, although a basic understanding of Readiness Assessment existed, this was insufficient as adequate understanding was required to

successfully construct indicators, collect, analyse and report performance in relation to project objectives. In this light, it can be concluded that Shandong -WCG's knowledge and understanding of Readiness Assessment as part of establishing a results-based M&E system leave much to be desired. The motivation for developing an M&E system might range from beneficiary's demand, donor requirements to existing legal requirements of an institution/organisation and public sector reforms.

✓It is concluded that a well-designed RBM&E system provides timely and consolidated sources of information that enables appropriate and evidence-based decisions.

The Readiness Assessment conducted regarding M&E concluded that the need existed for Results-Based M&E that can be used to ensure evidence-based decision-making in the Shandong-WCG partnership. As far as motivation for developing an M&E system is concerned, the research findings established that the driving force for the need of an M&E system for Shandong and WCG in each country as to enable the partnership in SEP to track its progress, identify successful projects/activities, and make adjustments to programmes that are failing, as well as reporting to funders. Even where there are openness and capacity for change at various levels, the need existed to count on champions within the institutions/organisations in order for RBM&E to be effective and sustainable. One of the rationales for a Readiness Assessment as to identify the champions involved in the process of building an M&E system. The research establishes that in Shandong-WCG partnership, there are champions to spearhead the establishment of an M&E system. The main champions involved in this process in the institutions/organisations are the bilateral committee and the technical secretariat. A well designed M&E system provides any institution/organisation with a timely and consolidated source of information that enables project implementers to make appropriate and informed decisions concerning the progress of a project/programme. A well designed M&E system also enables institutions/organisations to establish outcomes, select indicators to achieve established outcomes, set targets and strive to accomplish them. The study illustrated establishing an M&E system permits professionals and participants to select key indicators, monitor results and make adjustment were necessary. Thus, M&E presents institutions/organisations with the opportunity to achieve its programme goals and objectives.

✓It is concluded that building an M&E system requires adequate organisational capacity to support and sustain the system.

In order for institutions/organisation to successfully establish an RBME system, the importance of organisational capacity for supporting a results-based M&E system cannot be

overemphasised. Having adequate and relevant capacity within an organisation is of prime importance for an efficient and effective M&E system. Sufficient skills are needed in the areas of project and programme management, data analysis, project and programme goal establishment, budget management and performance auditing. The research ascertains that although the capacity existed to support an M&E system especially in the areas of project and programme management and goal establishment, these capacities are, however, not adequate to sustain other areas. In this regard, it can be concluded that Shandong -WCG capacity for building and sustaining an M&E system is insufficient. It is important to reiterate the fact that a Readiness Assessment, is a diagnostic tool used in determining whether the organisation meets the requirements for building a results-based M&E system. It also serves as a guide for ascertaining the ability and willingness of a country or an organisation to move forward with establishing an M&E system and taken into consideration who benefits from the system and whether there existed adequate capacity in the organisation to support such systems. Data gathered from the study reiterates that M&E is an essential management tool which enables an institution to commit to accountability for results, resources entrusted to it and organisational learning. It was also noted that in the absence of effective M&E, it would be difficult to know whether the intended results are being achieved as planned, what corrective action may be needed to ensure delivery of the intended results, and whether initiatives are making positive contributions towards human development.

✓It is concluded that PME promotes greater accountability and transparency within institutions because of its emphasis on information/knowledge sharing.

Accountability does not only imply financial transparency. There is also more to accountability than reporting to donors. *Accountability and transparency* provide stakeholders with a clear picture of the status of projects and programmes. It also enlightens beneficiaries on the services and commodities legitimately meant for them. In this study, accountability was exercised in two ways. The Administration on the one hand and the project beneficiaries, on the other hand, are accountable to each other. It is also expected that the M&E system once established, will endorse accountability and transparency that will *enhance the relationship and confidence amongst stakeholders*.

Concisely, PME promotes participation in decision making by all stakeholders and also increases the success and sustainability of projects. PME promotes greater accountability and transparency within institutions/organisations and amongst stakeholders because of its emphasis on information/knowledge sharing intrinsically in almost all PME approaches. It is concluded that transparency and accountability within the basic delivery system would be

impossible unless citizens or groups are aware of services and commodities legitimately meant for them. PM&E promotes transparency and accountability among stakeholders. This is due to its emphasis on information and knowledge sharing inherent in almost all PM&E approaches. More so, it offers communities an opportunity to assess their own institutions that are held liable in terms of fulfilling their commitments and responsibilities to that community

9.2.4. SPORT EXCHANGE PROGRAMME (SEP)

✓ It is concluded that sport and development initiatives can make a huge impact on economic and social well-being.

From the international literature, as well as fieldwork study, it is clear that sport and development initiatives can make a huge impact on partnership development and serve as a vehicle for improved social and economic well-being. It is believed that SEP has a tremendous potential to impact on development. It is evident that human development occurs through intricate, symbiotic interactions between an active human organism and people (Wagnsson and others 2013); and also between objects and symbols in an organism's immediate and remote environment. From the findings, it has emerged that the SEP in its rationale and philosophy share many similarities with other exchange programmes. Factors such as trust, multi-benefit and long-term social inclusion. There has also been significant talent identification that took place due to the partnership programme. Gaps were however found in the process of the talent identification as well as the long-term plan afterwards with the athletes.

✓ It is concluded that a need existed to design meaningful and measurable performance indicators for sustainable partnership development in SEP.

Past efforts showed that KM and M&E as a concept presently receiving attention from well-known international institutions, like the World Bank, UN Sport for Development and Peace, International Olympic Committee, UNESCO provided critical outcomes to be considered in partnership and capacity development. However, need to translate these outcomes into measurable performance indicators. This seems to be used synonymously with the conventional research which is normally undertaken by evaluators. It is clear that with the development of meaningful indicators, specific results can be tracked over time which can give an indication of whether partnerships are achieving the anticipated outcomes for sustainable partnership development in SEP. Therefore, Government institutions, civil society and the research community need to design proper KM and M&E systems as tools for partnership

development. In the event countries, counterparts want to become knowledge-based institutions and ultimately achieved institutional effectiveness, it first has to devise an *explicit KM strategy*. All the KM enablers, specific *factors* and anticipated outcome *indicators* are present at the discussion, but what required to identify the key aspects of these enablers /specific factors and indicators that need to be developed in order to make them more beneficial to KM efforts in G2G partnerships in SEP.

9.3. RECOMMENDATION OF THE STUDY

The study herewith provides the following recommendations:

❖ *It is recommended that more advanced KM and M&E systems needs to be established to fulfil the desire for a sustainable partnership in the Shandong –WCG case. ,*

It is recommended that to ascertain partnership management, transparent financing, capacity building, M&E must be clearly established; targeted training and guidance are necessary, particularly in the early stages, and active communication and KM strategy for the public are also greatly important. It notes that in the absence of effective M&E, it would be difficult to know whether the intended results are being achieved as planned, and what corrective action may be needed to ensure delivery of the intended results. It can be concluded with certainty that establishing an M&E system will afford Shandong-WCG partnership in SEP an opportunity to implement and achieve its stated goals and objectives. In terms of KM and M&E systems establishment, it was found that both governments in Shandong-WCG may benefit from developing their departmental reporting and monitoring systems to the extent where joint analysis and publication of results may be possible.

❖ *It is recommended that to actively implement KM as well as M&E attention should be given to the institutionalisation of these functions within the governmental institutions in Shandong and WCG.*

It is recommended that Shandong-WCG should consider immediate skills improvement, create an independent unit or a positioning housing as chief knowledge officer to oversee, manage and drive the institutions' KM activate. A separate division will result in the ability to deliver better services based on better utilisation and dissemination of knowledge. It is recommended that the institutional arrangements for monitoring systems in government as typical a permanent organisation nature and normally comprise of a Directorate or organisational unit of a permanent nature with network and system arrangement beyond the organisation. It is recommended that the M&E function closely related to functions such as performance management, research, policy development, reporting and KM. It is

recommended that Shandong-WCG to consider hiring more experts or generate capacities within the partnership that can support the technical champions for efficacy without the burden of multitasking, it was evident that the champions were overloaded and that may lead to a substandard M&E system. Due to more champions needed, it therefore recommended that to actively implement a KM as well as M&E division within the governmental institutions in Shandong and WCG.

❖ *It is recommended that stakeholders in the Shandong-WCG partnership further improve ownership of the project and that participation in decision making be further advanced through KM and M&E.*

Judging from the research findings in regards to ownership and participation, there has not been adequate consultations with regards to the establishment of an M&E system. Given the nature of the anticipated M&E system to be established, one would have expected the whole process to be more participatory especially in the areas of decision making. Participation in decision making and M&E processes enables project/programme stakeholders to gained ownership of the project, acquire M&E skills through learning by doing as well as by empowering themselves in M&E related capabilities. It is recommended that M&E is fundamental and useful to all development programmes but also a demanding process that required effective coordination from all stakeholders to ensure sustainability. There are needs to review, identify and evaluate the partnership performance with a focus on innovation, Communities of Practice (COPs), and government policies in Shandong –WCG partnership. When a basic M&E system is being run and handled by a single or few individuals, the whole purpose of participation is defeated. It therefore, recommended that the PME process is followed.

❖ *It is recommended that the Outcome indicator framework and Theory of Change (ToC) Model be further developed and utilised in the SEP Shandong and WCG partnership.*

As found in the study the evaluation of long-term outcomes will contribute to the feedback cycle that seeks ongoing improvement. There is a need for a better design and formulation of a Theory of Change (ToC) model and anticipated outcome indicators framework to better measure, assess and fit the long-term outcomes; It was found that in such instances proper indicators need to be developed to measure such impact and the outcomes should also be articulated in such a way so that we are clear as to what expected results or impacts we aim for. KM and M&E are institutionalised, it is recommended that an annual partnership survey is institutionalised by both Shandong and WCG and that baseline statistics be updated annually. It is recommended that strategic objective indicators for partnerships and

stakeholders engagement facilitated should focus on the quality of the report rather than quantity of the reports currently used by WCG as per 2017/2018 annual reports (Appendix 2). Utilised Results-Based M&E system effectively to provide accessible, understandable, relevant and timely information and data.

❖ *It is recommended that 'Knowledge Resource Centres' be established and located in both Shandong and WCG and that KM and M&E awareness campaigns with online Web-based applications be launched.*

In designing the KM and M&E approach, it is recommended that the Shandong and WCG should consider the findings of this study that the partnership counterparts should consider more contents of further collaboration in KM and M&E to explore further developments through pilot projects. There must be a point person (a relationship manager), preferably from each party, to animate and monitor the relationship. Units responsible for managing MOUs or, alternatively, evaluation units, should have a role in playing monitoring and assessing the partnership; There must be strong technical platforms to support the knowledge exchange function: extranets that bridge the intranets of each partner; There must be a phased approach to building the relationship over time; and recognising that the relationships may change over time and that interests and priorities may diverge; Efforts should be made to strive for joint activities. This may require more detailed appendices to the MOU that provide terms of reference for such activities. All such activities should be clearly documented for subsequent monitoring and report; there should be regular checkpoints to monitor progress, mutual value and to assess whether interests may be diverging over time; the desires for protection of institutional reputation, brand, and intellectual property must be acknowledged and respected. Establishing Knowledge Resource Centres located in both counterparts' countries to develop knowledge exchanged platform, such as online web-based applications as institutional memory between Shandong and WCG, with valuable lessons of experience existed in the various bilateral partnerships that should be recorded and captured, and sharing knowledge in both static and dynamic forms.

❖ *It is recommended that there should be a focus on intergovernmental relations with respect to the co-operation and co-ordination between the various government spheres.*

It has emerged from the study that the Department has an extensive information technology platform and backbone. However, the primary limitation of this arrangement was that the various systems in different departments were not integrated. It is noted national government and provincial government were committed to the report sharing but doubt existed as to the commitment of local government and in particular rural municipalities and federations. There

should be a focus on intergovernmental relations with respect to the co-operation and co-ordination between the various government spheres and departments. Attention in improving institutional capacity including management and organisational capacity as well as expertise in implementation. The capacity of delivery partners must be enhanced and thus including the intangible and tangible resource. The will to implement the KM and M&E coupled with the requisite allocated resources has been identified by the respondents as a challenge.

❖ *It is recommended that 'complementarity' be considered in terms of the relevance and availability of resources for partnerships' success.*

There are many areas in a G2G partnership like South Africa and PRC's relations that can serve as the basis of complementarity and cooperation. Due to complementarity of resources is an important aspect of selecting appropriate partners. Generally, for partnerships need each institution to contribute specific strengths and functional capacities that the other lacks to allow the parties involved to combine resources satisfies partners' need. The interaction of cooperation results in cooperative behaviour, allowing the partnership to work by ensuring that both parties receive the benefits of the relationship.

❖ *It is recommended that Talent Management (TM) be given attention as a strategic and learning organisation function.*

Knowing the new administrative leadership profile is likely to provide competency management, but not necessarily talent management. Competency management is an organisational perspective that ensures articulation of the skills, abilities and styles preferred. Talent management integrates the needs of the organisation (competency management) and individuals (management of people through motivation, development, coaching, etc.). Organisations with good talent management decide how to groom leaders through recruitment (perhaps changing the interview process, seeking high potential interns, or instituting lateral hiring at senior levels), training (such as more training or more management training and less emphasis on law), incentives (e.g., changes in performance rewards and disincentives), and organisational structures (for example, cutting outdated units, redeploying human resources, and enhancing management audit for assistance).

9.4. FUTURE STUDY

A number of areas of research have featured in this research investigation that falls outside the scope of this study but that has shown that meaningful interfaces existed or should be

explored with respect to sustainable partnership development in SEP.

It is foreseen that the next phase of research, beyond this study, may include some specific themes for future research:

✧ *Further research is required on the improvement of the ICT and specific software programmes for information technology management.*

Although some technologic electronic systems have been introduced, research is warranted on effective and accurate recoding systems that feed directly into KM and M&E systems; KM has strong influences with other information system domains, such as workflow management, e-learning, and or institution behaviour. The further study will analyse those consistent areas. The further study also should focus on practical work. It is recommended to take a more profound, extensive research on real enterprise, and monitor long-term performance of evaluating a KM system.

✧ *A need existed for the future policy analysis on the different BRICS policy options and its relationship with KM and M&E and the interface between international policy and BRICS.*

In addition, nonetheless several trends are apparent, details research is needed on the long-term effects of partnership and development programmes. The research on KM and M&E approaches could be undertaken in another sector of other partnerships amongst BRICS nations, G2G between Brazil-India-Russia, besides PRC and South Africa.

✧ *A need for further research existed with respect to the Cost-benefit analysis for partnerships among BRICS.*

As a consequence, numerous trends are apparent, detailed research for the further KM and evaluation of monitoring results is needed on the long-term effects of partnerships. A need for further research existed for a consolidated understanding of the lessons of experience of key role players involved in G2G partnership and how such efforts may support government initiatives as the need of KM and M&E, not just G2G partnership level also required by other partnerships as well as extended to other sectors among BRICS which still need more relevant research and determinations. In order to achieve sound service delivery on accountability, transparency and integrated prospects in public sector.

9.5. FINAL CONCLUDING REMARKS

KM and M&E can help the Public Administration worldwide in the task of changing from open government, social media and open data to collaborative innovation, public engagement and customised intelligent service (Angelis, 2013:9). Evidence-based policy making and results-based management aim to improve the performance of organisations, policies and programmes by enabling the accurate measurement of progress and results required for management and policy decisions (Babie, 2011:3).

It is imperative to invest in knowledge and innovation for large scale possible change. KM and M&E provides much potential to improve the transfer and creation of knowledge in the public administration. The first is a radical culture change in the public sector toward a *people to person* approach, taking advantage of personal competences. Nevertheless, changing a culture in public institutions/organisation where people permanent employed, where a strict institutional/organisational structure and directives come from numerous sources as a formidable challenge (Angelis 2013:21).

This study allowed the government institutions to gain a much better understanding of the need and nature of support for KM and M&E approaches in the public sector which is much underestimated and seldom approached in terms of social development particular in SEP development. This study is the first attempt to develop a case for bilateral partnership in government to government (G2G) partnerships, by providing a comprehensive overview via the variable set out in the 5-C protocol, Readiness Assessment, proposed anticipated-outcome indicators and ToC for researchers to explore the need and evaluate the value/usefulness of KM and M&E approaches for practice in Shandong and WCG partnership.

It was shown to be important to establish a good understanding of the potential of KM and M&E approaches in bilateral government partnerships and how KM and M&E can be practically and efficiently applied in these environments. This brought benefits to the selected partnership in the field of international relations, public policy, strategic planning, implementation, performance management, Communities of Practice (COPs) with regards to economic, social culture and sport.

The research findings and specific recommendations have been made to Government, civil society and the research community in this respect. Key to this study was the fact that insufficient KM and M&E results are being utilised by partnerships and that information is

required in economic and social sectors but also with respect to cooperation in sport, the capacity performance of partners and capacity development by partnerships.

The investigation has demonstrated the need for advanced KM policies and practices and constant RBM&E frameworks, as well as the establishment of the necessary institutional arrangements to manage KM and M&E systems.

KM facilitates the creation of open and collaborative ecosystems, and the exploitation of internal and external flows of knowledge, through the development of internal KM capabilities, which in turn increases innovation capacity. Further areas include human resources development, systematic development and improved intergovernmental relations. Although the field of sport, culture has been lagging behind compare to other sectors in developing countries, it is clear that the public sector can do much more to use KM and M&E as a basis for informed planning, implementation and resource allocation. It especially concerns improved accurate reporting and data collection to ensure validity, reliability and trustworthiness of information, but also improved leadership commitment and specialist capacity in the field of KM and M&E aspects.

Establishing an M&E system may not be an easy task due to the complicated and demanding processes. As complicated as establishing an M&E system may be the reward surpasses the complexities. However, such rewards can only be achieved if the M&E system generally built on a strong foundation which requires a proper Readiness Assessment. Readiness Assessment enables institutions/ organisations to determine the strengths and the capabilities of institutions/ organisations in establishing a results-based M&E system as well as to identify the weaknesses and existing gaps within an organisation as far as building the M&E framework.

In a nutshell, KM and M&E have become vital parts of modern institutions and management and equally so, of modern public sector management. South Africa and the PRC both as developmental states among BRICS, acting as key role players in global partnerships, should consequently invest in knowledge innovation for large-scale positive change, encourage innovation through cross-country partnerships, experimentation and learning to adopt appropriate responses to development challenges. Governmental institution members should ultimately increase their focus on the vast array of benefits that KM and M&E offer, enhance reconstruction capacity, integrate accountability and transparency, improve, productivity, decision making and efficacy for sound service delivery, to achieving long-term commitment

partnerships¹, to contribute and succeed globally as well as to contribute to the 2030 Agenda and SDGs initiatives.



¹Agenda Knowledge for Development Partnership 2017 by UN Geneva, presented that:

- Goal 1: Pluralistic, diverse and inclusive knowledge societies
- Goal 2: People-focused knowledge societies
- Goal 3: Strengthening local knowledge ecosystems
- Goal 4: Knowledge partnerships
- Goal 5: Knowledge cities and rural-urban linkages
- Goal 6: Advanced knowledge strategies in development organisations
- Goal 7: Capture, preservation and democratization of knowledge
- Goal 8: Fair and dynamic knowledge markets
- Goal 9: Safety, security, sustainability
- Goal 10: Legal knowledge
- Goal 11: Improved knowledge competences and knowledge work
- Goal 12: Institutions of higher education to play an active role
- Goal 13: Information and communication technologies (ICTs) for all

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APPENDICES

APPENDIC 1: MOU SHANDONG -WCG IN SEP SIGNED ON 2014

MEMORANDUM OF UNDERSTANDING FOR A SPORTS EXCHANGE PROGRAMME

Entered into by and between:

**THE DEPARTMENT OF CULTURAL AFFAIRS AND SPORT OF THE WESTERN CAPE PROVINCIAL
GOVERNMENT**

(Represented by the Head of Department, Mr Brent Walters)

("the WCG")

And

THE SPORTS BUREAU OF SHANDONG PROVINCE

(Represented by the Sports Bureau Director-General, Mr Zhang Songlin)

("Shandong")

(Collectively referred to as "the Parties")

WHEREAS the Parties concluded a Memorandum of Sports Co-operation on 31 October 2007 which forms the basis for further arrangements regulating exchanges of sporting delegations and the promotion and development of new sport and recreation projects in the regions of each of the Parties;

AND WHEREAS the Parties have agreed to place particular emphasis on specified sport initiatives and projects and are desirous of setting out their respective obligations with regard thereto;

NOW THEREFORE THE PARTIES RECORD THEIR UNDERSTANDING AS FOLLOWS:

1. SPORT INITIATIVES AND PROJECTS

1.1 The Parties will –

1.1.1 develop an exchange programme for sport officials, coaches, athletes and sporting teams, and sports academies which will focus on the following four interest areas, namely:

- 1.1.1.1 sport academies;
- 1.1.1.2 training and coaching;
- 1.1.1.3 talent identification;
- 1.1.1.4 sport facilities.

1.1.2 Establish relationships between the Parties' educational institutions to enable the development of exchange programmes between them;

- 1.1.3 Create opportunity for internet exchanges between sport and recreation students in the Parties' regions;
- 1.1.4 Facilitate short-term visits by sport and recreation students from the region of the one Party to that of the other Party.

2. ROLE OF THE PARTIES

- 2.1 The Parties will host at least 2 (two) of each other's accredited sports coaches per annum on a reciprocal basis for a maximum period of three months at a time.
- 2.2 The host Party will only be responsible for the land transportation costs and accomodation expenses of the coaches during their stay in the host country, whilst the other Party shall bear all other travel costs, including costs of international travel, insurance, medical and any and all other costs of the coaches, visas and permits of the coaches concerned.
- 2.3 The host Party will be entitled to determine the geographical area to which visiting coaches will be deployed, based on a needs assessment conducted by the host Party concerned in consultation with relevant sporting federation and/or sport council.

3. GENERAL

- 3.1 It is expressly agreed that any deployment of coaches pursuant to this Memorandum or any subsequent agreement between the Parties will not create, nor be deemed to create an employment relationship between the WCG and a coach, nor will it create any agency or independent contractor relationship either between the WCG and the coach or the WCG and Shandong.
- 3.2 Any dispute arising from the interpretation and implementation of this Memorandum of Understanding shall be settled by means of consultation and negotiation between the Parties.
- 3.3 Done in duplicate in Chinese and English both being equally authentic in Cape Town/Western Cape and Jinan/Shandong, respectively.



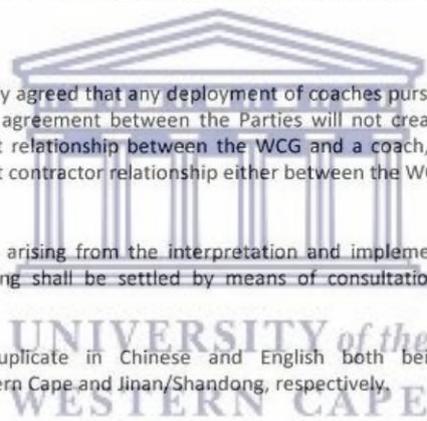
Mr Brent Walters
 Head of Department
 Department of Cultural Affairs & Sport
 Western Cape Province

Date: 23/07/2014



Mr Zhang Songlin
 Director-General
 Sports Bureau
 Shandong Province

Date: 2014.8.1



APPENDIC 2: STRATEGIC OBJECTIVE INDICATOR FOR PARTNERSHIPS AND STAKEHOLDER ENGAGEMENT FACILITATED

Strategic Objective Indicator	2.3
Indicator title	Number of consolidated reports submitted on key partnerships and engagements.
Short definition	This indicator refers to the information (report) on all international engagements, priority projects and events managed for the WCG.
Purpose/importance	The indicator reflects strategic international engagements, priority projects, as well as events managed for the WCG that are aligned with the PSGs.
Source/collection of data	Quarterly consolidated reports on strategic priority programmes and International Relations would be submitted to the DDG.
Method of calculation	Simple count of the number of reports submitted to the DDG.
Data limitations	Departments not sharing information on international engagements. Example reports from trips taken or hosting international delegations without informing the Directorate: IR. Ad hoc requests for example events to be managed. The fact that the report has been submitted does not mean that significant performance has been achieved or in the case of international relations, that there was alignment to the IR Strategy.
Type of Indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Not new
Desired performance	On target
Indicator responsibility	Chief Director: International & Priority Programmes

Source: WCG strategic partnership indicators 2017/8

APPENDIC 3: SEMI-STRUCTURED INTERVIEW SCHEDULE

General:

The interviewee will be assured of anonymity and confidentiality of the contents of the interview. The Participant is voluntary, can withdraw at any stage. The interviewing schedule is composed of the following three major parts: the opening; the body; and the closing. The opening will make the interviewee feel welcomed and relaxed. It will also clearly indicate the objectives of the interview. Finally, the opening will indicate the expected length of the interview.

The body consists of the potential questions to be asked. The closing will maintain the tone set throughout the interview and will be brief but not abrupt. Interviewers will then thank the interviewee for his or her time.

Opening

The purpose of the interview will be provided to the interviewees. Interviewees will be motivated by ensuring them that the information will be used to help improve the understanding of the use of specific objectives and indicators for the M&E of Bi-lateral partnership to access the outcomes of partnership initiatives. Interviewees will also be informed of the estimated duration of the interview. (The interview will take about 45 minutes). Interviewees will then be asked if they understand, and requested to ask any question that they might be having.

Dear Sir/Madam

I'm currently registered with School of Governance to do my Doctor Degree in Development Studies (Research). I'm focusing on KM, M&E and BRICS low-income developing countries, especially the G2G bi-lateral partnerships between Shandong Province in PRC and the Western Cape Government (Socio-economic, Cultural, and Sport etc.). You are humbly requested to spend approximately 45 minutes of your time in answering the attached semi-structured interview outline. The information you provide will be kept strictly confidential. Thank you for your co-operation. It is much appreciated.

Yours sincerely

Ivy Chen

SECTION ONE: GENERAL NATURE OF THE PARTNERSHIPS

The first series of questions will help to understand the general nature of KM and M&E in the partnerships.

1.1. What is the aim of the partnership as defined by the MOU?

.....
.....

1.2. Does the partnership still meet its aims and objectives?

.....
.....

1.3. Does the partnership share a common vision? Is there a mechanism or plan in place for re-evaluating the partnership or re-setting goals at regular intervals?

.....
.....

1.4. Please discuss the quality of the operational planning and whether the roles of the responsible official are clear?

.....
.....

1.5. Describe the level of trust and the quality of relationships in the partnership?

.....
.....

1.6. How well did the Shandong and WCG partnership perform in 2015, 2016, 2017?

.....
.....

1.7. What have been the main achievements of the partnership? What are the events or activities that are the major pillars of the partnership?

.....
.....

1.8. What lessons can be learnt from the Partnership at a Government- Government level?

.....
.....

1.9. What have been the main challenges and threats that it has faced?

.....
.....

1.10. What makes the *partnership sustainable in the long- term*?

.....
.....

1.11. Does the partnership at present make use of KM approach? What do you understand by KM? (What is the need? what is in existing already)

.....
.....

1.12. Has an M& E system been established to support the partnership? How and what do you do?

.....
.....

1.13. Discuss how the performance management of the partnership is managed?

.....
.....
1.14. How can KM and M&E be improved in bilateral sport partnership?
.....
.....

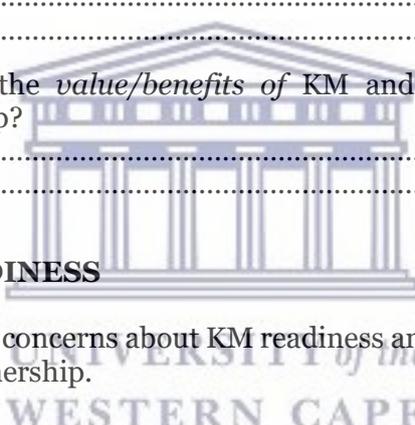
1.15. What are the specific factors that determine the *value/usefulness* of KM and M&E in bilateral sport partnerships?
.....
.....

1.16. Comparative experiences KM and M&E in partnerships elsewhere in the world?
.....
.....

1.17. What partnership means to you in term of social value? In term of SEP exchange wise, what sport means to you?
.....
.....

1.18. Is there a need to establish more advanced KM and M&E systems in G2G partnership? What type information is needed?
.....
.....

1.19. What do you think is the *value/benefits of* KM and M&E to the government to government (G2G) partnership?
.....
.....



SECTION TWO: KM READINESS

The second series of questions concerns about KM readiness and what KM is needed in public sector, particular in G2G partnership.

Culture and strategy

2.1. In your opinion, how does your department's current strategy, if any, impact on decision-making within the organisation as a whole?
.....
.....

2.2. How would you describe your department in terms of the human capacity, the infrastructure and the willingness to share knowledge with other departments?
.....
.....

2.3. As a senior official, what is your perception of employees' willingness to freely transmit and share knowledge that could be of value to the organisation, especially tacit knowledge such as their experiences and scarce skills with other employees?
.....
.....

2.4. Considering the organisation's mission and strategy, how important do you think KM is in this regard?
.....
.....

.....
2.5. How does the organisation ensure that this knowledge is adequately captured and utilised? How is information *record, restore, research, captured and reported*?
.....
.....

Structure

2.6. How would you describe the organisational structure at large? (*Hierarchical, top-down, vertical vs horizontal*)
.....
.....

2.7. Within your department, how would you describe the structure and the subsequent impact on communication flows?
.....
.....

Human resources

2.8. How would you rate employee turnover within your department? What are the consequences of this for KM?
.....
.....

2.9. As a mechanism to facilitate knowledge transfer among employees do employees receive in-house training from more experienced employees?
.....
.....

ICT

2.10. Is sufficient training provided to employees to utilise these technologies?
.....
.....

General

2.11. As a senior manager, how would you describe your awareness and understanding of KM?
.....
.....

2.12. Discuss existence of the Communities of Practice (COPs) beyond the formal meetings in the partnership?
.....
.....

2.13. What are the key challenges involved in the establishment of KM system in Shandong-WCG partnership?
.....
.....

2.14. What are the key factors influencing the successful implementation of KM in an institution?
.....
.....

2.15. How can the KM systems in bilateral sports partnerships be improved? What's your view on Talented Management(TM)?
.....
.....

2.16. Is it a need for a resource centre, where will it be located?
.....
.....

2.17. What are the specific approaches to improve the current situation of the governmental institutions in term of KM?
.....
.....

SECTION THREE: M&E READINESS

The third series of questions concerning how M&E may function in government and government partnership with respect to what kind of M&E need in a partnership.

3.1. Is there a need or an adequate monitoring-evaluation system in place?
.....
.....

3.2. What outcome indicators criteria do you use or will be used to evaluate the effectiveness of this partnership?
.....
.....

3.3. Is there a mechanism or plan in place for re-evaluating the partnership or Re-setting goals at regular intervals?
.....
.....

3.4. Is/was there a culture of reflection and learning in the partnership?
.....
.....

3.5. Has the partnership or its activities been reviewed and evaluated? If yes, how and when?
.....
.....

3.6. Has the design and implementation of the partnership been flexible enough to accommodate lessons learnt and changing circumstances or needs?
.....
.....

3.7. What, if any, changes and improvements have been made on the basis of lessons learnt?
.....
.....

3.8. What is your suggestion with regard to strengthening the M&E function in the partnership?
.....
.....

3.9. What are the key issues or challenges need to be addressed to establish M&E system?

.....
.....

3.10. What are the key process steps will be taken to establish M& E system?

.....
.....

3.11. What *institutional arrangements* need to be in place to ensure the functional M&E system?

.....
.....

3.12. How can the outcomes of bilateral partnerships in sport be assessed?

.....
.....

3.13. What specific indicators are used in M&E to assess sport government to government partnerships?

.....
.....

3.14. Who are the *Champions* involved in the process of building an M&E system?

.....
.....

3.15. The role of an M&E system in achieving programme goals and objectives?

.....
.....

3.16. Does the organisation/institution have adequate *capacity* for supporting a Results-Based M&E system? Please share your opinions for the future in this respect.

.....
.....

3.17. How will the M&E system benefit participants?

.....
.....

3.18. What is your understanding of a readiness assessment as part of preparing for the establishment of an M&E system?

.....
.....

3.19. Is there any technical assistance, capacity building or raining in M&E currently underway or you please elaborate?

.....
.....

SECTION FOUR: NATURE AND CONTENT OF THE SPORT EXCHANGE PROGRAMME (SEP)

The final section concerns the nature and content of the Sport Exchange Programme (SEP) in Shandong - WCG partnership and what KM and M&E may look like in SEP:

4.1. Is there a need for KM and M&E in SEP, what type of programme will benefit?

.....
.....

4.2. What are the roles and responsibilities of the partners in the SEP?

.....
.....

4.3. How equitable is the contribution of each partner to the work and success of the partnership? Is it in line with the original agreement?

.....
.....

4.4. What are the challenges that have arisen in the partnership? How were/are problems dealt with (formally and informally)?

.....
.....

4.5. Discuss how reporting takes place regarding the SEP?

.....
.....

4.6. What are the events or activities that are the major pillars of the partnership?

.....
.....

4.7. How will the SEP be monitored and evaluated?

.....
.....

4.8. What can key lessons be learnt from this partnership about development successful, sustainable partnership?

.....
.....

4.9. Do you have people with human capability playing the roles in the SEP?

.....
.....

4.10. What are the SEP objectives, activities target dates and engaged outcomes?

.....
.....

4.11. What is the commitment in referring to leadership management?

.....
.....

4.12. In your opinion whether administrators do have the proper capacity to achieved target goal?

.....
.....

4.13. Do you think communication is an important aspect to promote KM and M&E in partnerships? What works have been done in regards communications?

.....
.....

4.14. Do you think complementarity of the resource is an important aspect of selecting appropriate partners?

.....
.....

4.15. What is your opinion in term of Sport Academies?

.....
.....



4.16. What is important for developing a talent identification plan for the academics system?

.....
.....

4.17. What is your opinion in term of the codes to identify coach and training?

.....
.....

4.18. What is a lesson to learn about Facilities Development?

.....
.....

Is there anything else that you would like to discuss?

I appreciate the time you took out of your day for this interview. Do you have any other advice to offer on the partnership?

Thanks for your contributions...!!!



UNIVERSITY *of the*
WESTERN CAPE

APPENDIC 4: MEDIA RELEASE OF SHANDONG-WCG PARTNERSHIP 2010-2017

4.1. On 13 December 2010, a meeting was had between the PRC Development Fund and the Minister of Health, Mr Theuns Botha, the Minister of Cultural Affairs and Sport, Dr Ivan Meyer and representatives from the City of Cape Town and Department of Economic Development and Tourism. The purpose of the meeting was to explore possible areas of mutual interest with the aim to identify project specific areas for mutual benefit. Key sectors/developmental areas were highlighted in the meeting such include the following: oil and gas sector, particularly the service sector; financial services sector; property development e.g. the Destiny Africa project in George; Infrastructural development; and Tourism and tourism development

4.2. The two provinces maintain regular exchanges, with the most recent being an official visit to Jinan, Yantai and being of PRC by an agricultural research team in November 2012, the purpose was to explore agricultural research and development co-operation opportunities of various other disciplines. The Western Cape Province hosted the Shandong Education and Sport delegations (separately) in November 2012. The most high-ranking official visit to the Western Cape Province in the previous financial year was that of the Vice Governor of Shandong province, Mr Zhang Jianguo in March 2013. During his visit, Vice Governor Zhang recommended the need to elevate bilateral relations to new strategic heights, through focused negotiations between senior officials of the two provinces. The Vice Governor also proposed an institutional mechanism to ensure that the gains made are consolidated and strengthened. Officials from the DCAS take forward discussions with counterparts in Shandong capital Jinan and Weifang city in line with ongoing efforts to strengthen bilateral relations between the Shandong and the Western Cape Provinces.

4.3. Activates Partnership programme between Shandong Western Cape sister province: Sport cooperation has identified as an area of mutual interest between the Western Cape Department of Cultural Affairs and Sport (DCAS) and the Shandong Sport Bureau, particularly focusing on exchange programs in Training and Coaching, as well as cooperation between sporting academies and sport federations. In 2013, DCAS embark on parallel programmes in Jinan, Qingdao and Weifang to further discuss project specifics for future cooperation. The team also visit the Beijing Olympic Park and the Birds Nest stadium for further investigation.

4.4. On 10 March 1998 the then Premier, Mr Hernus Kriel and members of the Cabinet of the Western Cape Province met with the Director-General of the Foreign Affairs Office of the Shandong Provincial People's Government (People's Republic of PRC), Mr Wu Zhongshu and his delegation to establish diplomatic relations between the provinces of Shandong and the

Western Cape. This relationship, in accordance with the principles of mutual respect and benefit, gave effect to the development of co-operation in the fields of trade, tourism, education, culture, agriculture and other relevant fields.

According to the Memorandum of Understanding signed between Mr Li Chunting (Governor of Shandong Province, People's Republic of PRC) and Mr Gerald Morkel (Premier of the Western Cape Province) on 12 June 2000 in Jinan, Shandong Province, both provinces agreed to actively engage in intergovernmental communication and collaboration and to establish effective channels of communication, to give effect to the sisterhood relationship.

4.5. On 1 March 2013 delegates from the Shandong Parliament visited the Western Cape Provincial Parliament to strengthen this relationship between the two Parliaments. In return, the Western Cape Provincial Parliament also visited PRC to cement this relationship. The topics for discussion of the study visit related to Agricultural Rural Development, Oversight, Economic Development, Local Government and Housing Issues. Three cities were visited within the Shandong province, namely Jinan, Weifang and Qingdao.

4.6. The Western Cape and Shandong Province in PRC are in partnership to create a better sport future together. On Wednesday, 14 November 2012, members of a delegation from Shandong visited the Department of Cultural Affairs and Sport (DCAS) to discuss opportunities for joint projects to improve sport through the design and implementation of high-performance systems.

The department used the visit to learn from Shandong's successful sport development structures and exchanged knowledge and experience as PRC and South Africa prepare for the 2016 Olympic Games in Brazil. DCAS is building towards a long-term provincial goal in 2030 through the National Development Plan to create an ideal future for youth through sport. The department has identified four possible areas of interest: sport academies and focus schools in Shandong; Training and Coaching; talent identification programmes; and facilities in Shandong.

Minister of Cultural Affairs and Sport Dr Ivan Meyer said DCAS hoped to learn from the achievements of the People's Republic of PRC during the 2012 London Olympic Games. He expressed his admiration for Shandong's scientific and technical approach to skills development, talent identification and mass participation in sport. "We want to form a partnership with sport bodies in Shandong and continue to grow our partnership. Our sport federations are keen to learn how to focus on talent identification amongst youth, physical education and major events", Dr Meyer said.

Shandong province representatives hope to visit the Western Cape every two years to establish and maintain a regular working relationship. They also want to promote all kinds of group participation and encourage sport and economic entities from the Western Cape to visit their sport venues and participate in their facility management and sport training. The head of the delegation, Mr Gao Jinye, said his aim is to enhance the partnership between Shandong and the Western Cape. “I hope we can strengthen this partnership with the department, share our advantages and work hand-in-hand for mutual success.”

The Western Cape and Shandong are already partners through the Regional Leaders’ Multilateral Forum, which was hosted in the Western Cape in September 2010. The Premier of the Western Cape, Ms Helen Zille, Dr Meyer and other sport and government dignitaries will visit Shandong next year in their efforts to strengthen the development of active and winning provinces in the two countries.

4.7. The Weifang Cup, which takes place from the 27 July – 2 August 2014, is an annual U19 football tournament hosted by the Chinese Football Association that sees local and international teams compete.

Team Western Cape, consisting of the best players selected from various Western Cape teams were invited to participate in the Weifang Cup as part of a sport development partnership between the Department of Cultural Affairs and Sport in the Western Cape and Shandong Province, PRC. The mutually beneficial partnership aims to create an exchange programme for sport officials, coaches, athletes and sporting teams, facilitating the sharing of expertise and knowledge.

4.8. On Thursday, 24 March 2016 the Western Cape Department of Cultural Affairs and Sport (DCAS) welcomed a Chinese delegation of five young sailors from the Qingdao Administration Centre of Sailing Sport on their arrival in the Western Cape.

DCAS in partnership with the Western Cape Provincial Sport Confederation (WCPSC), South African Sailing Western Cape (SASWC) and Saldanha Bay Municipality (SBM) facilitated the provincial sailing exchange program. HOD Brent Walters officially welcomed the delegation and said that their visit is a result of the agreement with the Western Cape Government. “Now we see the fruit of that agreement”, he said.

The three young men and two young women, aged between 11 and 14, are accompanied by team leader Wang Yong and interpreter Meng Yuejiao. They will be trained by local sailors and coaches and will practice races.

The delegation will also attend the Western Cape Sailing Championships from 25 to 28 March 2016 in Saldanha Bay. The theme for the event is “giving back to the community” and 30 children from communities in Saldanha will be exposed to a full program of activities whilst supporting the sailors. Approximately 350 to 400 sailors from across the country from all disciplines and skill levels are expected to participate with fleets ranging from 5 to 30 boats.

The young Chinese sailors will participate in the Optimist Class and spectators and participants are guaranteed of a spectacular sailing experience. The weekend will be a great experience for the visiting sailors and local youth to exchange cultures and ideas. The delegation will depart to PRC from Cape Town International Airport early on 29 March 2016.

DCAS encourages excellence and inclusivity and unites communities to become a strong and unified nation through sport BETTER TOGETHER.

4.9. Western Cape Youth Sailors off to PRC Six youth sailors, aged between 10 and 15 years old, will represent the Western Cape Province at the Qingdao International Optimist Training Camp & Regatta to be held in Qingdao, Shandong Province, PRC from 4 to 11 August 2016.

The support for Sailing by the Western Cape Government’s Department of Cultural Affairs & Sport (DCAS) and our WC Provincial Sport Confederation has been outstanding. Mrs Anroux Marais, the MEC responsible for Sport, Recreation and Cultural Policy in the Province, together with the officials in the Department, has once again done everything to make the participation of our sailors in this international sailing event possible.



APPENDIC 5: CONSENT FORM



FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

CONSENT FORM

RESEARCH TITLE:

Knowledge Management (KM) and Monitoring & Evaluation (M&E) of Government to Government Partnerships in sport management: A BRICS case of the PRC - South Africa relations in the Shandong - Western Cape Partnership

I have read the information presented in the information letter about a study being conducted by **Ms. Ivy Chen** towards the Doctoral Programme at the School of Government (SOG) at the University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntarily agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed and was informed that I may withdraw my consent at any time by advising the student researcher.

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name : _____

Participant Signature : _____

Date : _____

Place : _____

Student Researcher : Ms Ivy Chen

Student Researcher Signature : _____

Student Number : 3082590

Mobile Number : 0840383588

Email : 20100.ivy@gmail.com

I am accountable to my supervisor : Dr Leon Pretorius;
Prof. Christo de Coning;

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to action through knowledge

APPENDIC 6: ADDENDUM



**FACULTY OF ECONOMIC AND
MANAGEMENT SCIENCES**

SCHOOL OF GOVERNMENT

Date : 07 July 2017
To : Faculty Higher Degrees Committee
From : School of Government

Dear Members of the Committee

**SUBMISSION OF DOCUMENTS FOR TITLE APPROVAL AND ETHICS
CLEARANCE**

Student : Ms. Xiaojing Chen
Student no. : 3082590

I, C. DE CONING have scrutinized the documents of the above mentioned student, and certify it to be fit for submission to this committee for approval.

Please do not hesitate to contact me, should further information be required.

Sincerely


C. De Coning
Supervisor

**UNIVERSITY of the
WESTERN CAPE**

7/ July 2017

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Africa
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APPENDIC 7: ADDENDUM



**FACULTY OF ECONOMIC AND
MANAGEMENT SCIENCES**

SCHOOL OF GOVERNMENT

Date : 07 July 2017
To : Faculty Higher Degrees Committee
From : School of Government

Dear Members of the Committee

**SUBMISSION OF DOCUMENTS FOR TITLE APPROVAL AND ETHICS
CLEARANCE**

Student : Ms. Xueqing Chen
Student no. : 3082590

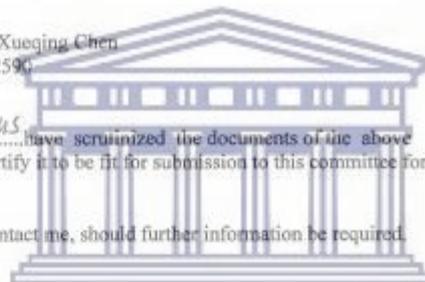
I, LEON G. PRETORIUS have scrutinized the documents of the above mentioned student, and certify it to be fit for submission to this committee for approval.

Please do not hesitate to contact me, should further information be required.

Sincerely

A handwritten signature in blue ink, appearing to read 'L. G. Pretorius'.

Supervisor



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