

The CIIF Evaluation Consortium

Final Report
for

Evaluating the Outcomes and Impact of
The Community Investment and Inclusion Fund (CIIF)

Social Investment and Social Network: An Analysis
of the Collaboration between Third Sector and
Private Sector in the CIIF Projects

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To

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TABLE OF CONTENT

	Page
EXECUTIVE SUMMARY	2
CHAPTER ONE: INTRODUCTION	5
CHAPTER TWO: SCOPE OF EVALUATION	7
Section One: Concepts: Social Capital and Tripartite Partnership	7
Section Two: Evaluation and Research Questions	14
CHAPTER THREE: METHODOLOGY	18
Section One: Evaluation and Research Approaches	18
Section Two: Selected Projects	19
Section Three: Procedure	20
Section Four: Implementation	21
CHAPTER FOUR: FINDINGS	23
Section One: Background information of the selected projects	23
1. <i>Project Objectives</i>	23
2. <i>Project Scope</i>	25
Section Two: Tripartite partnership: Modes and Natures of Collaboration	31
1. <i>Expectations</i>	31
2. <i>Roles of Collaborators</i>	32
3. <i>Mechanisms for Tripartite Partnership</i>	34
4. <i>Transformation of the Tripartite Partnership</i>	37
Section Three: Outcome of the Collaboration – Generation of Social Capitals	39
1. <i>Structural Social Capitals</i>	39
2. <i>Cognitive Social Capitals</i>	40
3. <i>Collective Social Capitals</i>	41
Section Four: Critical Success Factors for the Promotion of Tripartite Partnership	42
1. <i>Networking Capacity</i>	42
2. <i>Solidarity Capacity</i>	43
3. <i>Mutuality Capacity</i>	44
CHAPTER FIVE: DISCUSSION	46
Section One: Emerging Concept of Social Capital	46
Section Two: In Search of Effective Tripartite Partnership Strategies	47
1. <i>Platform of Partnership</i>	47
2. <i>Capacity Building of the Partners</i>	48
3. <i>Motivation Factors / Limitation Factors for Participation</i>	48
Section Three: Sustainability	48
CHAPTER SIX: CONCLUSION AND RECOMMENDATIONS	50
REFERENCES	53
APPENDIX 1: FRAMEWORK AND QUESTIONS	55

EXECUTIVE SUMMARY

BACKGROUND AND OBJECTIVES

The study of “Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects” is part of the evaluation study commissioned by the Health Welfare and Food Bureau and undertaken by the PolyU Team under the CIIF Evaluation Consortium. The major purpose is to provide independent assessment on the effectiveness of the Fund and individual projects in serving its purposes, in developing social capital.

This current study, with its research focus being focused on tripartite partnership, anchors the conceptual framework on the concepts of social capital and tripartite partnership in particular. The primary research questions of the current study to be examined are: (1) To what extent has social capital been promoted in the tripartite relationship amongst government, private sector and NGOs in the CIIF projects? (2) What are the critical success factors of good practice for the continuous improvement of CIIF-funded projects in developing social capital, the promotion of tripartite partnership in particular?

RESEARCH METHOD

Six CIIF-funded projects were examined in this study. They were selected primarily on the basis of whether or not having involved into collaboration between third sector and private sector, while attending to the criteria in terms of variety in different batches, duration, clienteles and location. The key research methods include a series of in-depth interviews with the key stakeholders and a documentary analysis of the official documents, including project proposals, progress reports that were submitted to the CIIF Secretariat in the project period. The series of interviews were held individually between March 2005 and December 2005 with the chief executive / senior administrators and project management frontline staffs of the NGOs, representatives from private sector (collaborators of Corporate and SMEs) and governmental officials who were involved in the selected projects.

FINDINGS

Given the generation of social capitals was the key objectives of the CIIF projects, efforts and endeavors being put on bonding, bridging and linking of relationships were discerned throughout the project process. On the part of tripartite partnership, it was found that close working relationship amongst service operators in exchanging views and experiences and synergy was created between NGOs and the private sector. While tripartite partnership was itself a concept of bridging relationship,

the selected projects attended also to some sorts of bonding relationship like neighborhood caring and linking relationship such as mentoring. With the bonding, bridging and linking of relationships were introduced to the projects, structural social capitals, cognitive social capitals and collective social capitals were built at both individual and organizational levels.

CRITICAL SUCCESS FACTORS

In evaluating the critical success factors of good practices for the promotion of tripartite partnership, the study identifies three domains of 'partnership capacity' leading to the success of such collaboration. It is considered that the aforementioned social capital outcomes could be brought about upon the development of three types of 'partnership capacity', which are as follows:

1. **Networking capacity** - the ability of different parties to have extensive and resourceful networks to find partners to work together, in specific to personal networks on both individual and organization levels were built.
2. **Solidarity capacity** - the generally accepted standard of shared values, in specific to mutual trust was built.
3. **Mutuality capacity** - the respect of the collaborating partners for achieving a win-win situation.

RECOMMENDATIONS

For Policy Makers:

1. While the leading roles and facilitating roles of government are equally important in most of the projects, active involvement of government is deemed necessary.
2. The government might need to attend to the importance of communication and coordination across Departments at both Bureau and District level.
3. The government might need to attend to the creation of opportunities of communication and coordination across different sectors.
4. In the promotion of the concept of "Social Capital" and "Corporate Social Responsibility" to private sector, the work needs to target not only on the sizable corporate but also the small and medium enterprises (SMEs).
5. When involving private sectors, both large corporation as well as the SMEs are deemed to be equally valuable as potential partners.
6. The government might also consider institutionalizing reward mechanism which motivates the involvement of private sectors.

For Academic and Professional Bodies:

1. Academic and professional bodies might take initiatives to arrange more exchange between training institutes and the NGOs / private sector on social capital.
2. Development of curriculum on social capital / or integrating the themes of social capital and tripartite partnership into existing social work or social administrative training programmes could be considered.
3. Development of indicators for measuring the “social capital outcomes”.

For Practitioner, Public and Business Collaborators and other Stakeholders:

1. Practitioner, public and business collaborators and other stakeholders could also take initiatives on the promotion of the concept of social capital and sharing their valuable and impressive stories with regard to social capital building through media.
2. Sharing of “Good Practices” in annual convention or forums by practitioner, public and business collaborators and other stakeholders are encouraged.

CHAPTER ONE: INTRODUCTION

The study of “Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects” is part of the evaluation study commissioned by the Health Welfare and Food Bureau and undertaken by the Unit for Third Sector Studies, HK PolyU under the CIIF Evaluation Consortium. The Administration of the CIIF has launched a consortium to pool up independent evaluators to provide independent assessment on the effectiveness of the Fund and individual projects in particular, in serving its purposes, in developing social capital. The key objectives of the evaluation study include the followings:

1. Assessing the effectiveness of the strategies pursued in achieving the CIIF’s objectives;
2. Appraising the contribution of the CIIF-funded projects towards promoting the development of social capital;
3. Evaluating the aggregated impact of the CIIF-funded projects on the groups and communities involved;
4. Identifying the critical success (or otherwise) factors common to the CIIF-funded projects; and
5. Advising on the policy implications and mapping out future strategies for the further development of social capital.

As part of the CIIF evaluation study, this study aims to fulfill the objectives of evaluation study by the following endeavors:

1. In assessing the effectiveness of the strategies pursued in achieving the CIIF’s objectives, this study focuses on analyzing the approaches and strategies adopted and examine the extent of goal-attainment in terms of the development of the partnership, basing on six selected CIIF-funded projects involving the collaborating relationship of private sector (the second sector) and NGOs (the third sector).
2. With a view to appraising the contribution of the CIIF-funded projects towards promoting the development of social capital, this study examines the extent of “structural social capital”, “cognitive social capital” as well as “collective social capital” as a result of the CIIF-funded projects involving tripartite partnerships, using a formative evaluation approach.
3. In order to evaluate the aggregated impact of the CIIF-funded projects on the groups and communities involved, the study interviews different relevant stakeholders, including the private sector (the second sector) and NGOs (the third sector) of the selected CIIF-funded projects for assessing impacts.
4. In order to identify the critical success (or otherwise) factors common to the CIIF-funded

projects, the study examines the stated purposes / objectives, scope, format, mechanism, process and intended outcomes, and identify the critical success factors or illustrations of good practice for the continuous improvement of CIIF-funded projects, the promotion of tripartite partnership in particular.

5. In advising on the policy implications and mapping out future strategies for the further development of social capital, the study base on the results of the investigation and make recommendations to the Hong Kong SAR government for enhancing policies on fostering tripartite partnership and corporate social responsibilities in Hong Kong.

CHAPTER TWO: SCOPE OF EVALUATION

SECTION ONE: CONCEPTS: SOCIAL CAPITAL AND TRIPARTITE PARTNERSHIP

1. Social Capital

Since the past two decades, the concept of social capital has been the focus of much research studies (e.g. Putnam, 1993 and 2000). As if many other concepts, there is no a comprehensive definition of social capital which has been universally accepted. Different definitions emphasize different aspects of social capital in the discussion.

Individual level definition:

According to Bourdieu, social capital is the “aggregate of the actual or potential resources which are linked to the possession of a durable network of more or less institutionalized relationships of mutual acquaintance and recognition” (1986: 248) Bourdieu’s definition undoubtedly illustrates the essence of social capital with respect to the specific demonstration on social network and connection among people in a community.

On the contrary, Coleman views social capital as “a variety of different entities, with two elements in common: they all consist of some aspects of social structure and they facilitate certain actions of actors - whether personal or corporate actors - with that structure” (1998: 98). Coleman also argues that social capital exists in relationships among individuals, but not in individuals themselves. In sum, Coleman emphasizes the structural elements in social capital.

Group level definition:

Unlike Bourdieu and Coleman who focus on individual as holder of social capital, Putnam put the emphasis on group level in discussing the concept. He defines social capital as “features of social organizations, such as networks, norms and trust that facilitate coordination and cooperation for mutual benefit” (Putnam 1993, p. 41). His definition indeed has mentioned more on voluntary involvement of individuals in social groups. Moreover, there is the belief, or trust held among community members that they will receive reward from their contribution to others’ welfare in the future. Putnam further argues that network of civic engagement (neighbourhood associations, community groups, women/men’s groups, etc) are an essential element of social capital as they foster the norms of reciprocity.

World Bank’s definition

Apart from scholarly studies, some international organizations also put their efforts to examine the contribution of social capital on social networking, social trust and social cohesion. One of them is the World Bank¹, which established a specialist group, the Social Capital Initiatives, to examine the multifaceted phenomenon of social capital. According to World Bank, “social capital refers to the institutions, relationships, and norms that shape the quality and quantity of a society’s social interactions”. To them, it is the “norms and networks that enable collective actions”. Their studies indicate that social capital is crucial to enhance social cohesion to achieve such objectives as poverty alleviation and sustainable human and economic development.

Sources and dimensions of social capital

There are a number of major sources of social capital in the context of social and economic development, namely, families, communities, firms, civil society, public sector, ethnicity and gender². In the investigation of the concept of “social capital”, three dimensions are widely applied, namely structural, cognitive and collective.

“**Structural social capital**” refers to the objective and externally observable social structures, such as network, associations, and institutions, and the rules and procedures they embody.

“**Cognitive social capital**” refers to the more subjective and intangible elements such as norms, the generally accepted standard of behaviours or shared values such as trust and reciprocity.

“**Collective social capital**” is a concept come from Putnam’s work (1993) on social capital which refer the resources mobilizations amongst the neighborhood for the social and economical improvements at the individual as well as the neighborhood levels.

Types of network

There were three types of networks: “bonding”, “bridging” and “linking”. **Bonding** refers those linkage and relationships that one has with people like him / her. In contrast, **bridging** and **linking** refer to those that one has with people who are “not” like him / her, with the former referring to the differences at the horizontal level, such as people of different countries, different sectors, different age and different genders; whilst the latter referring to the differences at the vertical level, i.e. people of different power or influence. (ABS Framework)

¹ <http://www1.worldbank.org/prem/poverty/scapital/whatsc.htm>

² <http://www1.worldbank.org/prem/poverty/scapital/>

2. Tripartite Partnership

Literatures have discussed little on the linkages of private sectors and social capital, in particular, how one affects each other. The World Bank's account of "firm" as a source of social capital, "building and sustaining organizations, such as firms, which function efficiently demands trust and a common sense of purpose, i.e., social capital", perhaps give some hints. According to World Bank, social capital can benefit the private sector in two dimensions: (1) social capital reduces transaction cost of corporations, and (2) social capital provides a competitive edge to corporations. Moreover, social capital can affect the private sector in four ways: (1) social capital promotes greater coordination among individuals and between departments within enterprises and teamwork enhances efficiency as well as productivity; (2) trust as an essential element in social capital is the foundation of cooperation among enterprises; (3) social capital is of great importance of cross-sectoral partnerships for sustainable business as well as sustainable development; and (4) social capital affects the types of firms which are successful within a society and creates either an enabling or disabling environment for private sector development.

As social capital affects private sector in different ways, it is crucial to examine how private sector facilitates the promotion of social capital development and social network building. It is also invaluable to investigate especially how social capital is developed and promoted under cross-sectoral context that involves the private sector. As advocated by the World Bank, the collaboration of private sector, third sector and the government can enhance "their effectiveness by contributing jointly to the provision of welfare and economic development. The success of this synergy is based on complementary rather than substitutable inputs, trust, freedom of choice and incentives of parties to cooperate"³.

In the 1970s, the Corporate Citizenship Company in Britain has first proposed the concept of "**corporate citizenship**" (Ma and Yang, 2004). Underlying the concept there are four advocates: (1) enterprise is a major component in society; (2) enterprise is one of the citizens in the state; (3) enterprise has not only rights, but also obligation; and (4) enterprise has its obligation to contributing to social development⁴. In this sense, private sector in the tri-partite partnership acts in several ways to be a "corporate citizenship", such as donations to NGOs, encouraging staffs to participate in voluntary activities, providing managerial trainings to NGOs, etc.

This "synergy" is usually termed as "**tri-partite partnership**". Tri-partite partnerships, also known as "tri-sector partnerships" (TSPs), "tri-sector dialogues" (TSDs) and "social three-folding", has become a highly popular phrase in the discourse of international social development in the past decade. This term refers to the cross-sector collaborations between three core institutions in the modern world. They are, namely, the government, the market and the Third Sector.

³ <http://www1.worldbank.org/prem/poverty/scapital/sources/civil1.htm>

⁴ Cited from Ma Yili and Yang Tuan, *Gongsi Yu Shehui Gongyi (Corporations and Public Welfare)* Hua Xia Chubanshe, 2004, p. 14.

In many developed countries, especially those whose government has taken the initiative to foster tri-partite corporation (e.g. the United States, Canada and Denmark), discussions on social three-folding put much emphasis on the positive and harmonious side of the picture. In such a discourse, tri-sector partnerships are considered to be the core strategic for long-term sustainable social development. It is also believed that such partnership can breed mutual trust and recognition amongst the three sectors through collaborating experience. These well-praised outcomes of mutually beneficial tri-partite partnerships are likely to enhance social cohesion.

In such a win-win discourse, large corporations are thought of as “**corporate citizens**” that work genuinely to promote stakeholder capitalism by taking up their corporate social responsibility. Third Sector actors are thought of as experts of local knowledge and key persons in local networks. Therefore, joint efforts between government, the market and the Third Sector, which enable exchange of different expertise and strengths, are beneficial to all parties.

For tripartite partnerships have become prominent in the western countries recently, endeavors have been made to identify the essential elements of a successful tripartite partnership, in search of the best practices. For example, King & Mays’ referencing to Wyner-Cyr’s (1992) seven key elements to successful collaborations in their study (2003) on “Public / Private Partnership Tools and Evaluation Methods” is a case in point. The seven key elements include:

1. Well established, frequent communication among agencies.
2. Positive regard between agencies.
3. The membership of the collaborative effort is strategic to the task.
4. Development of clear and well defined mission statement, goals, objectives and long-term strategy.
5. Every member of the collaboration has a role and is clear about the parameters of their responsibilities.
6. Flexibility among the membership and a willingness to change course as needed.
7. Mutual agreement on the agenda for meetings.

(Source: Michael Wyner-Cyr, (1992) *Collaboration Defined* St. Paul, MN: A. H. Wilder Foundation.)

The Copenhagen Centre in Denmark (2000) has identified the “key dynamic pathways” which are crucial to a successful tripartite partnership⁵, providing a comprehensive framework for the analysis of partnerships in social policy studies (e.g. Payne & McGah’s study on tripartite partnerships for homelessness). The pathways attended to the partnerships’ context, purposes, participants, organization, and outcomes:

⁵ Nelson, J. & Zadek, S. (2000). “Partnership Alchemy: New Social Partnerships in Europe: The Copenhagen Centre, Denmark.

Context:

1. Acknowledgement by all participants as to what **drivers and triggers** have brought individuals and organizations to the table and an ability to understand and reappraise on an on-going basis the **shifting context** and its influence on the partnership.

Purpose:

2. Clarity and openness about individual expectation and agendas, with mutual agreement on a **common purpose and agenda**. In short-synergy between desired participant benefits and societal benefits.
3. Mutual agreement on the **scope and complexity** of the partnership's intended locations and levels of actions, variety of functions, range of desired outcomes, and time-scales.

Participants:

4. An individuals or institution(s) capable of playing a **leadership** role, acting as inspirer, mediator, and / or facilitator between the partnership participant, and in many cases between the partnership and its ultimate beneficiaries.
5. Understanding the **resources, skills and capacities** that are needed to meet the partnership's objectives and how to optimize both the quality and the quantity of resources, skills, and capacities that each partner brings to the initiative.

Organization:

6. Appropriate **organizational and legal structure** to meet the common objectives of the partnership.
7. **Transparency, representation, and accountability** both within the partnership and externally.
8. **Communication** strategies and systems which facilitate clarity of language, ensure dialogue and feedback, provide forums for problem solving and conflict resolution, generate a shared vision, and celebrate success.

Outcomes:

9. Methodologies for **measurement and evaluation** of partnership processes and outcomes against common individual agendas.
10. Flexibility and willingness to allow **adaptation** of the partnership's purpose, participants, or process in response to evaluation or changes in the external context.

(Source: Nelson, J. & Zadek, S. (2000). "Partnership Alchemy: New Social Partnerships in Europe" The Copenhagen Centre, Denmark)

From literatures, the benefits of tripartite partnership can be examined from the sectoral, institutional, inter-sectoral and the global and national levels. Examples of possible benefits of tripartite partnership are summarized as follows. At the sectoral institutional level, tripartite partnership could contribute to capacity building and organizational strengthening, as well as improvement of corporate reputation. At

the inter-sectoral level, benefits are, namely, bridging participatory and information gaps, building trust and understanding, serving conflict resolution, breeding synergy, creation of win-win for all three sectors, sharing of knowledge, building upon comparative advantage of each sector, augmenting resources and spheres of influence, and overcoming limited resources. At the global and national societal level, the benefits are of more far-reaching, tripartite partnership could help promote corporate citizenship, bring about better policy formulation, address human rights, build social capital, strengthen government response to trans-boundary issues especially in the face of liberalization and rapid technological change, increase capability to address complex social problems, and promote social inclusion especially of the poor.

In the case of Hong Kong, both the government and the third sector have begun investing efforts in building and sustaining tri-partite partnership. On the side of third sector, the Hong Kong Council of Social Service, for instance, has carried out a “Caring Company” scheme since 2002, which encourages enterprises to participate in philanthropic activities and social services. On the government side, agencies such as the Central Policy Unit and the CIIF have played important roles in bridging private sector and the third sector. Namely, the Central Policy Unit released two reports on Tripartite Partnership - *Local Research* and *Engagement and Benchmarking Study from an International Perspective* on November 2005.

Worthy of notice, in reviewing the attempts in the recent years in which the government has began advocated for the development of the social capital by promoting the integration of social groups and the establishment of social support network with a view to building and maintaining a stronger community and enhancing social cohesion, the advocacy has been putting forward by the setting up of the **CIIF in 2002**, aiming at promoting community participation, mutual assistance, and social inclusion, through encouraging collaboration and social networking amongst organizations of different natures, including non-governmental organizations (NGOs) and the private sector. Up to July 2004, there are totally 59 projects approved by the CIIF and they are at the various stages of implementation.

Among the 59 projects approved, there are many projects identified to have involved the collaborations between the NGOs and the private sector. This undeniably indicates that the CIIF can be an effective platform to foster the collaboration between the third sector and the private sector. Therefore, it is meaningful to study and evaluate these private-sector-involved projects, so as to examine Hong Kong's nature of tri-partite partnership, a widely-discussed topic in the third sector study in both local and international arenas⁶.

Through studying and evaluating the CIIF-funded projects that involve collaboration between the third sector and the private sector, the study aims at:

⁶ In local arena, the government pays more attention to tri-partite in recent years. For example, the Central Policy Unit of the HKSAR government has just organized a conference “Tri-partite Partnership among Government, Business and the Third Sector,” 5 July 2004 to arouse the awareness of the importance of cooperation among the three sectors. In international arena, countries like Britain, the US, etc. have put lots of efforts to establish and maintain tri-partite partnership.

***Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the
CIIF Projects***

1. exploring the nature and the modes of cooperation of the two sectors' involvement in CIIF-approved projects;
2. identifying attributes of assessing the effectiveness of involvement of the two sectors in CIIF-funded projects in the promotion of the development of social capital;
3. identifying the major domains of "partnership capacity" that lead to successful collaboration between the third sector and the private sector, in developing social investment and social network;
4. giving advice to the CIIF on how its role can be further enhanced to foster tri-partite partnership.

SECTION TWO: EVALUATION AND RESEARCH QUESTIONS

As an evaluation study to assess the effectiveness of the CIIF-funded projects in terms of collaboration with the private partner, in serving the primary objectives of the fund on promoting and developing social capital in particular, this current study, anchors the evaluation concepts on the approach of "Performance Measurement". For 'Performance Measurement', it is defined as the regular collection and reporting of information about the efficiency, quality and the effectiveness of human service programs (Urban Institute, 1980). Under such perspective, there are three major types of performance management measures, namely, a) Outputs Performance Measures; b) Quality Performance Measures and c) Outcomes Performance Measures.

In Outputs Performance Measurement, it can be broadly defined as anything that a system or (a human service program) produces. It captures information about the types of outputs provided by a system. Examples of output measurement include contact unit; material unit; and time unit. As for Quality Performance Measurement, generally speaking, there are two types of quality performance measures. The first type is about Outputs with Quality Dimensions, which is producer-oriented and focuses on service quality, the data source of which is agency records. The second type is users satisfaction, which is customer-oriented, and focuses on service quality, and /or service results, effects, impacts or benefit, while the data source of which could be client satisfaction survey and focus group interview. Regarding Outcome Performance Measurement, there are four types of Outcome Performance Measures, namely, numeric counts, standardized measures or instrument, level of function (LOF), and user satisfaction.

A conventional approach in Performance Measurement is underpinned by an evaluation of five basic questions: What is the service for? What are the core values? What to be measured? What are the possible indicators? How will the information be interpreted? As discussed in previous paragraphs, the scope of evaluation in this study is to examine the development of social capital through the collaboration between the third sector and private sector. Thus, it is important for the team to examine the concepts of "Effective Tripartite Partnerships": each partner brings unique talents and expertise that compliment with those of the other sectors. A shared goal could be achieved by participants pooling their resources together, and thus enabling partners pursuing their own interests. Ideally, tripartite partnerships yield benefits for society as well as for the participants. (Payne and McGah). The primary research questions (in terms of WHAT and WHY) of the current study to be examined are:

WHAT: To what extent has social capital been promoted in the tripartite relationship amongst government, private sector and NGOs in the CIIF projects?

WHY: What are the critical success factors of good practice for the continuous improvement of CIIF-funded projects in developing social capital, the promotion of tripartite partnership in particular?

The questions being asked are goal-oriented by the evaluation nature, i.e. whether the objectives of promoting and developing social capital, the tripartite partnership in particular, are achieved; and what are the critical success factors. To be specific for understanding the extent to which the goal is achieved and the factors contributing to the success, the study begins with a “fact-finding exercise”, to examine the nature and patterns of the collaboration throughout the project process, i.e. ranging from the design of purposes / objectives, scope, format, mechanism, process to intended outcomes:

1. Purposes and objectives — What is (are) the purpose(s) and objective(s) of the projects?

Have the objectives addressed the social capital concepts? What is the perceived importance of the objectives to be achieved?

2. Scope — What is the dimensions of the projects?

2.1 People: What kinds of collaborators the projects involve? What is the scale of these projects? What are the factors influencing the choice of the collaborators?
What kinds of participants the projects aim to involve? What is the scale?
What are the factors influencing the choice of the participants?

2.2 Problem: What kinds of service problems / needs the projects aim to address? Factors influencing the choice of service problems / needs?

2.3 Program: What kinds of service programmes the projects aim to launch? What are the factors influencing the choice of service programmes?

2.4 Place: Where do the service programmes take place? Are they territory-wide or locality-based?

3. Format — What is the format of collaboration in implementing the projects? What are the roles of the collaborators in the projects?

4. Mechanism — What are the mechanisms of maintaining the collaboration in the implementation of the projects? What are the mechanism for communication, decision making and conflict resolution?

5. Process — Have the format and mechanism of the collaboration changed in the process? What is the dynamics behind?

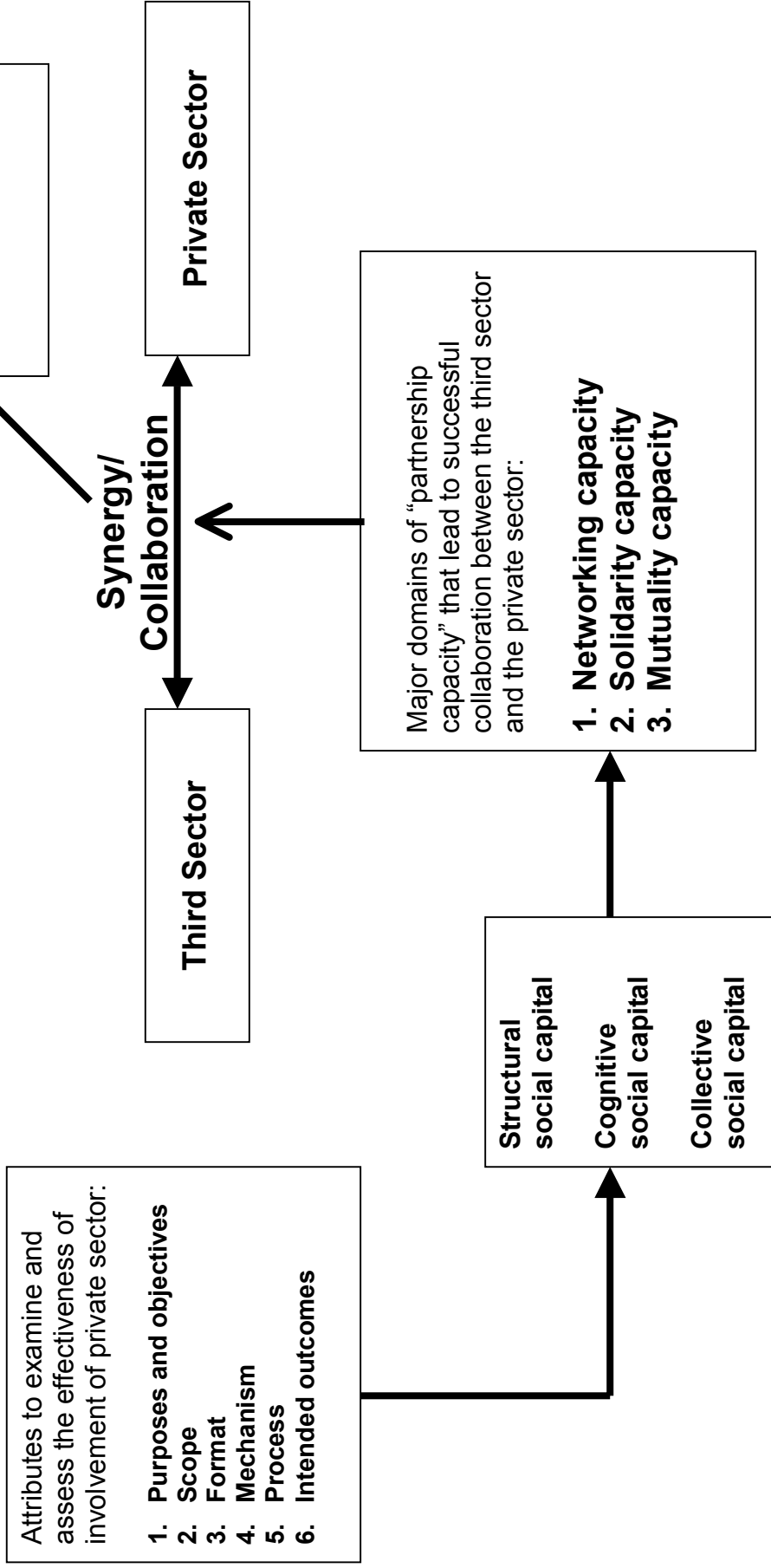
6. Intended outcomes — What are the outcomes of this collaboration? What are the gains, social capital in particular, that can be derived from the partnership?

Having examined the attributes identified from the process of collaboration, the effectiveness is assessed in terms of the generation of social capitals. Besides, major domains of “partnership capacity”

***Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the
CIIF Projects***

that lead to successful collaboration between the third sector and the private sector were identified. The evaluation then informs the policy recommendations for the further development of social capital and tri-partite partnership in particular. Figure 1 refers to an analytical framework of the study.

Figure 1: Analytical Framework of the Research



CHAPTER THREE: METHODOLOGY

SECTION ONE: EVALUATION AND RESEARCH APPROACHES

As specified in the consolidated paper entitled “Conceptual Framework of the Consortium for the Evaluation of CIIF Projects” agreed by the Consortium before the formal launching,

“The Consortium for the Evaluation of CIIF Projects is going to apply the participative and formative approaches to evaluation research. The merits of the approaches include the maximization of cooperation and interactive social capital among researchers and CIIF managers and project operators in order to maximize the contributions of the CIIF to building the capacities of the project participants (in various roles), facilitating organization changes, enhancing community resources and capabilities for mutual help; and Hong Kong at large. Notably, the Consortium will constantly provide input so as to facilitate knowledge building and transfer to CIIF managers and project operators to strengthen their contributions, when the projects are still in an active stage.” (CIIF, 2004)

Being a part of the Consortium, this study made use of a *formative evaluation approach* and *qualitative research methodologies*.

Formative Evaluation

Formative evaluation refers to a method to be used for ensuring a programme running smoothly, help judging the performance of a programme during its implementation (e.g. whether the development of the program is proceeding in a timely manner), and by seeing whether there are no gaps or problems that should be addressed immediately, determining if any modifications are necessary (e.g. revise a time-scale). The focus of formative evaluation is on the process (Bhola, 1990; Wilde & Sockey, 1995). On the needs of formative evaluation, as Beyer (1995) says,

“We cannot predict exactly and with confidence how an idea will work in practice. In developing an innovative program ..., we may have a good reason to believe that our innovation will work as intended -- or at least should work -- but we don't know, beyond a reasonable doubt, whether it actually will work. ... How do we know it will work? ..., formative evaluation can answer this question.” (1995, p 1; original emphasis)

Formative evaluation, which is intended to provide data for improvement, is preferred over a summative approach.

Qualitative Research

Different from a conventional approach for performance measurement in which performances are operationalized to a set of quantitative indicators to be measured and evaluated, in this study qualitative research method is deployed. The most fundamental advantage of this research methodology is that, by involving with people at the field, the researchers could achieve a deeper understanding of the

respondents' world, hence getting research results closer to reality than using relying solely on quantitative data.

Qualitative research is an effective method for studying process. Different from quantitative method which focuses on the state-of-affairs at some particular points of time, qualitative research method could help collecting data that looked at how things evolve from one point of time to another, i.e. how things happen in the process, as well as what they are and what they were (Cheng, 2002) Given the projects to be selected in the present study are at various stages of development, qualitative research method is deemed to be appropriate.

One prominent feature of qualitative research is that this methodology, which is eclectic by nature, allows higher flexibility in the research process. Needs that arise from circumstances are given prior considerations in the choice of methods and techniques. By not confining to a single specific research method or technique, multiple methods provide rich sources for triangulation, performing as cross-examination mechanisms, help yielding valid observations in consequence (Cheng, 2002). Taking into consideration of this, face-to-face personal interviews was adopted as the key strategy for the research, while existing official documents would be reviewed for providing complementary information to the observation and be kinds of cross-check amongst different data.

SECTION TWO: SELECTED PROJECTS

At the time of the commencement of the evaluation study, the vetting exercise of the CIIF has been through with the forth batch of applications, of which 59 projects were approved and commenced at different point of time. Of these 59 projects, six projects were selected for further examination in relation to our research objectives. Projects were selected primarily on the basis of whether or not having involved into collaboration between third sector and private sector. The selected projects, hosted by social services agencies representing the third sector, altogether demonstrated a level of collaboration with business partners in different forms and intensities. Besides, the projects were selected by taking into considerations of the following criteria:

- **batch**: at least 1 project from each batch of project
- **duration** : covers projects with both longer and shorter period
- **clientele** : a wide variety of clientele
- **location**: both territory-wide and a particular district

As shown in Table A which details basic information of the selected projects, of the six selected project, one of the projects, i.e. Project A, was a Batch One project. Three projects, Projects B, C and D, were all belonged to Batch Two. For Batch Three and Batch Four, there was one project each batch, i.e. Project E and Project F respectively. Concerning the time of commencement, Project A was

commenced at the first half-year of 2003. The Project B and Project C commenced at the second half-year of 2003 whereas Project D and Project E commenced at the first half-year of 2004. Project F commenced at the second half-year of 2004. Concerning the duration of the projects, except that Project C lasted for one year only and Project F lasted for two years, four of the six projects (Projects A, B, D and E) lasted for three years. As for the locality, five of the six projects (Projects A, C, D, E and F) were district-based, serving mainly the residents of the community where the host organizations located; whereas one of them (Project B) was territory-wide, working to build roots at the district where they were located and then replicate the services in other districts in the territory.

Table A: Basic information of the selected CIIF projects

	Project A	Project B	Project C	Project D	Project E	Project F
Batch	1	2	2	2	3	4
Commencement Time	April 2003	October 2003	November 2003	April 2004	May 2004	December 2004
Duration	36 months	36 months	12 months	36 months	36 months	24 months
Location	District -based	Territory -wide	District -based	District -based	District -based	District -based

SECTION THREE: PROCEDURE

The major research strategies that were deployed in the study include interviews with key informants and documentary research on official data.

1. In-depth Interviews

In-depth interviews (in the forms of person-to-person interviews or focus groups) were conducted with key informants of those collaborating organizations. Representatives from NGOs (Chief executives / senior administrators and project management frontline staff), private sector (representatives of Corporate and SMEs) and governmental officials who were involved in the selected projects were identified as the key informants. In the interviews, participants were asked more specific questions about the rationales behind the purposes of their involvements, the considerations for the design of the project, the format and mechanisms of cooperation in particular, and their satisfaction levels to the intended outcome of the projects.

2. Documentary Research

Official documents, including project proposals, progress reports that were submitted to the CIIF Secretariat, were reviewed to solicit the background information about the scope and quality of the projects, serving as sources of triangulation for the data collected from the interviews.

A framework was designed to structure the data collection, mainly the interviews (See Appendix 1). The content will cover the background information of the key informants, the scope of the project, the format and mechanisms of cooperation, intended outcomes, evaluation, suggestion and comments for the improvement of the projects.

Interviews with the chief executive / senior administrators and project management frontline staffs of the host organizations of the six selected CIIF projects were held individually between March 2005 and May 2005. Altogether there were 12 sessions of interviews with the host organizations. Regarding the interviews with private partners, they were held between June 2005 and August 2005. Taking into consideration that the private partners of the projects were mostly SMEs and each project involved quite a number of private partners of different varieties (except for Project C the private partners of which were smaller in number), the interviews with them were held on group basis, and on average there were two sessions of interviews for each project, for the convenience of those who could show up. Of these private partners, partners who were of different levels of involvement were invited to have a balanced view of the collaborative relationship and to explore the critical factors for relationship transformation. In total, there were 10 sessions of interviews with private partners arranged, involving 20 interviewees. As for the governmental departments, interviews with only two units were arranged, one of which was a typical government department whilst another one was sort of semi-government considering the background. The level of involvement of government departments other than CIIF was in general minimal in four selected projects. It was however observed that the Social Welfare Department at the Kowloon City district played a key role to push forward the Project B, and there was a District Council member who also assumed a significant role in Project F working as the chairperson of the advisory committee of the project. Hence, it was deemed appropriate to have interviews arranged with a representative of the Social Welfare Department and a District Council member. The interviews were held between November 2005 and December 2005. This report will present the observations drawn from the findings collected from these interviews and with the documentary analysis of the project proposal and progress report integrated as supporting evidences.

SECTION FOUR: IMPLEMENTATION

Meetings with the Sub-Committee on Evaluation and Development of Social Capital of the Community Investment and Inclusion Fund Committee and the Government Representatives to review the progress of and other matters relating to the Consultancy Services were held bi-monthly.

With a participatory approach to be adopted in this research, meetings with the representatives of the host organizations of the selected CIIF-fund projects were held quarterly to review the progress of and other matters relating to the arrangement of the research data collection. On 19th February 2005, the first meeting was conducted with the representatives of the organizations to discuss the framework of

***Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the
CIIF Projects***

the study, interview questions, and the schedule of the study. On 29th April 2005, the second meeting was conducted to share with the organizations the general observation from interviews with NGOs (Senior administrators / Operators); and discuss on the preparation work for interviews / focus group with business partners. On 2nd June 2005, a discussion session on “Performance Measurement” was given by the principle investigator to introduce the essential concepts and issues to be considered in relation to performance measurement. On 21st October 2005, the fourth meeting was conducted to share with the organizations the general observation from interviews with their business partners.

CHAPTER FOUR: FINDINGS

SECTION ONE: BACKGROUND INFORMATION OF THE SELECTED PROJECTS

1. Project objectives

As specified in the CIIF application booklet, the objectives the Fund seeks to achieve are of two levels. The first level of objectives is to “promote community participation, mutual assistance, support and social inclusion provided through strengthened community networks in the community. This will in turn help reinforce the sense of belonging in the community, enhance the social networks of individuals and families, broaden the support base available to assist them to resolve their problems and address common concerns. These community networks, strengthened relations, sense of belonging, and willingness to provide mutual aid form the foundation of social capital.” The second level of objectives is to encourage and facilitate cooperation between organizations of different nature (such as non-governmental organizations and the private sector), as well as cross-sectoral collaboration (such as that between welfare agencies and education organizations), in social networking and community support projects.” In short, the first level of objectives emphasize on the building of social capital at the community level, whilst the second one addresses the development of social capital at the sectoral level.

Of the six selected projects with six completely different service goals, in their defining of the scope of project in the project proposals, the objectives were more or less echoing the intentions to achieve some sorts of building up social capital, the aforementioned scope of objectives as specified in the application booklet.

Project A aims to set up “Caring Estates” in the Southern communities through networking residents, businesses, government and local organizations, thereby creating an environment for building up of social capital.

The objectives of Project B are threefold. Firstly, the project aims to integrate various sectors, funeral professionals, social service organizations, religious groups and volunteers to generate the spirit of self-help, mutual-help and the attitude of active care and support to the bereaved. Secondly, it also aims to develop “Care-and-Comfort Angel” who will support the elders and the bereaved by providing related service information, such as funeral procedures, emotional support or referral services, so that they can get over the grief period, recover from the event and lead a new life. Thirdly, the project aims to enhance people’s ability against adversity in community, to change people’s attitude towards death, and to raise the motivation to care and support the bereaved, maintain and build the spirit and mission of “Care-and-Comfort Angel”.

For the Project C, the objective is to advocate the values of play to enrich the quality of life throughout the community. In order to develop social capital and enrich the quality of life in Shatin district, Ma On Shan Park was selected as a symbolic landmark for this project to outreach to all small communities in Shatin. Through the power of play process happening in and out of the play park, the stakeholders including children and adolescents, families, elderly people, corporations and/or government can enjoy the bonding and cohesion among each other; enjoy the development of mutual care and trust, and also share the positive play value towards building the community.

The objectives of Project D are also of three aspects. Firstly, at the individual level, the project aims to improve self-esteem and confidence; increase the ability in coping with difficulty, managing stress and emotion; strengthen social support and network; enhance self-reliance; optimize personal potential of individuals. Secondly, at the familial level, the project aims to establish healthy family relationship and enhance good family function to prevent family problems. Thirdly, at the community level, the project aims to facilitate the use of community resource; promote the spirit of mutual help and support in the Community; facilitate the interaction of different community parties; and enhance the development of social capital.

Project E aims to promote social capital in Tsuen Wan. Based on the World Health Organization's definition of healthy community, the project motivates community groups, social organizations, residents as well as government departments to build such a community in Tsuen Wan.

The objectives of Project F are twofold. Firstly, the project aims to motivate a better use of community resources. Secondly, the project aims to facilitate an effective platform for mentors to share their craft skill and community networking experience with the youth. The youth is considered to be the building blocks of a social capital, while developing their social capital will also liven up the connections within families, citizens, community enterprises, local authority and organizations. The project itself acts as a further catalyst to social capital development.

Undeniably, of the six projects, some of them attend more to the first level of social capital development whilst some attend more to the second level of social capital development. *Namely, it was obvious that for Project A, D and E, with their objectives being put on the promotion and creation of social capital at the districts where the project implemented, addressed very explicitly to building social capital at the community level. Project B, on another hand, emphasized on the development of social capital at different sectors. On another side, for some other projects, the service goal was more apparent while the development of social capital was an irreplaceable mean for the realization of the service goals.* For example, the "advocacy of the value of play" in Project C and the "helping of youth" in Project F were two objectives of prior concerns in the projects themselves but the building of social capital at sectoral and community levels were not of lesser importance in the realization of their specific goals.

2. Project Scope

When examining the nature of the CIIF projects in terms of four Ps: People, Problems, Programmes and Places, the six selected projects are of fairly different scopes. The first P, People, refers to all those who got involved into the selected projects. While CIIF is a Fund emphasizing such on the importance of social capital, the first P is of the most prior concern amongst the four Ps. Under the scope of People, there are two categories to be attended, namely **Collaborators** and **Participants**. Collaborators refer to the partners who worked with the host organizations in partnership for the design and implementation of the projects, whereas Participants are the service targets, or in other sense, the beneficiaries of the projects. The second P, Problems, refers to the issues that the projects aim to address and tackle and is usually manifested in the services goals. These problems were identified amongst the existing problems facing by the community or service targets that needed to be tackled. The third P, Programmes, refers to the plans of what to be done so as to achieve the project objectives and fulfill the service goals. The fourth P, Places, refers to the locality where the projects implemented, some of which were district-based while some of which was territory-wide.

2.1 People:

2.1.1 People - Collaborators:

Viewed by the model of tripartite partnership, the collaborators of the six selected CIIF projects came from all three sectors – the first sector (government department), the second sector (business organizations) and the third sector (non-government organizations / non-profit organizations).

As a prerequisite for being selected as the projects to be studied in this research, all the six projects involved collaborators from the private sector. *Except Project C which had a private partner from a sizable firm, most of the private partners in the five other projects were sort of SMEs.* Having reviewed the most update Project Progress Reports submitted by host organizations to the CIIF Secretariat on September 2005, Project A and Project D involved the highest number of SMEs from the community, with **62** and **75 SMEs** respectively registered to be business partners in their projects. The involvements were of rather different natures (varied from provision of discount, benefits, training to mentoring) and various levels of intensity (differed by irregular and regular provision). Project E also involved around **20+ SMEs** in the project.

Project B and Project F strategically involved a respectable organization in an industry which was the most relevant to the service content of their projects, and which was most able to mobilize relevant resources from the industries to help their projects. Namely, for Project B, considering the major service was to help the bereavement, the host organization partnered with a commerce chamber from the funeral industry which could mobilize their member companies to offer discounted funeral packages to

the needy. Under this network, 26 funeral shops supported the project. As for Project F, the major service focused on the training of youth to the beautician industry, so they involved an experienced volunteer association in the beautician industry which could arrange volunteer mentorship for the youth. Altogether, there were 23 salons being pooled up under the network to support the project.

Distinguishably, the private partner of Project C was a corporate, which was a sizable insurance company. Throughout the implementation of the project, this insurance company was the one and key strategic partner of the host organization, the involvement of which ranged from co-planning to co-implementing. Of all the interviewed private partners, some of them already had experiences in public services before joining the projects, but some had no experiences of such involvement.

Besides private partners, *the six selected projects involved a certain level of collaboration with government departments. However, similar to the level of involvement of the private partners, that of the government partners was varied.* The project staffs of the host organizations might need to contact and deal with the staffs in some official departments for the implementation of their projects, yet the involvement could be minimal. For example, in Project A, they might need to contact Housing Society, Housing Department, Social Welfare Department and Home Affairs Department; while for Project C, they might need to deal with the Leisure and Cultural Services Department. However, the cooperation was minimal in a sense that the content was mostly restricted to the use of the services, facilities or venues that were provided and oversaw by the concerned departments; or simply invitations to officials at district level for their presence to the ceremonies and activities conducted in the projects. Therefore, the contacts and communication were ad hoc and piece meal, let alone yielding any senses of collaboration.

In particular, the involvement of the Social Welfare Department was prominent in the Project B. The *Social Welfare Department* was the one who put much effort to identify the strategic partner for the project, encourage the host organization to launch it, give advices actively to the implementation of related programmes, and help a lot in the promotion which facilitate the project development. The involvement of the *District Council* members was prominent in Project D. Several District council members served as advisors of the project on one hand; and on another hand one of them was actually the convener of the project, hence playing a key role to mobilize important persons in the community to support the implementation of the project.

2.1.2 People - Participants:

The participants of the six projects were targeted in line with the specific kinds of services of the host organizations' concern. With the "inclusion" being the prime concern of the CIIF projects, though bounded by territory constraints and resource limitations in their defining of the primary targets of services, the projects tended to involve the whole community and people / organizations from all walks of life at the district, but in particular attend to those people who came from sort of specified groups and

indicated needs that meet with the service objectives of the project. Namely, it was found that for Project A and Project C, the target participants encompassed all the residents in the districts of the projects' concern. The Project A, with the ultimate goal being put on the creation of Caring Estates, targeted on promoting the mutuality amongst all residents and community groups in the identified estates at the Southern district. The Project C, with the key objective being placed on the advocacy of the values of play to enrich the quality of life throughout the community, targeted on all residents and community groups in the Shatin district but Ma On Shan in particular. Different from Projects A and C, Project D highlighted the deprived groups in the community at the Wong Tai Sin district as the primary target groups of participants, including the unemployed, single parents and disabled.

The primary service groups for Projects B, E and F were issue-based and age-group-specific, ranging from single elderly, unemployed middle-aged to non-engaged youth. As the Project B worked on bereavement and targeted primarily on the bereaved, the primary service target was mostly single elderly. The Project E targeted mainly on middle-aged people, like new arrivals, disabled, women, unemployed and early retired; and most of which were economically disadvantaged. Project F targeted primarily on a group of non-engaged youth who left schools at Form 3 to Form 5 and were interested in the beautician industry. Indeed, in Projects B and F, apart from defining a specific target participant group, the projects also targeted on a wider group of participants, with a view to fulfilling other objectives of the projects which were also of importance. For the Project B, in order to offer care to the bereaved, the programme also targeted on training a group of people from the community, who were interested in the topic, to be "Care-and-Comfort Angels". As for Project F, in order to offer a holistic support to the youth, the projects targeted to engage not only the youth, but also their family members and significant others.

2.2 Problems:

In the design of project content, *the CIIF projects aimed to address mainly the community needs at the district level for social integration, such as employment and living-related needs*. Besides, these projects attended also to the spreading of some sorts of positive values, such as the values of life, play, community health, social care, social cohesion and also social participation. Since the commencement of the projects, unemployment had been a severe problem in Hong Kong. Of the six projects, two focused on employment as the most primary issue of concern. Namely, Projects D and F addressed primarily and explicitly to unemployment problem. The programmes of both these two projects had major components on pre-employment trainings and the exploration of employment opportunities, though Project D addressed more to the employment integration of the disadvantaged groups at the district, but Project F focused more specifically on non-engaged youth who were interested in the industry. Actually, another two projects (Projects A and E) also attended to the unemployment problems, but at the same time focused on the problems of wider issues too. Namely, Project A aimed primarily to meet the living needs of the residents at the district, while looked also to helping the unemployed by

giving employment supports and exploring the employment opportunities. Project E attended to the community health at the district level overall at the beginning, but then decided that the economic problems, employment problems and community relations were problems more pressing for the needy in the district. Nevertheless, with four out of six projects addressed the unemployment problems at the community, the figures suggested the significance of economic integration amongst the CIIF projects.

Comparatively, the problems that the Projects B and C dealt with were substantially different from other projects. With the aim on helping the bereaved, the Project B worked to meet their pragmatic needs of bereaved when facing the bereavement in the short-run; but also to spread the values of life, cultivate a positive attitude towards death, and promote the concept of caring and concern of surrounding people in the long-run. Differently, Project C emphasized on working towards children's development and community cohesion via creative and outdoor play.

2.3 Programmes:

With objectives of great differences, the programmes of the six selected CIIF projects were *diversified* in terms not only of the content but also of the modes of activities, attending to different kinds of beneficiaries and specific service needs.

As the main objective of the Project A was to establish Caring Estates in the Southern District, there were a lot of efforts being put on promoting the concept of caring neighbourhood in the district. Such activities as home visits were conducted with the help of volunteers to assess the mental, social and environmental well-beings of the residents, on the result of which was the basis for the working out of tailor-made neighbourhood care plans. Employment supports, in the forms of employment opportunities exploration and employment counseling services, were offered to the unemployed. An "Environmental-friendly Market" was set up for sale and exchange of second-hand goods, and even exchange of goods with voluntary services time. Organizations and shops were approached to register as "Caring Organizations" and "Caring Shops" which would provide resources support to the projects, and special offers, goods or job vacancies to the needy in the community.

In Project B, the key service beneficiary was the bereaved. To support the bereaved, there was a comprehensive package of "Care-and-Comfort Angel One-stop Funeral Supportive Services" being designed and offered, the provision of which encompassing three main types of services: (1) funeral arrangement and information in relation to will and law; (2) emotional support, counseling and accompanies to the bereaved in handling the funeral issues; and (3) referrals to other funeral and organizations for comprehensive funeral services with reasonable market price. Apart from addressing the immediate needs of the bereaved, there was also public education which worked to change the taboo of the general public towards death through life and death education in the community.

In Project C, the key activities revolved around the appreciation of “play” in the community. Weekly Play Activities were organized in the park with the support from Play Specialists and a group of play volunteers from the community. Through these activities, the participants could know each other and share with each other on play ideas and skills. Besides, Community Small Play Festivals were organized by the Play Specialists and volunteers at different communities in Shatin to share play. In addition, Community Education Activities were arranged to promote the value of play in building social capital.

In Project D, the key service target was the disadvantaged group at the community. In order to help the participants to become self-reliant, a key feature of the project was the provision of job skill training and job matching. Along with these provisions, there were job-network scheme; self-employed business scheme; and resale of second-hand business tools scheme to encourage the establishment of self-employed business. To empower the participants further, the project also provided leadership trainings and volunteer trainings to the participants.

The programmes of Project E had two major components: one was about the promotion of healthy community in the Tsuen Wan district; whilst another was the caring of the needs of the middle-aged people in the district. The former component involved public education attending to the promotion of health awareness in physical, mental, social and environmental dimensions in the district; the activities for which were conducted in the form of fun days, carnivals, posters display, talk and even free body check and psychological consultation. The latter component attended to the specific needs of the middle-aged people, including provisions of emotional support such as forming a mutual help group amongst women, promotion of stress coping strategies in the form of a series of seminars, and most importantly, employment support by creation of job opportunities in the community. In the employment support, the project targeted to create six work teams, in the form of cooperate, of different business content, to absorb job seekers of middle-aged in the district.

The Project F was basically a mentoring project on employment support for non-engaged youth. The projects matched the youth with the mentors who would share not only their career skills, but also their practice ethics, social skills and life experiences to the mentees. The training was formalized to be module-based with practicum opportunities provided. After being trained up, the mentees were expected to involve in kind of social services, so as to enhance young peoples’ social participation and concern to other people in the community.

Common to the projects was the use of working teams in the implementation of the service activities. There were a number of voluntary services network, mutual help groups, interest groups and work teams being set up in these projects. In particular, they were mostly worked in the name of volunteer teams, though some projects recruited volunteers from the community for helping the implementation of the projects, whilst some projects stepped further to empower the beneficiaries of the projects and then organize them to different sorts of work teams serving the community when they became matured.

Namely, all Projects A, B and C refer to the former case where volunteer teams were recruited from the community. The volunteers were given trainings in relation to the programmes, and were expected to involve into the service activities. For example, in Project A, a Neighbourhood Volunteer Team was set up and equipped with fundamental and advanced trainings, which was expected to help the delivery of other part of services in the projects such as home visits, shop visits and organization visits. Project B recruited and trained up volunteers to be the “Care-and-Comfort Angels”, who were then expected to be organized into self-help group when they became experienced. These volunteers mainly helped to deliver support services to the bereaved. In Project C, a group of Play Volunteers was formed from different background. The Play Volunteers were given training to order to bring the power of play outreach to the community at the park. Different from Projects A, B and C; work teams in Projects D, E and F, which focused more on employment integration, were formed amongst the “beneficiaries” who were given job skills trainings and exposures of practicum. These work teams were then organized to serve the community and become sort of community resources.

2.4 Places:

As for the place is concerned, the projects were mainly launched in the district where the host organizations were located. Project A and Project F were formed in the same district in Hong Kong Island, i.e. Southern District. Project C and Project E were located at two different districts in the New Territories: Shatin and Tsuen Wan respectively. Project D was located at Wong Tai Sin of Kowloon. Of the six selected projects, only one of them, i.e. Project B, was a project of territory-wide, aiming at building roots at Kowloon City and then replicating the services in other districts in the territory. *Be that as it may, the geographical difference amongst the projects was mere an indicator of where the participants largely came from. Indeed, this is impossible to give a clear demarcation of the participants getting involved into the projects, using “district” as a classification.* When being asked what if residents of other districts indicated an intention to join their activities, the representatives of the host organizations mostly replied that they would not exclude them from joining the activities, although priorities were given to local residents of the districts. On another hand, a number of private partners came from districts other than the one where the host organizations located.

SECTION TWO: TRIPARTITE PARTNERSHIP: MODES AND NATURES OF COLLABORATION

The collaborators of these six selected CIIF projects came from all three sectors – the first sector (government departments), the second sector (business organizations) and the third sector (non-government organizations / non-profit organizations); the collaboration of this kind is termed as tripartite partnership in literatures. Tripartite partnership is itself a “bridging” experience for people and organizations from different sectors. This section tries to explore the modes and natures of the collaboration in the partnership of the six selected projects. In specific, the following begins with an examination of the expectation of the interviewees (from all three sectors) towards the projects that drive them to involve themselves as one of the project partners. Secondly, this section also attempts to study the roles of the involved parties in the partnership. Thirdly, this section tries to understand the mechanisms of the collaboration in tripartite partnership. Finally, the section gives an examination of the transformation of the collaboration in the process.

1. Expectations

As far as the organizations’ expectations behind their launching of the projects are concerned, the interviews with the chief executives / senior administrators of the agencies revealed that *in general their expectations were mostly linked to the further development of the services of the organizations while the building of social network was an emphasis*. Respondents expected to provide comprehensive, most suitable and quality services, via the development of social networks, mobilization of community resources and cross-sector collaboration, ultimately for the benefits of the service targets of their organizations. For example, a Kaifong association, which worked on a community project, expected to achieve social integration and harmony of the district by spreading the idea of care throughout the Southern district. An agency, which worked for the advocacy of the value of “play”, took the project as a chance for maximizing the impacts of play via community resources and social networks. In another project which used shelter workplace as the base of operation, the host organization considered the project to be a platform help extending the community network of the shelter which operation had been relatively closed and separating from outside, hence helping the social integration of the workers in their shelter. A youth organization, working on a mentoring project, expected to make use of tripartite partnership to enhance youth participation in a sustainable strategy.

In fact, when speaking of the development of services, *some host organizations also expected their project to be a demonstration of the contributions of the services in the past as well as a trial of testing of new working model strategies*. To a centre which worked on single parents in the past, they expected to demonstrate the contributions of single parent services they worked on so far by reintegrating single parents into the project, but at the same time *develop new and sustainable services through generating*

renewable social capital. To a youth centre which mother organization was well-established and territory-wide, the project was a trial to test the possibility of extending such working model/ strategy to other localities, and hence helping their considering of launching new services.

As for the expectations of the private partners for their involvement into the projects, *it was revealed that business benefits in terms of positive image building and visibility enhancement for the businesses were motivations to them. Actually, in all the six selected projects, the involvements of private partners were formally recognized.* For example, their names would be mentioned in the printed matters issued by the projects. Or they might be registered as a “Caring Shop” in the district. All these measures served as sorts of promotional functions to the private partners, which could enhance their visibility and reputation in the district, and therefore help the development of business opportunities in the long run. Besides, private partners also valued the opportunities to extend their networking, in particular the collaboration with other shops in the district, which they took as an opportunity to information exchange about the trend in market.

Certainly, apart from motivations in terms of the perceived benefits to the business, the private partners themselves were also identified with the service goals of the projects and shared a heart to help the needy. Respondents revealed an expectation to help tackling community / social problems like unemployment with the expertise and resources they had. For example, to several private partners who worked as a trainer in the mentoring projects, they expected that they could help the participants to grasp the skills up to the standard of the profession (e.g. hair-cutting, beautician), which enable them to be able to compete at the market. They might even provide opportunities for participants to earn money, help the deprived group to undertake a business, and was willing to share the meaning of life with the youth, all of which demonstrate the genuine helping attitudes.

As for the expectation of the government department in their involvement of the project, it was revealed by a representative of the government department that, *the major premise of consideration for their involvement was whether or not the content of work fell within the domains of work in their department.* Besides, the network was another consideration. To them, networking was emphasized in the department policy level for the overall development. They also expected their involvement in the project to be able to help them extend and strengthen the networks in the district level which might then help and facilitate themselves in the implementation of services of other parts.

2. Roles of Collaborators

The host organizations were the grantees of the CIIF projects and were mainly responsible for the planning, overseeing and implementation of the projects. In their defining of their roles in the tripartite partnership, there are two levels to be discerned. On one level, these organizations usually described themselves to be a “**mediator**” or a “**coordinator**” amongst all parties in the projects. Respondents

usually tended to maintain a relationship of equal status amongst the involved parties, in which they were interest-free and functioned as a connector. Between residents and SMEs, the host organizations meant to work as a mediator. For instance, in describing their partnership with SMEs, an operator stated that, *“the relationship for cooperation is equal. We are not for gaining benefits. We mean to coordinate, and to reallocate existing resources to the users in need.”* In a case the collaboration involved both private sector and government department, the host organization positioned themselves to be the middleman in the communication, who tried to help each party understand the expectations of and difficulties encountered by each other.

Although the host organizations emphasized highly on the equal status of collaboration, on another level, the organizations also played an active role to lead, oversee, direct, in-charge and monitor the projects. In a conversation, an interviewee who was a project manager interpreted their roles in the collaboration to be like this, *“Our role is a middle-man, a bridge. We are the host of the project. Of course it is our job to find others to join us. Government departments have their own things to do. Housing Authority is playing the role on estate management. Owners’ Committee also has their own things to do. Of course we have to play an active role, leading them to understand our project, to see if they are identified with our concepts.”*

From the interviews with the private partners, it was found that the roles of private partners in the partnership depended very much on the natures and levels of involvement of the private partners in the projects. Again, the roles are of two levels. On one level, the private partners could play a role as a strategic partner in the collaboration. For example, two organizations (the Funeral Commerce Chamber and a volunteer association in the beautician industry) which came from two distinct industries (funeral industry and beautician industry) were invited to be a strategic partner to the projects, considering their capacity to mobilize the relevant resources from the industries to support the projects. Besides, a sizable insurance company which had been a long-term partner of the host organization also got involved into the project as a strategic partner. These partners might play a role to plan together with the host organizations for certain components of the direction of the projects.

However, on another level, *it was observed that individual SMEs mostly acted as a supporter in their involvement in the projects. They might support in different varieties of format (provision of discount, benefits, training or mentoring; assistance in job seeking and creation of self-employed business) and various levels of intensity (differed by irregular and regular provisions). The support was mainly invited and hence rendered in response to the overall direction in the planning of the host organizations.*

As for the role played by the government departments other than the CIIF, in their involvement of the project, a representative of a government department revealed that they meant to serve as a facilitator to the project. *This government department was critical to the project in a sense because of their effort to pool together the host organization with a strategic partner to create a new sort of service in the community which made the project happened.* The representative described the role of their

department to be a facilitator after attending to the strengths and capacities of both parties they suggested the idea of matching the two parties together to bring about the project. He emphasized that, but after all, whether or not the project really happened depended upon the decisions between the two parties. Other than being a facilitator, the interviewee interpreted their role to be a supporter, i.e. the department would support the project in case the host organization sought help from them and the request was within their capacity. The supports were rendered in the form of attending meeting for consultation upon invitation, and provision of advices and information upon enquiries. The respondent expected the leading role to be at the hand of the host organizations.

3. Mechanisms for Tripartite Partnership

3.1 Designated Persons

It was observed from the six selected CIIF projects that there were designated persons responsible for the monitoring, leading, liaison and implementation of the projects. Whether these roles were fulfilled by different persons depended on the amount of manpower available in the agencies. At the commencement of projects, chief executives / senior administrators of the host NGOs, who usually had a certain amount of network capital asset at the community, mostly served as a convener pooling together the important persons in the community, strategic partners in particular, attending to the projects. When projects became matured, they might step aside and work as a monitor who oversaw the projects overall, whilst the project operators became responsible for the day-to-day operation and were designated for the frontline liaison with different parties.

As for the private partners, the designated persons who were responsible for the communication in the projects were usually the boss of the business, or staffs at the managerial level in the corporate. For those projects which involved strategic partners who helped to solicit support from their member companies in the industry, usually the chairperson of the organizations played a critical role to convene and to liaise between the host organizations and their member companies. For those private partners who came from companies of a sizable scale, the designated persons would be staffs at a managerial level. As for those partners who came from SMEs, usually the staff structure was simple that involved a very few number of staffs if it was not a one-man bank, hence the bosses themselves were usually the “designated” contact persons.

In the government, the designated persons who were responsible for the communication in the projects were usually the people at the officer grade in the department. They were delegated as a representative by the government to involve into the projects at the district levels.

3.2 Platforms for Communication

The platforms for communication amongst the collaborators differed by individual projects and somehow depended a lot on what kinds the collaborators were, and more importantly, the level of involvement of the collaborators. It was observed that for a project involving partners who played the role as a strategic partner in the projects on planning issues, the communication mechanisms were relatively more structured. The host organizations tended to have regular meetings with strategic partners from times to times to review the progress of the projects and discuss issues arising from the implementation. In particular, for a project which involved a business partner of corporate size, the host organization launched briefing meetings with the staffs of their business partners many times to ensure their understating of the concepts in the projects, and also the details of the operation. In addition to regular meetings, other informal channels such as email and telephone were common in the communication.

Comparatively speaking, the communication mechanism in the collaboration with SMEs was less structured. In the interviews, it was raised that there were constraints to involve partners of this sort to engage in such formality as periodical meetings. As revealed by the host organizations in the interviews, the constraints included, *“this is very hard to ask the boss of a small shop to leave their business for a while”* and *“when they have customers shopping round you can’t ask them to close the door.”* Taking into consideration of the constraints, reflecting a regard to the situations of their partners, host organizations tended to communicate with their private partners using methods relatively informal. In these cases, the communication process was based on the needs arising from the CIIF projects, and the process was not so bounded by a formal structure. For example, they might call for ad hoc meetings when there were needs for discussion. The project workers might also drop in to the shops and visit those private partners in person. In other times, communications were made by other means such as facsimile or telephone.

With the unique role of the interviewed government department which pushed forward the project, the interviewed representative stated that they would be invited by the host organization to attend their meeting on ad hoc basis for consultation. On another hand, for the interviewed District Council member who acted as a chairman of the advisory group of the project, he attended advisory meetings regularly.

3.3 Platforms for Decision-making

The platforms for decision-making differed by the content and natures of the decisions to be made. As the host organizations were the grantees of the projects, they were normally expected to be the decision-makers for general issues in relation to the administrative operation, after incorporating and attending to the requirements from the CIIF. However, on those issues relating to the involvement of collaborators, in particular in partnership for the provision of service; the organizations looked to reach consensus amongst all parties for the decisions to be made, as the host organizations emphasized

highly on the equal status of collaboration and tended not to lead excessively. Whether or not the decisions are made via formal meetings, it also depends on if there are such formal mechanisms for communication in place. For those strategic partners, they met regularly, such that it was feasible to have meetings for decision-making. For those partners from SMEs, the project workers turned to informal channels (e.g. telephone, visit) to reach them and reach agreement. While positioning themselves to be a facilitator and a supporter of the project, the interviewed representative of the government department expected that the decision-making power were within the capacity of all the collaborators who were in partnership for the provision of services.

3.4 Platforms for Conflict-resolution

Conflict-resolution of the projects was problem-based and catered for the situations of the individual projects. Interviewees were asked to indicate if any conflicts existed amongst the collaborators and, if any, how the conflicts were resolved. From the interviews with the host organizations, it was generally agreed that, as the collaboration was on voluntary basis, even if there were disagreements, the nature of which would not be substantial, as long as the partnership was kept. *The conflicts they experienced and mentioned were some disagreements over the concepts of work, the strategies of work, the progress of the work, and even some administrative procedures. The disagreements mainly came from the inadequacy of the acquaintances for dealing with sectors of different approaches and practices.* For some of the collaborators, be they the host organizations or business partners, their involvement in the project was a first attempt of cross-sectoral collaboration. On another hand, from the interviews with the private partners, actually, it was observed that respondents in general considered themselves to be conflict-free with the host organizations, while they pointed out that the importance of promoting a good communication was to enable them to communicate with the host organizations frankly. There were but two respondents of private partners pointed that they had some disagreements with the host organizations on the progress of the project. To the host organizations, the conflict-resolution for these disagreements was chiefly relied on communication, discussion and mutual adjustment. Having said that the collaboration was not mandatory, if there were parts of activities proposed by the host organizations were not accepted by the private partners and the private partners decided not to involve in those parts, host organizations tended to respect their rights for not involving.

3.5 Contractual Binding

The partnership in the projects was on voluntary basis. Of the six selected projects, a certain level of collaborative structure with related system and procedure was discerned. In a project involving a sizable insurance company for co-planning and co-implementing, contracting agreement was made with the private partner in which the roles and responsibilities of both parties were stated clearly. The host organization considered this to be beneficial to long-term partnership, lest not the impact of change of personnel. As for the partnership with other SMEs for their provisions of service packages, contractual agreement was also signed for the ensuring of the content of the services package to be

provided. These contractual agreements perform some sorts of legal binding on the expected involvement between two parties. Other than these, it was observed that there were some systems on the part of the host organizations for the registration of the involvement of private partners. For examples, in some projects, the shops, which joined the projects for the provisions of benefits to the residents, would be registered as a “Caring Shop” and awarded a logo to be displayed at their shops for demonstrating their involvement. These logos on the one hand, served the function of indicating a public appreciation of their involvement in the project, whilst on another had, are to some extent sorts of other ways of “social contract” in the partnership, though without legal binding, for their expected involvement in the collaboration.

4. Transformation of the Tripartite Partnership

Throughout the project process, there were changes in the “**bridging relationship**” between the host organizations and the private partners. On the whole, along with more time being spent on establishing the relationship and absorption of experiences in the process, there were positive transformations of the partnership towards bridging. While the figures in the Project Progress Reports suggested that the number of cross-sectoral networks and connections of these kinds increased progressively in the process, there were also changes in the quality of the connection and collaboration, namely in the roles and capacities of the collaborators, the depth of the relationship, and the platform of collaboration.

Speaking of the *changes in the roles and capacities* between the host organizations and the partners, an interviewee of a host organization revealed that they had experienced a strategic change in the positioning of their roles in the partnership which brought about a significant improvement in the collaborative atmosphere. At first they used a conventional approach to oversee the project and they tried to play a leading role. But then they became aware that in a partnership so emphasizing equal status that it would be better for them to step aside. This was an example of an increase in the acquaintance of the collaborating strategies, following from a certain period of trials-and-errors and exploration in the collaboration. A project operator of another project also agreed that there was an increase in the understanding of the work approach of the partners of different sectors and procedures in need, which significantly speeded up their work.

As for the *depth of the relationship* is concerned, throughout the collaboration process, the intensity of the network between different parties, between the host organizations and the private partners in particular, were enhanced. As perceived by the interviewees of the host organizations, there was an increase in the level of trust from the private partners. Besides, when the number of interaction increased, the attitude of both parties became more open, and the relationship became closer. The host organizations might then find it easier to reach consensus upon discussion.

It was also observed that the *platform of collaboration* would be changed when the relationship

between the partners became closer and more stable. It was common that at the beginning of the partnership the senior staffs of the organizations would involve more in the collaboration. By then when the partnership between two organizations became matured, they might step aside and the project operators became responsible for the day-to-day interactions. Besides, it was also found that the involved parties might need to refer to more formal procedures (e.g. formal meeting) to reach for consensus and decision making at the beginning of the collaboration, but then they could resort to less informal means of communication (e.g. telephone or email) when both parties getting more along with each other.

However, viewed another way, there was also transformation of collaboration of a negative side, namely, weakening and withdrawal, in a sense, **de-bridging**. It was revealed that the collaborating relationship would undergo a negative transformation if the generally accepted standards of behavior or shared values, such as trust and reciprocity, were not built. In an interview with a private partner, he stated that he did not feel his suggestions to be accepted by the host organization, he thus chose not to attend the project meetings to deal with the conflicts. This case shows that when positive regard was not given, collaboration might be weakened. Besides, if tolerance was not introduced, collaboration could also be fading. A private partner admitted that they had different operating philosophies with the host organization and the outcome of programme could not reach his expectation. His disappointments accounted for his change from participation to withdrawal at the middle stage of the project.

SECTION THREE: OUTCOME OF THE COLLABORATION – GENERATION OF SOCIAL CAPITALS

Given the generation of social capitals was the key business of the CIIF projects, efforts and endeavors being put on bonding, bridging and linking of relationships were discerned throughout the project process. While tripartite partnership was itself a concept of bridging relationship, the selected projects attended also to some sorts of bonding and linking relationships. Community projects, working on advocating the concept of neighborhood caring in the district and promoting the concept of mutual help, was a case in point for the “bonding” amongst residents. On another hand, the mentorship project demonstrated some prominent “linking” efforts between the mentors and the youth. With the bonding, bridging and linking of relationships were introduced to the projects, structural social capitals, cognitive social capitals and collective social capitals were built at both individual and organizational levels. Although some of the host organizations pointed out that this might be still early to conclude about the outcome of their projects, especially for those projects having been started for only a very short duration, this section evaluates the outcomes of the six selected projects in terms of the structural social capital, cognitive social capital and collective social capital that were built.

1. Structural Social Capitals

Structural social capital refers to the objective and externally observable social structures, such as network, associations and institutions, and the rules and procedures they embody. When looking at the structure of collaboration behind the partnership of tri-sector, it was found that *formal procedures such as contractual agreement and periodical meetings* between parties of different sectors were introduced to the collaboration, especially amongst those projects where sizeable business private partners were involved. It was the case of the project collaborating with a partner of a corporate and the two projects with partners being an organization forming with business background. To them, the contractual agreement served the purpose of binding the collaborative relationship at the organization levels, whilst periodical meetings facilitated the communication and decision-making between involved parties. In particular, the senior administrator of the aforementioned host organization which involved a private partner from a sizable business appreciated the outcome that by establishing a formal collaborating structure with related system and procedure; and signing a specific contracting agreement in which the roles and responsibilities of both parties were stated clearly, the influence of human factors could be reduced.

However, comparatively, *informal procedures* were more frequently introduced for the four projects which were mainly in partnership with SMEs, taking into consideration the preoccupation with business of the private partners. As mentioned, in the communication with small shops at the district, the communication process was largely based on the needs arising from the CIIF projects, and the process

was not so bounded by a formal structure. Host organizations might call for ad hoc meetings when there were needs for discussion. The project workers might drop in and visit the shops in person. In other times, communications were made by other means such as facsimile or telephone. The intensity of the network between different parties could be enhanced through the complement between formal and informal communication platforms. .

Besides the procedural structure in the collaboration, the *forming of "groups"* was a prominent feature in the CIIF projects. There were a number of voluntary services networks, mutual help groups, interest groups and work teams being set up in these projects as documented in the Project Progress Reports. On average, there were around four to six working groups being formed for each of the six selected projects. In particular, they were mostly worked in the form of volunteer teams, though some projects recruited volunteers from the community for helping the implementation of the projects, whilst some projects empowered the beneficiaries of the projects and then organized them to different sorts of work teams serving the community when they became matured. These work teams became invaluable community resources in the district.

2. Cognitive Social Capitals

Apart from structural social capital, the building of cognitive social capital was also significant. Cognitive social capital refers to the more subjective and intangible elements such as norms, the generally accepted standard of behaviors or shared values such as trust and reciprocity. To the host organizations, the most direct outcomes of this kind were a *transfer of knowledge for handling tripartite partnership* on one hand and *enhancement of positive regards towards business sector* on another. A project operator of a host organization revealed that, from the experiences of the collaboration, he became aware of the very different ways of dealing amongst all three sectors; by learning these they could have better strategies to proceed in other events. Another project operator in a host organization indicated that on reflection in the past they might have overlooked the feasible contributions of business partners, but from the project then they became aware that it was possible for business sector to play a part in the community services. In particular, for that host organization which involved a private partner from a sizable business, following from the collaboration, the senior administrator of the private partner becomes one the board members of their agency. Viewed this way, the collaboration experience in the project was a chance for them to appreciate the values of private partnership.

Besides the outcomes on **cross-sectoral bridging**, there was also an *enhancement of toleration towards and inclusion of marginal groups*, namely newly immigrants and non-engaged youth. A project worker of a community project observed that, after involving in the project and having more interactions between the volunteers and the newly immigrants, some of the volunteers changed their impression towards newly immigrants and began to accept them more than before. Actually, it is also discerned that *knowledge transfer was promoted* in a mentoring project for non-engaged youth. Some mentors

became appreciate the youth after involving into the project, and some of them might even provide job offers or relating learning opportunities to the youth, suggesting their genuine concerns to the personal development of their mentees.

3. Collective Social Capitals

Collective social capital refers to the resource mobilizations amongst the neighborhood for the social and economical improvements at the individual as well as neighborhood levels. It is observed that *mutual help was formed and services were maximized* after the implementation of CIIF-projects. Outcomes of these sorts were in particular most discernible in community projects. As a case in point, a project worker of community project offered a good articulation of the resource mobilization amongst neighborhood of this kind, *“Apart from formal services, through communication amongst neighbors, some problems inside the community can be tackled. For example, residents who wish to find a job need not get the advertisement, but from the referrals of our volunteers. When there are needs addressed by families, organizations and firms inside the community will give a hand. There is really something that welfare organizations like us cannot manage alone.”* Through these community projects, the concept of community-wide care concern was promoted. In particular, in the three community-based projects which attended to employment problems in the districts, the successful stories of the middle-aged unemployed workers re-entering into the job market were all cases in point.

Structural Social Capitals	Cognitive Social Capitals	Collective Social Capitals
<ul style="list-style-type: none"> ➤ <i>Introducing of contractual agreement</i> ➤ <i>Introducing of formal communication platforms - periodical meetings</i> ➤ <i>Introducing of informal communication platforms</i> ➤ <i>Forming of “groups” - voluntary services networks, mutual help groups, interest groups and work teams</i> 	<ul style="list-style-type: none"> ➤ <i>Transfer of knowledge for handling tripartite partnership</i> ➤ <i>Transfer of skills and knowledge in mentoring projects</i> ➤ <i>Enhancement of positive regards towards business sector</i> ➤ <i>Enhancement of toleration towards and inclusion of marginal groups</i> 	<ul style="list-style-type: none"> ➤ <i>Forming of mutual help</i> ➤ <i>Maximization of services</i>

SECTION FOUR: CRITICAL SUCCESS FACTORS FOR THE PROMOTION OF TRIPARTITE PARTNERSHIP

While the collaborating relationship would undergo a transformation, be positive or negative, suggesting that the searching for critical success factors for “bridging” tripartite partnerships is essential, for the consideration of further promotion of tripartite partnership. In the interviews, on the one hand, interviewees of all parties shared their strategies in praxis for effective collaboration. On another hand, the points of view they shared about the operation of the projects overall also reflected why they actively or passively contributed to the process of the CIIF project. Their points of view might be interpreted as the critical success factors or the limiting factors for the promotion of tripartite partnership. In evaluating the critical success factors of good practices for the promotion of tripartite partnership, the study identifies three domains of ‘partnership capacity’ leading to the success of such collaboration. It is considered that the aforementioned social capital outcomes - structural social capitals, cognitive social capitals and collective social capitals - could be brought about upon the development of three types of ‘partnership capacity’, which are as follows:

1. **Networking capacity** - the ability of different parties to have extensive and resourceful networks to find partners to work together, in specific to personal networks on both individual and organization levels were built.
2. **Solidarity capacity** - the generally accepted standard of shared values, in specific to mutual trust was built.
3. **Mutuality capacity** - the respect of the collaborating partners for achieving a win-win situation.

1. Networking Capacity

Networking capacity refers the ability of different parties to have extensive and resourceful networks to find partners to work together, in specific to personal networks on both individual and organization levels that have been built. The “*extensiveness*”, “*resourcefulness*” and “*duration*” of network are all critical dimensions to the network capacity.

On the side of host organization, “*extensiveness*” of network was important for the host organizations to find private partners to work together. As revealed by the interviewees of several host organizations, in their recruitment of private partners, not only did they rely on open recruitment, but also make use of personal networks to invite private partners to participate in the partnership program. Some even tended to refer to existing networks at their first step in engaging partners. On the part of private partners, in their review of the reasons why they participated, some admitted that it was due to the personal relationships with the staffs of the host organizations. A private partner from a community

group claimed that it was because the host organization had good relationship with this community group, so that she decided to participate in this partnership program. Besides, a few private partners, having experiences in public services, reasoned that their involvements in the CIIF projects were due to the invitation of Social Welfare Department or district council. All these cases indicate that who convene is critical to the “nod” for participation. Viewed this way, a critical success factor for promoting partnership was the ability of the host organizations to have extensive network to find private partners to work together.

Besides, the “*resourcefulness*” of the network was critical in the formation of tri-partite partnership. As aforementioned, on one hand, amongst the six projects, two of the projects respectively invited two organizations from two respective industries to be a strategic partner, considering their capacity to mobilize the relevant resources from the industries to support the projects; on another hand, a project involved a sizable insurance company as a strategic partner. The identification of these strategic partners took into consideration of the resourcefulness factor. While the former (two organizations) were resourceful in mobilizing supports from the respective industries, the latter (corporate) was resourceful in terms of financial and manpower supports.

The “*duration*” of the network was also considered to be important for effective collaboration. In the interview with the host organization partnering a sizable insurance company in their project, they attributed the critical success factors for the partnership to the solid foundation of cooperation they had with each other, for they understood the thoughts and expectations of each other. On another hand, the host organization itself also looked important to keep the long-term partnership with this corporate. Actually, some interviewees of host organizations claimed that they tended to refer to existing networks at the first step in engaging partners. These suggested not only that the existence of network mattered, but also that relationship that have been established for a length of time was considered to be more preferable in partnership.

2. Solidarity Capacity

Solidarity capacity refers to the generally accepted standard of shared values, in specific to mutual trust was built. There are two criteria in generating solidarity capacity, namely the “*sense of belonging*” and the “*similarity of working philosophies and values*” among the collaborators.

The criterion of *sense of belonging* refers to the close and secure relationships among the collaborators within the same community. For the term “community”, no matter how the respondents understood it as a district, an industry or an organization, it is important for the host organization to have close and secure relationship with private partners. The close relationships might result in private partner’s sense of belonging to the community which thus drove them contributed in the community. A private partner said that she was not living in Aberdeen but willing to participate in this partnership program, because

she claimed herself as one of community people in Aberdeen. In evaluating the motivation to participate in this partnership program in particular, it was observed that having senses of belonging with an organization who acted as a convener also motivated some private partners to contribute in the CIIF projects. Several private partners said that the host organization had a close relationship with users. This kind of close relationship made them willing to contribute in this partnership program. Another private partner from a funeral industry said that his motivation to participate in the CIIF project was only a collective action to support the funeral association, because the funeral association represented 80 percent of funeral shops and worked for them. His account revealed that he had a sense of belonging in the funeral association, so that he contributed in the CIIF project. From these cases, it was found that a critical success factor for promoting a partnership program to private partner was that the host organization made a united effort to create a sense of belonging.

Besides sense of belonging, *similarity of working philosophies and values* among different collaborators was also required in the generation of solidarity capacity. In their sharing of the criteria for choosing the partners, respondents from host organizations emphasized the importance to see whether or not the potential partner organizations were identified with the missions of their organization. To social service agencies, whether or not the partner organization shared the same heart with them to the service targets was essential in their involvement into their project. Some host organizations attributed the critical success factors of the partnership to the engaging of like-minded partners. As revealed by the interviewees, on the one hand, it would be easier to engage those active and like-minded SMEs, and on another hand, the cooperation would be easier if the partner shared the same values.

3. Mutuality Capacity

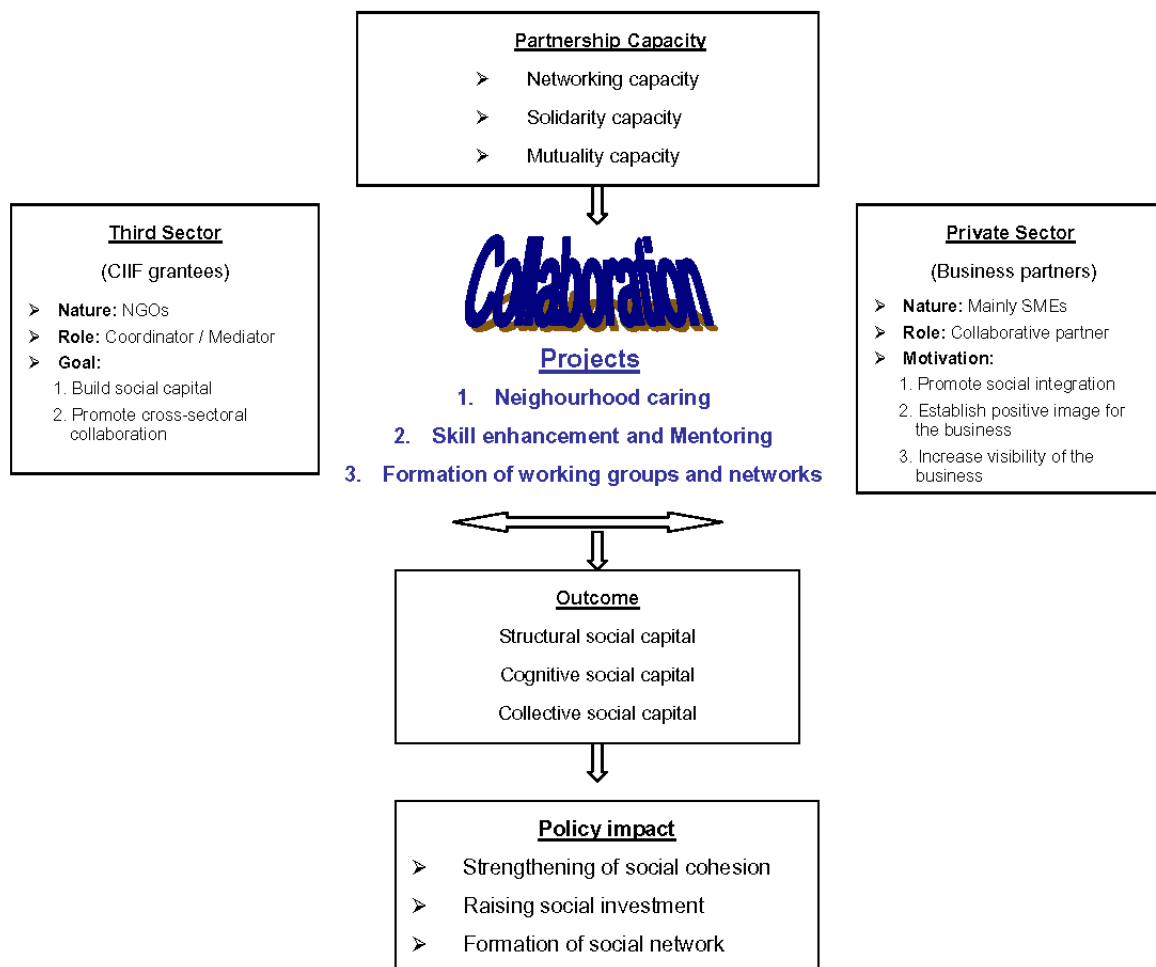
Mutuality capacity refers to the respect of the collaborating partners for achieving a win-win situation. There are two dimensions relevant to the development of mutuality capacity, including the “*generation of win-win situation*” and the “*preparedness for on-going discussion and mutual adjustment*”.

In evaluating the significance of achieving goals to private partner, it was found that the creation of a space for different partners to fulfill their personal needs, business needs, professional needs or social needs was important to the CIIF projects. Put differently, a critical success factor for promoting tri-partite partnership was the *creation of win-win situations* for the different collaborators to achieve their own goals. It was observed that, to some private partners, the CIIF project could act as a platform to attract more businesses. For example, one of private partners considered that the network of consumers provided by the host organization would create more business opportunities. Another private partner also claimed that the programme could be an effective platform to reach potential customers in the community. In fact, other than business interests, several private partners also indicated other expectations to the CIIF projects. A private partner treasured her involvement in the project for being able to realize her dream of helping youths in need of help. The other case demonstrated that private

**Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects**

partners had their professional fulfillment in the CIIF project. For example, a private partner from the funeral association said that the funeral program could help the government to save social welfare resources. The investigation of these interviews suggested that it was important for the host organizations to understand that different private partners had different interests in the CIIF projects. Different involved parties might have different interpretations of working philosophies and values of the CIIF projects from the host organizations. Thus, the critical success factor for the promotion of tripartite partnership is to create a win-win situation in the process of CIIF projects.

On another hand, in order to obtain mutual solidarity, *preparedness for on-going discussion and mutual adjustment* between different sectors were required as well. An interviewee from a host organization shared an experience of inviting a boss of a shop to be their partner. He was rejected at first, but then he kept on contacting with this shop and at the same time he tried to understand the constraints of the shop. At last, he successfully proposed an alternative plan which took into consideration of the constraints of the shop. The plan was finally accepted by the shop, so the shop became their partners. This case suggests the importance of the attitudes in showing concerns for partners and the preparedness for time resources for discussion to come up with an idea of cooperation format.



CHAPTER FIVE: DISCUSSION

SECTION ONE: EMERGING CONCEPT OF SOCIAL CAPITAL

While the government places high expectation upon the pioneer role of CIIF projects on the advocacy and development of social capital at the community, the projects in the study under review demonstrate quite some genuine and sincere attempts inputted by all involved parties to promote social capital and tripartite partnership in the community. The social capitals being generated, as analyzed in the previous chapter, are in no doubt indicators of the outcomes. However, given social capital is still a young concept in the community, in the interviews it was observed that there were quite some difficulties encountered by the involved parties to put forward the concept, which were worth looking further.

On the part of the public, social capital is a concept that they are most likely never heard of before. The key business of the CIIF projects is different from just provision of social service. To the host organization, the challenges lied on the newness of the concepts. While on one hand the project staffs needed to explore and adjust their roles and deployed new strategies different from what they had done conventionally as a provider of social services; on another hand, as the grantees of the projects they were the ones who were responsible to make the realization of the concept happen, they needed to spend a lot of efforts to educate and cultivate the public, their partners, and even their own staffs of the new concepts. In this circumstance, the host organizations encountered quite some difficulties. For example, at the very beginning of the projects when the host organizations were trying to engage partners and involving them to the co-implementing of the project programmes, the difficulties encountered was indifference of the business sector to the concept. The concept was not identified by the business sector. As a project operator articulated their difficulties, *“Last year, we begin to knock the doors of the business sector. They are not familiar with me, and do not know about a center like us. So, the beginning is difficult. They have no idea about the service, why we need to approach them, and not even their role.”* Actually, although the government has given some promotions of concepts like corporate social responsibility in the community, the promotion has not reached SMEs. Therefore, host organizations found it a hard job when they needed to promote the concepts case by case when they met the SMEs individually in engaging partners. To remedy the problems, some interviewees of host organizations suggested fostering the promotion of social capital in the public, e.g. to wrap the concept in layman terms, in a sense, to make it more down-to-earth to be understandable to the public, which enable a wider dissemination of the concept of social capital.

On another side, the private partners considered that the government did not put much effort to facilitate their work although the government claimed that they promoted the development of social capital. For example, in an employment project, a few private partners recalled that as they had no previous knowledge of handling such issues pertaining to self-employment as work-related accidents and insurances, they did approach a government department for enquiry, but the official did not explain

labor laws in projects of this kind. Besides, in a project involving some private partners for the provision of funeral services, there were some cases of Comprehensive Social Security Assistance Scheme (CSSA) recipients. As reviewed by the involved private partners, however, in these cases they could not receive prompt payment after providing services, as Social Welfare Department was too rigid to process the CSSA cases. Reviewing these instances, with a view to advocating for the development of social capital in particular, it is important for government to take more initiatives in supporting the CIIF projects, in a sense to look for feasible ways to link between different government departments to attend to the CIIF projects and facilitate the work in need.

SECTION TWO: IN SEARCH OF EFFECTIVE TRIPARTITE PARTNERSHIP STRATEGIES

Following from an examination of the modes and natures of tripartite partnership in selected CIIF projects, three types of partnership capacity were identified to be critical to the successfulness of social capital building; they are namely, networking capacity, solidarity capacity and mutuality capacity. The three types of partnership capacity offered points of consideration for the search of effective tripartite partnership strategies amongst three sectors from different angles.

1. Platform of Partnership

Solidarity capacity refers to the generally accepted standard of shared values, in specific to mutual trust was built. As examined before, to generate the solidarity capacity, the existence of sense of belonging to the community and the convening organizations, and the similarity of working philosophies and values among the collaborators are all crucial factors, the former of which enables the partners to become more willing to contribute to the community, whereas the latter makes the collaboration easier. While the criterion of sense of belonging refers to the close and secure relationships among the collaborators within the same community, this suggests the looking for ways to build close and secure relationships with the collaborators, so as to increase their sense of belongings to the organizations and to the community. On another hand, the importance of similarity of working philosophies and values suggests the crucial tasks of pooling together like-minded folks. Actually, more platforms could be introduced to increase the opportunities of interaction and communication between different parties, for even an opportunity of gathering might enable them to exchange their ideas and increase understanding of the thinking of each other. However, besides the creation of opportunities for communication, it is considered that more work on value cultivation and education could be introduced. As a representative of a host organization suggested, when the concept of corporate social responsibility has not yet reached the SMEs, he suggested extending the promotion of tripartite partnerships to business sector of various levels. Unquestionably, this is important for different parties to appreciate the values for the tripartite partnership if for their involvement, while the breeding of like-minded folks would be more proactive than simply identifying those who are like-minded.

2. Capacity Building of the Partners

Networking capacity refers to the ability of different parties to have extensive and resourceful networks to find partners to work together, in specific to personal networks on both individual and organization levels were built. Speaking of networking capacity, networking skills of individuals are important, while different types of network demand different kinds of networking skills. For example, from the selected projects in this study, established network encompasses bonding networks (such as bonding between the residents in a community projects); bridging networks (such as the bridging between organizations of different sectors); and linking networks (such as the linking between mentors and mentees in mentoring projects). It relies a lot on the importance of charisma or personal attributes. Put differently, it is worth looking at, on top of the charisma and personal attributes, what kinds of attributes need to be enhanced for the capacity building of partners in particular, no matter the senior management who are at the capacity to identify strategic partners for the organizations, or the designated persons responsible for day-to-day communication at the frontline; and be they from which of the three sectors.

3. Motivation Factors / Limitation Factors for Participation

Mutuality capacity refers to the respect of the collaborating partners for achieving a win-win situation. To create the win-win situations, it is essential to look to the motivations of each party for their involvement. For example, on the part of the NGOs, they would take the benefits of their service targets as the prime consideration for participation; on the part of business sector, the business brand names and visibility could motivate their participation. As for the government department, it would be essential to see if the tasks fall within the domains of work as scheduled at the department policy level. Hence, it would be essential to have the patience and skills to explore for the motivation factors or limitation factors otherwise. By knowing the motivation factors one can know how to motivate the potential partners for involvement, while by knowing the limitation factors one can know how to help alleviate the constraints and get the potential partners involved. In particular, in the discussion on how to motivate the business sector to get involved into tripartite partnership of this kind, some representatives of the host organizations pointed out the importance of showing recognitions to the involvement of the business, and hence suggested the government considering more on the recognition mechanism such as award presentation, serving as an encouragement to motivate their involvement.

SECTION THREE: SUSTAINABILITY

When conventional NGOs are mostly funded by government or any funders who have agreed to support the NGOs financially, the NGOs survive as long as the supports from their major funding sources are secured. Fundraising is a key theme in the discussion of their survival. Under such circumstances, demonstration of outcomes in line with the expectation of the funders is the sufficient strategy for survival. However, a key feature of CIIF is that the granting of fund is only a provision of

seed money. The projects are expected to develop themselves if the projects are to be sustained. In this case, sustainability, instead of fundraising, becomes the key theme of discussion.

While in the discussion of sustainability, how to achieve sustainability is a main question. According to Sutton's (2000) concept of sustainability at multi-levels, it is necessary to identify the focus of concern at first before thinking about how to achieve sustainability. In the analysis of Sclafani (n.d.) at a programme level, there are two levels of "what would be sustained". "Given that a project, by its very nature, is time-limited, the questions of what would continue beyond the end of a project ... typically distinguished between that project's activities and their resultant benefits for intended populations." Sustainability of activities is usually more an issue of how they can be transferred or absorbed after the end of donors' support; and the discussion of the continuation of benefits are usually associated with the activities.

It was discernable in the projects that various forms of production of goods or services are engaged, as they ought to think about how to be self-sufficient via their production and trading afterward. However, what ought to be sustained is a key question need to further consider. This issue calls for a number of further questions that need to consider at the project level. Namely, how do the host organizations position themselves in the involvement of the project when the fund end? Whether the activities would be kept or transformed? How will the ownership be transferred? From the interviews it was heard from several representatives of the host organizations that they expected their staff involvement to be fading out from the projects at the end of the funding support, and the ownership of the projects would belong to that of the participants. However, to this end, there are a lot of preparations need to be made to build a matured mechanism at the project level for the "handover" the ownership. Worthy of note, when the project is under funding support, the staffs of the projects are responsible for the overseeing of the projects; while on another hand, the involvement for the participants are not funded, suggesting that they are mainly involved on voluntary basis and are occupied by other businesses at the same time, Given the duration of project funding (range from only one year to three years), under the constraint that both parties are still exploring the best strategies for collaboration of new sorts, the time constraints and the resource constraints are the biggest challenges for the host organizations to make the aforementioned mechanisms happen. Numerous respondents from host organizations highly requested the enhancement of support from government in terms of both money and manpower.

CHAPTER SIX: CONCLUSION AND RECOMMENDATIONS

This study has been conducted basing on the six selected CIIF-funded projects in so far as to address the purpose of the whole evaluation study as specified in the Evaluation Brief. Firstly, in assessing the effectiveness of the strategies pursued in achieving the CIIF's objectives, the evaluation team has focused on analyzing the approaches and strategies adopted and examined the extent of goal-attainment in terms of the development of the partnership. Secondly, with a view to appraising the contribution of the CIIF-funded projects towards promoting the development of social capital, the team has examined the extent of "structural social capital", "cognitive social capital" and "collective social capital" as a result of the CIIF-funded projects involving tripartite partnerships. Thirdly, in order to evaluate the aggregated impact of the CIIF-funded projects on the groups and communities involved, the team has assessed and documented the impacts from the interviews with different relevant stakeholders. Fourthly, in order to identify the critical success (or otherwise) factors common to the projects, the team has thoroughly examined the stated purposes / objectives, scope, format, mechanism, process and intended outcomes, so as to identify the critical success factors or illustrations of good practice for the continuous improvement of CIIF-funded projects, the promotion of tripartite partnership in particular.

This chapter will devote to the fifth objective, advising on the policy implications and mapping out future strategies for the further development of social capital. The evaluation team will base on the results of the investigation and make recommendations for enhancing policies on fostering tripartite partnership and corporate social responsibilities in Hong Kong. In the following, suggestions shall be made to enhance the effectiveness of the strategies in achieving the objectives of CIIF social capital building; to increase the contribution of CIIF-funded projects towards the development of social capital; to increase the aggregate impact of the CIIF-funded projects on the groups and communities involved; to improve the CIIF operation in promoting social capital objectives; to strengthen the critical success factors at a meso level; and, finally, to advise on the policy implications and map out future strategies for the further development of the CIIF and social capital, targeting on policy makers, academics, and practitioners, public and business collaborators and other stakeholders.

To enhance the effectiveness of the strategies in achieving the objectives of social capital building, the CIIF might take into consideration that social capital is still an emerging concept in the Hong Kong context. While further promotion of the concept is called for, before all there is a pressing need to better operationalize the concept of social capital itself and hence make the assessment of its extent of goal-attainment and its level of contributions more measurable. Such endeavors shall in no doubt be able to facilitate the development of "Evidence-based Practice" in which service operators become more cautious about the outcome of the projects or programmes.

To increase the contribution of CIIF-funded projects towards the development of social capital, there is a need to get more service operators involved into the schemes. In the vetting exercise, the CIIF might

encourage innovation and creativity through benchmarking, and thus consider giving higher priority to projects with new and creative services ideas. Besides, it will be of referencing values to fellow practitioners, let alone the service operators, that the CIIF considers working on some consolidation of the operation experiences in the past three years by such publication as “Casebook on Building Social Capital in Hong Kong”, in which those project workers could contribute by sharing their invaluable experiences in implementation.

To increase the aggregate impact of the CIIF-funded projects on the groups and communities involved, the CIIF might consider enabling a wider dissemination of the concept of social capital and tripartite partnership in particular to the public. Namely, regular symposium and annual conference or Expo could be conducted to disseminate the good practice experience. Besides, more publicity through media could be adopted.

To improve the CIIF operation in promoting social capital objectives, firstly, the CIIF might consider allowing greater flexibility for the service operators to develop their funded projects. To facilitate the work of the projects, on the one hand the government might consider doing more promotion of the projects so as to increase legitimacy and recognition by the public and the private sector to the operation of the projects; on another the government might consider increasing the communication amongst various Bureaus / Departments at both central and local levels (e.g. District Council). To facilitate the exchange of experience, the CIIF might consider the development of “knowledge management” (KM) tools.

To strengthen the critical success factors, i.e. the three types of partnership capacity, namely networking capacity, solidarity capacity and mutuality capacity, as discussed, the government could take into consideration of measures for strengthening these different types of partnership capacity individually. Namely, to enhance the networking capacity, capacity building on partnership could be looked into by considering training regarding the themes of social capital and tripartite partnership to the practitioners and potential partners. To enhance the solidarity capacity, the government might consider creating more opportunities for communication, e.g. conducting periodical meetings like conferences and sharing sessions which engage people from different sectors. To enhance the mutuality capacity, it is essential to look to the motivations of each party for their involvement. In particular, the government could consider more on how to motivate the involvement of private sector, for example development of recognition mechanism such as award presentation, or giving pragmatic rewards to private partners for their involvement by offering taxation deduction just like donation.

Actually, in considering the policy implications and future strategies for the further development of the CIIF and social capital, policy makers, academics, and practitioners, public, business, collaborators could play different parts. The following present recommendations to these different stakeholders individually:

For Policy Makers:

1. While the leading roles and facilitating roles of government are equally important in most of the projects, active involvement of government is deemed necessary.
2. The government might need to attend to the importance of communication and coordination across Departments at both Bureau and District level.
3. The government might need to attend to the creation of opportunities of communication and coordination across different sectors.
4. In the promotion of the concept of “Social Capital” and “Corporate Social Responsibility” to private sector, the work needs to target not only on the sizable corporate but also the small and medium enterprises (SMEs).
5. When involving private sectors, both large corporation as well as the SMEs are deemed to be equally valuable as potential partners.
6. The government might also consider institutionalizing reward mechanism which motivates the involvement of private sectors.

For Academic and Professional Bodies:

1. Academic and professional bodies might take initiatives to arrange more exchange between training institutes and the NGOs / private sector on social capital.
2. Development of curriculum on social capital / or integrating the themes of social capital and tripartite partnership into existing social work or social administrative training programmes could be considered.
3. Development of indicators for measuring “social capital outcomes”.

For Practitioner, Public and Business Collaborators and other Stakeholders:

1. Practitioner, public and business collaborators and other stakeholders could also take initiatives on the promotion of the concept of social capital and sharing their valuable and impressive stories with regard to social capital building through media.
2. Sharing of “Good Practices” in annual convention or forums by practitioner, public and business collaborators and other stakeholders are encouraged.

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APPENDIX 1: FRAMEWORK AND QUESTIONS

INTRODUCTION AND BACKGROUND INFORMATION					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Stakeholders' conception of social capitals (individual level)	Have you ever heard of social capital? If yes, in your impression, what is social capital? What do you think about the importance of social capital?	Have you ever heard of social capital? If yes, in your impression, what is social capital? What do you think about the importance of social capital?	Have you ever heard of social capital? If yes, in your impression, what is social capital? What do you think about the importance of social capital? If no, what do you think about the importance of personal network, organizational network and community network, etc.?	Have you ever heard of social capital? If yes, in your impression, what is social capital? What do you think about the importance of social capital? If no, what do you think about the importance of personal network, organizational network and community network, etc.?	What do you think about personal network, organizational network, etc.? What do you think about the importance of such networks?
Stakeholders' previous experience of engaging into tripartite partnership (organization level)	Prior to the involvement in the CIIF project, has your organization ever involved in some sorts of partnership programmes with government department(s) and/or companies? If yes, when did your organization commence these sorts of partnership? Would you share briefly what these experiences were and how they came about?		Prior to the involvement in the CIIF project, has your department ever involved in some sorts of partnership programmes with NGOs and/or companies? If yes, when did your organization commence these sorts of partnership? Would you share briefly what these experiences were and how they came about?	Prior to the involvement in the CIIF project, has your company ever involved in some sorts of partnership programmes with NGOs and/or Government department(s)? If yes, when did your organization commence these sorts of partnership? Would you share briefly what these experiences were and how they came about?	Prior to the involvement in the CIIF project, has your company ever involved in some sorts of partnership programmes with NGOs and/or Government department(s)? If yes, when did your organization commence these sorts of partnership? Would you share briefly what these experiences were and how they came about?
Commencement of involvement in the CIIF project (organization level)	When did your organization commence the CIIF project?	When did your organization commence the CIIF project?	When did your department start involving into the CIIF project?	When did your company start involving into the CIIF project?	When did your company start involving into the CIIF project?
Commencement of involvement in the CIIF project (individual level)	When did you start involving yourself in the CIIF project?	When did you start involving yourself in the CIIF project?	When did you start involving yourself in the CIIF project?	When did you start involving yourself in the CIIF project?	When did you start involving yourself in the CIIF project?
Role and responsibilities in the projects (individual level)	What are your roles and responsibilities in the project?	What are your roles and responsibilities in the project?	What are your roles and responsibilities in the project?	What are your roles and responsibilities in the project?	What are your roles and responsibilities in the project?

**Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects**

PURPOSES AND OBJECTIVES					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Purpose for applying the CIIF:	Would you share for what reasons your organization apply for the CIIF funding?		What motivates your department to participate in this partnership programme?	What motivates your company to participate in this partnership programme?	What motivates your company to participate in this partnership programme?
Motivation:	What motivates your organization to launch this partnership programme?		What are your expectations behind your department's participation in this project? – what do you expect to achieve?	What are your expectations behind your company's participation in this project? – what do you expect to achieve?	What are your expectations behind your company's participation in this project? – what do you expect to achieve?
Expectation:	What are your expectations behind your organization's launching this project? – what do you expect to achieve?		What are the specific project objectives, on the part of your departments' involvements?		
Specific purposes and objectives	What are the specific project objectives? Are there any priorities in these objectives?	What is the importance of these objectives / goals to your organization?	What is the importance of these objectives / goals to your department?	What is the importance of these objectives / goals to your company?	What is the importance of these objectives / goals to your company?
Significance of achieving these objectives / goals	What is the importance of these objectives / goals to your organization?				

**Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects**

SCOPE – IN TERMS OF PEOPLE					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Collaborators	<p>What kinds of collaborators does the project involve? (Government / Private sectors)</p> <p>How many collaborators does the project involve? (how many dep / how many company?)</p> <p>What are the considerations and factors that are affecting your organization's decisions to establish a partnership with any government department(s) and/or companies?</p> <p>How did your organization decide which companies and which government department to become your partners?</p> <p>Would you share what strategies your organization has adopted to establish a partnership with the government department(s) and/or companies partners? (any policy guidance on the organization level?)</p> <p>In this project, have you ever encountered any difficulties in the partnership?</p>	<p>What kinds of collaborators does the project involve? (Government / Private sectors)</p> <p>How many collaborators does the project involve? (how many dep / how many company?)</p> <p>What are the plans and tactics you have to establish a partnership with the government department(s) and/or companies partners?</p> <p>In this project, have you ever encountered any difficulties in the partnership?</p>	<p>What kinds of collaborators does your department deal with, on the part of your department's involvements? (NGOs / Private Sectors)</p> <p>What are the considerations and factors that are affecting your department's decisions to establish a partnership with any NGOs and/or companies?</p> <p>How did your department decide which organization(s) to become your partner?</p> <p>Would you share what strategies / your organization has adopted to establish a partnership with NGOs and/or companies partners? (any policy guidance on the department level?)</p> <p>In this project, have you ever encountered any difficulties in the partnership?</p>	<p>What kinds of collaborators does your company deal with, on the part of your company's involvements? (NGOs / Government)</p> <p>What are the considerations and factors that are affecting your company's decisions to establish a partnership with any NGOs and/ Government department(s)?</p> <p>In this project, have you ever encountered any difficulties in the partnership?</p>	<p>What kinds of collaborators does your company deal with, on the part of your company's involvements? (NGOs / Government)</p> <p>What are the considerations and factors that are affecting your company's decisions to establish a partnership with any NGOs and/ Government department(s)?</p> <p>In this project, have you ever encountered any difficulties in the partnership?</p>
Participants	<p>What kinds of service target the project aims to involve?</p> <p>How many participants the project involve? (by phase?)</p> <p>Are these target groups the main service targets of your organization?</p> <p>What are the considerations and factors that are affecting your organization's decisions in identifying these service targets?</p>	<p>What kinds of service target the project aims to involve?</p> <p>How many participants the project involve? (by phase?)</p> <p>Are these target groups the main service targets of your organization?</p> <p>What are the plans and tactics you have to approach / recruit these targets groups?</p> <p>In this project, have you ever</p>	<p>What kinds of service target your department deal with, on the part of your department's involvements?</p> <p>How many participants? (by phase?)</p> <p>Are these target groups the main service targets of your department?</p> <p>Would you share what strategies your department has adopted to recruit / approach these target</p>	<p>What kinds of service target your company deal with, on the part of your company's involvements?</p> <p>How many participants? (by phase?)</p> <p>Are these target groups the main service targets of your company?</p> <p>IF not, would you share what strategies your company has adopted to recruit / approach these target groups? (any policy guidance on the company level?)</p>	<p>What kinds of service target your company deal with, on the part of your company's involvements?</p> <p>How many participants? (by phase?)</p> <p>Are these target groups the main service targets of your company?</p> <p>In this project, have you ever encountered any difficulties in recruiting these participants?</p>

**Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects**

	<p>Would you share what strategies your organization has adopted to recruit / approach these target groups? (any policy guidance on the organization level?)</p> <p>In this project, have you ever encountered any difficulties in recruiting these participants?</p>	<p>encountered any difficulties in recruiting these participants?</p>	<p>groups? (any policy guidance on the department level?)</p> <p>In this project, have you ever encountered any difficulties in recruiting these participants?</p>	<p>In this project, have you ever encountered any difficulties in recruiting these participants?</p>	
SCOPE – IN TERMS OF PROBLEM					
Problems	<p>NGO – Chief Executives / Senior Administrators</p> <p>What kinds of service problems / needs the project aims to address?</p> <p>Would you share what strategies your organization has adopted to identify the problems? (any policy guidance on the organization level?)</p> <p>In this project, have you ever encountered any difficulties in handling the service problems?</p>	<p>NGO – Project management frontline staff</p> <p>What kinds of service problems / needs the project aims to address?</p> <p>What are the <u>tactics</u> you have to identify these problems?</p> <p>In this project, have you ever encountered any difficulties in handling the service problems?</p>	<p>Government</p> <p>What kinds of service problems / needs your department deals with, on the part of your department's involvements?</p>	<p>Private sector – Corporate</p> <p>What kinds of service problems / needs your company deals with, on the part of your company's involvements?</p>	<p>Private sector – SME</p> <p>What kinds of service problems / needs your company deals with, on the part of your company's involvements?</p>
SCOPE – IN TERMS OF PROGRAM					
Programme	<p>NGO – Chief Executives / Senior Administrators</p> <p>What kinds of service programme the project aims to launch?</p> <p>What are the considerations and factors that are affecting your organization's decisions to launch these programmes?</p> <p>Would you share what strategies your organization has adopted to launch these programmes? (any policy guidance on the organization level?)</p> <p>In this project, have you ever encountered any difficulties in launching the programmes?</p>	<p>NGO – Project management frontline staff</p> <p>What kinds of service programme the project aims to launch?</p> <p>What are the <u>plans and tactics</u> you have to launch these programmes?</p> <p>In this project, have you ever encountered any difficulties in launching the programmes?</p>	<p>Government</p> <p>What kinds of service programme your department deals with, on the part of your department's involvements?</p> <p>Would you share what strategies your department has adopted to launch these programmes? (any policy guidance on the department level?)</p> <p>In this project, have you ever encountered any difficulties in launching the programmes?</p>	<p>Private sector – Corporate</p> <p>What kinds of service programme your company deals with, on the part of your company's involvements?</p> <p>Would you share what strategies your company has adopted to launch these programmes? (any policy guidance on the company's level?)</p> <p>In this project, have you ever encountered any difficulties in launching the programmes?</p> <p>What are the tradeoffs between profit making and launching these programmes?</p>	<p>Private sector – SME</p> <p>What kinds of service programme your company deals with, on the part of your company's involvements?</p> <p>What are the <u>plans and tactics</u> you have to launch these programmes?</p> <p>In this project, have you ever encountered any difficulties in launching the programmes?</p> <p>What are the tradeoffs between profit making and launching these programmes?</p>

*Evaluating the Outcomes and Impacts of the CIIF:
Social Investment and Social Network: An Analysis of the Collaboration between Third Sector and Private Sector in the CIIF Projects*

SCOPE – IN TERMS OF PLACE					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Place	Where does the service program take place?	Where does the service program take place?	Where does the service program take place, on the part of your department's involvements?	Where does the service program take place, on the part of your company's involvements?	Where does the service program take place, on the part of your company's involvements?
FORMAT AND MECHANISM					
Format and mechanism of the partnership	<p>What are the roles of your organization in the partnership?</p> <p>What mechanism has your organization adopted for the communication in the partnership with government / companies? (Who initiate? / Any designated staff responsible for the liaison? / Through what channels? / Any formal regular meeting? / Any formal information sharing platform?)</p> <p>What mechanism has your organization adopted in the decision making in the partnership with government / companies? (Who decide? / Through what procedures?)</p> <p>To what extent can the partners influence your decision making?</p> <p>Have you ever experienced any conflicts with your partners so far?</p> <p>What mechanism has your organization adopted in the conflict resolution in the partnership with government / companies? (Who do? / Through what procedures?)</p> <p>Would you share what you think about these mechanisms? (encountered any difficulties)</p>	<p>What are your roles in your communication in the partnership with government / companies?</p> <p>What tactics have you adopted for the communication in the partnership with government / companies?</p> <p>What tactics have you adopted for the decision making in the partnership with government / companies? (In what ways? Any regular meeting or non-regular meeting? Any techniques applied?)</p> <p>To what extent can the partners influence your decision making?</p> <p>Have you ever experienced any conflicts with your partners so far?</p> <p>What tactics have you adopted for the conflict resolution in the partnership with government / companies?</p> <p>Would you share what you think about these mechanisms? (encountered any difficulties)</p>	<p>What are the roles of your department in the partnership?</p> <p>What mechanism has your department adopted for the communication in the partnership with NGOs / companies? (Who initiate? / Any designated staff responsible for the liaison? / Through what channels? / Any formal regular meeting? / Any formal information sharing platform?)</p> <p>What mechanism has your department adopted in the decision making in the partnership with NGOs / companies? (Who decide? / Through what procedures?)</p> <p>Have you ever experienced any conflicts with your partners so far?</p> <p>What mechanism has your department adopted in the conflict resolution in the partnership with NGOs / companies? (Who do? / Through what procedures?)</p> <p>Would you share what you think about these mechanisms? (encountered any difficulties)</p>	<p>What are the roles of your company in the partnership?</p> <p>What mechanism has your company adopted for the communication in the partnership with NGOs / government? (Who initiate? / Any designated staff responsible for the liaison? / Through what channels? / Any formal regular meeting? / Any formal information sharing platform?)</p> <p>What mechanism has your company adopted in the decision making in the partnership with NGOs / government? (Who decide? / Through what procedures?)</p> <p>Have you ever experienced any conflicts with your partners so far?</p> <p>What mechanism has your company adopted in the conflict resolution in the partnership with NGOs / government? (Who do? / Through what procedures?)</p> <p>Would you share what you think about these mechanisms? (encountered any difficulties)</p>	<p>What mechanism has your company adopted for the communication in the partnership with NGOs / government? (Who initiate? / Any designated staff responsible for the liaison? / Through what channels? / Any formal regular meeting? / Any formal information sharing platform?)</p> <p>What mechanism has your company adopted in the decision making in the partnership with NGOs / government? (Who decide? / Through what procedures?)</p> <p>Have you ever experienced any conflicts with your partners so far?</p> <p>What mechanism has your company adopted in the conflict resolution in the partnership with NGOs / government? (Who do? / Through what procedures?)</p> <p>Would you share what you think about these mechanisms? (encountered any difficulties)</p>

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PROCESS					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Changes in format and mechanism of the partnership in the process	Has the role of your participation changed since the project commenced? If so, in what ways and why? Has the mechanism of your communication changed since the project commenced? If so, in what ways and why? Has the mechanism of your decision making changed since the project commenced? If so, in what ways and why? Has the mechanism of your conflict resolution changed since the project commenced? If so, in what ways and why?	Have your strategies for communication changed since the project commenced? If so, in what ways and why? Have your strategies for decision making changed since the project commenced? If so, in what ways and why? Have your strategies for conflict resolution changed since the project commenced? If so, in what ways and why?	Has the role of your participation changed since the project commenced? If so, in what ways and why? Has the mechanism of your communication changed since the project commenced? If so, in what ways and why? Has the mechanism of your decision making changed since the project commenced? If so, in what ways and why? Has the mechanism of your conflict resolution changed since the project commenced? If so, in what ways and why?	Has the role of your participation changed since the project commenced? If so, in what ways and why? Has the mechanism of your communication changed since the project commenced? If so, in what ways and why? Has the mechanism of your decision making changed since the project commenced? If so, in what ways and why? Has the mechanism of your conflict resolution changed since the project commenced? If so, in what ways and why?	Have your strategies for communication changed since the project commenced? If so, in what ways and why? Have your strategies for decision making changed since the project commenced? If so, in what ways and why? Have your strategies for conflict resolution changed since the project commenced? If so, in what ways and why?
INTENDED OUTCOMES					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
What is the outcome expected of this collaboration?	What are the perceived gains, in terms of social capital particularly, that can be derived from your partnership with government department(s) and/or companies	In your view and according to your experience(s), what sorts of social capital outcomes have been produced/observed by the development of tri-partite partnership? What are the determining factors of such achievement?	What are the perceived gains, in terms of social capital particularly, that can be derived from your partnership with NGOs and/or corporate(s)/SMEs? What are the determining factors of such achievement?	What are the perceived gains, in terms of social capital particularly, that can be derived from your partnership with NGOs and/or Government department(s)? What are the determining factors of such achievement?	What are the perceived gains, in terms of social capital particularly, that can be derived from your partnership with NGOs and/or Government department(s)? What are the determining factors of such achievement?

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EVALUATION					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Overall evaluation on the project	How do you evaluate the current achievement of your project? What do you think are the critical success factors? What are the limiting factors?	How do you evaluate the success of the partnership at various stages of development of your project? Any changes? What do you think are the key facilitating factors for the partnership? What do you think are the limiting factors for the partnership?	How do you evaluate the success of the partnership at various stages of development of your project? Any changes? What do you think are the key facilitating factors for the partnership? What do you think are the limiting factors for the partnership?	How do you evaluate the success of the partnership at various stages of development of your project? Any changes? What do you think are the key facilitating factors for the partnership? What do you think are the limiting factors for the partnership?	How do you evaluate the success of the partnership at various stages of development of your project? Any changes? What do you think are the key facilitating factors for the partnership? What do you think are the limiting factors for the partnership?
SUGGESTIONS AND COMMENTS					
	NGO – Chief Executives / Senior Administrators	NGO – Project management frontline staff	Government	Private sector – Corporate	Private sector – SME
Suggestions for improvement – tripartite partnership	Any suggestions to facilitate/enhance the development of such kind of synergy? Based on your experience in the CIIF projects, what do you expect regarding the roles and functions of the Government / government departments in facilitating the tripartite partnership?	Any suggestions to facilitate/enhance the development of such kind of synergy? Based on your experience in the CIIF projects, what do you expect regarding the roles and functions of the Government / government departments in facilitating the tripartite partnership?	Any suggestions to facilitate/enhance the development of such kind of synergy? What are your perspectives on government roles and functions in social capital development?	Any suggestions to facilitate/enhance the development of such kind of synergy?	Any suggestions to facilitate/enhance the development of such kind of synergy?
Roles of functions of government in developing the tripartite partnership					
Roles of functions of private sector in developing the tripartite partnership				What are your perspectives on your roles and functions in social capital development?	