

VIOLENCE PREVENTION THROUGH URBAN UPGRADING

A manual for safety as a public good



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Authors

The main authors of this manual are as follows:

- Section I: Situational Crime Prevention: Urban Design
Michael Krause
- Section II: Social Crime Prevention
Chris Giles
- Section III: Community Operation, Maintenance and Management
Don Shay
- Section IV: Community Participation
Julian Cooke, Michael Krause and Erald Smith
- Section V: Knowledge Management
Iris Taani and Udo Lange

General Editor: Julian Cooke
Content Coordinator: Gail Anders
Graphic design/typography: Julie August/Ursula Paletta

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Wendy Arendse, VPUU
Dr. Kathryn Ewing, VPUU
Faniswa Gxamza, VPUU
Senza Kula, VPUU
Siyabulela Ngwenduna, VPUU
Melikaya Ntshingwa, VPUU
Nthabeleng Tekiso, VPUU

Machiel Erasmus, VPUU CoCT
Alastair Graham, VPUU CoCT
Sicelo Nkohla, VPUU CoCT
Gail Timm, VPUU CoCT

Chris Berens, Clip Clop
Dr. Elisabeth Peyroux

Business Areas Management, CoCT
City Parks, CoCT
Economic Development, CoCT
Facility Management-Specialised Technical Services, CoCT
Law Enforcement and Environmental Health, CoCT
Sports and Recreation, CoCT
Strategic Development Information and GIS, CoCT
Spatial and Urban Design, CoCT

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ACRONYMS

ABCD	Asset-Based Community Development	MURP	Mayoral Urban Regeneration Programme (CoCT)
AHT	AHT GROUP AG Management & Engineering. (German Implementation consultant for VPUU)	M&E	Monitoring and Evaluation
		NDPG	Neighbourhood Development Partnership Grant
BMZ	Federal German Ministry for Economic Cooperation and Development	NGO	Non-Government Organisation
CAP	Community Action Plan	NHW	Neighbourhood Watch
CBO	Community Based Organisation	NSO	Neighbourhood Safety Officer of Metropolitan Police
CDS	Community Delivery of Services	NT	National Treasury
CF	Community Facilitator	OD	Organisational Development
CID	City Improvement District	O&M	Operation and Maintenance; Operation and Management; Operations and Maintenance Management
CoCT	City of Cape Town, (VPUU partner and donor)		
CoGTA	Corporate Governance and Traditional Affairs	PHC	Primary Health Care
CoP	Community of Practice	PMU	Project Management Unit within CoCT
CPF	Community Police Forum	QoL	Quality of Life
CPTED	Crime Prevention Through Environmental Design	SAPS	South African Police Services
CSIR	Council for Scientific and Industrial Research (South African)	SDF	Spatial Development Framework
DSRA	Department of Sports, Recreation and Amenities	SDF	Social Development Fund
ECD	Early Childhood Development	SLA	Service Level Agreement
Emthonjeni	isiXhosa word denoting public space including water point	SMME	Small, Medium and Micro Enterprise
FAC	Facility Advisory Committee	SN	Sustainable Neighbourhoods
FG	Facility Guardians	SNA	Safe Node Area
FM	Facilities Management	SNAC	Safe Node Area Committee
FMC	Facility Management Committee	Social CP	Social Crime Prevention: Work-stream within VPUU
GW	General worker	SRO	School Resource Officer
HS	Household survey	SRP	Spatial Reconfiguration Plan
IDP	Integrated Development Plan	STS	Specialised Technical Services
IGC	Inter-Governmental Committee	Subcouncils	City of Cape Town governance structure of several city wards
JET	Joint Education Trust	SUN Development	City of Cape Town governance structure of several city wards
KDF	Khayelitsha Development Forum		Sustainable Urban Neighbourhood Development (Implementing agency of VPUU for CoCT)
KfW	German Development Bank	ToR	Terms of Reference
KM	Knowledge Management	VPUU	Violence Prevention through Urban Upgrading programme
LogFrame	Logical Framework	WCED	Western Cape Education Department
MA	Management Agreements	WCG	Western Cape Government
MAYCO	Mayoral Committee of CoCT	WDF	Ward Development Forum
MCP	Municipal Community Partnership	WHO	World Health Organisation
MIS	Management Information System	Work-stream	One of the 6 functional vertical work divisions in VPUU
MoU	Memorandum of Understanding	WSL	Work-stream leader
MP	Monwabisi Park	WUF	World Urban Forum (UN-Habitat)
MSP	Municipal Service Partnership	W&S	Department of Water & Sanitation (CoCT)

PREAMBLE

AIMS AND STRUCTURE OF THE MANUAL

The manual sets out a model of how to use safety as a public good to develop human potential and improve the Quality of Life (QoL) of communities towards Sustainable Neighbourhoods (SN) in low-income areas. It is aimed to be of assistance to Government at all levels—National, Provincial and Local—to Non-Government Organisations (NGOs), Community Based Organisations (CBOs) and any other agencies or individuals engaged in the process of human development on area-based approaches.

It is based on an understanding of best practices, gained from recent literature and from direct experience internationally, as well as from the rich practical experience of the VPUU programme in Cape Town.

ABOUT VPUU

The Violence Prevention through Urban Upgrading (VPUU) programme is a partnership between the City of Cape Town (CoCT), the German Development Bank (KfW) and the community of Khayelitsha through a civil society partner, the Khayelitsha Development Forum (KDF). The partnership has been extended to include the Western Cape Government (WCG), National Treasury (NT), International agencies, NGOs, CBOs and other communities. The programme is co-funded by the Federal German Ministry for Economic Cooperation and Development (BMZ), the CoCT, NT through its Neighbourhood Development Partnership Grant (NDPG), other public funding sources, as well as third party funding. The programme is implemented by AHT Group AG and its South African partner Sustainable Urban Neighbourhood (SUN) Development Pty Ltd. As of April 2013 a Not for Profit Company – VPUU NPC has

been established to implement VPUU in the Western Cape. VPUU aims at reducing crime, increasing safety and security and improving the living and social conditions of the affected populations through urban improvements and social interventions. It is based on sustainable community projects that empower the local residents and provide them with the means to become economically independent.

The programme commenced in September 2005 and has so far been structured in three Phases. **Phase 1**, over two years, established the institutional arrangement of the programme. The main outcomes were: the right location of the programme within the City of Cape Town, a good understanding in the community, baseline surveys in the targeted areas and subsequently a refinement of the concept. **Phase 2** focused on implementing the programme in Khayelitsha. A lot of progress has been made in the three years in the neighbourhoods of Harare and initial interventions in Kuyasa and Site C. **Phase 3** continues with the implementation in Khayelitsha and seeks to showcase the sustainability and mainstreaming of programme components, introduce the methodology into other programmes and start replicating the concept into selected informal settlements, Nyanga/Gugulethu and other areas.



STRUCTURE OF THE MANUAL

The manual is structured in the following way:

Introduction

The introduction sets out broadly the context, objectives, theoretical background and method of a holistic, multi-faceted, development-based approach to **safety as a public good** in the urban context.

Five Components of the Model

The model is constructed of five essential components or areas of activity: Situational Crime Prevention: including spatial intervention through urban design, physical upgrading and the building of facilities; Social Crime Prevention: working socially to prevent crime while also building community identity and independence; Community Operation, Maintenance and Management (O&M): assisting the community, through institutional development, to deliver services, and to manage facilities; Community Participation: the full involvement of local people in all aspects of the programme and Knowledge Management: ensuring that lessons learnt and knowledge gained are recorded and shared during and after the programme.

These components constitute the five main **SECTIONS** of the manual. **Each SECTION is subdivided into four PARTS**:

- **Part A** provides the reader with the **theoretical and methodological** framework that underlies the principles and approaches
- **Part B** describes the **principles** that derive from the theoretical and methodological framework which guide the ethos of and manner with which issues are understood, decisions are made and actions are undertaken (illustrations of the way in which these principles are currently being applied in the VPUU project in Cape Town may be provided)
- **Part C** focuses on the **tools** for the implementation of the principles
- **Part D** develops **case studies** within the component.

All case studies are drawn from the VPUU project, mainly from Khayelitsha. The case studies illustrate how principles and tools can be applied to specific local situations by a transversal team of people from the Community, the Local Authority and the Intermediary.

The principles are summarised in the annexed **checklist** to assist project designers to adequately address all aspects of projects. Frequent cross-referencing in the document allows for easy navigation between the theoretical part, the principles, the tools and the case studies.

Key terms:

The manual puts forward a particular model or programme of development in some detail. This model is referred to throughout the document as **the model** or **the programme**.

INTRODUCTION

VISION AND GOALS

The model proposed in this manual is a comprehensive, area-based, community development one. It works in partnerships to create safe and integrated communities, citizenship pride and improved QoL for residents in particular neighbourhoods. The kinds of neighbourhoods in which the model is useful, are those whose inhabitants suffer from poverty and exclusion in economic, cultural, social and institutional terms. Such neighbourhoods are identified using a number of criteria including: the level of safety, the provision of public services, social cohesion factors, QoL data and the willingness of the local community and other partners to cooperate in implementing a transformation programme. Based on a structured, participatory approach, the programme seeks to contribute towards the mitigation of those four main types of exclusion.

Its **goals** are:

- A general upgrading of low-income neighbourhoods and a better provision of public and private social, cultural and commercial services to the population
- A strengthening of the capabilities and competencies of democratic community structures
- Improvement of the potential for economic activities and income generation—and hence increase of the self-help potential of the population
- Effective community-led O&M of areas leading towards SNs
- Introduction of alternative conflict resolution mechanisms
- Promotion of an effective justice system with a focus on gender-based violence
- The mainstreaming of the VPUU approach within local and provincial government departments.

The model shows one approach of how local authorities can exercise the constitutional mandate and improve people's QoL on a neighbourhood level by applying a systemic approach to transforming apartheid dormitories into SNs—based on negotiated solutions with people and the communalisation of services.

CORNERSTONES OF THE APPROACH

There are two key cornerstones to the approach—human development and sustainability. These are intertwined: the process of human development is inadequate unless it is self-sustaining.

Human development

Changing paradigm

The theory underpinning the approach to development has evolved from an understanding of the failure of earlier approaches and a gradual evolution of ideas into a new paradigm. Essentially this has been a shift from a top-down approach wherein the state defines problems and assembles resources to deal with them to one of **partnership** between the state, civil society and community who jointly identify and tackle local problems with an eye to their potential as catalysts for wider spread development.

People not things

The essence of current best practice is that development is about people, and not about economics or goods. This implies that people have to be considered as whole, complex beings, not simply as economic units. For a person or a group or community of people to develop, in the sense of having a satisfying and fulfilling life, a wide range of needs must be satisfied

—from subsistence to a feeling of freedom. Thus the conception of human needs must be much broader than it has been in the past.

All human needs

As Nabeel Hamdi puts it: ‘Poverty ... everywhere, sits at the centre of our efforts today, across a broad range of urban policies. Nor is it just the poverty of money measured as it was in the 1960s and ‘70s with economic indicators, but **the poverty of well-being and opportunity** as well as of livelihoods.’ In his concept of Human Scale Development Manfred Max-Neef proposes 9 fundamental human needs: subsistence, protection, affection, understanding, participation, idleness, creation, identity and freedom. All these needs he sees as interactive and interrelated: no one being more important than another, except the need to stay alive. Within this conception is the idea that human poverty or wealth, group or individual, relates to particular needs. Thus you may be poor in relation to income and material goods, but rich in the sense of freedom and identity.

The problem is that poverty in one area of need can affect other areas, for example the lack of a home, of protection, clearly could impact negatively on your sense of identity. Conversely, adequate protection not only helps you survive against the elements, but also gives you a place where you can pursue your education, which in turn stimulates your creativity which will enhance your sense of identity.

There are a number of principles for development that emerge from this way of thinking.

Problems are not isolated: a singular problem with which a community is faced (e.g. a lack of adequate housing) is seen as only one part of a spectrum of interlinked problems. Tackled alone it may be ‘solved’ but at the neglect or even expense of solutions for the other problems. Problems must be approached comprehensively.

Secondly, an insight gained from the analysis of success and failure in development initiatives has been that the more successful ones are often **small in scale**. They are of human scale; they avoid too much complexity and their scope can be easily grasped; there is little possibility of political intervention or opposition.

Thirdly, successful development strategies satisfy one need and stimulate the fulfilment of others. They are **catalyst or synergic**, and have the ingredients for ‘scaling up’. They may be small in embryo but they interlink with a variety of other issues in an exponential way, thus starting with a local issue but eventually affecting city policy.

Fourthly, a corollary of the requirement to engage with all human needs, is the necessity to engage with **all the people** who are in the neighbourhood, or target area. If individuals or groups, who disagree with decisions or interventions that are being made, are left out of the process, they will block or retard development. They must be incorporated and areas of conflict handled early and sensitively to ensure a positive consensus.

Fifthly, an understanding implicit in this paradigm, is that people lacking economic independence may be seriously deprived in terms of certain human needs but have considerable ‘wealth’ or **‘human capital’** in others. Examples are local know-how, a strong neighbourhood network, an organised leadership, and skills of all kinds. Furthermore, they have material assets, even if limited, such as informal houses, building materials, means of transportation, household goods, and perhaps most significantly, occupation of land. All these are viewed as real **assets** which can and must be harnessed and built on.

Voluntarism

Voluntarism is a core value and basic principle and is crucial in every part of this model.

Voluntarism here does not mean what it commonly does: assistance without financial reward in a development programme by people outside the community involved. It means engagement by community members in activities aimed to be of benefit to the broader community—without financial reward. It is conceived within a broader aim of increasing independence—if growing self-sufficiency is the sign of human development, its early stimulation is a primary principle. Thus it is intended, in the first place, to encourage people who may be unemployed, uneducated, without hope of a future and who may have a very negative self-image, to believe that they have something to contribute and that they can do something for themselves and/or the community. Secondly, the idea is to engender a commitment to being an active citizen, assuming responsibility and leadership in the life of the community and working for the general good. The notion is applied both to the individual and to the community as a whole.

Sustainability

Empowerment/Self-reliance

Development becomes manifest when people are sufficiently empowered to become self-reliant: in dealing with problems, asserting rights, electing leadership, making sustainable livelihoods which enable them to support their families and improving their conditions for a QoL.

To this end, a number of features of the programme are essential:

- Full **participation** in the formulation and acting out of all strategies, decisions, initiatives and spatial interventions
- **Training** in leadership, management, organisation, evaluation, conflict resolution as well as many allied skills

- A gradual **hand over** of the Operation and Maintenance (O&M) of the facilities and programmes that are initiated
- Encouragement of active **voluntary participation** in the development process
- **Support** for local social and business initiatives.

Sustainable Neighbourhoods

The SN concept contains both the ideas of human development and of sustainability. SNs are managed by an Intermediary working on behalf of a Local Authority (LA) to upgrade and manage a neighbourhood according to the mandate of the LA, but not restricted to it alone, as partnerships are established with provincial and national government and other parties to implement neighbourhood specific Community Action Plans (CAPs).

The term **‘Neighbourhoods’** is used to denote a specific small geographic area of 20,000–50,000 residents where a programme operates (an area-based approach), and it also captures the sense of community pride, cohesion and local ownership that are so important for healthy community development processes.

Why **‘sustainable?’** Perhaps the terms ‘developmental’ or ‘improving the Quality of Life’ are more central to the heart of the approach. But even deeper is the need to build something ‘sustainable’ in communities beyond the timeframes of funders, politicians, municipal staff and individuals. Developing a sustainable approach is critical to the longer term socio-economic development of marginalised communities. ‘Sustainable’ means deep and wide roots have been grown and woven together between partners so that there is interdependent strength that is difficult to break. Long-term financial sustainability is also central to the programme approach—to create and develop facilities and systems that are affordable and will pay for themselves beyond years of tight municipal budgets,

decision makers who can divert funds away from sustainable developments or patronage.

Sustainability issues emanate from the South African Constitution. SA's Constitution envisioned developmental local government that includes citizen participation and helped to improve the QoL of citizens—core issues in the SN approach. The Bill of Rights in the Constitution is also very concerned with human dignity, equality and QoL issues. Chapter 7 outlines the objectives of local government:

- *‘To provide democratic and accountable government for local communities*
- *To ensure the provision of services to communities in a sustainable manner*
- *To promote social and economic development*
- *To promote a safe and healthy environment and*
- *To encourage the involvement of communities and community organisations in the matters of local government.’*

And further in Chapter 7, it outlines the ‘developmental duties of municipalities:

A Municipality must structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community ...’

Success in the programme, to a large extent, is measured from the level of sustainability, ‘especially in the area of O&M of facilities on an area-based level’. Sustainability is understood to include spatial development, community skills and cohesion, improved safety, an improved local economy and financial sustainability.

The core elements of the SN approach are:

- Comprehensive, integrated, area-based community development to create safe and integrated communities
- Social capital development to increase social cohesion
- Area-based focus and management model
- Being community-based
- Sense of pride and ownership by local community
- Partnership between LA and local residents, and also including donors, civil society and private sector
- Fundamental, regular, systemic use of public participation structures and methods
- Voluntarism
- Community Delivery of Services
- Improving QoL for people in practical ways
- Developmental approach
 - Capacity building for public participation structures and processes
 - Opportunity progression from volunteer activity, basic training, targeted voluntarism, specialised training and leads to further stipends and ultimately to employment opportunities
 - Skills training
 - Mentorship
- Financial sustainability of facilities
- Focus on shared (public) spaces first
- Communalisation versus privatisation.

The SN approach is developed for low-income areas with high unemployment.

- It will create opportunities for local small businesses in construction, security, metalwork, landscaping, cleansing and other sectors as well as helping Small, Medium and Micro Enterprises (SMME) gain access to reasonably priced premises in busy areas, business training and mentoring, savings from bulk buying and experience increased security
- SN promotes practical bottom-up economic development. SN provides opportunities for the NGO/CBO sector to benefit from networking, coalition building and capacity building, as well as gain access to better facilities for offices or events, different sources of funding, and creating stronger links to government departments
- The SN approach has a strong ability to mobilise and develop social and human capital (skills development)
- Interdepartmental and intergovernmental cooperation is required in small practical projects at an area level, so SN has the ability to positively impact institutional change towards practical integrated development
- If the programme is well-managed, then the tangible outcomes (facilities and stronger community groups) result in perceptions of positive change
- An overall SN development has good potential to positively impact socio-economic development in a poor community.

If effectively implemented the SN approach will be able to demonstrate its potential to start to turn around significant social and economic challenges in South Africa's townships.

PROGRAMME FOCUS — SAFETY AS A PUBLIC GOOD TOWARDS SUSTAINABLE NEIGHBOURHOODS

The focus of the model is the improvement of safety. Insecurity severely affects the QoL of a community: by making it fearful and defensive, reducing the freedom with which people can use public spaces, impacting negatively on the exercise of business and deterring new economic investment, drawing into it the young and unemployed—and so on. Thus, tackling insecurity and crime is **synergic**. It demands engagement with a very wide range of human needs and opens the way for development in many directions. It is also free of political encumbrances and everyone agrees that that it is a problem.

Social Crime Prevention context

Overall, South Africa's crime situation has improved steadily over the past decade. Since 2003/4, when total crime levels peaked in South Africa, the overall crime rate has decreased by 27%. However, the latest crime statistics released by the South African Police Services (SAPS) in September 2012, underlines the concern that crime is at a serious level with 2.14 million cases of crime recorded in South Africa in 2011/12, of which 313 387 cases (14.7%) were recorded in Cape Town during the same reporting period.

(CoCT 2013 with thanks to Janet Gie)

The link between crime and the various forms of exclusion is direct, (*see section II Social Crime Prevention*) and is very clear in many South African situations. A clear example is Khayelitsha Cape Town. The following map shows how deficits in public infrastructure and accessible resources are particularly high in the Khayelitsha area (C) with a deficit of 33 facilities including libraries, schools, and recreational sites. The combined total of deficits in all other areas is 43, showing how poorly resourced the Khayelitsha community still is.

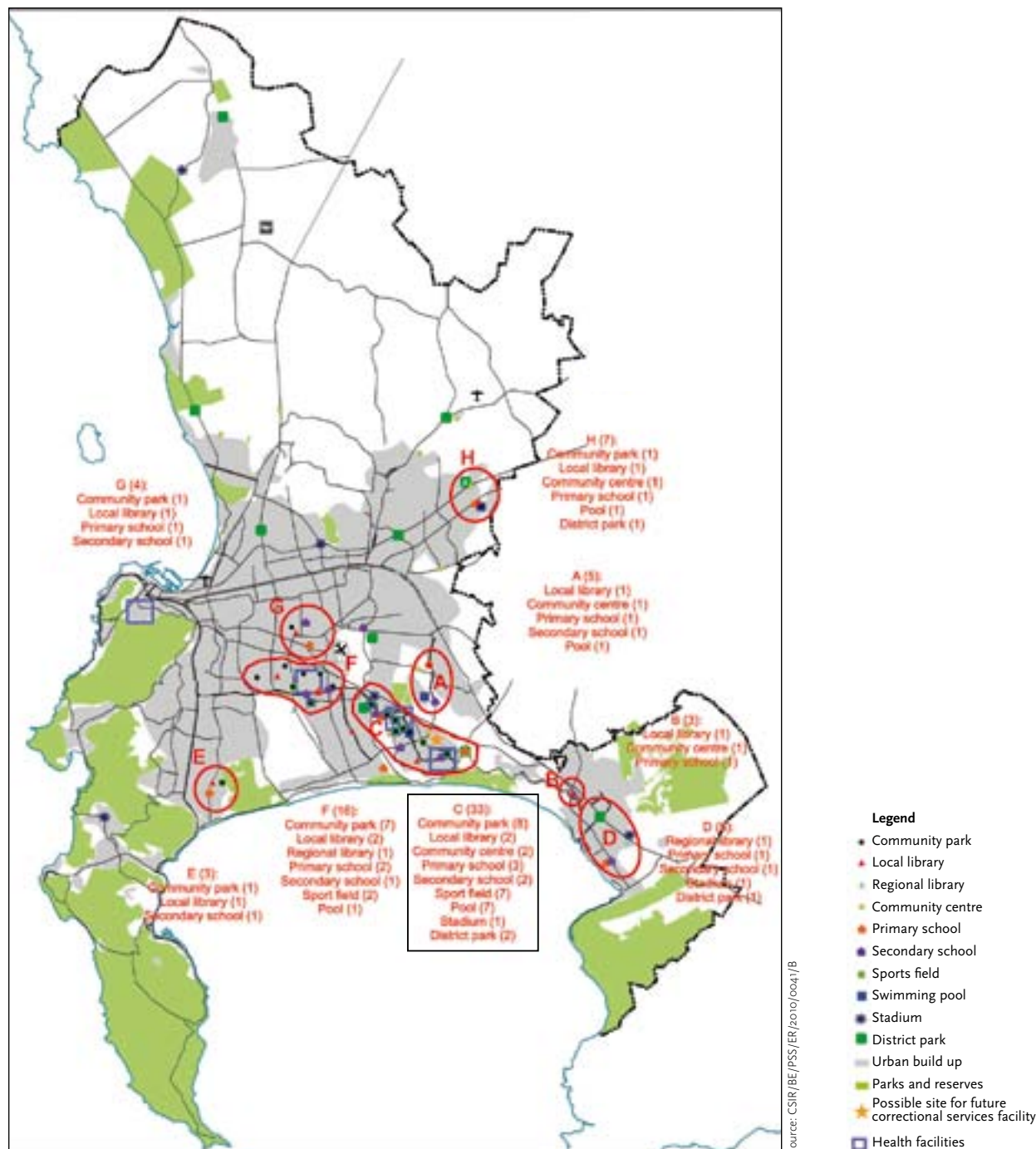


Figure 1 Needs assessment of public facilities to meet CoCT standards of public facility provisions 2010

Source: CSIR/BE/PSS/ER/2010/004/B

Important conceptual foundations

A 'violence prevention model' has been developed, based on local and international best practices including the UN-Habitat Safer Cities Programme, the World Health Organisation (WHO) public health approaches that agree on the need for integrated and comprehensive crime and violence prevention strategies, using a range of policy and programme tools from traditional legal and criminal justice, public health, urban planning and management approaches.

Four particular elements are woven together on a neighbourhood level:

- **Prevention**—The public health or life cycle approach aims to assist and enable a healthy and less violent community within the SN. It does so by supporting targeted interventions over the whole cycle of human life, from Early Childhood Development (ECD) to adult employment and income-generating activity
- **Cohesion**—puts the local assets, linkages and developmental potentials within a community in the centre of the development. The **community-based social capital** is key for the development of the area through participatory community processes and partnerships with communities to deliver services within the programme area. It is also essential in the support of on-going Operation Maintenance and Management of the public realm and facilities in the programme area
- **Protection**—combines planning efforts by the LA and other state institutions with community-based protection measures. This includes the local application of policy frameworks such as **Crime Prevention through Environmental Design (CPTED)** measures, linkages between volunteer popular protection systems i.e. Neighbourhood Watches (NHW) and the access to justice for residents

- **Research**—describes Knowledge Management efforts to enable evidence-led development processes, capacity building, sharing of knowledge and the ability to replicate and mainstream tested and proven interventions and processes.



Figure 2 VPUU Strategy

The theoretical framework for dealing with crime in this model essentially builds on environmental criminology on criminal patterns within particular built environments (Brantingham and Brantingham, 1981). It is based on the important role of 'the place' or the environment in shaping crime.

Source: VPUU, 2015

Environmental Criminology

This is the study of crime, criminality and victimisation in relation to particular places and in the context of people's normal movements through those places in the course of the day, week and year. It works on the assumption that normal activities strongly shape crime patterns of both the offender and the victim or target (Brantingham and Brantingham, 1993). This assumption is based on rational choice and routine activity theories that are mutually supportive. The rational choice perspective suggests that offenders will select targets and define means to achieve their goals in a manner that can be explained (Cornish and Clarke, 1986). It seeks to understand what motivates an offender and how the offender makes crime and decision choices. It is based on the assumption that the target selection process is influenced by cues emitted by the environment. A rational choice perspective can be used to develop testable propositions describing crime events and offender behaviour (Clarke and Felson, 1993).

Routine activity theory is rooted in the premise that, for an offence to occur, there must be a convergence of time and space of three fundamental elements (Cohen and Felson 1979; Felson 1986, 1994):

- Motivated offenders
- Suitable targets and
- Absence of a suitable guardian to prevent the crime from happening.

A routine activity theorist will therefore focus on the behaviour of the targets, and the possible absence of controllers, whose presence could have prevented the offences from taking place. Controllers are guardians, handlers and place managers, e.g. owners of places or people acting on behalf of the owner.

This formulation led to the original problem analysis triangle, with the three sides representing the offender, the target, and the location, or place (see

Figure 3). By directing attention to the three major components of any problem, the triangle helps to ensure that the analysis covers all three. The intention of this theory is to reduce the combination of these elements which will therefore reduce the likelihood of offending.

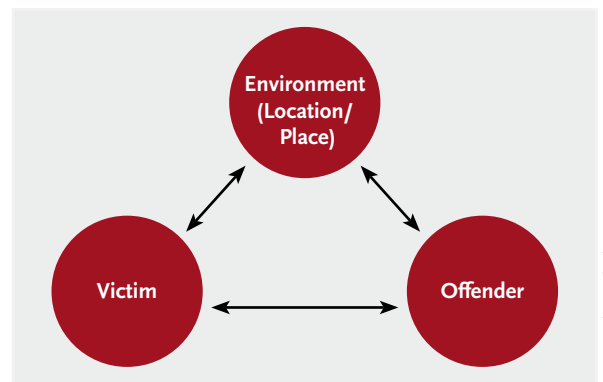


Figure 3 Problem analysis triangle

The methodological approach is based on the crime triangle which has been adopted internationally as a key framework of analysis. The methodology describes a participatory, research-led and evidence-based process, which assesses the status quo of a neighbourhood and develops an integrated local area strategy (**Community Action Plan**) that guides development for communities and the public sector during implementation. A SN is achieved once O&M are financially sustainable, and provide local employment opportunities over a long period (see Figure 6).

Urban design interventions aim at dealing specifically with the environmental component of the triangle in conjunction with interventions targeted at the victim and the offender. The aim is to achieve this through capital investment in the public domain, in particular to upgrade the environment, providing economic opportunities and achieving SNs. Simultaneously potential victims and offenders are targeted through social crime prevention, capacity building, and conflict resolution.

While the analysis triangle shows the interrelations between the key elements of crime, the next step in crime analysis is to explain how offenders find suitable targets—by using the concept of activity spaces.

The concept of activity spaces

The concept of activity spaces developed by Brantingham describes how offenders find their targets in the course of their daily routine and their normal business (e.g. going to and from work, school, shopping or socialising). These are most concentrated at locations of activity identified as nodes. Crime might therefore occur along each of the paths. Some crimes are more likely to occur at edges, i.e. the boundaries of areas where people live, work, shop, or seek entertainment, because they are places where people coming from different neighbourhoods and who do not know each other come together (Clarke and Eck, 2005).

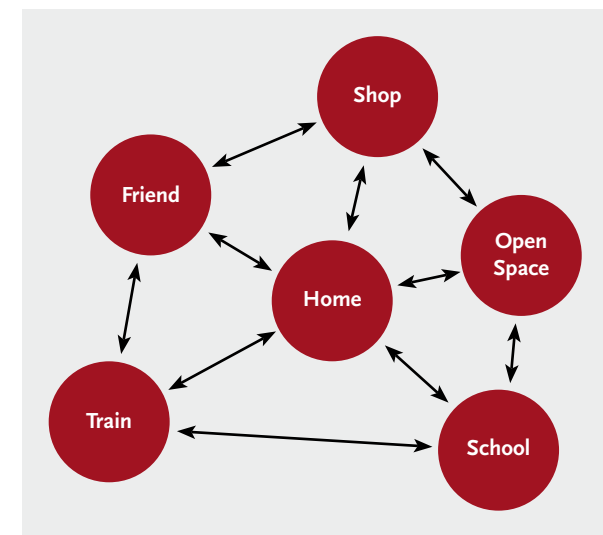


Figure 4 Linkages diagram

The approach proposed takes cognisance of the concept of activity spaces (see Figure 4). The linkages between the different places are clarified by a baseline survey and participatory crime mapping, and through the analysis of the crime patterns. This theory pays

specific attention to the geographical distribution of crime and the daily rhythm of activity. Specific kinds of crimes can be related to commuter flows, school children journeys, stores closing hours, and any other process that moves people between nodes and along paths. Knowing these patterns allows the allocation of safety measures to specific places and at specific times.

PROGRAMME COMPONENTS

The overall crime prevention strategy is based on five spheres of intervention: Situational, Social and Institutional Crime Prevention, Community Participation and Knowledge Management. (Figure 5)

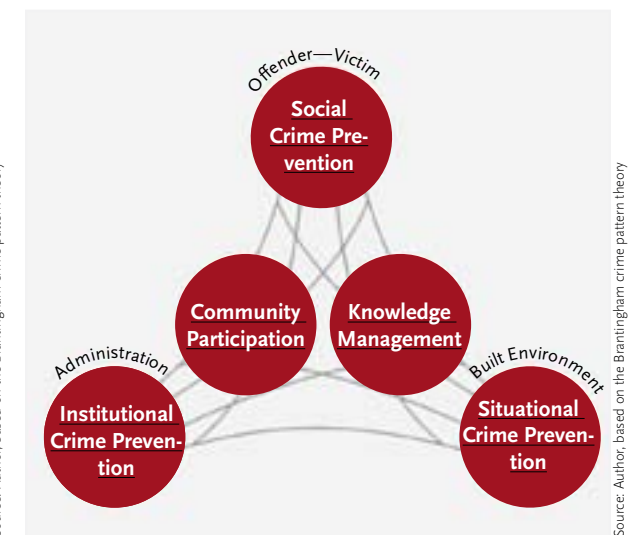


Figure 5 VPUU concept

Infrastructure development—construct safe public spaces

This includes the construction of safe pedestrian walkways, small neighbourhood buildings, sport facilities, parks, cultural facilities, libraries and business prem-

ises. All buildings are multifunctional. In informal settlements, essential services such as toilets, water taps, stormwater and access tracks are constructed.

Social development—support for victims of violence and preventing people from becoming victims

This includes connecting Community Police Forums (CPFs) with networks in gender-based violence, free legal advice on civil matters, the setting up of a Social Development Fund (SDF) and of ECD programmes.

Institutional development—Community Delivery of Services (CDS), training and mentoring

Community-based groups and people are assisted in looking after and managing the facilities provided. Training of groups, mentorship of the groups and access to opportunities are key elements.

Community Participation—partnerships in development

For each area, a Community Action Plan (CAP) is drafted in cooperation with the community. It defines short, medium and long term interventions. Partnerships are formed to assist in the implementation with city, provincial and national departments, local development forums, the NGO sector, private business and international organisations.

Knowledge Management—Monitoring and Evaluation (M&E)

An efficient Knowledge Management system is being developed to ensure that impact is measured and that knowledge gained and lessons learnt are shared with the relevant stakeholders.

The success of crime reduction lies in the interaction and integration of all these elements.

PROGRAMME PARTICIPANTS

Partners in the process

The process assumes three major partners in the process—the **Community**, defined by a particular neighbourhood with clear spatial and social boundaries, the **Municipality** and an **Intermediary**, which acts as the driver of the process and as a neutral between the other two. As will become clear, many other partnerships are formed in the process, but these are the three main ones.

The Community

The Community is that of the neighbourhood in which the programme operates, generally small in size, and the willing subject for a development process. It may be represented by a leadership in one or more elected structures, and also by various stakeholders within it. However, in terms of the broad ethos which has been outlined, it will be expected to play a role, as a whole, in informing the direction of the process, in defining the priorities and goals and in making decisions about almost every aspect of the process. The Community constitutes the main pillar of the social capital within the process of the area-based upgrading approach. As part of the methodology, a representative leadership group is formed and capacitated to act as an inclusive leadership group for the residents of the project area and community partner in the VPUU methodology.

The Municipality

The Municipality is the LA mandated by the constitution to maintain, develop and provide on-going services for all the communities within its sphere of authority. The LA needs to provide a level of staffing resources to enable the successful process. The ability to be open to participatory processes is a key requirement along with a connecting point with the Intermediary at a high enough administrative and political

level to allow the establishment of a transversal team of decision makers (core team on Director level) to ensure that the area-based approach is embedded in the operations of the LA. Secondly the core team is required to support and allocate financial resources to enable the delivery of the methodology and interventions linked to the Integrated Development Plan (IDP).

The Intermediary

As dedicated facilitator/mediator

The Intermediary is appointed by the LA and/or the Provincial Administration on whose behalf it acts.

In the SN approach an **Intermediary** plays the role of dedicated **facilitator/mediator** between the Public Sector and communities where it is active, and between other key stakeholders such as NGOs and the private sector. Using a comprehensive SN approach requires a great deal of effort to gain appropriate support and then coordinate and integrate between various departments and spheres of government—it is true integrated development, in the spirit of the government's integrated development approach. The SN approach also requires dedicated staff to manage public participation processes and community involvement, which is critical to the success of the programme. Having a dedicated Intermediary is important to the SN approach because of the following advantages:

- **Integrated insight:** On one hand the **Intermediary** can provide a consolidated report of community matters and on the programme's progress for the LA. On the other, it is well-placed to convey to the community, in a coherent way, issues which come from a number of different municipal line departments. This helps to minimise conflicts of information

- **Focus:** The focus of the Intermediary is on one main task—implementing the SN programme. This makes it possible to concentrate on that task without being pulled into many other factors that minimise the effectiveness of the SN programme, such as: preconceptions, power dynamics and political challenges
- **Building trusting relationships:** The SN approach requires spending time with all the stakeholders in processes that build trust and deliver results—municipal staff often do not have sufficient time for extensive community processes and relationship building
- **Perceived neutrality:** An Intermediary from outside the LA and outside of community structures is able to be effective because it can work creatively around blockages without carrying perceived baggage as belonging to a particular group. The neutral position also enables the Intermediary to manage and mediate conflict, which is essential in a programme with high levels of community engagement, and that utilises resources which powerful people want to shape to their advantage.

Key mediator roles:

Effective coordinating and alignment structure

The Intermediary meets with a core team on Directors' level of the LA regularly and addresses issues pertaining to all line departments. Its effectiveness will derive from its ability to make links and to help unlock and give focus to resources in synergistic ways.

Via its connections with a representative community leadership structure (Safe Node Area Committee – SNAC), it will be able to report feedback from the LA about programme-related matters. At the same time, it will be in the position to understand the needs and issues of the community and can help to translate them into issues with which the LA can engage.

Drive planning, implementation and operations for the Local Authority

The Intermediary can present the LA with a package of plans for an area and constitutes a single entry point for planning and for O&M. This assists the LA in meeting its mandate of extending, transforming and improving services. The Intermediary provides the same singular entry point for programme-related matters to the community, from the inception of the programme until its final phase. It will be able to translate government policies, practices and intentions into practical implementation issues, thus stimulating developmental local government.

Innovative thinking

‘Out of the box’ thinking and acting are possible as the Intermediary is not within one line department and can have various sources of input including budgetary allocations from outside the LA. Because of its expertise and also its own funding resources, the Intermediary can generate very positive initiatives in the community. The Social Development Fund is the best example of this, whereby local projects are agreed on between the Intermediary and the community, in order to implement elements of the CAP. Additional job and tender opportunities for residents within the programme area related to it, helps give the LA credibility.

Establishing credibility and relationships with a wide range of people and institutions

On one hand, the Intermediary attracts outside support and funding for the area-based approach, and on the other, establishes links with the NGO sector, with private business and with other role players with an interest in the approach.

Managing and mediating conflict

In the LA, the Intermediary mediates between the interests of different line departments. In the process of community participation, leadership training and so

on, it will play the same mediating role in many situations of difference and conflict.

Managing funds intended for the programme

Management of Disposition Fund – funding from outside support agencies and other supporters.

Independence of election cycles

Because of its independence of election cycles, the Intermediary leverages political support from within the LA around key issues. It operates in transition phases based on mandate as stipulated in the Service Level or Management Agreement. It draws political support from within the community for some key issues and acts as a knowledge hub to ensure consistency in messages and approaches

Potential to provide a coherent communication strategy

In cooperation with a municipal communication unit, it would aim to develop effective communication strategies for disseminating information.

(For the institutional arrangements between the Intermediary and the Local Authority, see section III, Part C, Tools.)

METHOD

When intervening in a community, a research-based and highly participatory methodology is used, using logical steps as shown in the elements in the VPUU methodology (Figure 6). The approach requires a significant time investment in people and healthy development processes.

METHODOLOGY

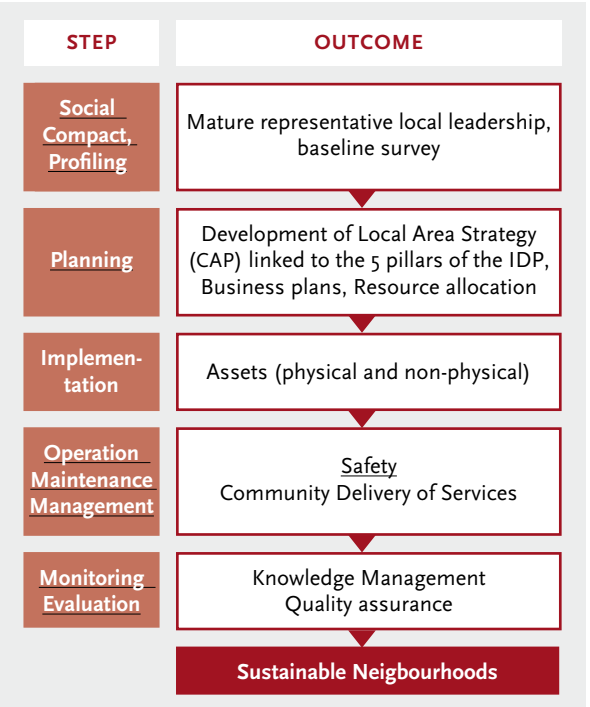


Figure 6 VPUU methodology

Social Compact

- At the beginning, the Intermediary, in an open and transparent manner, assesses existing leadership formations and stakeholders within the defined geographic area
- A representative programme committee (SNAC) is formed within the geographic area and receives structured leadership training
- The SNAC participates in the baseline survey (5–10% sample survey at household level).

Planning

- The leadership’s vision for development of the area, the outcome of the baseline survey, the assets within the programme area and the City’s development vision as per the IDP, are all overlaid and negotiated into the CAP

- Part of the CAP is the prioritising and phasing of various developments. Within the funding set-up of the programme and within wider socio-political contexts, the integrated budgeting and prioritisation of individual interventions is defined and negotiated with local communities
- Participatory design methodologies are applied to develop appropriate solutions for the relevant context. Potential user groups of a facility give advice to the professional team on design elements of the facility.

Implementation

- Individual interventions are implemented via
- Line departments, LA/Province
 - The Intermediary
 - Community groups
 - NGOs, Private sector.

Relevant skills development is done in parallel to ensure the strengthening of local capacities.

Operation and Maintenance Management

- The programme takes a large part of its benchmarking of successful implementation from the level of sustainability, especially in the area of O&M of facilities on an area-based level. This understanding of sustainability includes capital infrastructure (the spaces and facilities), the skills level within the community, social cohesion via social support, improved safety levels and economic improvements and financial sustainability.

Monitoring and Evaluation

- Throughout the development process there is ongoing monitoring on various levels and an annual review of the CAP.

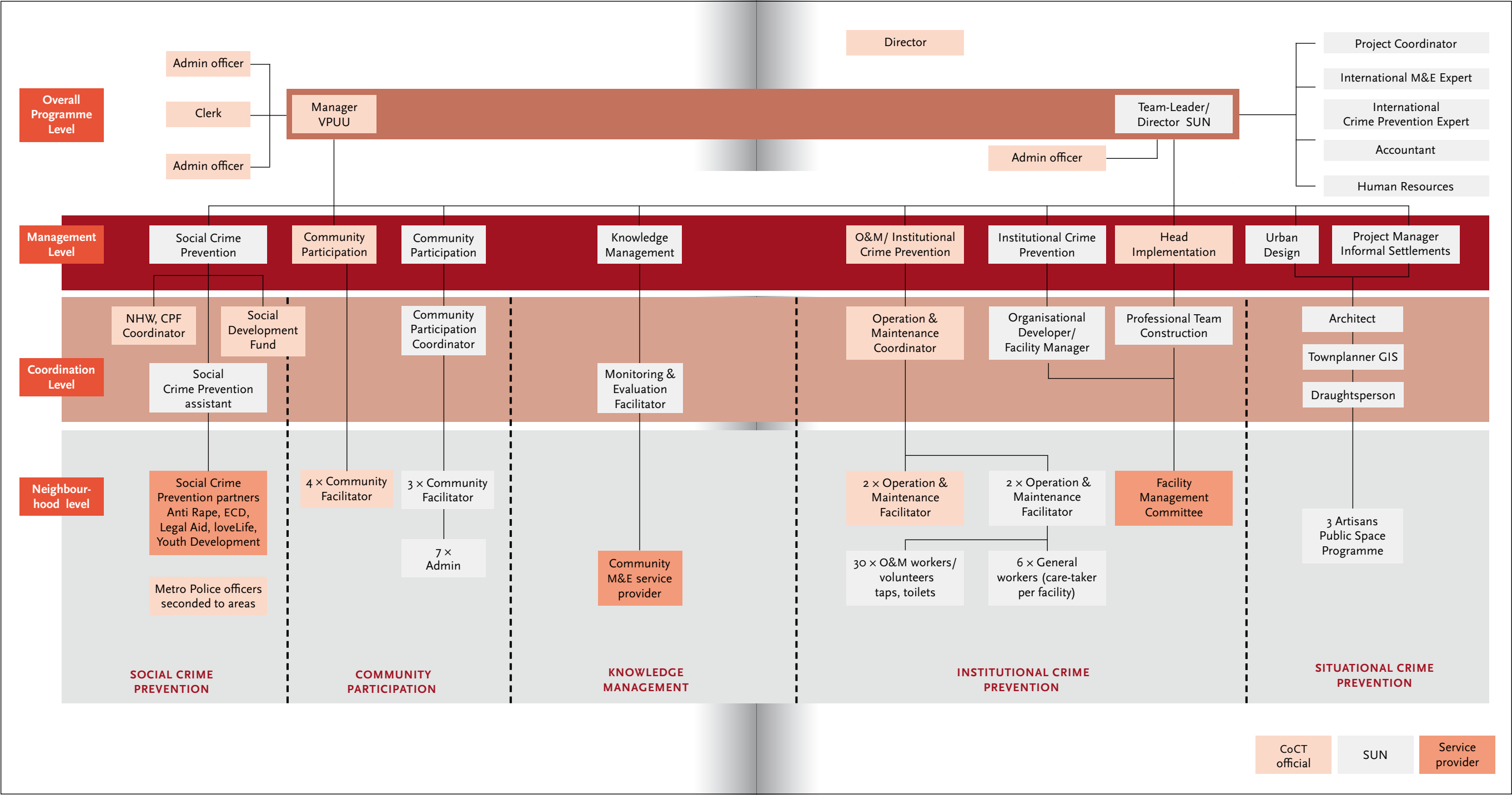


Figure 7 VPUU Organogram

TERMINOLOGY

Active Box A small, safe community building situated along major pedestrian routes. It is a key physical element in achieving the positive occupation of perceived dangerous spaces. Typically a three-storey building in a prominent location, visible from a distance, it contains generic elements such as a caretaker's flat, a room for civic patrols with good visibility over the pedestrian route, good lighting and a ground floor primary public function that varies depending on the specific context such as community facility, commercial facility, etc. It is permanently occupied and well lit at night and therefore acts as a safe place. Due to the height, the Active Boxes act as beacons or landmarks, during the day and night thus aiding orientation within an often monotonous single storey environment. The location of Active Boxes is such that pedestrians can see at least one or two other Active Boxes, thus improving surveillance. The O&M of them is typically conducted by a Facility Management Committee (FMC) or resident group from the surrounding area so that pride and ownership are promoted. Partnership with the LA, the NGO sector and private businesses is a precondition for the success of the Active Box.

Active frontage This is a term used in the document to describe a positive edge of any building facing onto the public environment, in such a way that activities in the building are arranged to relate directly to a public realm, or street, for as many hours as possible, during the day and night. Thus many windows allow many eyes to look out onto the public realm.

Baseline survey A study conducted to determine the status quo in a given Safe Node Area. The baseline survey includes:

- Existing and perceived patterns of insecurity—done via rapid urban appraisal prior to intervention
- The current business activities in the neighbourhood
- The assessment of the current town planning, land-use management and urban design work (desktop study)
- A sample survey on household level. The survey entails comprehensive input from the residents and is a key informant for a Community Action Plan — a localised area development strategy
- Quality of Life indicators.

CPTED Crime Prevention through Environmental Design. This concept aims to improve the built environment by reducing opportunities for crime through physical measures. This document uses elements of the CPTED and contextualises these elements into the South African low-income area setting, with the aim of developing SNs. Links to social, economic, and institutional elements are included in illustrating effective area-based crime prevention.

Crime and violence These terms are so often heard together that the distinction and relation between them is usefully re-stated. Crime is defined as an offence against an individual or society which is punishable by law. Violence is defined as the intentional use of force whether physical or emotional/symbolic to impose one's wishes on another person. Not all crime is violence and not all violence is criminalised. The area of overlap can be described as violent crime.

Both crime and violence are not fixed in time or culturally neutral: what is considered violent or criminal in one time or place may not be so considered in another. Therefore both the types of crime and violence, and their relative significance to the community under con-

sideration, need to be investigated and confirmed during the early stages of crime and violence prevention.

Emthonjeni This word has been coined to indicate 'a place by the water/river'. In urban design terms this refers to the small public spaces around the water stand pipes where people living in informal settlements collect water for washing and cooking.

The original term in its rural setting also suggests a place where people meet to socialise and where society is renewed and strengthened. Within the VPUU model, these spaces are seen as resources where social services can be delivered to populations who are often underserved. The first such use is to offer pre-school education and care from such spaces.

Hot spot A specific geographical space which is known to be dangerous and where repeated crimes have occurred. Related terms are also used in the document and are self-explanatory e.g. dot hot spot, hot route, depending on the perceived insecurity being focused at a spot or along a linear route.

Incident reports It is generally accepted that not only are official crime statistics somewhat unreliable, but also, and more importantly, that only a small and skewed proportion of criminal and violent incidents get reported to the police. The incident reports are easy to complete even by the marginally literate. They must help to identify the most common types of problems encountered by civic patrols, the most common perpetrators and victims.

They provide recording why and when police is called for, when and indeed, if it arrives. This information is vital in order to establish realistic expectations among volunteers of the conditions under which they can expect police response, and a time frame within which this should happen.

Spatial interface The transitional space occurring between public and private areas, sometimes also referred to as semi-public or semi-private space.

Knowledge Management Is defined as the practice of identifying, storing and distributing knowledge. In the VPUU development process, it is aimed to ensure that ideas developed, knowledge gained and lessons learnt, are organised in an accessible way, become assets that may be communicated within and outside the programme, and can contribute to improved understanding and performance.

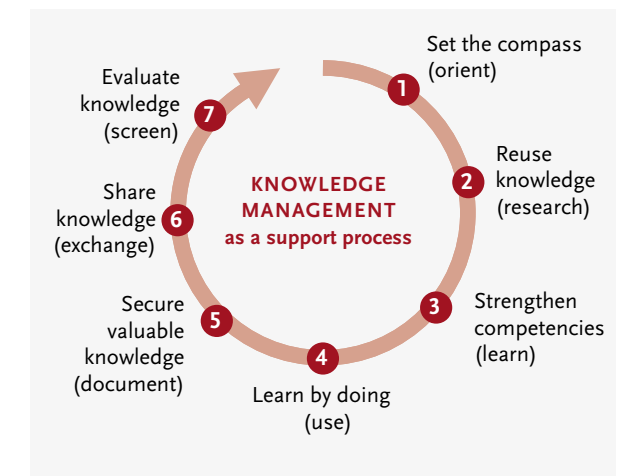


Figure 8 Knowledge Management as a support process

Live-Work Units Double-storey buildings with residential accommodation on the upper floor and commercial, manufacturing or residential activity on the ground floor. Live-Work Units are typically arranged along important public spaces or pedestrian desire lines (walkways) to 'activate' the street level or bring activities to perceived dangerous spaces and increase the passive surveillance.

Mainstreaming In this context, means identifying ideas, principles, strategies or activities which are successful in a part of the VPUU programme and using them as an essential driver in the whole programme—and beyond it. Thus, for example, a vision or a strategy or a mode of work which may have emanated in one small sector of a programme's operation, can be mainstreamed, transmitted to other levels, directing vision, strategy or work method at LA or provincial or national level. The end goal of mainstreaming would be to impact at an institutional level and to add to understanding of best practice.

Monitoring and Evaluation

- **Monitoring** means the systematic and continuous collecting, analysing and using of information for the purpose of management and decision-making. The assessment of programme implementation in relation to agreed schedules, and the use of
- inputs, infrastructure and services by programme beneficiaries. Monitoring means systematically to observe and trace the implementation of the model.
- **Evaluation** means the periodic (usually independent) assessment of programme's relevance, performance, efficiency, effectiveness and impact (both expected and unexpected) and sustainability in relation to stated objectives with a view to drawing lessons that may guide future decision-taking. Evaluation is the systematic and objective assessment of the on-going or completed interventions against previously-determined standards, and its contribution to higher level objectives.
- **Indicators** are parameters used to represent specific complex situations that are frequently impossible to measure directly. They describe the criteria by which the occurrence of a planned change can reasonably be observed or measured.

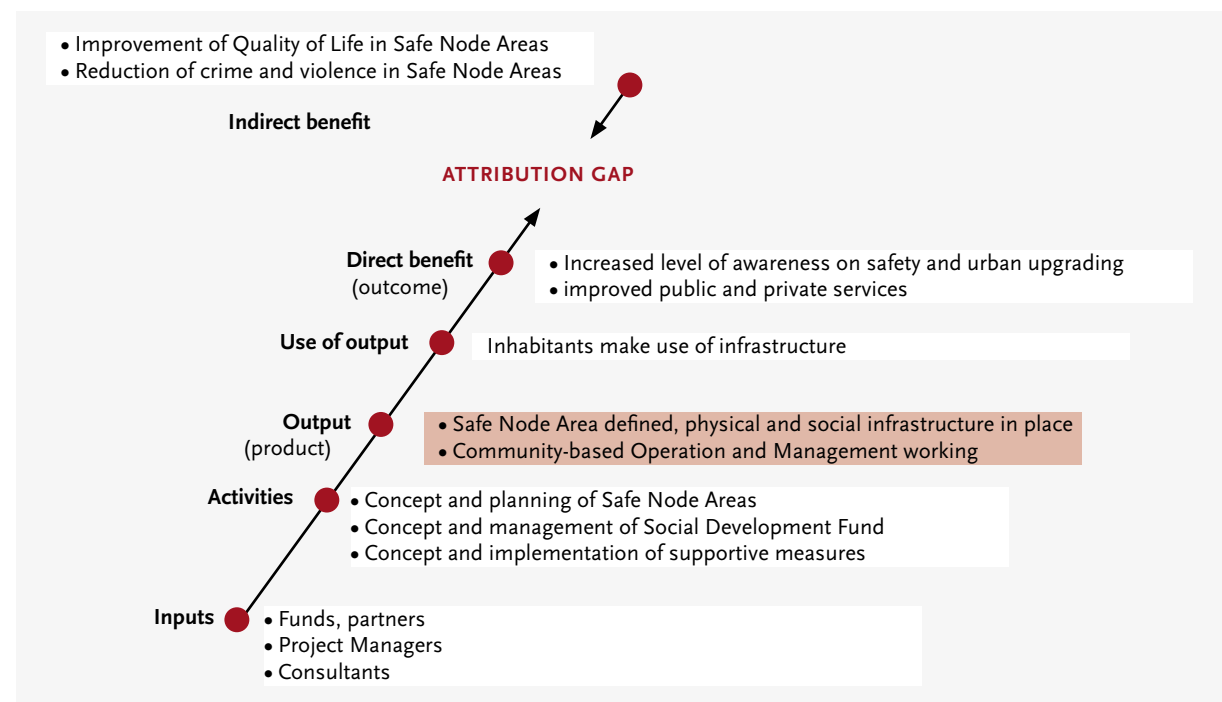


Figure 9 Result chain/Impact chain for a Safe Node Area

- **Result chains/Impact chains:** Inputs are used to perform activities that lead to the outputs of the programme. These outputs are used by target groups or intermediaries and lead to direct and indirect benefits (impacts).

Typically development cooperation programmes are evaluated against:

- **Effectiveness:** Contribution made by the programme's results to the achievement of its purpose.
- **Efficiency:** Relation between inputs and results, i.e. how well means and activities were converted into results and the quality of the results achieved.
- **Relevance:** Appropriateness of programme objectives to the real problems, needs and priorities of the intended target groups and beneficiaries the programme is supposed to address, and to the physical and policy environment within which it operates.
- **Sustainability:** Likelihood of a continuation in the stream of benefits produced by the programme after the period of external support has ended.

Owned space Is an extension of the CPTED terminology of 'territoriality' and is based on two levels—individual, whereby a private owner takes a sense of ownership of the interface between private and public spaces (control over semi-public spaces) and collective, whereby a community positively occupies perceived dangerous spaces by assuming responsibility for the surrounding public environment, by maintaining it as if it were their own, use the space for collective activities for the residents, as well as naturally having surveillance over it, thus helping provide the perception that this area is safe.

Neighbourhood Watch (NHW) and Facility Guardians (FG) Is seen as a vital component in the peaceful and lawful society of the future. NHW has two components: a mobile element and a static component which may be called Facility Guardians. The FGs task is to ensure that public facilities and open spaces are safe and are fully utilised. Both groups are volunteers, recruited and compensated as described in this manual. They operate on the basis of safety plans which should be informed by both official crime statistics and by patterns revealed through local incident reports.

Partnership Partnerships within the VPUU approach are the preferred way to achieve a comprehensive and coordinated intervention. A partnership takes work and time to develop. This needs to be understood and the necessary resources must be in place.

All partnerships are contractual. Where the Intermediary has a funding role, the contract stipulates the outputs that need to be delivered and the reporting channels and timelines. Other partnerships are based on mutual assistance and are seen as strategic partnerships. In these cases, a written Memorandum of Understanding (MoU) or Management Agreement (MA) is the basis from which to work, so that there is a platform of mutual accountability and consequences for non-delivery.

Public realm This is the area that is accessible to the general public without control or restriction, regardless of ownership.

Safe Node Area (SNA) This term means a determined geographical area (neighbourhood) the VPUU improvements are applied on an area-based approach. This leads to the creation of an environment where people experience a higher level of safety than in comparable areas. The selection of these areas is done via a public process during the feasibility study of the programme. Once the SNA has been established, a SN is envisaged.

Safety plan A safety plan is drawn up jointly by those who own, use, live near, care for, or protect a public facility or space. It identifies key risks, names a champion to ensure action is taken, sets desired outcomes and due dates. The consultative approach aims to build a culture of mutual accountability and trust. The plan is updated on the basis of regular incident reports which should be submitted by all parties. State departments often have risk management procedures which can be incorporated to promote integrated and effective safety in and around facilities.

Safety principles A basic assumption or standard used in the programme. The Situational Crime Prevention identified seven principles:

- Surveillance and visibility
- Owned spaces
- Defined access and safe movement
- Image and aesthetics
- Physical barriers
- Maintenance and management and
- Inclusive design.

Social Development Fund (SDF) Operates as a fund for small, community driven, social development projects which have as their aim the reduction of crime or violence, of poverty, and of factors discriminating against women.

Volunteer Voluntarism is a critical driver of Social Crime Prevention. Volunteers are seen as crime-resistant developmentally-oriented residents and are therefore the foundation on which the programme needs to build. The volunteer is offered a personalised contract in which services are exchanged for credits. These credits are redeemed by the Intermediary for training whether project-related or personally chosen. The Intermediary also prioritises volunteers when paid work opportunities arise.

SECTION I

SITUATIONAL CRIME PREVENTION—URBAN DESIGN

PART A:

THEORETICAL AND METHODOLOGICAL FRAMEWORK

Place-based crime prevention • CPTED • Situational Crime Prevention • The concept of owned spaces • Hot spot analysis • Baseline survey • Baseline perception of crime • On-going monitoring of perception of safety

The causes of crime are many and complex and have led to different theories focusing on the offenders, the victims and/or the role of the environment. These theories lay the foundation of a wide range of crime prevention approaches that have different focuses:

- Addressing the social roots of crime and changing the conditions that are thought to cause crime (with focus on public health and Social Crime Prevention)
- Providing a strong deterrent to crime (criminal justice) or
- Altering the environment to reduce opportunities for crime (CPTED, Situational Prevention).

While acknowledging the importance of a holistic approach, this section focuses on the theories and approaches, specifically dealing with the relationships between crime and the built environment.

Place-based crime prevention

Based on the theoretical framework outlined in the Introduction, this section builds on two major place-based crime prevention strategies: CPTED and Situational Crime Prevention.

Crime Prevention through Environmental Design (CPTED)

CPTED is a well-documented set of practices and procedures. CPTED advocates that proper design and effective use of the building environment will lead to a reduction in the incidence of crime and the fear of crime (Geason and Wilson 1989, Clarke, 1989). CPTED builds on the notion of ‘defensible space’ developed by Oscar Newman, (1973) that focuses attention on reassigning the perceived ownership of residential space. The focus is much larger than the public housing venue, in that it extends across all land-use categories.

The fundamental principles embraced by CPTED theorists are nearly identical to those of Newman (territoriality, natural surveillance, boundaries definition, image and milieu) except CPTED places more emphasis on maintenance.

This section develops the principles in the specific context of townships (low-income, predominantly residential areas). The urban design principles on a SNA have been developed, based on the principles of CPTED as well as on its South African modifications done by the Council for Scientific and Industrial Research (Kruger, Landman, and Lieberman, 2001).

Situational Crime Prevention

Situational Crime Prevention, as defined in the literature, extends the boundaries of both the notion of ‘defensible spaces’ (owned spaces within VPUU and CPTED) beyond the physical environment and incorporates management and use issues. It seeks to reduce crime opportunities by increasing the associated risks and difficulties, and reducing the rewards (Clarke 1997).

Situational Crime Prevention

- Is shaped by routine activity theory and rationale choice theory. It is directed at specific forms of crime because different offences are the result of different opportunities and require specific interventions
- Is based on opportunity-reducing techniques ranging from physical barriers, assisting in natural surveillance and utilising place managers, to more sophisticated means of formal surveillance (including CCTV)
- Involves management, design and modification of the built environment on 3 levels—neighbourhood, precinct, and facility—in order to affect the assessment made by potential offenders of the risks and rewards associated with crime. This includes land-use management, urban design, landscape design, architecture and engineering
- Makes crime more difficult, risky, less rewarding and excusable for a wide range of offenders.

The concept of owned spaces

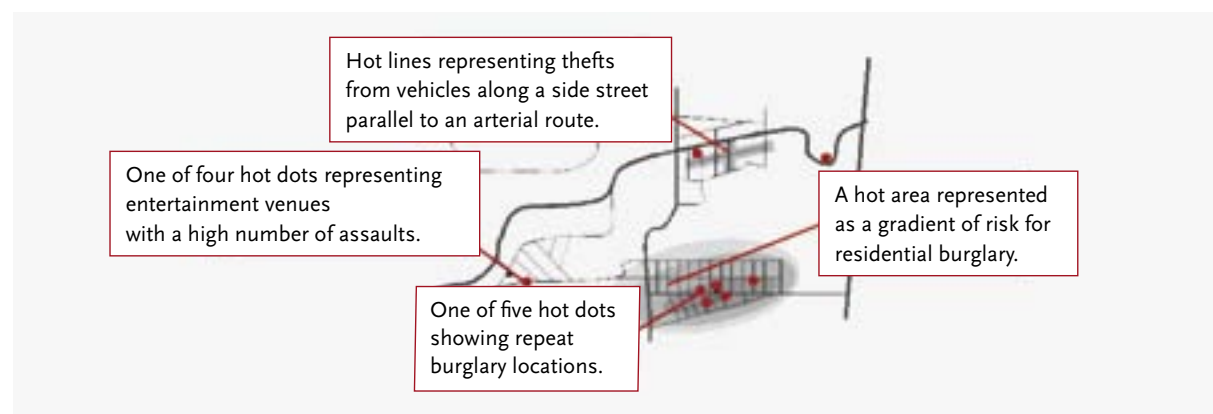
The definition of ownership referred to in this document entails much more than the delimitation of boundaries and the setting up of control and surveillance mechanisms. Owned spaces refers to a process by which communities feel concerned and responsible for their immediate and daily environment.

This includes private spaces, semi-public (transition spaces between public and private spaces) and public spaces and facilities in a defined neighbourhood. Encouraging a sense of ownership of public spaces and promoting innovative forms of community-led O&M in the form of Community Delivery of Services (CDS) are part and parcel of sustainable crime prevention strategies. The approach is based on three hypotheses:

- **First**, reclaiming of the public domain and positively occupying dangerously labelled space will reduce the opportunities for crime
- **Second**, the improvement and management of public spaces will have a positive impact on the perception of these spaces and the pride of the residents
- **Third**, involving residents in ownership and management of spaces will ensure a sense of citizenship, which in return will improve community cohesion and reduce the risks of violence and crime.

Hot spot analysis

Environmental criminology is based on the assumption that geographical distribution of offences, victimisation or offender residence is not random. The two central concerns of environmental criminology have therefore been explained in terms of the spatial distribution of offences and offenders.



Source: Ratcliffe

Figure 1 Typology of hot spots

This approach has benefited from the recent development of Geographic Information System (GIS)-based computerised crime mapping, especially in the USA and Britain. This has become an important tool in police management for identifying hot spots and assessing crime problems (Braga 2003, Clarke and Eck, 2005, Ratcliffe 2004). It is also of significant value in comprehensive planning and design matters.

Hot spots are geographical concentrations of crime where crime rates

They are locations where crime rates or victimisation rates are higher than in other areas. The hot spots approach suggests that crime does not happen evenly across urban spaces; rather it is concentrated in a smaller number of places that generates a large number of crimes. In many cities a relatively small number of places account for disproportionate numbers of crimes (Sherman et al., 1989).

Over time, the notion of hot spots has been refined, and several ways of categorising and understanding hot spot formation and its impact have emerged. One such typology is suggested by Clarke and Eck, (2005). According to this typology, hot spots are characterised in terms of the social/criminological factors that tend to be associated with one of the three types—crime generator, attractor, enabler (Table 1) and their geographical characteristics—dot, line, area (Table 2). These two categorising systems of hot spots can be applied to any identified hot spot, although it is common that a hot spot will have characteristics from several categories (Figure 1). Each category of hot spots relates to a specific action level and to measures that can be taken (Figures 1 to 4 and Table 2).

Baseline survey

Hot spots are identified during the baseline survey process (see section V). The surveys are conducted in

Hot spot type	Examples	Likely cause	Type of response	Questions to be answered
Crime generator: Places to which a large number of people are attracted for reasons unrelated to criminal motivation. The large number of crime or disorder events is due principally to the large number of place users. Such places provide a large number of opportunities for offenders and targets to come together	Shopping areas, transportation hubs, social or sporting events	Many unprotected targets	Increase protection	In what circumstances are the targets vulnerable? How can vulnerability be changed?
Crime attractor: Places affording many criminal opportunities that are well known to offenders People with criminal motivations are drawn to such places	Prostitution, drug areas, entertainment spots allowing 'deviant activity'	Attracts offenders	Discourage offenders from coming	What is attracting offenders? How can this be changed?
Crime enabler: Occurs when there is little regulation of behaviour at places Rules of conduct are absent or are not enforced	Removal of caretaker from sports grounds, lack of adult supervision at children's playgrounds, lack of place management	Erosion of controls	Restore guardianship, handling and place management	Who could control behaviour? How can they be encouraged to exercise control?

Table 1 Categorisation of hot spots according to social and criminological factors

Source: adapted from Clarke and Eck 2005: Chapter 17

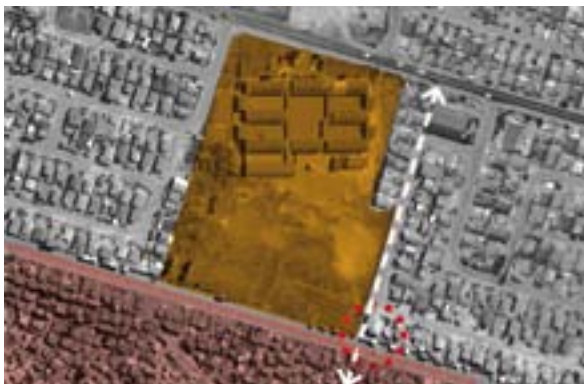


Figure 2 Hot dot—
Pedestrian walkway next to Luleka School, Harare

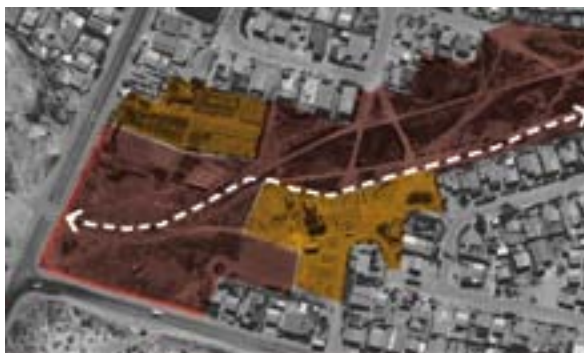


Figure 3 Hot route—
Pedestrian walkway through Harare Peace Park

a participatory process through meetings and workshops. The location of dots (marking dangerous places), profiling victims and offenders, identifying most dangerous times and places of priority crimes are included in the baseline survey. (Figures 5 to 9)

The baseline survey reflects the perception and the knowledge of the residents regarding crime locations, occurrence and patterns. It is a qualitative account of insecurity. This data has been confirmed by police statistics at station level whenever available.

A crime map of their community helps residents identify and avoid specific areas within the neighbourhood that are believed to be dangerous by other community members, and by doing so to minimise

becoming victims of crime. It also helps to implement specific crime prevention interventions. With the help of the residents of the neighbourhood, detailed crime maps are produced for each SNA on an on-going basis from a variety of sources, including incidents by the patrolling initiative, and the household survey (HS). The information is updated on a weekly basis.

The following information is included in the maps:

- Where and when is crime or violence most likely to take place (routes, dangerous places, etc.)?
- Patterns of crime: at what time of the day and/or what day of the week does crime most commonly occur?
- Who is most likely to become a victim of crime or violence: what age, what gender, and which type of assault?



Figure 4 Hot area—Overlay of location of shebeens and hot spots in TR Section, Khayelitsha

Concentration	Hot spot type	Action level	Action examples (see principles and tools)
Places— at specific addresses, corners or facilities	Dots	Facility, corner, address	<ul style="list-style-type: none"> • Improved natural surveillance through proper design: windows on outdoor public spaces, outward orientation of activities instead of inward • Making access to the area more difficult for motivated offenders through security- oriented physical design changes (physical barriers) • Encouraging integration of uses & assemblages of activities to ensure increased hours of activity • Increasing regular surveillance by Neighbourhood Watches, patrol or police
Victims	Dots	Victims' addresses	<ul style="list-style-type: none"> • Helping victims prevent further crime through enhanced physical protection • Conducting household surveys: examining homes and suggesting physical changes, such as physical barriers and extended lighting to improve safety • Developing networks among potential victims: repeat victimisation programmes • Ensuring that the area is suitably watched by police or Neighbourhood Watches/residents patrols
Streets— along streets or block faces	Lines	Along paths, streets, and highways	<ul style="list-style-type: none"> • Creating safe pedestrian networks, changing traffic patterns, altering parking configurations • Developing housing schemes or promoting mixed use developments with active frontage to ensure casual and natural surveillance • Concentrated patrolling at specific streets • Making targets less vulnerable by encouraging more users to be present and by teaching users basic safety practices
Area— neighbour- hoods	Areas	Neighbour- hoods, region and other areas	<ul style="list-style-type: none"> • Urban upgrading programmes • Community partnerships, CDS, property owners/managers & residents • Patrols serving as the 'eyes of the neighbourhood', monitoring activity and promptly reporting problems to security guards and/or police • Involving the residents in ownership and management of spaces

Table 2 Types of hot spots categorised by geophysical criteria

This information is shared with the civic patrols and with the police, to help decide where and when patrols should take place. (Table 2)

Baseline perception of crime

As part of standard practice, a baseline survey on perception of crime is conducted via a participatory rapid appraisal methodology, with the aim of gaining knowledge about the perceptions of safety within one community. Facilitated focus groups are asked to identify geographical locations where crime occurs on large scale aerial photographs. This is done by placing dots. Each dot marks a location that is perceived as dangerous, due to the identified crime associated with it—the more dots in one area, the higher the perceived danger of people in this specific space.



Figure 5 Distribution of crimes as per baseline survey for Site C, Khayelitsha

No.	Location	Description	Hot spot type
1	Linear area on North Eastern side parallel to N2	Informal settlement	Hot area
2	Area within area 1	Pedestrian bridge over N2	Hot spot
3	Area at intersection Thembani, Lansdowne Road	Road intersection	Hot spot
4	Road linking Thembani with area known as Taiwan	Main pedestrian walkway	Hot route
5	Area around transport interchange	Taxi rank, train station, trading area	Hot area
6	Transport intersection Mew Way/ Lansdowne Road	Road intersection	Hot spot
7	Walkway Nolongile Station towards North	Main pedestrian walkway	Hot route

Source: GIS Section CoCT

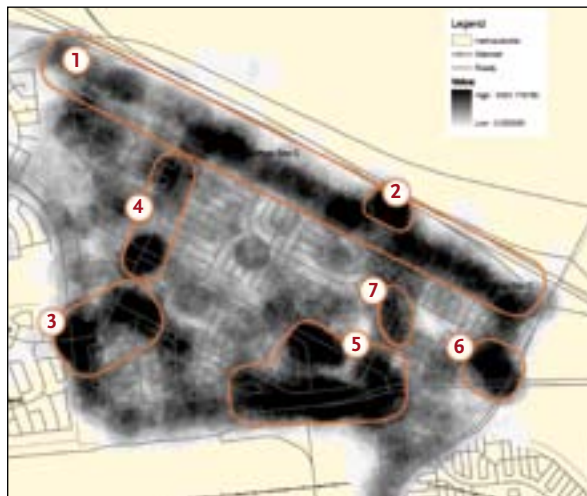
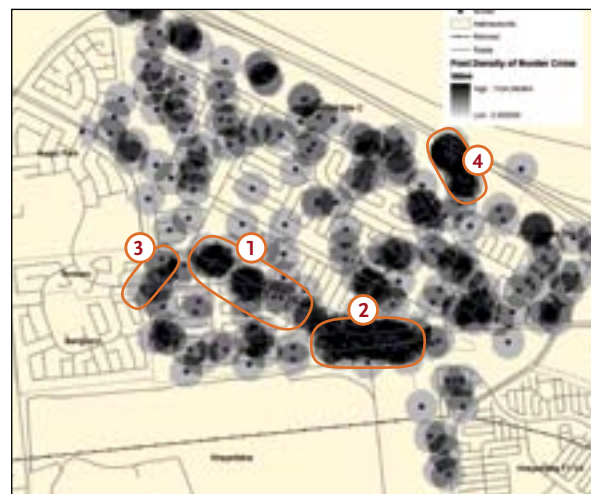


Figure 6 Point density map all crimes as per baseline survey in Site C

Figure 6 illustrates the same information as Figure 5 according to the point density methodology for all types of crime reported during the focus group workshops. The map shows areas in which crime is perceived to happen—the darker the areas the higher the perceived rates of crime. There are certain dark areas

No.	Location	Description	Hot spot type
1	Area along Njongo Ave.	Main pedestrian walkway	Hot route
2	Pedestrian bridge over N2	Pedestrian bridge over N2	Hot spot
3	Area at intersection Thembani, Lansdowne Road	Road intersection	Hot spot
4	Area around transport interchange	Taxi rank, train station, trading area	Hot area



Source: GIS Section CoCT

Figure 7 Point density map priority crime—Murder in Site C

that are identified as crime hot spots. Table 2 lists the areas and types of hot spots.

Figure 7 illustrates the point density map for murder in Site C. The pattern of hot spots can be described as some dots around specific physical infrastructure locations (pedestrian foot bridge over N2, transport interchange, road crossings) and one hot route (Njongo Avenue).

No.	Location	Description	Hot spot type
1	Transport interchange	Houses in close proximity to station	Hot area
2	Area along N2	Informal Settlement	Hot area
3	Section North of Solomon Tshuku Road	Residential area	Hot area
4	Section between Solomon Tshuku Road and Lansdowne Road	Residential area	Hot area



Source: GIS Section CoCT

Figure 8 Point density map priority crime—House breaking in Site C

Figure 8 illustrates the point density map for house breaking in Site C. The pattern of hot spots can be described as almost evenly spread across the whole area. This makes the whole area a hot area. Informal areas and the transport interchange seem to be hotter than the other areas.

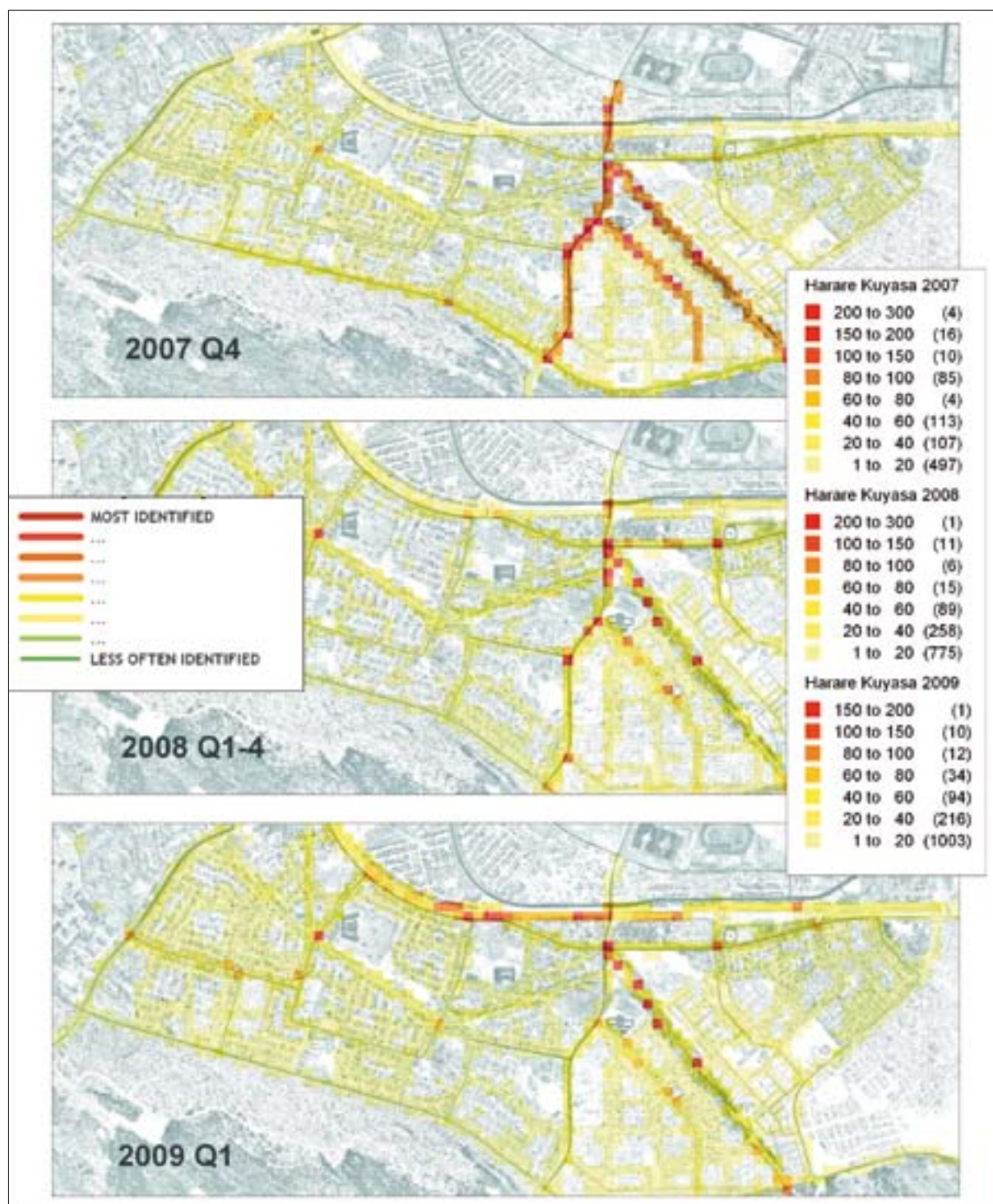
No.	Location	Description	Hot spot type
1	Pedestrian bridge	Bridge over N2	Hot spot
2	Area at intersection Thembani, Lansdowne Road	Road intersection	Hot spot
3	Area around public building	Municipal offices	Hot spot
4	Intersection Mew Way, Lansdowne Road	Road intersection	Hot spot
5	Area around transport interchange	Taxi rank, train Station, trading area	Hot area
6	Walkway between transport interchange and pedestrian bridge across N2	Walkway	Hot route
7	Walkway between sport fields	Walkway	Hot route
8	Walkway along Maphongwana Avenue	Main pedestrian walkway	Hot route



Source: GIS Section CoCT

Figure 9 Point density map priority crime—Robbery in Site C

Figure 9 illustrates the point density map of robbery for Site C. The pattern of hot spots can be described as some dots around specific physical infrastructure locations (pedestrian foot bridge over N2, transport interchange, road crossings) and hot routes along major pedestrian routes.



Figures 10–12 Perceived dangerous routes 2007, 2008, 2009

On-going monitoring of perception of safety

One of the ways to monitor the changes in perception of safety is a weekly HS conducted by a group of local residents from the relevant areas. The HS constitutes a representative stratified sample of the residents of a neighbourhood.

Figures 10 to 12 illustrate the answers to which routes are perceived as dangerous for adult pedestrians for the period October 2007 until March 2009 in the neighbourhoods of Harare and Kuyasa. The more often a route is mentioned as perceived as unsafe for walking, the darker the colour on the map.

PART B: PRINCIPLES

Surveillance and visibility • Owned spaces • Defined access and safe movement • Image and aesthetics • Physical barriers • Operation, Maintenance and Management • Inclusive design

In response to the CPTED and Situational Crime Prevention theories outlined previously, this section presents seven safety principles illustrating how design, management and use of space can contribute to reduce crime and enhance the feeling of safety. Each principle is illustrated with images of positive examples in Cape Town.



Figure 13 The design of this square was based on the safety principles

Surveillance and visibility

Surveillance refers to both imposed surveillance such as the use of CCTV cameras; and natural surveillance within a street or public space.

The principle promotes the design of publicly accessible spaces that are observed, have clear lines of sight and have good lighting to provide maximum visibility. This focuses on the principle of natural surveillance in the sense of 'eyes on the street'.

As a design concept natural surveillance promotes the creation of environments where people can easily observe the space around them while carrying out their day-to-day activities.

Natural surveillance can be achieved by:

- Encouraging active frontages by the appropriate design and placement of buildings
- Encouraging street level activities in appropriate places
- Maintaining visual connections between activities (both within buildings and on streets) and the street or public space
- Keeping clear sight lines
- Multiple storey development to increase visibility
- Avoiding blank walls, dense vegetation, large car parks and vacant sites and
- Ensuring effective lighting standards for night-time illumination.



Figure 14 Play area is well overlooked by the surrounding houses



Figure 15 Natural surveillance is achieved by placing active frontages along the street edge



Figure 16 The activity rooms (kitchen and lounge) of these terraced houses are situated close to the street, ensuring easy observation of street activities

Owned spaces

Owned spaces can be achieved by:

- Land-use management processes via appropriate zonings
- Urban design framework plans
- Precinct plans and building plans.

This principle is closely linked to the principle inclusive design as the sense of ownership needs to include special needs groups such as physically or mentally challenged people, illiterate people, women and children.

Figure 19 illustrates sight distances around public buildings. The yellow line is a 50 m radius known as 'close range surveillance'—a person will most likely intervene if unruly behaviour is observed. The orange



Figure 17 Owned spaces achieved by a front veranda, small front garden, a low fence ensuring a well-defined transition from private (house) to public (street)



Figure 18 Public park in Khayelitsha, well lit and positive example of owned spaces

line is a 135m radius known as 'maximum person recognition distance'—a person will most likely report and possibly intervene if unruly behaviour is observed.

Owned spaces can be achieved on two levels:

- **Individual level**—where it describes taking ownership of the transition spaces between private and public spaces on a building or facility level
- **Collective level**—where it describes the notion of collective ownership that is perceived over communal spaces. In this case the owned spaces are outside transition spaces and describe public spaces managed and taken care of by the residents (e.g. playgrounds, areas around the Active Boxes, parks, etc.) on a precinct or neighbourhood level.



Figure 19 Illustration of distances in which people feel a certain sense of ownership

Defined access and safe movement

The permeability or easy access to and through a public place enhances the users understanding of the space, and therefore the perception of safety. Well-defined routes, spaces and entrances provide convenient movement to and through these environments, without compromising security.

Developing visual connections or clear visibility along routes aids orientation and reduces uncertainty, thereby promoting the increase in perception of safety.

Key orientation elements include a comprehensive signage strategy and distinctive landmarks. Cluttered sight lines and undeveloped sites along routes should be avoided. Pedestrian routes need to form an integral part of overall movement networks, and in some cases (such as residential areas), Pedestrians should have priority over the street spaces and vehicles should have limited access.



Figure 20 Clear entrance



Figure 21 Clearly defined pedestrian route to Khayelitsha Station with safe walkway through a busy station forecourt

These routes and spaces need to be linked to other activities such as economic activities (e.g. trading), residential and community functions. Decisions need to be made whether motorised and non-motorised transport is combined or separated.

Defined access and safe movement can be achieved by:

- Landmarks
- Signage
- Hierarchy of movement routes
- Visibility and passive surveillance of starting and endpoints of movement routes and
- Orientation of public facility entrances onto public spaces.



Figure 22 This aerial photo illustrates a defined route along pedestrian desire line with activities along the route

Image and aesthetics

The image projected by an environment may give a positive or negative perception of safety for the area. Environmental decay creates a sense of being unsafe and therefore reduces the intensity of use, thus further impacting on the safety of the area. Appropriate design and management of public spaces plays a key role in creating precincts that do not become hot spots for crime. Design should also allow for and encourage the individual response of the user to stimulate a sense of pride in a neighbourhood.



Figure 23 Good design and quality of materials create a busy and attractive space

The positive image of a place can be achieved by:

- Ensuring a human scale in design
- Use of appropriate (where possible local) materials
- Durable materials
- Use of colour
- Landscaping (including seasonal changing plants)
- Adequate lighting
- Inclusion of public art and
- Designing for high levels of activity.



Figure 24 Good example of living and built aesthetics—the originally planted hedges guide the placement of low seating walls to mark the transition between private and public space



Figure 25 Including public arts increases the aesthetics as well as local ownership of facilities

Physical barriers

Physical barriers, (or in traditional CPTED publications referred to as ‘target hardening’), describes the strengthening of building facades and environments to improve safety of facilities. An example of this would be the traditional row house, where the houses occupy the entire width of the site and are situated close to the street. A block edge development is another example.

The creation of a positive edge to the street and ensuring effective natural surveillance needs to have priority over enforcement of individual desires for protection and withdrawal from communal life behind high walls.



Figure 26 These row houses create a positive street edge improving the perception of safety



Figure 27 Locally artistically designed and made burglar guards of a shop in Khayelitsha

Closed walls are contradictory to CPTED principles as they cut off the opportunities for passive surveillance.

Physical barriers can be achieved by:

- Positioning of development on property boundaries to create positive and activated edges
- Block edge development
- Transparent fences to ensure passive surveillance, burglar guards and
- Clearly marked transitional spaces from public to private spaces that act as a deterrent for unruly behaviour.



Figure 28 The Live-Work Units in Khayelitsha provide a stoep as transition zone or semi-public space, a roller shutter door that can be closed over night and a burglar guard for the entrance door to allow day and night surveillance without shutting off completely the passive surveillance from the private to the public space

Operation, Maintenance and Management

The SN concept implies that through a mix of locally generated income and LA operational budget provision, volunteer work and other income or contributions and sufficient resources are available to sustainably operate, maintain and manage neighbourhoods.

This is covered fully in [section III Community O&M](#). However it is noted here to draw attention to the idea that, *(as in image and aesthetics)*, a well-maintained place, indicative of ownership and pride, is a crime deterrent.



Figure 29 A palette of good quality materials that are aesthetically pleasing ensure ease of good maintenance and a neighbourhood identity



Figure 30 These two maps show areas under formal maintenance prior to- and post-intervention. The area-based approach to O&M becomes apparent

O&M can be achieved by:

- CDS, dedicated operating budgets from the LA
- The SN concept
- Intelligent design in terms of low maintenance, durability, ‘palette of materials’, energy efficiency measures and
- Development of O&M plans as mandatory requirement for design teams.



Figure 31 A local resident takes control of the public space by cleaning the area around his house facing onto the public square

Inclusive design

Inclusive design assumes as its basis the rights enshrined in the Bill of Rights. In order to allow a number of these rights to be exercised, safe neighbourhoods and spaces are a pre-condition.

An integration of diverse groups enhances the sense of belonging, ownership, and pride, and encourages social cohesion among these groups. By doing so, unruly behaviour and criminal activity are hindered.

Good design encourages the usage of the public realm and public facilities in neighbourhoods by as many diverse groups of the society as possible. Designers need to include in their schemes design for diverse groups such as:

- Able and physically or mentally challenged people
- Literate and illiterate people
- Rich and poor
- Men, women, and children
- Citizens and foreign nationals.



Figure 32 Ramps have been incorporated within Harare Library in Khayelitsha to ensure independent movement of wheelchair users

Below are some considerations specific to safety aspects for women and girls in cities:

- **Poverty and socio economic status:** Poor women often face safety challenges when accessing essential services. For many, especially homeless women, women vendors, and domestic workers, the need to regularly access public spaces and transport creates heightened vulnerability
- **Infrastructure:** Access to safe and clean public toilets promotes women’s safety. Toilets that are dark and dirty, with broken doors and no attendants are seldom used by women. Poorly lit areas pose threats to safety. Walking on dark roads is something most women avoid. Lack of street lighting in commercial areas makes it difficult for women to work late. Lack of efficient and safe public transport can make it difficult for women to access the city
- **Usages of spaces and familiarity:** The genders of people using a space affect women’s safety. Jagori’s research found that women in Delhi feel uncomfortable in male dominated spaces such as cigarette and liquor shops and taxi stands. Women hesitate to use these spaces, and may even avoid going near them for fear of harassment
- **Societal attitude:** Trivialising and normalising the sexual harassment of women and girls as harmless ‘eve teasing’ contributes to women’s un-safety. Women and girls are often blamed for inviting sexual harassment because of their clothing or behaviour, which places the responsibility for ensuring their safety on women and does not expose the patriarchal attitudes behind these notions
- **Attitude and the police:** The insensitivity of the police to women’s experiences of gender-based violence discourages women from approaching the police, thus eliminating one potential avenue of response.

(Source: Jagori, Kalpana Viswanath)

PART C: TOOLS

Assemblage of activities • Integration of uses • Site layout, active frontages and landscaping • Visual connections • Signage • Movement networks

The design tools are a practical method to implement the safety principles in the context of low-income areas. A current contextual example illustrating a deficiency in a low-income area is presented. A positive example from within Cape Town and a corresponding example from within VPUU is presented to illustrate the potentials of applying the tools in context.

Assemblage of activities

The grouping and concentration of a variety of activities and services along a pedestrian route or within a public space will increase the number of people, thus improving the perceived safety and convenience for users in a particular space. At the same time, too many users or people in a crowded area can, however, create opportunities for crime.

To encourage safety, it is desirable for many activities to happen in one space, both during the day and at night, on week days and at weekends.



Figure 33 The Western Forecourt of Khayelitsha Station is poorly defined and essentially functions only as a pedestrian route with some informal trading activity during daylight hours



Figure 34 This trading space is part of the assemblage of uses at the Harare Square



Figure 35 The assemblage of activities at the Khayelitsha Station includes trading spaces, a caretakers flat, office space, a public toilet, a taxi stop and marks the beginning of a pedestrian route.

Especially in low-income areas, the public realm and public facilities host functions that in more affluent areas are catered for within the private domain (e.g. internet access, access to newspapers, recreational activities, even sometimes access to clean and safe toilets).

A human scale and safe environment can be created via the assemblage of activities—thus reducing the need to travel long distances. For example, a station forecourt presents an ideal opportunity to provide a variety of complementary activities that will benefit the commuter and ensure greater levels of activity within the space. Entrances to buildings should be encouraged along major walkways, off activity routes and public spaces to increase activity and the gathering of people.

The design of human scale environments, simulating a variety of activities, interacting with public spaces and movement routes, should be encouraged. Well-managed and clearly signed spaces increase perceived safety.

Assemblage of activities and facilities as a design tool supports the safety principles:

- Surveillance and visibility
- Defined access and safe movement
- O&M and
- Owned spaces.

Integration of uses

The provision of a range of activities within a development results in greater levels and longer periods of activity and the ability for people to combine trips to the area. This idea of multi-functionality can extend to existing structures as well. For example, schools can become community hubs by being utilised for after-hours community meetings, extra mural activities, sport events and adult learning centres.

Multifunctional spaces in all scales of development should be encouraged and enabled—land-use management, urban design frameworks, precinct plans and individual facilities. The Kuyasa Transport interchange is a good example of how land-use management, as well as an urban design framework, can be used for integration of uses. The Harare Square development is a good example of how precinct plans can be used for integration of uses (see Case Study 1.1)

The concept of Live-Work Units is a typology for small businesses that offers a simple way of integrating living and work requirements on a building level.

The Active Box typology is an example for small community buildings. The integration of uses tool is closely interlinked with the site layout tool.

In a South African township context, this tool has a specific connotation as economic activities were highly restricted in townships. The design of integrated uses is therefore even more important against this legacy.



Figure 36 This vacant site opposite Khayelitsha Railway Station has been occupied by container trading facilities. The negative spaces around the containers and the lack of natural surveillance at night time create an unsafe environment for passing pedestrians

The integration of uses as a design tool supports the safety principles:

- Surveillance and visibility
- Defined access and safe movement
- O&M and
- Inclusive design.



Figure 37 This traditional High Road presents a positive example of multi-use buildings



Figure 38 Live-Work Units allow for the incorporation of traders that used to operate from containers, and have a residential component to allow for an integration of uses day and night

Site layout, active frontages and landscaping

The layout and design of a site needs to enhance the principles of safety. Clear legibility on various levels of planning—city-wide, district, neighbourhood, precinct, site and building, and the understanding of the layout increases the perception of safety. This can be achieved with discernible structure planning and complementary place making.

Designing active frontages and the positioning of buildings close to street boundaries not only creates a positive street environment but also ensures improved visibility or 'eyes on the street'.

In addition to visible activity that takes place on the ground floor of a building, Active frontages refers to



Figure 39 The area around the Kuyasa Transport Interchange is characterised by large vacant sites, which make the area unsafe. The dual carriageway road is dangerous to cross, as the speed limit is not adhered to



Figure 40 This transport interchange illustrates good Site Layout and Active Frontages along one side of the interchange

the size and position of windows and entrances facing a street or public space, as well as the relationship with transitional semi-public spaces. These include living rooms, kitchens, workshops (in the case of Live-Work Units) and shops. Spaces between buildings should be kept to a minimum and should be clearly defined.

Blank walls, projecting garden walls and overgrown vegetation should be avoided. Active edges need to enhance existing movement routes especially pedestrian desire lines.

The transition between a public environment and the private domain can be defined by changes in level as well as incorporating stoeps, verandas and landscaping. Appropriate landscaping plays a positive role in defining edges, marking transitional spaces, defining routes and spaces, and marking a change in use of a space. It also serves to improve the image of an environment (beautification), evoking civic pride.

Site layout, active frontages and landscaping as a design tool supports the safety principles:

- Surveillance and visibility
- Defined access and safe movement
- O&M
- Owned spaces and
- Inclusive design.



Figure 41 The urban design framework plan proposes a suburban centre with mixed use facilities to ensure active frontages day and night, integration of uses and inclusive design

Visual connections

Visual connections are achieved by ensuring clear visibility along routes to aid orientation, thus allowing early detection of danger. In the design of pedestrian routes the use of long, straight sight lines with clear visual connections to destinations, the use of the same palette of materials, and enhanced lighting will reduce uncertainty and improve the perception of safety. The nature of development and landscaping along routes should not restrict sight lines.

Landmark elements such as key buildings or landscaping components serve as visual connections, improving orientation and providing points of interest and places to rest.

Multi-storey developments provide an elevated viewpoint for passive surveillance.

Visual connections need to be incorporated in various scales of development—urban design framework, precinct plan and building plans.

Visual connections as a design tool supports the safety principles:

- Surveillance and visibility
- Defined access and safe movement and
- O&M.



Figure 42 There are no landmarks to assist with orientation along this pedestrian route in Harare



Figure 43 The same view after the intervention. A series of landmarks (Active Boxes) provides a clear visual connection where the safe walkway is constructed and signals public buildings and activity nodes



Figure 44 This church acts as a landmark to mark the end of a pedestrian walkway in a residential area

Signage

Signage and route markers are a key component to orientation and legibility of routes, especially when unrestricted visibility is not possible. A comprehensive signage system should be developed so that signage and route markers are clear and accessible to all users at all times.

Signage systems need to be legible and recognisable on various scales (city-wide, neighbourhoods, precincts, buildings) and provide clear guidance using different elements (e.g. colour, multilingual, pictograms, icons, braille etc.) to cater for various user groups.

Signage must take cognisance of the diversity of the society and include easy orientation especially for vulnerable groups.

Signage as a design tool supports the safety principles:

- Defined access and safe movement
- O&M
- Owned spaces and
- Inclusive design.



Figure 45 This pedestrian route in Harare has no clear indication of destination



Figure 46 Signage at this public park marks key components and allows easy orientation



Figure 47 This sketch illustrates the potential of signage at a public square

Movement networks

The design of effective movement networks entails creating a hierarchy of routes and the effective management of traffic: vehicles, cycles and pedestrians.

The decision to prioritise vehicular or motorised means of transport in some cases, and in other cases non-motorised transport systems over the other system, is embedded within the design of an effective network.

In the case of activity and distributor routes, vehicular priority with well-designed non-motorised transport lanes and safe pedestrian crossings are required. However, lower order residential streets can have priority of pedestrian and non-motorised means of transport over vehicular transport.

Special attention needs to be given to the design of intersections and safe pedestrian crossings.

The use of surface change, landscaping and bollards can provide protection from busy traffic, while widened footpaths and on-grade or pinched crossing points are examples of achieving pedestrian safety.

Clearly designated cycle paths and crossings will ensure the safety of cyclists. Well-designed movement routes have clear destinations on either side of their length. Good design allows easy orientation along these routes and therefore improves perceived safety.

Movement networks as a design tool supports the safety principles:

- Defined access and safe movement
- O&M and
- Signage.



Figure 48 Mew Way, Khayelitsha is a busy road, however no provision has been made for a safe pedestrian crossing



Figure 49 This pedestrian crossing has been clearly defined

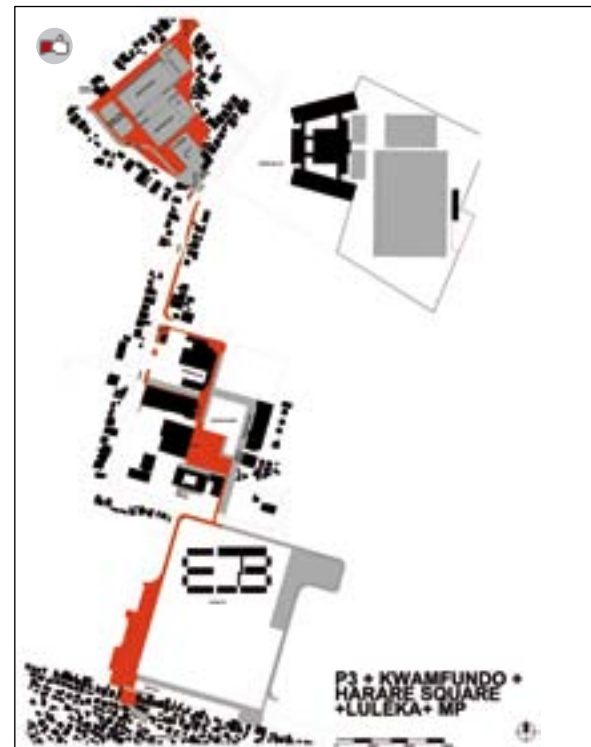


Figure 50 The clearly defined walkway link from Harare Urban Park to Monwabisi

PART D: CASE STUDIES

1.1 AREA-BASED HOT SPOT—HARARE SQUARE

Geographical and social context prior to intervention

The Harare Square occupies a large piece of land within the residential area in Harare with about 40,000 inhabitants. It accommodates a supermarket, a pension pay-out point, councillor offices, an underutilised, badly managed municipal building (Masibambane Hall), municipal offices which back onto the square, informal traders and large vacant undeveloped parcels of land. The square forms part of the pedestrian route from Khayelitsha Railway Station through Harare, towards Monwabisi Park (MP) informal settlement with 25,000 residents. It also serves as a car park. The

square is edged by facilities on only two sides resulting in a perceived unsafe space. The bus and taxi stops are located on Ncumo Road, outside the square which illustrates fractured development that hinders an integration of uses. There are no activities outside normal business hours.

Assessment of the crime situation

The baseline survey identified the square as a crime hot spot with a concentration of repeat crimes. Crimes reported included:

- Robbery at the ATM situated at the entrance to the supermarket. The machine was removed in 2007
- Robbery at the pension pay-out point building
- Robbery at the weekend and in the evenings when crossing the square, or on the open space alongside the supermarket
- Robbery at the bus stop in Ncumo Road
- Armed robberies at the shops.

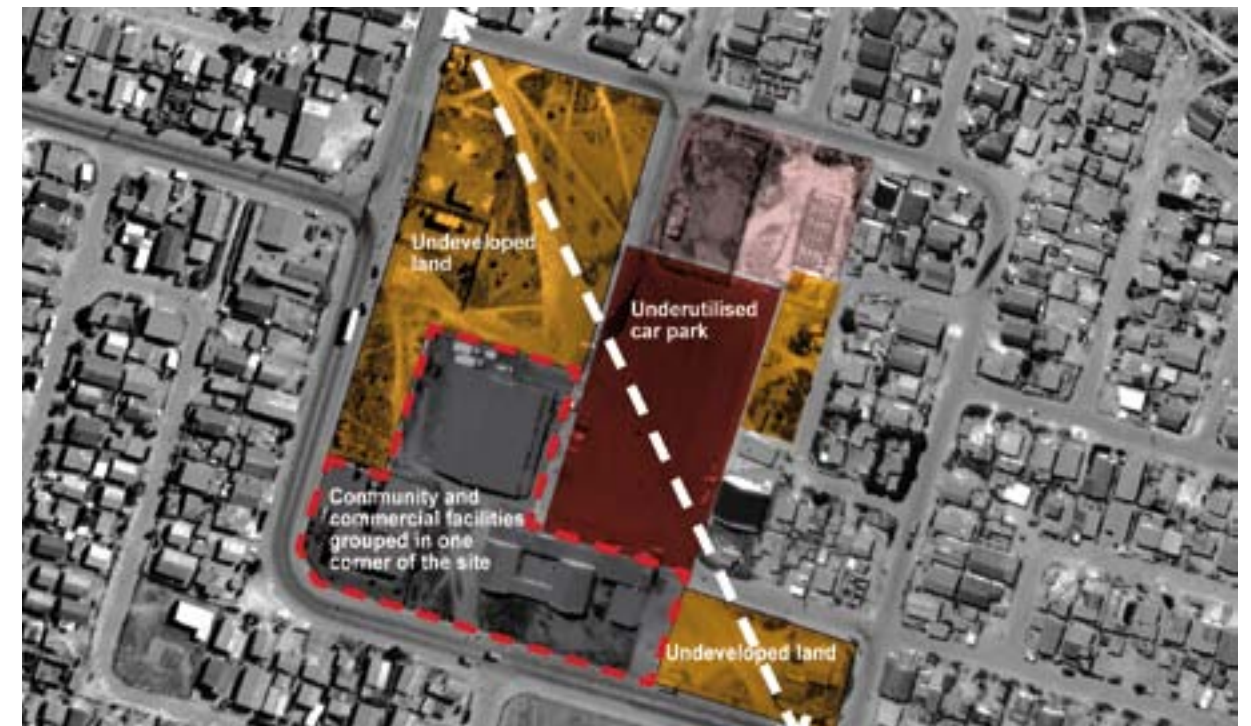


Figure 51 Aerial photo of Harare Square prior to interventions

Spatial features conducive to crime

The square has been identified as a crime generator, since it is characterised by environments suitable for crime or ‘crime facilitators’. This is analysed in the photos below.

The few buildings fronting onto the square are all closed after hours and for much of the weekend, resulting in virtually no natural surveillance during these times, fostering an environment conducive to criminal activity.



Figure 52 Walkway cuts across undeveloped land without light or safety



Figure 53 Lack of definition between vehicular and pedestrian environments



Figure 54 Lack of residential accommodation or positive night time activity on the square, leaving it unoccupied after hours



Figure 55 The facilities are concentrated in one corner of the square leaving the remainder of the space under poor natural surveillance



Figure 56 Undeveloped spaces on the northern side of the square serve as footpaths with no natural surveillance or lighting at night time



Figure 57 Aerial photo of Harare Square prior to interventions (showing numbers)



Figure 58 The bus stop on Ncuno Road is isolated from the square

Safety principles and design tools that can be applied

Principles:

- Surveillance and visibility
- Defined access and safe movement
- O&M
- Owned spaces
- Image and aesthetics.

Tools:

- Assemblage of activities
- Integration of uses
- Defined movement networks
- Layout, active frontage and landscaping.



Figure 59 Harare Square current buildings



Figure 60 Harare Square safe movement routes

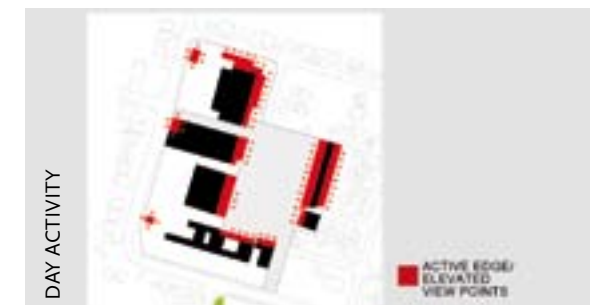


Figure 61 Harare Square day activities



Figure 62 Harare Square night activities



Figure 63 Harare Square landmarks



Figure 64 Harare Square area under maintenance

Interventions

During the visioning exercise for the Harare neighbourhood, the community leadership of Harare and Khayelitsha expressed the desire to develop the square as a hub for youth development and local business opportunity.

Develop suburban node

This meets the desires of the community and realises the potential of the adjacent vacant or under-utilised properties. A number of multi-purpose developments have been built, which will provide the users with a variety of options and create a safer environment within the square, as well as in the surrounding streets.

These developments include:

- Multi-functional House of Learning, that includes an Early Childhood Development (ECD) Resource Centre, a library with special focus on youth and office spaces for NGOs and other organisations (1)
- Business Hub, including a distribution centre, line shops for local entrepreneurs, a boxing gym, a bakery, open-plan offices, an Active Box, and space for a skills development NGO (2)
- Live-Work Units for local business people (3) and
- loveLife Youth Centre achieved by converting the Masibambane Hall into a dedicated facility (incl.computer lab, youth space, offices, recording studio) (4)



Figure 65 Harare Square suburban node

House of Learning



Figure 66 House of Learning

Business Hub



Figure 67 Business Hub

Live-Work Units



Figure 68 Live-Work Units

loveLife Youth Centre



Figure 69 loveLife Youth Centre

Clearly define pedestrian links, formalise and landscape the public square to allow a maximum of various users



Figure 70 Landscaping detail of Harare Square

This includes:

- Provision of demarcated spaces for informal traders
- Illumination of the entrances of the defining buildings around the square
- Allowing informal sports activities, parking, and gathering spaces
- Providing informal taxi stop during peak hours
- Providing clear definition of pedestrian desire lines through well-designed pedestrian walkways.

Links to Social and Institutional Crime Prevention

- Neighbourhood Watch initiatives and facility guarding
- O&M
- Safety plan
- Victim support
- Youth programmes
- Social Development Fund
- Early Childhood Development resource centre
- Business development support programmes
- Community Delivery of Services.

Reference to indicators

The following are sample indicators developed by VPUU and can be used as indicators in similar interventions. (See the [checklist for additional information](#)).



Figure 71 Performance at Harare Square



Figure 72 Cultural group performing at the annual Festival of Diversity

Safety principle	Model indicator
Surveillance and visibility	<ul style="list-style-type: none">• Percentage of public spaces that have natural surveillance, either in running metres or hectares, and reported on quarterly basis• Number of activity hours per day over a three month period
Defined access and movement routes	<ul style="list-style-type: none">• Percentage of roads that are well signposted and reviewed on a six monthly basis• Major pedestrian links are well signposted and identified, and reviewed on a three monthly basis• Active Boxes and public buildings are signposted and reviewed every six months
Maintenance and management	<ul style="list-style-type: none">• Percentage of public open spaces developed together with maintenance system to be assessed every six months• Percentage of urban squares developed together with maintenance system to be assessed every six months• Littering along major pedestrian routes has been reduced by 10% over a quarterly period• Percentage of rents paid by tenants on on-going basis

Table 3 Indicators



Figure 73 Opening of House of Learning, Harare Square

1.2 DOT HOT SPOT— MEW WAY PASSAGE, LULEKA PRIMARY SCHOOL

Geographical and social context prior to intervention

This hot spot is a narrow path, approximately 1,5 metres wide and 18 metres long, situated alongside Luleka Primary School, between the school fence and a shop.

A soup kitchen, which is open during the school day, is situated next to the fence within the school grounds. Informal stalls are situated along Mew Way, however, these are not open regularly.

This pathway forms part of the primary pedestrian movement system from Khayelitsha Station through Harare to MP informal settlement. There are very few nearby alternative pedestrian connections between Harare and MP due to the layout of the streets in Harare and the walled edge along Mew Way.

Assessment of the crime situation

The baseline survey identified this pathway as a crime attractor with the following types of crimes identified:

- Robbery at gunpoint during the morning and evening
- Murder, hijackings, abuse, stabbing and shooting
- The disused informal stalls provide hiding places for criminals
- Car accidents when crossing Mew Way.

Any resident from MP has to cross Mew Way in order to get access to any public services, to visit schools, receive pension, means of public transport, etc. The baseline survey underlines pedestrian negligence in crossing this road.

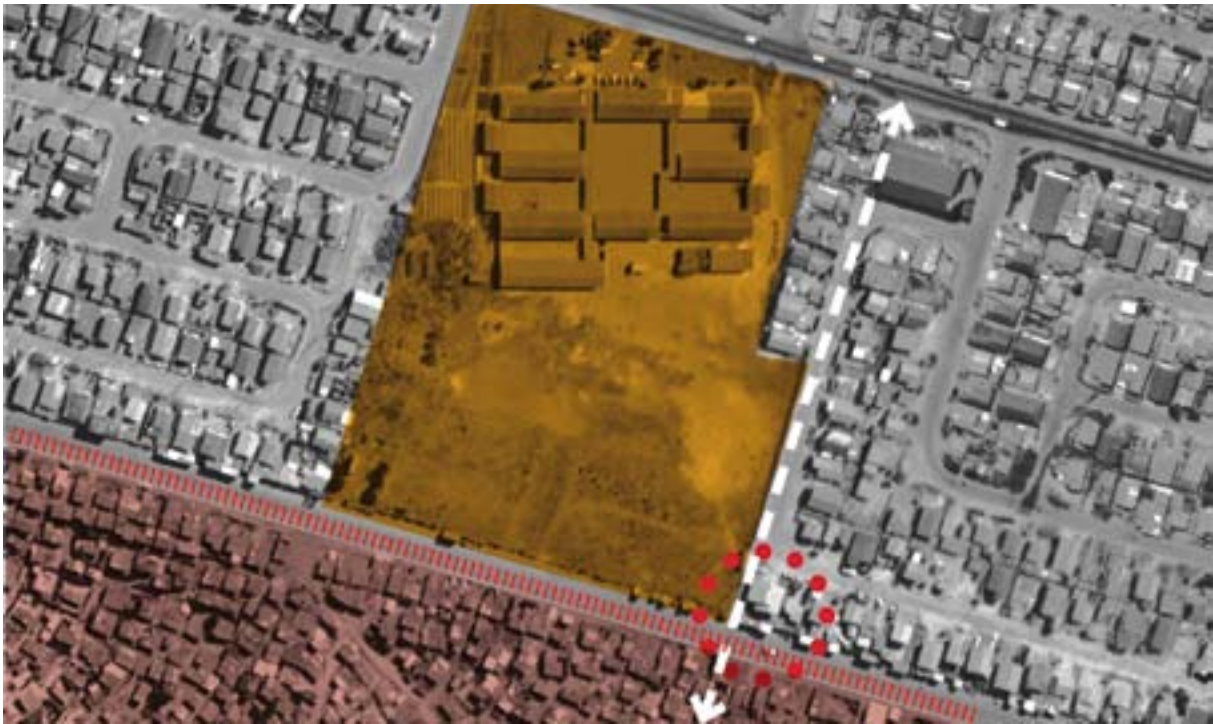


Figure 74 Aerial photo of Luleka School prior to interventions

Spatial features conducive to crime

The lack of owned spaces along the pedestrian walkway contributes to the perceived insecurity felt by residents when walking along the walkway. This thoroughfare from a formal area to an informal developed area, has been categorised as a 'possibility location' i.e. a small confined space affording offenders the chance of physically entrapping their victims. Entrapment spots are predictable or unchangeable thoroughfares

with limited access/exit routes. These are particularly dangerous when located close to well-travelled routes such as Mew Way as these offer easy escape routes for offenders.

The adjacent shop has no active frontage onto the pathway, and therefore only offers limited natural surveillance. The highlight mast creates deep shadows due to the boundary wall lining the pathway.



Figure 75 Although highlight mast is provided, the walkway leads to an entrapment



Figure 76 Aerial photo of area prior to interventions



Figure 77 The soup kitchen is only open during limited hours



Figure 78 The high mast light creates deep shadows. There is no other lighting



Figure 79 Disused stalls provide hiding places for offenders



Figure 80 The pathway exits directly onto Mew Way at a point where there are no speed deterrents or pedestrian crossing



Figure 81 Lack of natural surveillance on either side of the path



Figure 82 Luleka School proposed development



Figure 83 Luleka School safe movements



Figure 84 Luleka School day activities



Figure 85 Luleka School night activities



Figure 86 Luleka School landmarks

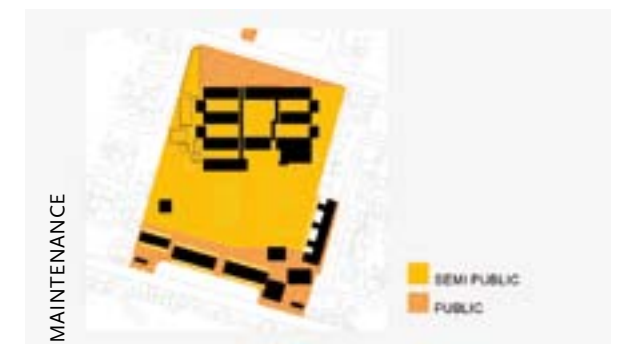


Figure 87 Luleka School areas under maintenance

Safety principles and design tools that can be applied

Principles:

- Surveillance and visibility
- Defined access and safe movement
- Owned spaces
- O&M.

Tools:

- Assemblage of activities
- Signage
- Defined movement networks
- Layout, active frontage and landscaping.

Interventions

Foster intergovernmental relationship between provincial government and CoCT to develop the street frontage into an active edge, to improve access to public facilities for the residents, and to improve economic opportunities for entrepreneurs.



Figure 88 Urban design layout for Luleka School development

Such a development includes the three levels of planning:

- Land-use management—by providing appropriate user rights and zoning that allows for multifunctional uses
- Urban design — via a precinct plan, translating the multifunctional use into active edges, appropriate uses for extended hours and inclusion of multiple users and
- Building plans — to ensure active edges, passive surveillance, and mixed use developments.

It is proposed to formalise the walkway and create a public square, edged with public facilities, for the benefit of the residents of Harare and MP, and to include economic activities together with residential units along the Mew Way transportation route.

Safe pedestrian crossing across Mew Way



Figure 89 Pedestrian crossing at Mew Way

Surveillance and visibility



Figure 90 Sketch illustrating the potential mixed use square as landing square between Harare and Monwabisi Park

Links to Social and Institutional Crime Prevention

- Neighbourhood Watch initiatives and facility guarding
- O&M
- Youth programmes
- Business development support programmes
- Community Delivery of Services to ensure O&M.

Reference to indicators

The following indicators are sample indicators developed by VPUU and can be used as indicators in similar interventions. (See the [checklist](#) for additional information.)

Safety principle	Model indicator
Surveillance and visibility	<ul style="list-style-type: none">• Percentage of public spaces that have natural surveillance, either in running metres or hectares, and reported on a quarterly basis• Number of activity hours per day over a three month period
Defined access and movement routes	<ul style="list-style-type: none">• Percentage of roads that are well sign-posted and reviewed on a six monthly basis• Major pedestrian links are well sign-posted and identified, and reviewed on a three monthly basis• Active Boxes and public buildings are signposted and reviewed every six months
Maintenance and management	<ul style="list-style-type: none">• Percentage of public open spaces developed together with maintenance system to be assessed every six months• Percentage of urban squares developed together with maintenance system to be assessed every six months• Littering along major pedestrian routes has been reduced by 10% over a quarterly period• Percentage of rents paid by tenants on on-going basis

Table 4 Indicators

1.3 HOT ROUTE—BICYCLE ROUTE, HARARE PEACE PARK

Geographical and social context prior to intervention

The Khayelitsha bicycle route is a major non-motorised transport route in Harare. It is surrounded by open spaces with many access points. The route was built as a late addition, and is therefore not integrated into the existing urban fabric. This is highlighted by the fact that all the houses are facing away from the route, resulting in a virtual absence of passive surveillance. The portion of the route that passes through the Harare Peace Park includes a vegetable garden managed by a community group, a children’s playground, and a half-finished public building.

Assessment of the crime situation

According to the baseline survey, the bicycle route has been identified as a ‘hive’ for robbery and stabbings,

and is therefore categorised as a hot route. The Harare Peace Park has been identified as a dangerous place with cases of child rape being reported.

Spatial features conducive to crime

The bicycle route is situated along a storm-water system. The route is edged with houses and buildings and large tracts of undeveloped land. Very few front doors and windows open or look out onto this space, resulting in inactive frontages and consequently poor natural surveillance. The vegetation is overgrown and unmanaged, and lack of maintenance of the street lighting results in inadequate lighting along the route. The half-finished community building, that was intended to improve access to public facilities for residents in the area, has turned into a crime hot spot. It offers a hiding place for criminals to rob and stab vulnerable people passing through the park, and in some cases to rape children on their way to and from school.



Figure 91 Aerial photo Harare Peace Park prior to interventions



Figure 92 Some parts of the cycle path are situated in a depression, thus further compromising the safety of cyclists and pedestrians



Figure 93 and 94 There is almost no natural surveillance from either side of the cycle path



Figure 95 Aerial photo Harare Peace Park prior to interventions with numbers of photos



Figure 96 Poor maintenance of public lighting results in inadequate lighting levels at night time



Figure 97 Some parts of the cycle path are situated in a depression, thus further compromising the safety of cyclists and pedestrians



Figure 98 The path is edged with houses and buildings, but they face away from the path thus providing very little natural surveillance



Figure 99 Harare Peace Park current buildings



Figure 100 Harare Peace Park safe movements



Figure 101 Harare Peace Park day activities



Figure 102 Harare Peace Park night activities



Figure 103 Harare Peace Park landmarks



Figure 104 Harare Peace Park areas under maintenance

Safety principles and design tools that can be applied

Principles:

- Surveillance and visibility
- Defined access and safe movement
- O&M
- Owned spaces
- Image and aesthetics.

Tools:

- Assemblage of activities
- Integration of uses
- Defined movement networks
- Layout, active frontages and landscaping.

Interventions

To positively occupy a perceived dangerous space by converting an unsafe, unfinished structure into an Active Box, following the owned spaces safety principle.

An Active Box:

- is a small multifunctional community centre that includes generic elements such as a caretaker's flat (in order to provide a 24-hour presence), community functions, a well-lit vertical element, offering an elevated view point for the neighbourhood patrolling members
- provides site specific functions, primarily on street level. Such activities range from trading bays in a market area, to a youth centre in a recreational area. Long activity hours are encouraged to promote the notion of safety
- acts as a landmark element within Khayelitsha. Due to its verticality, and strategic location along major pedestrian walkways, it provides a sense of orientation within a predominantly flat and mono functional built environment
- provides a safe point in the area in which it is located

- fosters identity and pride amongst the residents of the precinct, through good design and access to the facility and
- allows for community-based operation and management, coupled with strategic partnerships at neighbourhood level, to ensure sustainability of the facility.

In this way Active Boxes, which encompass all the safety principles and design tools contained in this document, are expected to significantly improve the perceived and actual safety of pedestrians.



Figure 105 Conceptual diagram of Active Boxes situated at regular intervals along the pedestrian route in Harare



Figure 106 The completed Active Box in Harare Park



Figure 107 Informal soccer pitch



Figure 108 Community garden to improve food security and passive surveillance on pathway during daylight

Links to Social and Institutional Crime Prevention

- Neighbourhood Watch initiatives and facility guarding
- O&M
- Youth programmes
- Owned spaces.

Reference to indicators

The following indicators are sample indicators developed by VPUU and can be used as indicators in similar interventions.

Safety principle	Model indicator
Surveillance and visibility	<ul style="list-style-type: none">• Percentage of public spaces that have natural surveillance either in running meters or hectares and reported on a quarterly basis• Number of activity hours per day over a three month period
Defined access and movement routes	<ul style="list-style-type: none">• Percentage of roads that are well signed posted and reviewed on a six monthly basis• Major pedestrian links are well sign posted and identified and reviewed on a three monthly basis• Active Boxes and public buildings are signed posted and reviewed every six months
Maintenance and management	<ul style="list-style-type: none">• Percentage of public open spaces developed together with maintenance system to be assessed every six months• Percentage of urban squares developed together with maintenance system to be assessed every six months• Littering along major pedestrian routes has been reduced by 10% over a quarterly period
Owned spaces	<ul style="list-style-type: none">• Percentage of facilities having civic management structure in place and are well-managed over a twelve month period. To be reviewed annually• Significant improvement of perception of safety of adults and children within given space

Table 5 Indicators

CHECKLIST

The purpose of the checklist is to guide professionals, officials, and community representatives in assessing development proposals in creating safe environments.

The following six headings relate to the safety principles dealt with in the document. The answer to each of the questions should be ticked, in order to ensure that each safety issue is dealt with during the evaluation process of the development proposals.

Surveillance and visibility	YES	NO
Are all public spaces overlooked from surrounding buildings?		
Are public buildings placed to offer surveillance possibilities onto routes and open spaces?		
Are the entrances to buildings easily visible and recognisable?		
Does the development ensure that there are no 'inactive frontages' such as blank walls, hidden corners or dense vegetation?		
If no, how will these be addressed?		
Does the new development improve the natural surveillance and allow additional eyes on the road/area?		
Does lighting contribute to the legibility of routes and spaces at night?		
Are the minimum lighting standards ensured for illumination at night?		

Owned spaces (territoriality)	YES	NO
Has the development created a clear hierarchy of spaces into public, semi-public and private spaces?		
Are these spaces clearly identifiable for residents, security personnel as well as potential offenders?		
Do buildings have 'owned spaces' to mark the transition between public and private spaces, such as porches, verandas, changes of level, street furniture?		
Are the future users of the development being consulted in the design of the development?		
Does the design of the development reflect the needs of the users?		

Defined access and safe movement	YES	NO
Is the access to and through public spaces signposted?		
Are pedestrian routes well lit?		
Are the pedestrian movement routes integrated within the wider movement network?		
Are NHWs involved in patrolling major pedestrian routes?		
Is the function of any space clearly defined, for example by the design, placing of entrances and exits, movement routes, street furniture?		
Do all routes lead to where people want to go, e.g. community buildings, commercial centres, transport interchanges?		
Will the development contribute towards increased activities along major routes during the day?		
Will the development contribute towards increased activities along major routes during the night?		
Do vacant sites exist along the routes?		

Image and aesthetics	YES	NO
Does the development use similar street furniture, signage, lighting, materials, and building forms etc. that promote a positive image for the neighbourhood?		
Does the development have a coherent landscape design concept?		
Has public art been incorporated into the design?		
Does the development introduce windbreaks?		
Does the development increase the area of rain- protected walkways?		

Maintenance and management	YES	NO
Does the development include a management and maintenance plan that describes:		
• the level of services?		
• an assessment of whether the service can be delivered by a local community organisation?		
• the relevant responsible organisation?		
• the intervals of service?		
• the budget required to render the services?		
• the responsible line department?		
• the interval of supervision by the authorities?		
• the amended MA to suit the needs of the relevant development?		
Has the lead line department been consulted in the design of the development?		
Are there capacity building courses included for users and residents to manage and maintain the development?		
Are the materials and equipment provided of good quality?		
Is the development low maintenance?		
Has a regular yearly maintenance budget been approved by the relevant line department?		
Are there systems in place to respond to observed and reported criminal activities?		
If yes, what does this entail?		
If no, what will be done about this?		

Physical barriers (target hardening)	YES	NO
Are all windows and doors of buildings well secured?		
Are the fences surrounding buildings or public open spaces such that one can see through them?		
Who is responsible for the security of the building or open space?		

SECTION II

SOCIAL CRIME PREVENTION

PART A: THEORETICAL AND METHODOLOGICAL FRAMEWORK

Intentions of Social Crime Prevention • Four approaches: prevention, cohesion, protection and research • Mainstreaming Social Crime Prevention • Programme strategy and the role of Social Crime Prevention

Intentions of Social Crime Prevention

The intentions of the **Social Crime Prevention** component are to work towards safety as a public good through reducing crime and violence both now and for the longer term, through integrated actions that deal with the root causes of crime. While many interventions will have a short term impact, the priority is to design and resource a Social Crime Prevention process that will have lasting effect. It aims at reducing factors that place people, particularly children and youth, at high risk of becoming criminals, victims or both, and at building protective factors that may mitigate those risks.

In addition to addressing root causes of crime and violence, this programme is also committed to deeply grounded community involvement in its social, situational and institutional interventions. Underpinning the programme is a principle that all developments must be consultative, transparent, and accountable. This is a prerequisite in the model and is both the basis for social capital development as well as for any justifiable claim to being a community-driven intervention.

The combination of crime prevention through social development with urban and spatial planning strategies ensures that ‘social architecture’ is integrated into physical Crime Prevention through Environmental Design (CPTED) planning. Social architecture is the process of consulting potential user groups about the design, utilisation, protection and maintenance of a public resource in order to ensure that it is ‘owned’, well and appropriately used, and that it has such significant impact and meaning locally that sufficient residents are motivated to help keep it safe through a sustainable stream of volunteer guardians.

As a result, the interventions selected within the Social Crime Prevention component are the following:

- Helping to equip young citizens within Safe Node Areas (SNAs) with the competence and the desire to earn a legal living
- Strengthening the bonding (between neighbours), bridging (between estranged groups within the community), and linking (between citizens and local government) connections between individuals and organisations
- Finding affordable and sustainable ways to ensure more safe spaces and routes so that residents are safer, and feel safer
- Ensuring that survivors of crime and violence get prompt and effective support, and by greater use of a fair informal justice system and increased access to effective formal justice, to make it harder for offenders to get away with violence or avoid the implementation of legal sanctions such as protection orders.

Four approaches: prevention, cohesion, protection and research

In alignment to the *VPUU Strategy* (Introduction figure 2) Social Crime Prevention works as follows.

The first approach, **prevention**, relates to **public health** and rests on the concept of the **life cycle**. It acknowledges that the life experiences of young children play a crucial role in influencing whether they would become involved—or not—in crime and violence. There is a wide range of interventions for different age groups and a focus as well on youths, providing them with employment and income-generating activities as part of support to social and economic integration. These are long term strategies.

The second approach, **cohesion**, is **community-based** and puts the emphasis on **social capital**, on strengthening the links between groups within the target community, building social cohesion, shared values, and self-confidence. This complements and strengthens the Social Crime Prevention programmes. This approach is also about providing community services and facilities in relation to Social Crime Prevention.

The third approach, **protection**, focuses on **situational prevention** and **community policing**. This is an important component of Social Crime Prevention. It ranges from mainstreaming safety principles into planning and design to supporting community-based safety interventions. It also includes support for NHW, CPF and legal and justice interventions.

The final component, **research** or **Knowledge Management**, provides information for assessing and managing interventions.

The following table shows an alignment of Social Crime Prevention to the VPUU Strategy.

TYPE OF INTERVENTION	TARGET GROUPS	AIMS
Prevention — Public health or life cycle approach		
Early childhood interventions	Pre-school children up to the age of 6, families and other caregivers	Affordable universal access to early childhood education Improve children's readiness for school Identify and refer 'at risk families' as early as possible Increase knowledge, skills, resources and support to caregivers
School-aged interventions	Children from 6 to 18, families and other caregivers	Transfer knowledge and social skills to support structures for children to resist violence and cope successfully at school
Employment and income generating activities targeted at youth	Young school-leavers up to 30, also applicable to low-income people in general	Access to training and legal sources of income as a lifeline to escape conditions of chronic poverty and violence
Cohesion — Community-based social capital		
Public awareness models Community mobilisation	General population, all ages, women, men, linguistic subgroups	Awareness about specific problems of violence, human rights and equality issues (homophobia, racism, abuse of alcohol and drugs, gender violence) Improve capacity at the individual, family and community scales to respond to violence, including leadership development
Community Delivery of Services	General population Volunteers and contract workers	Maintenance of public infrastructure Rapid identification of breakage or vandalism
Urban Management at Neighbourhood level	User groups and immediate neighbours	Develop area-based urban management safety plans which result in sustained safety and high levels of positive usage of spaces and facilities
Protection — Situational (CPTED) and Community Policing traditional responses		
Spatial planning strategies	General population	Promote safe design of public spaces and the provision of a network of spaces/services where violence can be addressed Institutionalise practices through guidelines, interdisciplinary training sessions and on-going programmes such as regular safety audits
Policing models Neighbourhood Watch Facility Guardians	General population	Work with communities on problem-solving to crime and violence via local safety plans Trained voluntary civilian crime prevention working closely with police, including mobile and static facility-based groups Coordination between police and support services for victims of crime and better practice on response to violent incidents
Legal and justice interventions	General population	Access to justice for civil matters Mutual understanding and linkage between formal and informal justice system Ensure constitutionality of community-based justice structures Educate the public about constitutional rights
Research		
Knowledge Management	All partners	Quantitative measures of output Indicators of desired outcomes

Table 1 Description of the types of violence prevention interventions based on the VPUU model

Source: Whitzman C., 2008¹ p. 83, The Handbook of Community Safety, Gender and Violence

Mainstreaming Social Crime Prevention

The VPUU programme has mainstreaming as one of its goals and therefore seeks an overall framework for Social Crime Prevention in national strategy documents. The table below sets out the main aims of the South African National Crime Prevention Strategy and National Development Plan and shows how Social Crime Prevention is active either directly or through its partners in supporting the criminal justice process, within the community values and education component and in the field of environmental design. Efforts to intervene against organised or transnational crime fall outside of the mandate of VPUU.

National Crime Prevention strategies and main aim of strategy (1996)	National Development Plan Selected recommendations (2013)	Integrated Social Crime Prevention strategy Strategic objectives (2011)	VPUU aims achieved through direct action and through contracted or strategic partnerships
Criminal justice process Certain and rapid deterrence	7-point plan to strengthen criminal justice system	Collaborative partnerships Integrated site-based service delivery	Active citizens resistant to crime and violence who work closely with police and will access good support in case of being victimised
Community values and education Community pressure and public participation in crime prevention	Promote social cohesion Respond to root causes (poverty, inequality, unemployment, over-crowding, poor infrastructure)	Invest in prevention and early intervention services Deepen external and community-based service delivery capacity Improve social cohesion	Emphasis on prevention through education: promote a culture of long term planning, learning, and protection of health
Environmental design Limit opportunities and maximise constraints	Reduce motive and opportunity to commit crime	Sustainable institutional and governance mechanisms	Integration of Social Crime Prevention to ensure best and sustainable use of safe new facilities
Transnational crime Regional co-operation, stability and address cross-border crime			VPUU is not active in this strategic area

Table 2 Comparison of VPUU interventions to National Strategies and plans on crime prevention

Programme strategy and the role of Social Crime Prevention

The main aim is to ensure that the four- pronged strategy of prevention, cohesion, protection and research, is resourced with partners and adapted to the local context of each of the SNAs. Success will result in residents being an integrated part of crime-resistant communities, and in having better access to high quality Social Crime Prevention services.

VPUU STRATEGY	SOCIAL CP PRINCIPLES	TOOLS	PARTNERSHIPS (vary over time and place)
Prevention – Public health or life cycle approach			
Early childhood interventions	Reduce Risk (see pg 75)	• Area-based early childhood Development access • Partnership MoAs	Service provider; ECD Forum; CoCT Health – DoH; NGOs Recreation – Sport NGOs Self Esteem – NGOs Learning – Library; DoE; NGOs Enterprise – NGOs; EPWP; Econ Dev
School-aged interventions			
Employment and income generating activities targeted at youth			
Cohesion – Community-based social capital			
Public awareness models	Promote social cohesion (see Figure 3 pg 76)	• Social Development Fund • Voluntarism • Local safety plans	SNACs CoCT
Community mobilisation			
Community Delivery of Services			
Urban Management at Neighbourhood level			
Protection – Situational (CPTED) and Community Policing traditional responses			
Spatial planning strategies	Increase protection from crime and reduce fear of crime (as described on pg 76)	• Contracts with CPFs • Voluntarism Policy • Partnership MoUs • Official crime statistics	CoCT; SAPS; DoCS; Metro NGOs; Tertiary Institutions
Policing models/Neighbourhood Watch			
Legal and justice interventions			
Research			
Knowledge Management	Participate in Knowledge Management and Monitoring and Evaluation	• Social CP team meeting • Performance data and reviews	All partners

Table 3 Social Crime Prevention principles and tools related to VPUU Strategy



PART B: PRINCIPLES

Life cycle approach • Community-based social capital
• Protection from crime and fear of crime

The principles which underlie the Social Crime Prevention work are based on the UN-Habitat Global Report on Human Settlement (2007) which has identified six emerging trends in crime and violence prevention (UN-Habitat 2007: 248–249).

1. Movement away from the idea that crime prevention and tackling violence are essentially matters for the police and the criminal justice system, and towards the idea that these are complex phenomena with a range of causes that require **broad-based responses**
2. Using the **partnership mechanism** as a key vehicle for delivering programmes
3. Focusing on **reduction of identified risk factors**
4. The **strengthening of social cohesion**
5. Attempting to enhance urban safety and security through **aligning with effective urban planning**, founded on a **community-based approach**
6. Moving away from ad hoc initiatives and **towards more programmatic approaches** encompassing some or all of the approaches described above, backed by broad strategies and detailed understanding of the issues on the ground
7. Recognising the need to **adapt solutions to local circumstances**, rather than to borrow uncritically from elsewhere
8. And accepting the need for **honest evaluation** of initiatives.

In addition, the same source remarks that as diverse as these components are, they share a number of commonalities:

1. **Intervening as soon as possible** (before children grow up in violent families; before the warning signs of abusive relationships turn into violence; and before small-scale tensions escalate)
2. **Making creative connections:** between problems, resources and organisations
3. **On-going evaluation and adaptation** of the programmes (Whitzman 2008: 245).

From this in conjunction with VPUU experience, the following principles are identified:

- Life cycle approach
- Community-based social capital
- Protection from crime and fear of crime.

Life cycle approach reduce known risk factors, enhance protective factors as soon as possible

Interventions should be based on an identification and understanding of the risks and protective factors at different levels and at different life stages. Two models guide the identification of significant risks that crime and violence will remain too common within the target communities. One identifies risks at different scales: from the individual, through couple

relationships, to family and ultimately to societal relational styles. This can be represented in the models below. Figure 1 identifies risks at the various levels, and interventions can be directed at reducing one or more of these risks. Figure 2 identifies what could be called protective interventions. These, if taken up, can insulate or help protect vulnerable individuals, relationships, families or communities and reduce the probability of violence victimisation or perpetration.

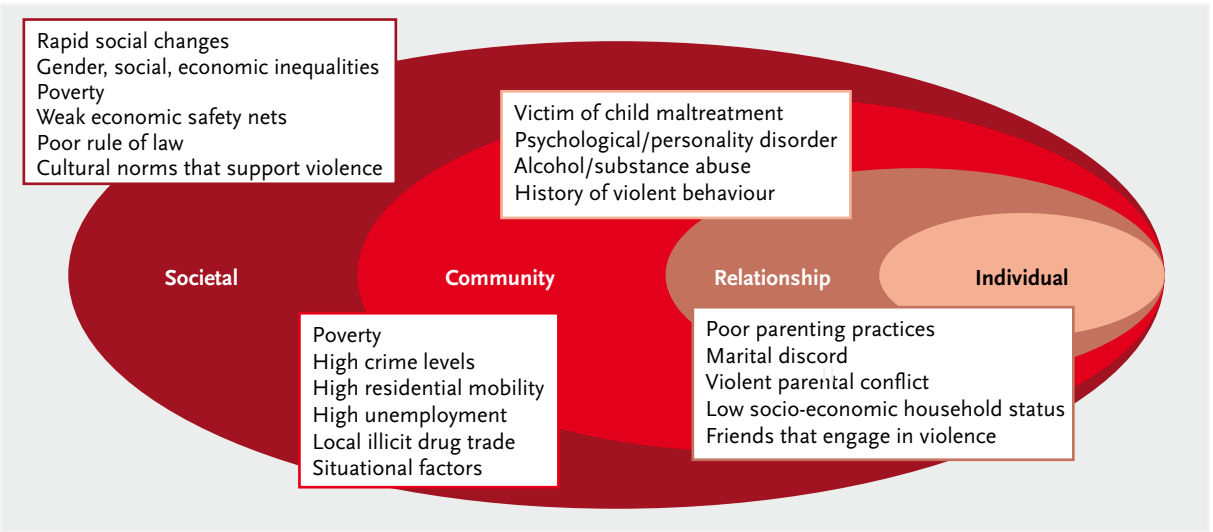


Figure 1 Risk factors

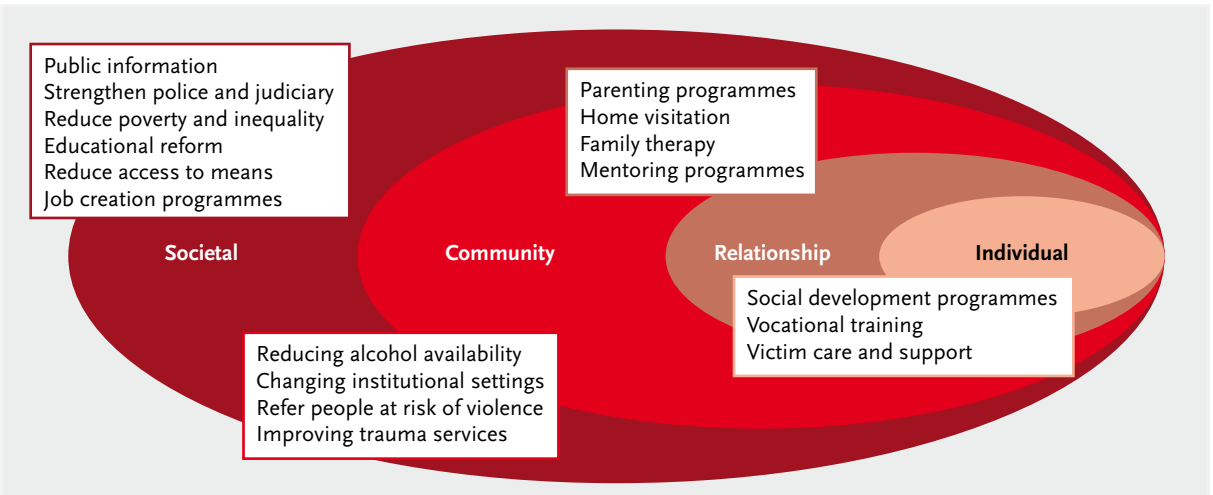


Figure 2 Protective factors

Community-based social capital cohesion is the foundation of effective peaceful communities

There are many factors that undermine the capacity of communities to establish and protect standards of behaviour. These include:

- Rapid urbanisation characterised by informality and inadequate public infrastructure
- Internal and transnational immigration
- Historical disrespect for formal law and law enforcement officials
- Destructive habits of alcohol and drug use
- Widespread poverty and under or unemployment
- High and unrealistic expectations of the democratic government.

VPUU has developed a strategy: the SDF which identifies and resources small-scale initiatives that make a contribution to social re-integration. The aspects of social capital that are considered important are identified in the diagram below.

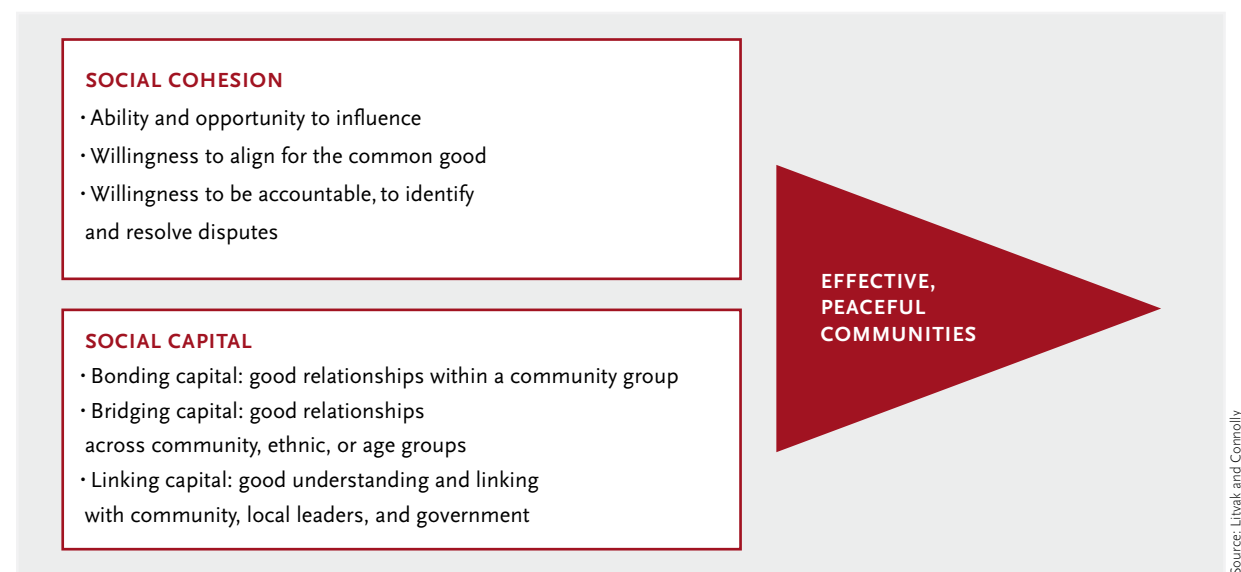


Figure 3 Elements of social cohesion and social capital formation

Protection from crime and fear of crime reduce the incidence of crime as well as the fear of crime

Being a victim of crime is a reality. So is being afraid of becoming a victim of crime. It is a principle that people need protection from both in order to enjoy a better Quality of Life (QoL).

Nobody can feel safe when crime and violence are common. Social Crime Prevention must find ways to reduce the frequency of crime and violence.

Fear of crime must also be reduced. It has been defined as: *'The perception of a threat to some aspects of well-being, concurrent with the feeling of inability to meet the challenge'* (van der Wurff and Stringer 1988). Fear of crime is recognised as being as important as crime itself and is a significant social problem because:

- It affects the well-being of a significant proportion of the population
- It exacerbates personal vulnerabilities
- It reduces desire and willingness to participate in social encounters
- It contributes to a culture in which crime and violence can continue.

PART C: TOOLS

Area-based Early Childhood Development access • Partnership Memorandum of Understanding • Social Development Fund • Contracts with Community Police Forums • Local safety plans • Voluntarism • Social Crime Prevention team meetings • Performance data and reviews

The Social Crime Prevention tools are implementation procedures, formats and techniques through which the principles are applied in order to make a difference within a particular community in all its unique circumstances.

Area-based Early Childhood Development access Brief description

ECD offers vital protection to the young child and necessary preparation for successful schooling. This is most important for children who live in impoverished, under-resourced, violent and unhealthy environments where parents are at best highly stressed and at worst absent or neglectful. It is offered to children from birth until the age of entering school.

ECD is defined broadly to include health protection, nutrition and safety. Its 'lessons' must offer social and moral, as well as intellectual, stimulation. It also needs to include, where necessary, efforts to get children enrolled and settled at school.

Elements of the tool

- Established ECD centres are seen as nodal points from which ECD is offered to the community
- Urban design frameworks guiding the upgrading of settlements optimise the distribution of ECD centres to service a defined and roughly equal section of the community
- The intention is that all ECDs will be well-utilised. In time it is hoped that an area-based public funding model will be adopted, with ECDs receiving a

subsidy proportional to the percentage of children in 'their' area that they reach

- The upgrading process includes the participatory identification of public spaces that are formalised to provide a safe, attractive learning and play area.

Steps to implementation

- Spatial planners identify potential spaces for ECDs
- The strategy is discussed and adopted by community leaders and the local ECD Forum
- Residents around each potential space are invited to participate in design and to be contracted to protect, maintain, and ensure full use of the space
- Physical design and construction is undertaken in parallel with contracting local residents and users
- ECD centres are strengthened with coaching of teaching staff, with management skills, with additional resources and with space to store equipment for use in public spaces
- Peripatetic teachers and volunteers manage ECD public spaces
- The impact on ECD numbers, child health and safety, child development and later school success is systematically recorded and fed back to all concerned
- Strategic partnerships are formed to assist with resource allocation.

Links to Social Crime Prevention principles

- **Life cycle approach:** This intervention reduces known risks at an early age
- **Community-based social capital:** Public spaces created, and contracting of residents to regulate their use and maintenance, enrich social cohesion
- **Protection from crime and fear of crime:** Availability of safe public space that parents can send their children to will reduce the actual and perceived fear of crime and violence.

Partnership Memorandum of Understanding

Brief description

The Memorandum of Understanding (MoU) is in the form of a Management Agreement (MA). It sets out the expectations of two or more parties in relation to each other. It is the preferred way of managing co-operative relationships regardless of whether or not financial support is involved.

Elements of the tool

The memorandum should be a written document with the following elements:

- Aim of the agreement
- Link to strategic outcomes
- Components of the agreement under sub-headings
 - Situational interventions and design input
 - Social interventions
 - Operation and Maintenance
 - Community Participation
 - Reporting, monitoring and reviewing
- Date of initiation, and ending
- Financial implications, if any
- Termination and dispute procedures
- Signatures.

Steps to implementation

- The ‘host’ organisation needs to have an intervention model that is genuinely inclusive and a willingness to make accommodations so that true reciprocal partnerships can be formed
- Regular discussions held among signatories at a strategic level so that aspects of a common vision can be developed
- A draft memorandum is circulated for comment
- Each partner considers carefully the implications of commitment
- Once signed, there must be regular discussions at operational level making use of agreed standards and measures
- Departures and misunderstandings are to be ex-

pected and should be discussed as soon as possible

- If not a living partnership, the memorandum should be terminated.

Links to Social Crime Prevention principles

- **Life cycle approach:** This tool enables VPUU to ensure that the correct mix of interventions are brought to bear in the right place in order to address identified priority risks
- **Community-based social capital:** This tool also makes a contribution to social cohesion, as it models co-operation and ensures that service users receive reliable and high quality input
- **Protection of crime and fear of crime:** This tool speaks to the underlying principle that interventions should be planned, monitored and evaluated. They should be systematic and become part of an accumulating body of practical and theoretical knowledge. Partnerships are formed out of an agreement between independent entities to work together. This can only be done to a satisfactory standard if the parties agree beforehand to surrender aspects of their autonomy and become mutually reliable and accountable. The memorandum sets out what can be expected, when, and what can be done to ensure delivery. It also sets out how success and failure will be measured.

Social Development Fund

Brief description

The Social Development Fund (SDF) is a funding vehicle for community-driven crime and violence prevention projects that will be completed within a year and have a budget of less than R50,000.

Elements of the tool

- The CAP needs to be in place
- Prospective projects are proposed on a simple ‘Expression of Interest’ form
- An orientation workshop clarifies expectations
- A funding application form identifies the link of the proposed project to the CAP, those responsible for delivery, the goal and timeframes of the project, the costs involved, and completion date
- The SDF team meets and selects projects based on merit and meeting the relevant criteria
- A funding agreement is drawn up and signed
- Mentoring and supervision is provided during implementation
- Completion is validated, recorded photographically where possible, and recognised with a public certification ceremony
- A database is updated, showing type of project, area, budget, stage of completion, local contribution made, spending per month, and identifying any concerns.

Steps to implementation

- The SDF Coordinator meets with SNAC to clarify expectations amongst those applicants who are expected to make their own contribution to the costs of the project, and are also expected to make a contribution to the wider community, using the resources acquired through the SDF
- As part of the short term projects identified in the CAP, community members are asked to submit proposals on a ‘Expression of Interest’ form
- All applicants are helped to understand what the

SDF will expect them to deliver i.e. to contribute 10% of the requested budget from their own resources (cash or in kind), and to offer services to the wider community to the same value. Those that accept these conditions are able to complete an application form

- The proposal is presented to the SDF Team for review and approval. Each SNAC is entitled to have a representative on the SDF Team. A SNAC representative does not vote on proposals from their own area
- A funding agreement is signed
- Project implementation is monitored. No funding is released until the 10% ‘own contribution’ has been made. Funds are paid directly to suppliers
- Projects cannot complete before their ‘community contribution’ has been made
- Completion is celebrated with a certificate and public appreciation.

Links to Social Crime Prevention principles

- **Life cycle approach:** Projects to be proposed should align with the life cycle and priority risk reduction models. They need to show alignment to the CAP of the community concerned
- **Community-based social capital:** While projects need to be driven by individuals who have the necessary dedication, they should serve community priorities over serving individual agendas—it is ideal when these two align. Because the projects need to be proposed by and delivered by community members they are excellent examples of partnership activity
- **Protection of crime and fear of crime:** Projects must be able to argue, and once completed must be able to show, that they have had an impact on either crime or violence, or the fear of crime or violence, or have overcome one or more forms of exclusion.

Contracts with Community Police Forums

Brief description

This contract sets out the necessary conditions for establishing a sustainable, effective, equipped, skilled and intelligence-driven civilian crime and violence prevention movement.

Elements of the tool

- The foundation element is a model that puts voluntary civilian crime prevention at the heart of sustainable safety
- A CPF needs to be in place, and its role as the body to whom NHWs are to account, must be recognised
- A contract is offered to the CPF in which an amount of money is made available on a monthly basis in return for:
 - A list of all active volunteers
 - Incident reports that will be used to plan crime prevention
 - A training and development plan for each volunteer, including access to EPWP opportunities, should be negotiated and recorded.

Steps to implementation

The role to be played by the NHW and safety initiatives should be stated in the CAP.

- CPF needs to understand and accept the programme's approach
- CPF must propose a plan and budget before it can spend the money it earns
- On a set date, information is collected from the CPF and the invoice for the month is agreed
- Monthly invoice specifies how much is paid out of an agreed maximum for each task, and sets the standard required in the next month for full payment to be due. In this way, standards are gradually improved
- Information about active volunteers is summarised to show number, distribution, and gender of those involved

- Incident reports are captured to show location, time and characteristics of violent or anti-social events, when law enforcement was called and their response. This data informs deployment plans of NHW. The patterns of requests for police backup and the response can be used to set achievable response time standards
- Personal development plans for each volunteer is the basis of ensuring sustainability. EPWP opportunities should involve a mixture of paid and voluntary work days. A volunteer can earn credits for completing a voluntary duty. The credit can be exchanged for training which will advance that volunteer's plan for themselves.

Links to Social Crime Prevention principles

- **Life cycle approach:** As residents in an area, safety volunteers are most likely to know about crime and violence early, before they reach a level that motivates residents to call on law enforcement services to intervene. It is the best way of intervening as soon as possible
- **Community-based social capital:** Safety volunteers bind members of a community together in a common purpose. It is also likely that in the course of duties members will come across those in their community that may be marginalised or foreign and these experiences will promote bridging social capital. An effective working relationship with law enforcement, which is still largely perceived to be aloof, ineffective and very often corrupt, adds linking social capital as does the experience of being able to hold law enforcement officials accountable to realistic standards of service
- **Protection of crime and fear of crime:** Active participation in violence prevention and the sight of trusted community members on duty at known danger points and times will have a powerful impact on perceived and actual safety.

Local safety plans based on incident reports

Brief description

A safety plan is a description of the roles to be played by residents, users, service providers and local leadership in ensuring that a public facility or public space remains self-sustaining, safe, positive, and well-utilised.

Elements of the tool

- Boundary map (*see Case Study 2.2*) for each public facility showing outer edge of involved communities
- Responsibilities matrix showing role of each intermediary work-stream
- Incident report forms
- Radio communications strategy
- Facility Management Teams (*see O&M section*).

Steps to implementation

- Involvement of neighbouring communities and users in the design and utilisation planning of new public facilities
- Commitment from these groups to take responsibility for contributing to safety maintenance, based on acceptance of this principle at SNAC level during the social contracting stage (*see Part A of this section*)
- Agreement between VPUU work-streams about the role of each, and the timing of different aspects of facility development
- Recruitment and training of local Facility Guardians (FGs) following the volunteer principles, in consultation with the NSO where one is in place or, failing that, with local police
- Regular team meetings at facility level involving all local role-players, in line with the 'diamond model' (*see Community Participation section*).

Links to Social Crime Prevention principles

- **Life cycle approach:** Safety plans identify and address threats and dangers to different age-groups
- **Community-based social capital:** FGs are encouraged to prevent minor bullying, vandalism and gender-insensitive behavior as well as promote pro-social behavior. Knowledge of the local safety plan enables residents to perceive their public spaces and facilities as safe, well-kept positive spaces. Safety plans are a practical example of partnerships as they involve facility management teams, local residents, user groups, local leadership, service providers, law enforcement and often local business as well
- **Protection of crime and fear of crime:** Incident reports provide a continuous stream of information about both crime and violence including relatively minor incidents, on which local safety plans can be fine-tuned, and which NSOs can use to offer effective safety-promoting policing.

Voluntarism

Brief description

Voluntarism is a foundational tool for VPUU. Voluntarism is the time-limited rendering of a public good service for no charge by an individual. In exchange VPUU offers individual trainings and priority access to paid work opportunities over which VPUU has the necessary influence.

Elements of the tool

- The CAP is the framework within which volunteering opportunities are identified
- Individuals apply as volunteers to the project
- Volunteers and the Intermediary negotiate the duties and areas of voluntary work
- Incident reports form an integrated part of voluntarism in order to identify threats to safety and opportunities to promote it
- FGs, as one form of volunteers, protect new public facilities which are constructed by the Intermediary often in identified crime and violence hot spots.

Steps to implementation

Voluntarism is an aspect in the initial social contracting between the Intermediary and a prospective SNA. There should be an in-principle agreement and common understanding.

- A meeting is held with prospective volunteers and the leadership, at which the policy and terms of the offered contract are clarified
- Those interested to continue complete a more detailed form which identifies the individual's long term goals, and the steps needed to reach them. It also identifies the duties that the volunteer will undertake, and the expectations that VPUU has of the volunteer. Where EPWP is an option, clear principles guiding access to EPWP and what combination of paid and voluntary contribution is to be made should be agreed and made known throughout the community

- A contract is signed, duties are commenced, and the volunteer begins to accumulate credits. These can be exchanged for the trainings identified as enabling to reach their goals
- A record is kept of duties, training and equipment accessed, incidents observed and dealt with and EPWP or work opportunities accessed
- Feedback is given to the reference group meeting on volunteers and of benefits received
- There is an advocacy process with the City, Province and commercial enterprises wanting to make a social contribution, to include an audited record of voluntary service to a consultative integrated intervention as one criterion to be used when making appointments for posts or selecting people to attend trainings.

Links to Social Crime Prevention principles

- **Life cycle approach:** Volunteers can be an effective deterrent to crime and violence in terms of a source of information about, and the preventive response to violence, with which police are not resourced to cope on a neighbourhood level
- **Community-based social capital:** Voluntarism is a key tool to proactively contribute, as an individual, to reducing crime and violence levels on a societal level in ones neighbourhood. By offering a contractual relationship between VPUU and the individual, joint accountability and responsibility is fostered in a cohesive manner
- **Protection from crime and fear of crime:** Volunteers are project partners and are critical to the delivery of some services such as NHW, facility guarding and the SDF. They are a unique source of information about violence taking place. The safety sustainability models which form the basis for the long-term impact of VPUU: without this, the intervention loses much of its impact.

Social Crime Prevention team meetings

Brief description

There is an annual strategic-level discussion among all Social Crime Prevention partners at which the longer-term opportunities arising out of the development process are identified.

There are bi-monthly operational meetings of all Social Crime Prevention partners at which joint interventions or mutual support are promoted.

Monthly meetings are held individually with Social Crime Prevention partners where implementation of contracts or voluntary agreements is monitored and issues for joint discussion are identified.

Elements of the tool

- A MoU is signed with both funded and unfunded or 'strategic' partners
- Funded partners are expected to incorporate the overall Intermediary strategy into their thinking and staff orientation
- Funded partners sign annual service agreements which specify what staff or material investment is expected in which area
- They are expected to report data disaggregated by area on a monthly basis
- Minutes of Social Crime Prevention team meetings are kept, which include a record of decisions and allocation of responsibilities.

Steps to implementation

- The basis must be an intervention model that is committed to partnerships
- Potential partners are identified on the basis of track record and their plans to work in a suitable geographic or service area
- Where funding is available, Calls for Proposals are invited through public media
- Unfunded partners are approached individually. Some partnerships may be proposed to the Intermediary

- In either case, the compatibility of approach and values must be established
- Regular meeting times are set
- Brief notes of decisions made and tasks allocated are kept
- A culture of support blended with an expectation of delivery needs to be developed.

Links to Social Crime Prevention principles

- **Life cycle approach:** The overall strategy identifies early prevention as a task all partners should address. The tool is focused on partnership development and maintenance
- **Protection from crime and fear of crime:** The intention is to make the best use of scarce resources and to learn from each other: this is a strategy that is more likely to lead to effective intervention and reduction of actual and perceived danger.

Performance data and reviews

Brief description

The tool consists of agreed information relating to each case dealt with, that is captured by the service provider and submitted as part of a monthly report.

Elements of the tool

- The tool consists of a database in which the data for each month is recorded
- This is combined with data from previous months so that service delivery patterns over time can be identified.

Steps to implementation

- The commitment to collect regular accurate information is an explicit element of the MoU
- The information to be collected will be determined by the service and reporting needs of the Intermediary, of the service partner, and of the host community
- Some elements, such as date of birth are relatively simple and require only an agreement on formats to be used and procedure when this is unknown or refused, other elements can be difficult to get right, so that accurate and reliable information can be collected. One such example is the field 'site of residence'
- To begin with, the data collected should be as simple and immediately useful as possible
- It is important to establish good practice and high standards from the outset
- Data collected should be analysed and used in regular discussions with partners about how to maintain and improve standards and effectiveness
- Over time, additional data fields can be added. When doing this, consideration should be given to preserve the usefulness of previously-collected information
- Annual reviews and strategic planning incorporate the data collected, to ensure data-driven planning.

Links to Social Crime Prevention principles

- **Protection from crime and fear of crime:** This tool illustrates VPUU commitment to collect data regularly and systematically and to base interventions on evidence and to be data led.

PART D: CASE STUDIES

2.1. EMTHONJENI—PLACES OF LEARNING AND SOCIALISATION IN AN INFORMAL SETTLEMENT

Introduction

Emthonjeni is perceived as a multifunctional place for children to play and learn in a safe environment. It is also a space for adult socialising, and the provision of services and utilities including, where appropriate, water and clothes-washing point, which is the origin of the suggested name. The Emthonjeni project aims to deliver affordable, high quality universal ECD as the most effective long term crime and violence prevention strategy. This is achieved through a process which links revitalised ECD centres with small public spaces designed to support and encourage learning. The acceptance of, design, use and maintenance of these spaces becomes an integrating theme in the physical and social upgrading task undertaken through the consultative team-based intervention described in the earlier sections of this manual. This case study is based on work being done with the community of Monwabisi Park (MP). This is an informal settlement. A Spatial Reconfiguration Plan (SRP) provides overall guidance to a range of interventions, including ECD development. For this reason, the case study begins with a summary of the informal settlement upgrading strategy and the MP SRP.

The vision of VPUU in MP is to build safe and integrated communities by upgrading the existing settlement without relocating people outside of the area. The combination of 6 proposed spatial layers (landscape, institutional, neighbourhood, dwelling, movement and technical) and the 6 work-streams (Cultural/Social; Economic; Institutional; Safety and Security; Infrastructure and M&E) of the CAP, help guide the design of the SRP.



Figure 4 Area identified for Emthonjeni



Figure 5 Completed Emthonjeni



Figure 6 Activated Emthonjeni

	CULTURAL/ SOCIAL	ECONOMIC	INSTITUTIONAL	SAFETY & SECURITY	INFRASTRUCTURE	KNOWLEDGE MANAGEMENT
Short term	Youth related projects Women empowerment Sport develop.	Support ECD strategy	Leadership training	Formalised Neighbourhood Watch initiatives	Operation and Maintenance of existing taps and toilets	Indicator development for the in-situ programme
Medium term	Support to reduce gender and youth based violence SDF Projects	Business support	Draft Spatial Reconfiguration Plan (SRP)	Safe pedestrian crossing over Mew Way	Kick-about field & facility Neighbourhood centre	Household survey Monument photographs
Long term	Development of youth centre	Bulk buying co-operatives Small-scale manufacturing	Equitable access to community facilities and schools	Improved pedestrian walkways and access routes	Delivery of technical infrastructure	Annual review of CAP and on-going projects

Reduction of demand Management of access Reduction of injury Long term prevention Knowledge Management

Figure 7 Initial Monwabisi Park CAP, February 2010

Early Childhood Development strategy as part of the redevelopment plan

In determining the MP SRP, the idea of an ‘ECD and safety map’ as one component was developed to guide the child-related institutional spatial layer of the settlement. The location of existing ECD centres was mapped. The pattern and distribution of open spaces was mapped. The Intermediary identified ECD centre development, and universal ECD access via these



Figure 8 Location of priority Emthonjeni as part of the MP Spatial Reconfiguration Plan

open spaces, as one key element towards crime and violence prevention.

Very few children currently attend pre-school. In a settlement of about 25,000 people of which 11% are children under 6 years old (approximately 2700 children) there are only 417 children currently enrolled in ECDs in MP (baseline survey, 2009). It is not known how many are attending ECD outside of the area.

The ECD approach is needs-based and area-based as opposed to demand-based and centre-based. This concept was developed through a series of workshops and meetings with the Khayelitsha and MP ECD fora, Khayelitsha ECD Stakeholders’ Forum, SNAC representatives, ECD NGOs and experts (Sikhula Sonke, Centre for Early Childhood Development), and City of Cape Town (CoCT) Environmental Health in 2010 during the planning stages of the SRP. The concept is that well-distributed ECD centres will provide between themselves ECD services to all children within the community. In this model each ECD centre would be responsible for the children within a defined area. They



Figures 9 and 10 Proposed Emthonjeni sites

would be equipped and staffed to offer both the centre-based ECD currently available, and the outreach ECD work using Emthonjeni within their assigned area. State subsidy equivalent to the current value would be made to ECDs on the basis of the percentage of all children reached in the assigned area. The outreach ECD work would be offered free of charge, and would be delivered in specially-designed public spaces. The ‘Emthonjeni’ spaces will be those public spaces.

The utilities will draw adults to the site and so achieve two aims: safety and supervision for children, and access to education and health for children. The Institutional/ECD strategy proposes the design of these spaces on two scales:

- ECD centre-based education centres at a section level (A, B, C and M Section in the MP context) with this level of centre being located at points 1 to 6 in Figure 8 and
- Neighbourhood level (each Emthonjeni would be designed to serve the preschool age children to be found in 200–500 homes).

Location of Emthonjeni at neighbourhood scale:

There is a great opportunity to develop many Emthonjeni’s within MP as safe spaces for children. A strategic phasing plan and criteria for site selection are being developed. Figures 9 and 10 show two examples



within Monwabisi Park that would in this approach be allocated to an ECD centre.

ECD programmes at an Emthonjeni

Table 5 summarises how the target for an Emthonjeni is calculated, and how performance monitoring is to be done. The aim at present is to reach 80% of children living in the area around each Emthonjeni. The number of children who attend, and the regularity of their attendance is monitored in order to assist with evaluation of the impact as measured by competence on developmental assessment measures. It will also be noted that the active involvement of parents is an expectation.

VPUU’s ECD Outreach partner Sikhula Sonke is contracted to provide trained ECD promoters at the existing Emthonjeni 3 mornings per week. They take with them, and store in the homes of local supportive parents, a range of toys and learning materials that cater for different age groups. The intention is to provide structured stimulation that is developmentally stimulating and challenging for each child with a view to reaching relevant age norms before the child goes to school. Key areas are

- Social skills
- Communication skills, expressive and receptive
- Cognitive development, task endurance, exploration

Department	Service link
Social Development	Grant access, special needs referrals, protection services if needed, information dissemination
Environmental Health	ECD health standards, public space cleanliness, waste water management, hygiene promotion
Health	Innoculation coverage, Clinic card checks, health checks
Sport and Recreation	Games, tournaments, outreach, information dissemination
Parks and Gardens	Dignified public spaces, shade trees
Solid Waste	Refuse collection and dumping prevention
Safety and Security	Safety volunteer recruitment and support
VPUU work-stream	
Planning and Design	Design and social function influence each other
Economic Development	Some Emthonjeni offer considerable economic potential
Community Participation	The location, function, safekeeping and use is negotiated locally
Partner	
loveLife	Base from which to reach out-of-school youth
Mosiac, Legal Aid, GrassrootSoccer	Base from which to inform parents of services and build links with young couples and future parents Preventive services
Heads UP	Outreach to survey alcohol use and identify high risk users

Table 4 Interconnection and linkages

- Self-help skills
- Fine motor and gross motor skills.

An arrangement is in place, on the basis of parental request and active involvement, where a nutritious snack or meal is provided each time. Each child’s clinic card is checked and if necessary the parents are encouraged to attend a clinic for vaccinations or health care. In addition, the parent’s access to Child Care Grant is

checked and if necessary referral is made to social services. The Emthonjeni also serves as outreach points for service provider partners of VPUU.

On one morning per week the children are taken on foot to the nearest community library where they and accompanying parents are encouraged to become familiar with the facility, become borrowers, and where the children can enjoy well-told stories.

Initially group and individual activities take place on the sandy surface or on mats. As the programme progresses low walls on which to work and sand-free clean hardened surfaces are constructed. A tree, an improved water tap or other small scale measures complement the design. Without putting up structures or reducing public access to the space, this design, while it will not be able to end weather-dependency, will provide some shade from the sun and shelter from the wind, as these factors reduce the impact of Emthonjeni.

Safety principles and tools that can be applied

Principles:

- Life cycle approach
- Community-based social capital
- Protection from crime and fear of crime.

Tools:

- Area-based ECD access
- Partnership MoU
- Local safety plans
- Voluntarism
- Performance data and reviews.

Links to other work-streams

Situational Crime Prevention

- Multiple links through the SRP.

Institutional Crime Prevention

- Potential to develop multipurpose spaces—ECD, business and public gathering spaces.

PROJECT OBJECTIVES: Emthonjeni make a measurable improvement in how children succeed at school				
Measure	Reason	Information needed	Example	Target
Number of children under 6 is accurately estimated	Target number	Children per household, ECD area boundary, number of households within this area	Baseline survey states 2,700 children under 6, and 6200 homes. This is 2700/6200 or 0.44 children per home. In the area chosen there are 582x0.44 or 256 children aged 0 to 6 yrs	Accurate information about the need
Baseline ECD reach is known	Status Quo	Number of ECD places within the area	There are 50 ECD places, so 206 children are left without ECD	Accurate information about existing resources
Timeline to reach 80% coverage is set	Intermediate goals to aim for	Dates for reaching 10% more children starting from baseline	The target is 165 (80%) Gradual targets are 66 children within 3 months, 100 children within 6 months, and 165 children within a year	40%, 60% and 80% of children under 6 are in high quality learning programme that makes use of local volunteers and public facilities
Output information	Measure performance, impact and sustainability	Number of: Children reached ECD sessions offered Adult volunteers Health and development assessments	Attendance register Monthly lesson plan Adult attendance and duty register Record of children examined	Target numbers as above Aim to cover all developmental areas in lesson plan Aim to have 5 active adults per Emthonjeni All children examined per year
Number of children who are school ready	Effectiveness of intervention	Measure of competence after certain number of attendances School enrollment numbers Number enrolled at the library	Service provider has competence checklist Assessment records per child over series of assessments Name of school to be attended Library borrowing records	Children are ready to cope with school when they are enrolled They remain active readers and learners They have a pass rate equal to children from formal ECD

Table 5 Tracking Project objectives and indicators

Summary

The idea of ECD outreach working around the ‘Emthonjeni’ space is seen to be a foundational step for development in MP.

This forms an important step in showing commitment and development for the community and stakeholders of the area not only from a spatial or ‘physical’ perspective, but also a ‘social’ programme and maintenance regime related to such spaces. These small and high quality public spaces are more about positive

spatial and social intervention than merely ‘play-parks’ or public open spaces. The development around the Education Centres (currently the existing crèche/ECD centres) will be fundamental in terms of the larger spatial structure, acting as seeds for improved QoL and ‘homes’ for outreach programmes in MP.



Reference to indicators

Indicators	<ul style="list-style-type: none">• Number of men and women feeling safer• Sustainable use and operation of infrastructure• Positive social cohesion• Range and coverage of service providers• Mainstreaming crime prevention strategy
Model indicators	Verification
Activities to improve education and skills levels	80% of all preschool children are reached in areas which have Emthonjeni's Competency assessments show that accelerated progress is being made to school readiness
Number of formalised businesses and smaller enterprises developed by the project with special focus on micro enterprises and ECD centres	Number of functioning and full ECDs reaches the level as specified in City's guidelines for social facilities standards
Number of awareness campaigns being conducted	Each SNA has one facility of space from which Social Crime Prevention services are offered in an integrated manner At least one campaign per year
Number of trained volunteers	There should be at least 3 safety volunteers per Emthonjeni or small public space. Each SNA has organised a NHW initiative that patrols the area. The aim is to have sufficient active volunteers per SNA
Safety principles (subsidising of area-based ECD) are approved by the City	ECD subsidies to at least one area are paid on the basis of proportion of resident children reached
User groups participate in the management and operation of facilities	80% of facilities have user group managements

Table 6 Indicators

2.2 HARARE SAFE NODE AREA SAFETY PLAN

Introduction

Need for local safety plan

Figure 11 shows the crime hotspots for Harare as per the baseline survey in Harare and Kuyasa completed in 2006. This case study describes the application of the tool 'local safety plan' in Harare.

Development of a safety plan

In response to the situation described in the baseline an integrated safety plan has been developed and is being implemented.

The safety component of this plan has its focus on the prevention of accidents, and ensuring a sense of safety among users of recreational spaces, school grounds and pedestrian routes. The security is fully integrated into this plan. It will reduce and prevent crime and will focus on the higher-risk areas with commercial activities.

Figure 12 shows the area covered by the safety plan: this is the two commercial and public facility hubs at Khayelitsha Station and Harare Square connected by a high volume pedestrian walkway. This is shown in Figure 11 to be a high crime area (3). The area also includes the recreational component of the Harare Urban Park and two schools, as well as the walkway to the Harare Peace Park (5, 7 and 8 in Figure 11). The safety plan focuses on well utilised public spaces.

The intention is to coordinate, streamline and share safety and security services within the area. Different City and provincial departments, private sector owners and businesses all had different security systems and providers. Each was focused only on a specific location, and public spaces as well as safety issues received inadequate attention. There was duplication in some areas, and no security in others. There was no shared collection of incident information or identification of emerging risks.

The benefits are identified as:

- Improved levels of safety and security
- A saving on overall cost
- Provision of consistent level of coverage
- Avoidance of duplication or potential conflicts between service providers in an area
- Creation of a platform where City and provincial departments, private sector owners, tenants and interest groups could discuss safety and security issues
- Operationalising the Metropolitan Police's Neighbourhood Safety Officer concept
- The implementation at a neighbourhood scale of another aspect of the integrated VPUU approach to development.

The proposed safety plan is based on the info from the baseline survey, the observation of the premises and spaces, the interviews with facility managers and

users, and on local crime statistics. Additional factors are the value of items on the premises, the historical likelihood of a crime taking place, and the impact of a crime or loss should it occur.

Interviews were held with VPUU personnel to explain the approach and values that were to be included. Key aspects are:

- Safety and perceived safety, as well as security be focused on
- The relationship and understanding between residents and law enforcement be improved
- The inclusion of safety volunteers and local safety and user group civic structures, as well as volunteer's access to training and work opportunities
- Operation and Maintenance work done by VPUU.



Figure 11 Map showing Harare and Kuyasa hot spots 2006



Figure 12 Harare Safe Node Area integrated safety plan boundary

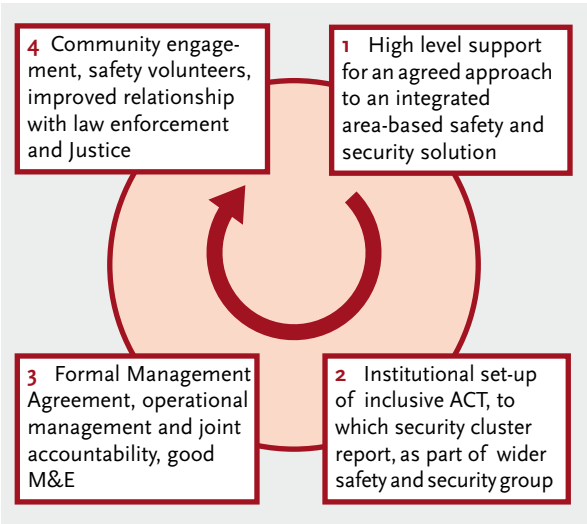


Figure 13 Operating model for the safety plan – July 2013

Implementation of the safety plan

High level support

The benefits of the approach advocated require senior administrators endorsement if the ground-level implementation is later to be effectively achieved. Two critical elements are that there should be high level buy-in that representation should be consistent, and that joint accountability and budget alignment is achieved.

Institutional set-up

In the case of Harare Safe Node Area, there is an over-all Area Coordinating Team (ACT) which includes all City departments that manage property or staff or provide services in the area. Included also are relevant Provincial departments, often on an ad-hoc basis. The safety and security cluster reports to the overall ACT and receives feedback from it on how the agreed plan is being implemented and its impact. Within this cluster, which includes departments such as Parks, Roads and Stormwater, Solid Waste, there is a smaller group dealing with security matters which is limited to Facilities Management, SA Police Services, Metropolitan Police, Law Enforcement, and VPUU. Once the model is more established and mutual understanding is improved provision is made for the addition of a representative of tenants to this group.

Management Agreement (MA)

The MA makes provision for a binding agreement between the security cluster group members. This agreement is renewable and makes provision for responsibilities being allocated, for a review of performance, and for systematic feedback being obtained from the public using the area as well as from tenants, owners, and traders. Of interest is a clause requiring that an agreed police response time standard be set, on the basis of incident reports that should state why and when calls for law enforcement were made, as well as the response received. The MA also stipulates that the cluster should meet on a monthly basis, what infor-

mation should be made available, and the records to be kept. The key responsibilities for each partner are based on established roles and skills, and on the findings and recommendations of the safety and security risk assessment undertaken by the City.

The purpose of this MA is to provide a framework for collaboration between the identified parties in order to develop and deliver an integrated safety plan for the Harare Safe Node Area that is effective and cost efficient. This part of the MA is reproduced below:

Community engagement, safety volunteers, and improved relationships

It is part of the VPUU model that for sustainable safety and security it is necessary for local residents to be actively involved. These are the safety volunteers, who can take up a number of roles from mobile patrolling to static surveillance, to assisting in any element of the VPUU programme that appeals to them. Safety volunteers protecting and facilitating the best use of public facilities are called Facility Guardians (FGs). The sustainability of this approach depends on volunteers providing a dependable and skilled service as well as accurate information about incidents, in return for training in skills needed for their role, and additional training or work exposure they value for their

	Service	Key responsibilities	Duties	Deliverables
1	Special Technical Services, CoCT	<ul style="list-style-type: none">Advise onSecurity risk management	<ul style="list-style-type: none">CCTV equipment specificationsService provider & personnel selection, and contractingLiaise with relevant City departments	<ul style="list-style-type: none">Quotation for suitable CCTVAdvice on location of CCTVAdvice on set-up and running of local security hubLinks to City departments as needed
2	VPUU	<ul style="list-style-type: none">Social Crime PreventionSpecial events planningCommunity engagement	<ul style="list-style-type: none">Equipment purchase, maintainSafety volunteer (SV) deploymentSV incident reportingMinutes and noticesLiaison with ACT	<ul style="list-style-type: none">CCTV as per specificationsFunctioning security hubIncident reports from SVsInformed community support
3	SA Police Services	<ul style="list-style-type: none">Patrol to agreed standardsHelp develop and meet response time standards	<ul style="list-style-type: none">Respond to calls within agreed time standardsPriority investigation of selected incidents	<ul style="list-style-type: none">Responding, to calls for support, to agreed standard
4	METRO Police NSO Rent-a-Cop Law Enforcement	<ul style="list-style-type: none">Deployment of Neighbourhood Safety Officer to SNA	<ul style="list-style-type: none">Coordination of safety planIdentify emerging risksIncident logging and risk reporting to CoCTCommunity engagement	<ul style="list-style-type: none">Incident log with City and follow upCrime and risk prevention proposals
5	METRO Law Enforcement	<ul style="list-style-type: none">By-law enforcement	<ul style="list-style-type: none">Trading site safetyTraffic law enforcement	<ul style="list-style-type: none">Trading conformityReduced traffic-related injuries
6	Tenants representative	<ul style="list-style-type: none">Raise tenant security issuesLiaise with tenant structures		

Table 7 Extract from Harare SNA MA

own development, and assistance with eventual work placement.

The collection of accurate information about incidents, as well as an accurate record of when and why police back-up was called for, is critical to the development of a trusting respectful collaboration between the local community and law enforcement officials.

Incidents taking place in or around the facility are recorded by FGs using the incident reporting form reproduced in Table 8. This was designed to require a minimal amount of writing, and to align with the crime and violence priorities identified by baseline sur-

veys. This information is used to compare with both baseline information and with findings coming from the household survey (HS). It is also for the use, of the NSO for the area. Using this information they could plan public engagements about countering local crime and violence, and promoting safety. An important aspect of this form is the record of when police assistance was called for, and when it was received. The factual analysis of requests made and calls answered enabled data-driven prioritising and response time standard setting.

INCIDENT REPORT						ACTION TAKEN		OUTCOME	
Date of incident	Time of incident	Location of incident	Type of incident	Violent person	Victim	Action by patrol	Time of call to police	What happened or time of police arrival	Name of patroller
			Robbery	Male	Male	Educate		Time of SAPS or METRO arrival	
			Housebreaking	Female	Female	Caution			
			Vehicle accident	Alone	Alone	Search			
			Youth/gang Rape	Group	Group	Hold		
			Stabbing	Under 6	Under 6	Report		Vehicle registration	
			Murder	7-12	7-12	Call SAPS		
			Hate crime	13-18	13-18	Call METRO		
			Shebeen/ alcohol	19-35	19-35			Report	
			Last shebeen/ tavern	35-55	35-55				
			55+	55+				
			Alcohol?	Alcohol?				
			Source	Source				
							
							

Patrol leader:

Date:

Table 8 Sample incident reporting form

Safety principles and tools that can be applied

Principles:

- Community-based social capital
- Protection from crime and fear of crime.

Tools:

- Partnership MoU
- Contracts with CPFs
- Local safety plans
- Voluntarism
- Performance data and reviews.

Links to other work-streams

- Multiple links to Situational Crime Prevention through help with design and occupation of new public spaces
- Institutional Crime Prevention is supported through involvement of FMCs, protection of business sites, and visible successes from cooperative ventures. A functioning safety plan reduces ultimately the operating costs per facility as resources are shared.

Summary

The Harare Safe Node Area integrated safety plan is based on the premise that area-based safety planning will be more effective and less costly. This is based on a risk assessment conducted by CoCT officials specialising in this work, community perception of safety and crime stats. Such a risk assessment provided the impetus for various City, Provincial and private sector facility owners and users to combine. The geographic area has been precisely described, and all role-players have agreed their contributions to an overall plan in writing. Critical features of this intervention are that security will be 24/7, make use of appropriate technology, be evidence based, and that team work overcomes long-standing misunderstandings between community residents and law enforcement.

Reference to indicators

Indicators	<ul style="list-style-type: none">• Number of men and women feeling safer• Sustainable use and operation of infrastructure• Positive social cohesion• Range and coverage of service providers• Mainstreaming crime prevention strategy
Model indicators	Verification
Activities to improve education and skills levels	Number of trained volunteers, of whom 50% at least must be women. Personal development plans and training records of volunteers
Number of awareness campaigns being conducted	Each SNA has one facility of space from which Social Crime Prevention services are offered in an integrated manner At least one campaign per year
Number of trained volunteers	Each SNA has organised a NHW initiative that patrols the area The aim is to have sufficient active volunteers per SNA
Number of victims and conflict cases assisted	Perceived safety rating of 3 or more (out of 5) for 4 consecutive months in at least on SNA, based on HS 100 cases per month assisted by access to justice project 90% of survivors reporting rape lay a charge at police station
Safety principles are approved by the City	FGs are active at all facilities, and submit incident reports via NSOs which enable safety plan to be updated

Table 9 Indicators



2.3 SOCIAL DEVELOPMENT FUND— SOCIAL COHESION BUILDING

Introduction

The SDF provides the means for community-based initiatives in the SNAs to access funds in order to undertake activities that will make a contribution to crime prevention. The SDF, through building social capital, is an effective crime prevention intervention in its own right. Since the SDF projects can often be implemented more rapidly than many Situational Crime Prevention interventions, they can serve as a way of introducing and popularising the goals, methods and values of VPUU in the identified SNAs. The SDF promotes trust building and mutual accountability between the resident groups and VPUU.

Goals of the Social Development Fund

The SDF is one method of reducing crime and violence in the SNAs. It encourages community projects that aim to change the harmful social culture of the past into a caring developmental culture. The SDF directs funding to community projects that focus on achieving the following goals:

- Removing or alleviating circumstances or factors which lead to poverty and violent crimes
- Promoting community cohesion and a healthy communal life
- Prevention and elimination of opportunities for crime and violence from occurring and escalating to violence
- Promoting gender equality.

Institutional set-up of the SDF

The SDF makes small grants available to groups wanting to deliver projects linked to the CAP. The SDF has a fully dedicated staff member as its coordinator, supported by the Community Facilitators (CFs). Funding decisions are done in a transparent and open process with the following stages:

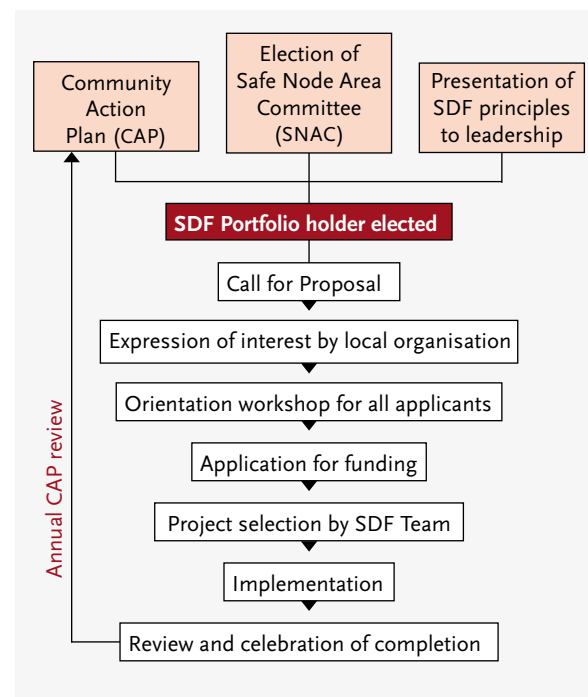


Figure 14 SDF flow chart

Call for Proposal

This alignment of proposals with CAP ensures that initiatives will contribute to priorities that have public and leadership support, and that personal agendas will not predominate. All calls for proposals are made in public and applicants are identified.

Once a SNAC has appointed a SDF portfolio holder, this person is able to attend SDF Team meetings where allocations are made and performance is reviewed. The SNAC member helps identify bona fide applicants, but has no vote regarding allocations within their area. Calls for Proposals are aligned to the CAP as area specific development plans.

Expression of interest by local organisation

This is kept simple so as not to exclude less developed groups.

Orientation workshop for all applicants

This ensures that applicants understand the obligations and expectations of the SDF. These include full public accountability, acceptance of supervision, contribution by applicant of 10% of approved funding and an equal value in 'community contribution'.

Application for funding

Is submitted via the CF to the SDF team. The CF is requested to guide and support applications.

Project selection by SDF team

The CF, with the support of the SNAC portfolio member, present the application to the SDF team for approval. Both these members have no voting rights for proposals in areas in which they work.

Implementation

Implementation is done by the applicant with support of the SDF team, primarily the CF.

Review and celebration of completion

Is done on individual project level during a close out visit and on area level with a public 'Certificate of Completion' at a reference group meeting.

Special projects

These projects can be strategic or catalytic projects identified by the professional team or community groups that are seen as worthy to fund and likely to have a significant impact. These arrangements have worked well, and after allocating a total of R4.5 million to 244 projects since March 2007 there has been only 1 incident of funds being misused and allocations have not resulted in local acrimony. The following are two examples of SDF funded projects:

Assistance to ECDs

As a part of life cycle approach the promotion of ECD is a goal of VPUU. The SDF has been used to achieve

this. Table 10 shows the number of ECDs that have been assisted in the different SNAs.

The majority of ECDs have been assisted to meet registration standards in relation to safe perimeter fencing, hygienic floor surfaces, and adequate resting facilities for smaller children. This has meant that many ECDs became eligible for state subsidy which reduces the cost to parents who either need day care for children while they work, or are committed to giving their children a good educational start in life. ECDs are one of the major business opportunities where women have a competitive advantage – hence a good way to promote gender equality.

SAFE NODE AREA	SPENDING	ECDs
Harare	R 135 198	7
Kuyasa	R 298 054	28
Monwabisi Park	R 124 298	3
Site C	R 228 267	19
TR Section	R 124 968	13
Total	R 910 785	70

Table 10 SDF funding for ECD

Festival of Cultural Diversity



The SDF has contributed to the holding of the Festival of Cultural Diversity in Site C in 2010 and in Harare in 2011 and 2012. The aim of this festival is to bring together not only South Africans from different regions who are now all living in Khayelitsha, but also to include foreign nationals residing in Khayelitsha and in other parts of Cape Town. The intention is to promote understanding, respect and tolerance between groups (building social capital) and in that

way to counteract xenophobia which is a lurking danger, and which erupted in Khayelitsha in 2008. The first festival consisted of educational events as well as fun events as illustrated below, while the following festivals were more focused on music and art.

Educational Workshops: ARESTA, Cape Town Refugee Centre ADRO/Afrivision Empowerment+ Black Sash, Vision Africa/ Nelson Mandela Foundation with Steps SA, Unity of Tertiary Refugee Students, Kolping, Love Life, Peace Ambassador Project, Quaker Peace Centre, City Vision, Legal Aid.

Artistic Workshops: CAPE MIC, Wizz ICT/ SCYPRO, Scalabrini Centre, Healing of Memories, Township Rural School of African Musical Instruments, AS SITEJ, Hillside Digital.

Impact of the festival

It is estimated that over 3,500 people have attended the festivals held to date. Those who attended the festivals were interviewed and have reported a deeper understanding of and appreciation for other cultures and foreign nationals. Many of the workshop organisers reported positive attitude change after their interventions. The support and tolerance of leadership within Khayelitsha for the festival is also positive.

A manual has been produced which summarises what has been done to organise these festivals and which can be used as a guide if something similar is to be undertaken. The festivals have taken on a life of their own and are now a recurring event within the cultural life of Khayelitsha. The Interdisciplinary Task Team which leads anti-xenophobic initiatives in the area is part of the festivals, and a local group called SACAX has arisen out of the festival in Site C. They have found sponsorship to continue preventive interventions in

schools, and have undertaken research to ensure contact with and identify the needs of foreign-owned businesses in the area. The events have been video recorded and these videos have been shown several times where they have been well-received as presenting a positive view of African culture and of local talent. Positive as these informal findings are, a more objective assessment of the SDF has also been undertaken.

Impact assessment of the SDF

An independent assessment of the impact of the SDF was undertaken by two students attached to Stanford University* who collected information from a sample of 43 projects to answer the question: What is the impact of the SDF projects on community cohesion and healthy communal life in the VPUU SNAs in Khayelitsha? Data comes from cross-validated trend analysis from open-ended questions in a structured interview format, and from close-ended questions. The following tables summarise aspects of the trends that emerged:

Results and analysis of close-ended questions (from project leader interviews)

The most powerful impact on organisations funded by the SDF was in terms of an increase in the number of people involved in the project. This change was generally associated at least in part with changes flowing from SDF funding. Two impacts on project leaders were commonly identified: one was an increase in self-confidence, and the other was a perceived increase in skills learned through the project. It is possible that these effects are linked, and the latter should be independently verified. Success in raising funds for a group that have often been struggling to do this for a long time is clearly a status-enhancing achievement. Over 90% of those who brought SDF funding to their projects report that their status as a role model was

* The Impact of the VPUU Social Development Fund on Community Cohesion in Khayelitsha, South Africa 21 September 2010 Researchers: Lucy Litvak and Bridget Connolly B.A Candidates, Stanford University Class of 2011

Indicator	Corresponding interview question	% of projects who had an increase in attendance 'after the SDF'	% of project leaders who attributed that increase at least partly to the SDF	Corresponding characteristics of 'community cohesion' or 'social capital'
Membership	Number of people involved in project	84 % (100 % of Sport, 75 % of Cultural, 75 % of Education, 67 % of Basic Needs)	61 %	Level of membership, social ties (quantity), informal social control
Frequency of activity	Number of project meetings per week, length of each meeting (only includes formal, regular meeting times Sport: not including games, Cultural: not including performances)	21 %	78 % (Projects from every theme—Basic Needs, Education, Cultural, and Sport—experienced an increase in frequency of activity because of the SDF funding)	Social ties (quantity), informal social control, the availability of instrumental and social emotional support within the neighbourhood

Table 11 Impact of SDF (sample size [n]=43)

Indicator	Corresponding interview question	% of project leaders	Corresponding characteristics of 'community cohesion' or 'social capital'
Self-esteem	Became more confident in self through being involved in project	88 %	Influence, development of social and emotional skills, the availability of instrumental and emotional social support within the neighbourhood
Skills learned	Skills learned through project (interpersonal skills/organisational skills/ programmatic skills)	79 %	Development of social and emotional skills

Table 12 Impact of project on project leader's life (sample size [n]=43)

Indicator	Corresponding interview question	% of projects	Corresponding characteristics of 'community cohesion' or 'social capital'
Role modeling	Project leader was a role model for others in their project	93 %	Influence, building strong and positive relationships, social ties, the availability of instrumental and emotional social support within the neighbourhood
	Project leader gained a role model through their project	51 %	
	Project leader either gained a role model through their project or was a role model for others in their project	100 %	
Ethnic integration	Number of foreign nationals involved in project	24 % projects involved at least one foreign national (50 % Basic Needs, 25 % Education, 24 % Sport, 9 % Cultural) Countries of origin of foreign nationals: Zimbabwe, Congo, Nigeria, Rwanda, DRC, Burundi, Cameroon	Participation of different ethnicities (note: this characteristic is not an explicit aim of the SDF, but was derived due to its prominence in community cohesion literature)

Table 13 Impact of project on project leader's life (sample size [n]=43)

strengthened. This can be seen as an example of ‘linking’ social capital which makes a link with hitherto inaccessible resources. It is also good to note that funded projects had a relatively high rate of contact with foreign nationals, but caution is needed as no base rate has been established among unfunded projects.

Safety principles and tools that can be applied

Principles:

- Life cycle approach
- Community-based social capital
- Protection from crime and fear of crime.

Tools:

- Area-based ECD
- Partnership MoU
- Social Development Fund
- Voluntarism
- Performance data and reviews.

Reference to indicators

Indicators	<ul style="list-style-type: none">• Number of men and women feeling safer• Sustainable use and operation of infrastructure• Positive social cohesion• Range and coverage of service providers• Mainstreaming crime prevention strategy
Model indicators	Verification
Number of projects completed via the SDF to reduce crime and violence, improve community cohesion, and promote gender equality.	<ul style="list-style-type: none">• Number of projects per SNA, target group, budget, community and own contribution actually made, completion by due date, photographs of ‘before’ and ‘after’, number and gender mix of beneficiaries
Activities to improve education and skills levels	<ul style="list-style-type: none">• Number of SNAC representatives on SDF Task Team, participation in team meetings
Number of awareness campaigns being conducted	<ul style="list-style-type: none">• At least one ‘special event’ with a social justice theme per year

Table 14 Indicators

Links to other work-streams

- This project builds links with Community Participation activities
- Certain ECD interventions can be seen as Situational as they involve small construction projects
- Other SDF projects link to the economic development aspect of Institutional Crime Prevention.

Summary

The SDF should be a blend of accessibility, and high standards of shared contribution and accountability. The SDF procedures make it easy for groups wanting to contribute to safety to submit an application. It understands that these groups may need a great deal of support before they can agree a realistic plan and budget, and find a way to meet their obligations in relation to own and community contributions. If this effort is made, it has been shown that informal and emerging groups can be assisted to make meaningful and impactful contributions. The SDF also plays an important role of portraying the values and standards that will be set throughout the project. It is a rapid-implementation element of VPUU and those delivering it need to understand that they will be examined and questioned by those wanting to know about the project as a whole.

The goals and principles of the SDF are established and summarised in the VPUU SDF Policy.

CHECKLIST

Framework	YES	NO
Does your overall strategy include the following:		
• Enhancing health and competence of residents with a focus on preschool children?		
• Promoting community cohesion?		
• Reduction of harms related to alcohol?		
• Delivery of increased safety, reduced crime incidents?		
• Ways to measure perception of safety?		
• Measureable outputs from partners?		

	Interventions	YES	NO
PREVENTION	Is universal ECD access a goal?		
	Identification of risk factors:		
	Have indicators for healthy development been identified?		
	• for infants		
	• for children under 12		
	• for older children		
	• for young adults		
	• for adults		
	Are risks at individual, family, and community level identified?		
	School-aged children:		
	• safe access to school		
	• safety in school		
	• learning support		
	• sports and culture		
	• initiation to adult-hood, gang dynamics		
	Employability and income generation through voluntarism and enterprise mentoring?		
	Do you have awareness and public education programmes with a focus on:		
	• human rights?		
	• gender equality?		
	• impact of alcohol and substance abuse?		
	• racism, xenophobia?		
COHESION	Does social architecture get attention during new facility design?		
	Are there community-driven projects being supported that promote cohesion?		

Interventions		YES	NO
PROTECTION	Does your approach see:		
	• Active citizenry as an essential element of sustainable lawfulness?		
	• Volunteering as a safety contribution?		
	• Public facilities as safe spaces?		
	• Links to an urban design framework?		
	• Links to an O&M plan?		
	• Regularly collection, capture and feed back patterns revealed by incident reports?		
	• Deployment of safety resources based on data information?		
	Is there a process in place to define a mutually acceptable way for safety volunteers to ask for and get law enforcement back up?		
	Is there a victim support strategy and service provider?		
	Can residents get free legal advice and support?		

Collect data, evaluate and adapt continuously	YES	NO
Do your contracts with service providers specify what data they must forward each month?		
Are you able to use this information to form a monthly performance summary?		
Are you able to use this information to identify trends?		
Do you ensure that all service partners are using the same boundaries and place names?		
Do you have annual performance reviews?		
Do you have impact measures as well as output measures, to ensure quality as well as quantity of services?		

Work through partnerships and creative connections	YES	NO
Is partnership establishment an aspect of your intervention strategy?		
Are partners identified on the basis of their competence to deal with known risk factors?		
Is there a written partnership agreement with the community in which you are working?		
Do you have a written MoU with all strategic partners?		
Is voluntarism part of your strategy?		
Do you offer a regular place where your partners can meet each other and see where mutual assistance is possible?		

SECTION III

COMMUNITY OPERATION, MAINTENANCE AND MANAGEMENT—COMMUNITY O&M

PART A:
THEORETICAL AND METHODOLOGICAL
FRAMEWORK

Context of Community O&M • The facility O&M context
• A vision for Community O&M

Context of Community O&M

The purpose of this section is to describe the programme’s concept of Community Operation, Maintenance and Management (Community O&M) on an area (neighbourhood) scale.

There are two major contextual issues which affect the shape of Community O&M.

- **First**, crime is a major deterrent for development both socially and economically. As has been outlined in the Introduction, high crime rates affect not only the safety of local residents, but they also retard development, make it difficult for people to use public streets and spaces freely, affect recreational and cultural activities negatively, and reduce community cohesion. From an economic point of view, they make it very difficult to attract and retain investments and businesses in an area, which are vitally needed to energise South African townships
- **Second**, municipalities have built, and need to build many facilities for the use of the community, indoor and outdoor, but do not have reliable funding sources for their on-going maintenance costs, and lack the budgets to maintain and repair existing ones.

The O&M programme, by working on a neighbourhood basis, partnering with local residents, their community organisations, staff from various government departments and a variety of external partners, use the handling of the facilities maintenance problem to help create safe and sustainable communities.

The intentions of the Community O&M component of the programme are:

- To include O&M issues in participatory processes including scoping, design and construction of multifunctional facilities
- To set up O&M systems for these multifunctional facilities which help address the needs of local residents to improve the Quality of Life (QoL) of people in the selected areas
- To prove that multifunctional facilities (as opposed to mono-functional facilities) managed with the help of community groups (Community O&M) will lower the municipal operating costs
- To have the Intermediary responsible for facility O&M hand over O&M components to local community members progressively, through processes that support local skills transfer and income opportunities.



The intentions of the Community O&M approach fully complement government values and priorities. From early in South Africa's democratic transition the new constitution (in Chapter 7) spelled out a dream and envisioned reality for developmental local government that facilitated citizen participation and helped to overcome various forms of inequality and exclusion. A national government Cabinet lekgotla held in January 2010 outlined strategic goals for the South African Government by adopting twelve Outcomes:

1. Improved quality of basic education.
2. *A long and healthy life for all South Africans.
3. **All people in South Africa are and feel safe.
4. *Decent employment through inclusive economic growth.
5. *A skilled and capable workforce to support an inclusive growth path.
6. *An efficient, competitive and responsive economic infrastructure network.
7. Vibrant, equitable and sustainable rural communities with food security for all.
8. **Sustainable human settlements and improved quality of household life.
9. *A responsive, accountable, effective and efficient local government system.
10. Environmental assets and natural resources that are well protected and continually enhanced.
11. *Create a better South Africa and contribute to a better and safer Africa and World.
12. *An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship.

This programme works directly on Outcomes 3 and 8 (with two asterisks **) and indirectly on Outcomes 2, 4, 5, 6, 9, 11 and 12 (with one asterisk *).

To provide a fuller rationale and summary, the main reasons to encourage a Community O&M approach are:

- Improving the scope of municipal service coverage (focus and key)
- Improving the quality of service delivery
- Reducing opportunities for crime through well-managed facilities and public spaces
- Promoting the participation of local communities in socio-economic activities, especially where unemployment is high
- Encouraging people-centred development and citizen participation in civic affairs
- Strengthening pride and ownership in the local community
- Making accountability local and tangible
- Building capabilities of local people and encouraging them to take steps towards entrepreneurial activity.

The facility O&M context

Facility O&M is currently seen as a technical specialist facility management discipline within an overall facility development. It takes on responsibility following the construction phase and formal hand over from the contractor to the client e.g. Local Authority (LA). As a result O&M is usually isolated from the broader facility development process and is required to make ends meet within a predetermined public sector budgeting framework, which is not linked with wider community development thinking and the design and development process.

Currently a number of line departments own and manage facilities within a LA. Their focus is limited: to deliver on their particular mandate, and not necessarily to contribute to the greater good of the City or the community in which the facility is located. This makes it extremely difficult to do integrated development planning through mixed-use or shared facilities.

The budget allocation for O&M is normally managed by individual line departments and competes with all other priorities—such as the need (increased through mounting pressure) to reduce the disparities of the apartheid legacy through increased and improved service delivery or construction of new facilities. The unfortunate result is that budget allocations for O&M are consistently insufficient. This leads to deteriorating infrastructure, and in many areas, a lack of maintenance within a growing number of municipal facilities.

Another factor limiting potential income for facilities is that non-payment of rentals by tenants is not followed up by restrictive actions. This is especially true of micro and small level business owners. The reasons include political pressure to keep certain tenants within facilities despite non-payment, unclear policy priorities (e.g. poverty alleviation or business development), limited entrepreneurial and financial management skills by some business tenants and insufficient managerial and leadership capacity and will by government officials.

Within target areas characterised by high crime rates, the reality is that facility security has become one of the biggest expenses.

One final contextual issue is the placing of the approach to O&M of facilities into the facility management discipline. There are four main disciplines within Facilities Management (FM)—**strategic, tactical, operational** and **community-based**—with the last being a relatively new and developing area that is championed in this model. The Intermediary would tend to fit into the last two categories.

A vision for Community O&M

- The vision of the Community O&M approach to FM is to have safe, clean and well-maintained facilities that are sustainably managed in partnership with communities and local institutions within a **Sustainable Neighbourhood (SN)** (*see Introduction*).

Within this context 'facilities' comprises buildings and the public realm within a defined geographic area. The model approach values the meaningful involvement of the local community in setting policies and quality standards, and in helping to manage the facilities so there is a greater likelihood of community 'ownership,' a sense of pride and citizenship, security and care. Sustainability is also based on the QoL concept comprised of the following categories:

- Socioeconomic/Poverty (including income poverty, access to basic amenities and employment)
- Health and Fitness (including mental health, stress, etc.)
- Quality of Physical Environment (including air quality, infrastructure, housing, etc.)
- Human Needs (both physiological and psychological/emotional)
- Subjective Well-Being (personal perceptions of life fulfilment).

Source: Neil Higgs' *'Everyday Quality of Life Index for South Africa'* (EQLi 2007) from the Journal of Social Indicators Research

The Community O&M vision derives from the concept of **Asset-Based Community Development (ABCD)** which draws extensively on existing **social capital** within a given area. Social capital can be strengthened in tangible ways, using a Community O&M approach to facility management, through a variety of interventions such as skills training, Facility Management Committee (FMC) mentorship, capital infrastructure, general improvement of safety. All of these interventions strengthen local capacities to provide meaningful contributions to improving democratic decision-making at local level, social cohesion through inclusiveness, technical skills and local income opportunities.

Within the Community O&M component there are three distinct elements:

- **Community partnerships**, which include creating public awareness, community mobilisation and developing community partnerships
- **Community Delivery of Services (CDS)**, in this case via Facility Advisory Committees (FACs) and FMCs
- **Management on an area basis**, which means including all the relevant public buildings and public spaces in an entire SN and managing them in an integrated and financially sustainable way.

Achieving the financial sustainability of facilities is an important goal and it requires getting dependable income to maintain what is built. The routine maintenance of municipal facility infrastructure, in many cities around the world, is compromised by financial pressure because of uncertain annual funding via budgeting cycles, an inadequate property tax base from poor communities, the prioritising of urgent maintenance over routine maintenance and the challenging global economic situation that affects tax and other revenue sources. Money for capital expenditure to build facilities is often easier to access than money for on-going facility maintenance and management. In this programme there is an effort to show, conceptually and practically, how a mix of economically and socially oriented facilities can cross-subsidise each other to ensure that the on-going operational and maintenance costs are covered from income derived from the local community, and not from dependence on on-going municipal departmental funding.

PART B: PRINCIPLES

Sustainable Neighbourhoods • Promoting ownership of spaces and facilities • Promoting voluntarism and progressing to Community Delivery of Services • Ensuring access to Skills Development • Seeking sustainability with special focus on financial sustainability of facilities

Sustainable Neighbourhoods

The SN concept, which defines a basic principle of Community O&M, is described fully in the Introduction. SN encompasses a comprehensive, area-based, community development framework which guides programmes for creating safe and integrated communities.

Sustainable Neighbourhoods and City Improvement Districts

SNs are clearly distinguished from City Improvement Districts (CIDs) which tend to occur in CBDs or business districts, are driven by property owners, and concentrate on providing top-up or complementary security and cleaning services to the basic level of services a LA provides. SNs, on the other hand, occur in economically marginalised townships on the periphery of the city, and are driven by the LA in partnership with a range of stakeholders, including the local community. They constitute comprehensive, area-based, community development to create safe and integrated communities by implementing a CAP, the lowest level of an IDP.

Intermediary as dedicated facilitator/mediator

In the SN approach, an elementary requirement is to have an **Intermediary** to play the role of dedicated **facilitator/mediator** between the LA and the community. This principle, too, is so central to the operation of the programme that it has been dealt with in full, in the Introduction. *(In the Tools section a more comprehensive table outlines some of the main facilitator/mediator roles.)*

Providing an effective level of services via partnerships in Sustainable Neighbourhoods

The Intermediary is responsible for the development of selected key facilities during the upgrading process of an area. These will help reduce the four areas of exclusion (social, institutional, cultural and economic) and to improve the ability of local people to contribute towards the financial viability of the SN. Even while facilities are being designed and constructed, but especially after they are built, the focus shifts towards skills development of local stakeholders *(CDS approach—see below)* and management of a range of basic services in the facilities and public spaces in defined areas of SN. The Intermediary also liaises closely with relevant municipal departments to clarify where there are potential overlaps or areas for cooperation in delivering and paying for the costs of services. One of the most important success factors for the SN approach is that these services are delivered in partnerships with various community groups, local residents, volunteers and LA line department staff. The services of the Intermediary include:

- Public infrastructure development
- Managing finances and tender management for public infrastructure development of externally sourced funding in cooperation with LA
- Managing public participation processes
- Basic cleansing
- Basic maintenance
- Basic landscaping
- Basic public safety (coordinating Neighbourhood

Watch (NHW) patrols as well as security around facilities)

- Public buildings facility management at neighbourhood level
- Management of the public realm at neighbourhood level
- Engaging, strengthening and coordinating the work of civil society organisations in victim support, youth development, Early Childhood Development (ECD), etc.
- Managing trading plan development processes
- Partnership development with like-minded people and organisations or entities.

An **example of developing partnerships** has been VPUU effectively bringing together community structures, the South African Police Services (SAPS), Metro Police, CPFs and the security industry to mobilise volunteer NHWs and Facility Guardians (FG), as well as police reservists and staff to help create safer public spaces. Rather than using the conventional practice of hiring expensive security solutions, VPUU prefers using 'local solutions for local problems' by developing a social compact to improve safety.

Tenants are seen as partners in the O&M of the SN. Selected tenants enter into Management Agreements of specific facilities that are occupied and used by the tenants.

Promoting ownership of spaces and facilities

As a principle, **legal ownership** of spaces and facilities developed by the Intermediary are best aligned to the SN approach if owned and managed from a **municipal department** or entity that has financial responsibility for, and coordinates facilities for a range of municipal departments. The Intermediary enters into Management Agreements (MA) or MoUs with relevant government departments in each neighbourhood or area to clarify the specific responsibilities of each party, including leases with tenants, room use bookings,



maintenance, cleaning, security, etc. The agreements also include the income opportunities for local residents out of the management of areas.

The Intermediary should work with various community structures to gain increasing ‘community ownership’ of the facilities and public spaces. The term ‘community ownership’ does not mean becoming the legal or financial owner of facilities, but rather social and emotional ownership and having practical influence and involvement as people with a vested interest in what happens in their community.

Promoting voluntarism and progressing to Community Delivery of Services

As has been indicated above, volunteering to help your community is a core value and basic principle. It is important developmentally for the SN approach to have volunteers because ‘people support what they help create’—it helps make the SN work sustainable. A CDS approach is actively promoted, because it offers a practical vehicle for helping people gain experience, skills and socio-economic benefits while strengthening community ownership and participation in community development. As a way to build capacity and enhance the potential success of the CDS service offered (facility management via a FAC, for example), these initiatives are supported by training in Organisational Development (OD) and facility management, followed by regular mentoring.

Ensuring access to Skills Development and socio-economic opportunities through Community Delivery of Services

Key elements of the programme are used to help build the capacity and skills of community members, and to include local people in a range of opportunities linked to the programme including employment, tendering for business opportunities and gaining access to a range of affordable business premises or trading bays. Some examples are:

- Training and mentoring FMC members in OD and FM
- Training construction industry business people in how to submit tender documents as a real exercise for actual submission for the programme’s building projects
- Training NHW volunteers in skills that help them get security industry gradings, drivers licenses or employment related training
- Training and mentoring local small businesses who provide some services to the Intermediary, such as metalworkers or landscapers
- Providing training and mentoring for CF and Administrative staff
- The use of Expanded Public Works Programme (EPWP) principles in development and upkeep on an area basis
- Employment as general workers (GW), landscapers, security guards, administrators or CFs
- Run targeted procurement processes to maintain facilities and the public realm
- Gaining access to a lockable trading stall from which to run a business.

CDS is a form of skills development and economic opportunity. Used in an informal sense, CDS can mean that members of the local community deliver services either as volunteers or on a ‘for pay’ basis. A significant amount of training should be provided for community members who are involved as volunteers. (The term CDS is used in more formal ways, see the Tools section).

Seeking sustainability with special focus on financial sustainability of facilities

Facility sustainability requires more than just finances. The approach to the financial and wider sustainability of facilities which the programme builds and manages, is holistic, innovative and practical. As indicated elsewhere, this wider sustainability of facilities, as with other elements in the programme, is generated in the

robust community engagement processes described in this document. These involve local communities meaningfully in all areas of development, including design input on facilities. The result is that buildings are relevant to local community needs and therefore have a greater likelihood of being well used and watched over. Sustainable approaches to resource consumption and the issue of climate change are also incorporated in the overall approach. This requires the use of innovative technologies, an application of sound design processes, a selection of materials with low embedded energy and the formulation of local solutions to local problems.

The other key elements of specific financial sustainability are:

- Having access to, or purchasing, adequate land to develop
- An area-based approach (a neighbourhood)
- Local Economic Development plan for an area
- Economically sound urban plan and related designs

- Ensuring all facilities have built-in income streams
- Ring-fencing income for an area
- An area-based financial planning and sustainability tool
- The notion of mixed-use facilities
- Integrated development via departmental cooperation
- Live-in staff for facility stewardship and basic maintenance
- Safety plan
- Developing trading plans to effectively manage informal trading and
- Accessing some institutional funding.

The funding streams mentioned in Table 1 are identified to achieve financial sustainability.

Category of funding	Source of funding	Main intended utilisation
Grant funding	International	• Planning • Development of area • Skills development • Targeted interventions
	National	
	Provincial	
	Private sector	
City line departments	Capital budgets	• Planning and development of areas
	Operational budgets	• Operation Maintenance and Management of areas and its facilities • Staffing costs
Local generated income	Rentals	• Operation Maintenance and Management of areas and its facilities • Staffing costs • Specialised services (Victim support, skills training, etc.)
	Event contributions	
	Trading plan fees	
	Partner contributions	
Volunteer contributions, sweat equity	Local volunteers	• Security • Cleansing • Targeted interventions
	External volunteers	• High skills required for targeted interventions

Table 1 Funding



PART C: TOOLS

Establish Intermediary as facilitator • Define institutional arrangements between Intermediary and Local Authority • Local coordinating structures • Assess skills and conduct capacity development • Monitoring and Evaluation • Trading plan development • Community Delivery of Services

Establish Intermediary as facilitator

Perhaps the primary Community O&M Tool is the establishment of the Intermediary. The description of its purpose and roles is found in the Introduction—Programme Participants.

Elements of the tool

The key roles played by the Intermediary are:

- Facilitator/mediator between community and LA
- Effective coordinating and alignment structure
- Drive planning, implementation and operations on neighbourhood scale
- Innovative thinking
- Establish credibility and relationships with a wide range of people and institutions
- Managing and mediating conflict
- Project fund management
- Provide coherent communication strategy.

(See 'Programme Participants' in Introduction)

Steps to implementation

To set up an Intermediary, the following steps are necessary:

- Description of tasks and scope of work
- Assessment of skills required
- Drafting an agency agreement outlining the vision, scope of work, required skills set, duration of services, authority and competencies of Intermediary
- Supply Chain Management Process
- Appointment of Intermediary by the LA.

Define institutional arrangements between Intermediary and Local Authority

Brief description

Within a LA, the majority of public facilities are owned by a structure such as Facility Management —Specialised Technical Services (FM-STS), while some buildings and the public open spaces are owned by line departments.

The institutional arrangements and subsequent agreements between the Intermediary and FM-STS and other line departments are as follows. All will work together to implement the Intermediary methodology and to develop one consistent area-based approach to the ownership, operation and management of facilities and the surrounding public spaces. The Project Management Unit (PMU) or home/host department of the LA takes the role of a facilitator between the Intermediary and the municipal departments through the staff position of the O&M Coordinator. The implementation of this model will result in financially sustainable facilities and will provide opportunities for local community businesses, organisations and individuals to participate in socio-economic opportunities (jobs, tenders, business, FMCs, etc.) and to lease spaces. Cost savings, for municipal departments compared to current operational models, are intended.

Elements of the tool

The roles and responsibilities of the two partners are:

Local Authority:

- Work closely with the Intermediary to implement the proposed model effectively
- Take the leadership role in the Area Coordinating Team (ACT) (*described later in this section*)
- Broker all internal arrangements with City departments for paying FM-STS rent and their fair share of facility overhead costs
- Broker all legal or other institutional issues with City departments

- On the basis of the financial sustainability plan, the O&M Coordinator will work with the Intermediary's Property Manager to develop a proposed annual budget to present to the ACT for approval
- Carry financial responsibility for any financial shortfalls in facilities which are under the ownership of the municipal operating budgets
- Organise and pay all required insurance for all facilities on municipal land
- Pay for major, as opposed to routine, maintenance work to be defined in the MA
- Pay for major cleaning projects beyond routine cleaning
- Manage internal City arrangements with various departments (for solid waste removal, electricity, water and sanitation, security, coordination, locks and keys, etc.)
- Approve annual business plan of Intermediary for specific geographic areas
- Convene and chair a monthly stakeholder meeting between owner line departments, utility line departments, Intermediary, and FM-STS; the Intermediary to coordinate implementation and assess progress of MA adherence.

Intermediary:

- Work closely with its O&M Coordinator and FM-STS staff to implement the proposed model effectively
- Manage community participation, ownership and involvement in facilities and public spaces
- Operate, manage and maintain facilities in the same manner as a careful and diligent owner
- Manage all the staff required to implement effective facility management (*as per the proposed organisational chart as shown in the Introduction*)
- Manage facility financial operations based on financial sustainability model and systems agreed to in MA
- Develop an annual financial sustainability plan for each SN that includes issues of rentals, City line

department contributions and relevant income and expenses. Work closely with FM-STS staff, O&M Coordinator and ACTs to get approval of the financial sustainability plan

- On the basis of the financial sustainability plan develop a proposed annual budget to present to the ACT for approval
- Ensure effective transitions from the building phase to the ownership of FM-STS (snagging where development was coordinated under Intermediary, latent defects with relevant principal agents of development).

Two underlying principles are to be included in the institutional arrangement between the LA and the Intermediary:

- Revert back clause—in case of mismanagement or non-performance, the LA has the right to cancel the agreement according to a prescribed process
- The LA will cover the initial operating expenses that are to be incurred prior to the full development of the SN.

To summarise, the overall owner of facilities is the LA. The Intermediary will manage and maintain facilities and public spaces within the mandate of the LA. The scope of facility management includes basic cleaning, basic maintenance, basic landscaping, basic security (volunteer FGs), financial sustainability and community involvement. The Intermediary's goals as part of the process are job creation and employment of local people, economic opportunities for local businesses, a reduction of crime and violence, greater community ownership and involvement, increasing the skills of local people and helping create new models for facility management.

Funding for sustainability

For the funding streams required to achieve financial sustainability, refer to principles (*Seeking sustainability with special focus on financial sustainability of facilities*).

Figure 1 illustrates the institutional set up, the required staffing for Harare and Kuyasa and the key responsibilities.

Key Responsibilities – LA

FM—STS:

Oversight, financial responsibility, brokering internal municipal arrangements, co-manage implementation of SN approach, contracting, MA.

O&M Coordinator:

Management of contract from LA, coordination and leadership of municipal responsibilities, financial planning and management, policy, strategy, adherence to agreements, quality management, all on an area basis.

Key Responsibilities – Intermediary

Property Manager:

Sourcing of tenants, leases, compliance with leases, reporting to LA as client through the established forums, supervise the O&M Supervisors, financial management, overall responsibility for facility cleanliness and maintenance, work in partnership with LA and various stakeholders to develop an integrated security service.

Project Manager:

Manage strategic partnerships and linkages to help facility users, assist Community Participation staff with technical information and processes, manage functional areas and supervise facilitators in mid-management level.

Organisational Development:

Support the SNAC O&M Portfolio members and the development of a FAC linked to SNAC; training of SNAC O&M Portfolio members, FAC and FMCs; men-

toring and on-going OD support; chairing FAC meetings initially.

Local Economic Development (LED) support:

LED strategy development, partnership development and actively support LED projects in the area. Business support for tenants.

Trading plan Facilitator:

Help with all stages of trading plan development, starting with leadership education, mapping of spaces, trader audit, community participation via public meetings, trading plan advisory committee participation, trader meetings, documentary support for trading plan report, implementation assistance, working closely with LA department staff, etc. LA staff will be responsible for the implementation of the trading plan.

Community Facilitator:

Facilitate various community participation processes including baseline perceptions of safety and crime; identification of leadership for SNAC; developing a CAP; involving and informing Ward Committees, Councillors, Subcouncils and other relevant people and structures; SNAC leadership training; plus a wide range of other community participation processes.

Safety Facilitator:

Lead processes to recruit, mobilise and support volunteers to provide security patrols and volunteer FGs around facilities; develop robust incident report and effective follow up systems; work within the safety plan cross institutional with government, private security and safety volunteers; develop appropriate skills training approaches and/or tangible rewards to support volunteers.

Operation and Maintenance Facilitator:

Oversight of cleaning, landscaping, facility maintenance, security contractor, part of FAC and FMCs, supervise GWs per facility in the SN.

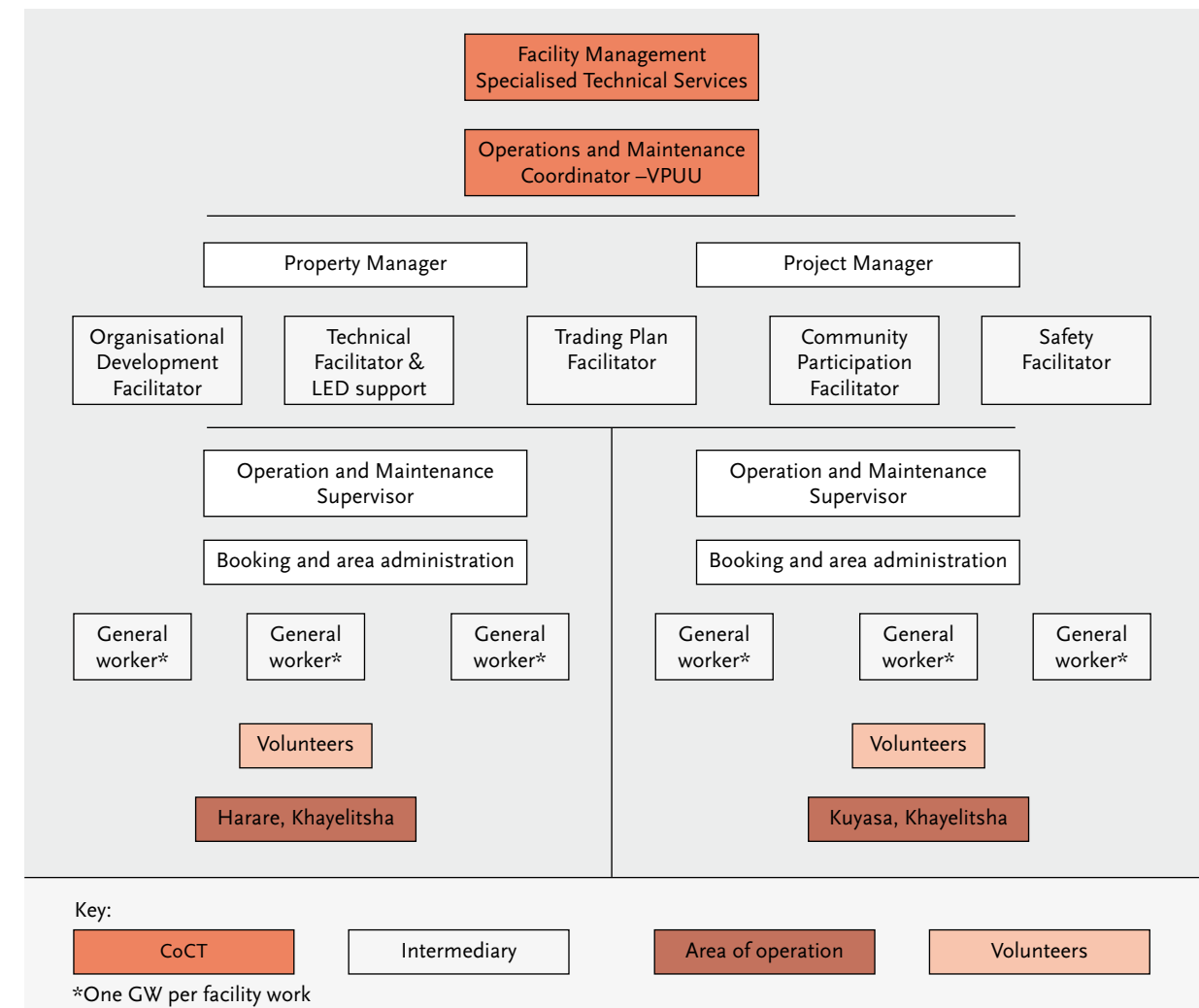


Figure 1 Proposed VPUU organisational model for O&M

Booking and Area Administrator:

Responsible for facility, room and field bookings; invoicing; following up payments; coordinating GW and other staff arrangements for renters (access, room set ups, etc.), reporting.

General workers: (recruited from residents of SN)

Maintenance of facilities, 24/7-live in presence in facilities, landscaping, cleaning, informal security, assisting tenants and/or facility users.

SN volunteers:

Roles vary from facility security, FMC service, cleaning, landscaping and other services.

Local coordinating structures

Two main forums are recommended as part of the model, an ACT and a SNAC. One less structured forum, a FAC, is made up of Tenants Committee and FMC representatives and falls under the responsibility of the O&M representatives of the SNAC.

Area Coordinating Team

An ACT is envisioned as a high level integrated management and advisory entity comprised of relevant municipal officials. Its main responsibilities would be:

- Ensuring compliance
- Quality control
- Financial management
- Securing adequate financial resources based on financial sustainability plan
- MA issues
- Strategy and general oversight.

The ACT covers issues within a SN. The ACT is to meet on a monthly basis.

Steps to implementation

- A MA that defines the roles and responsibilities of the two partners (LA and Intermediary)
- Secure the legal and leadership approvals needed to finalise the MA
- Set up operational systems to coordinate, oversee, advise and implement the O&M tasks described in the MA
- Operationalise the systems.

Responsibilities

The ACT is responsible for the coordination of implementation and O&M within the following functional areas:

- O&M of public buildings and infrastructure including cleansing
- Safety and security and law enforcement operations

- Informal trader management
- Integrated community engagement processes
- Coordinated tenant management
- Integrated baseline analysis
- Area-based M&E of performance and levels of service delivery, both qualitative and quantitative, in terms of agreed criteria and indicators
- Integrated prioritisation and compilation of CAPs
- Area-based budget coordination in terms of CAPs
- Area-based coordination of implementation of capital and operational projects and programmes.

On a local level certain elements of above list are delegated to the Intermediary.

Composition

Local officials representing, but not limited to, the following line departments:

- Facility Management—STS
- Safety and Security; Law Enforcement
- Spatial Planning and Urban Design
- Economic Development; Business Areas Management
- Environmental Health
- Sub-council
- Community Services
- Utilities
- Housing
- Transport, Roads and Stormwater
- Sport, Recreation, Amenities
- Parks and Gardens
- Community Services.

O&M Portfolio and FAC as part of Safe Node Area

Committee (SNAC)

SNACs are described in the Community Participation module of this document. Regarding O&M, each SNAC has an O&M portfolio ('Institutional') that helps advise the Intermediary on various facility issues and public space issues. The O&M portfolio members of SNAC are strongly encouraged to form a FAC made up of

representatives from the Tenant Committees or FMCs of each facility. Four of the Intermediary functions—OD, Community Participation, Safety and O&M assist the O&M portfolio members with various issues and in supporting the FAC. The Intermediary assists to identify potential users of a facility and involving them with the SNAC O&M portfolio members.

Steps to implementation

- Using a participatory approach, the Intermediary should work with the SNAC O&M Portfolio members to facilitate a process to identify and mobilise community groups who will be the primary users of a facility to form a FAC
- The FAC will work closely with the LA, the Intermediary and other interest groups (e.g. a sport council in the example of a sport field) in advising how to manage the facility.

Community ownership

Helping establish the SNAC O&M Portfolio (and related FAC) is an important form of community ownership. Some of the practical ways this community ownership takes shape is through:

- Building relationships and trust over time
- Training in OD and facility operations and management
- Meaningful dialogue and feedback on facility design issues
- Helping establish facility policies and procedures
- Working with local structures to help make each facility and surrounding area safer
- Advising on the selection process for a GW to live in the facility
- Regular mentoring of the SNAC O&M Portfolio members (weekly, then every other week, then monthly).

Resources and skills needed

SNAC O&M Portfolio members and FAC representatives require significant resources to train and mentor over the period of time required to help members from the local community become skilled in facility management and able to operate more independently. Members from the Intermediary must have particular skills in order to be effective:

- OD & facilitation
- Intercultural awareness & sensitivity
- Conflict management
- Facility management / O&M competencies
- Political awareness and independence
- Professional integrity.

Assess skills and conduct capacity development

Brief description

The key knowledge, skills and attitudes required to effectively implement a Community O&M approach vary at different levels in the hierarchy, staff positions and community organisations. This tool illustrates an intentional and systemic approach to skills development. Implicit in the entire document are responsibilities for which staff and stakeholders have to have the requisite knowledge, skills and attitudes, and only some of the most important and less obvious issues are listed below.

Community Organisations

- **Knowledge about their organisations**
This includes in-depth knowledge of the particular type of organisation and its purpose, such as community development or Social Crime Prevention and its link to a CAP. Allied with this they should be able to provide leadership, to manage an effective organisation, implement basic organisational systems and communication, be independent thinking, and take responsibility, in contrast to the common attitude of 'dependence thinking'.
- **Conceptual breadth**
Requires a grasp of the bigger picture of the programme intentions, concepts such as comprehensive community development, SNs, and overcoming exclusion—and their role in it. This implies the ability to integrate and manage various political and value systems well enough to remain functional. Essential would be their recognition that power and influence should be used more for community good than individual gain.
- **Interaction with government**
The ability to work effectively with government institutions is essential. This requires to be able to mobilise group members and individuals in the community and have a willingness to cooperate and work with institutional structures.

Senior management including Intermediary

- **Conceptual understanding**
A full grasp of all the main broad concepts of development of the programme. Together with that, the ability to mobilise support for new concepts and ways of doing things, which may require creative and effective change to the dynamics in an entrenched system.
- **Community interaction**
Requires knowledge of effective interaction with community groups and an understanding of community-based facility management. A manager, therefore, needs an excellent appreciation of the importance of community involvement in shaping interventions and a commitment to supporting and empowering community groups to manage local facilities.
- **Expertise in the field**
A developed understanding of leading ideas in the field of development, of international best practices such as the hybrid model for violence prevention and asset based community development. The understanding for appropriate skills to implement best practices—which vary according to professional discipline and the task at hand.
- **Economic understanding**
Managers will need to have an understanding of LED, together with the appropriate skills to visualise new possibilities, to research and utilise information strategically, to identifying realistic opportunities, to networking and bring potential partners together and to secure partnerships.
- **Leadership**
An essential capacity is leadership and management of teams, with expertise in the subject area, and with vision and integrity. This necessitates human resource management skills, skills at building shared vision, teambuilding, building trust and delivering results through a team. Particularly important for managers is a belief in people's abilities,

resourcefulness, resilience in the face of adversity and a commitment to teamwork.

Staff management of facilities

- **Technical know-how**
A wide range of technical knowledge based on areas of responsibility and the skill to use it. It is important that this is carried out within a strong 'responsibility-taking' ethos to keep facilities clean, safe, well-maintained and financially sustainable.
- **Community-based facility management**
Is a newly emerging FM discipline. The ability to monitor and guide local people, a positive attitude, patience, persistence, firmness and a developmental approach.

Community Facilitators and Organisational Development Facilitators

- **Community development**
A good level of skills in creating networks, forming relationships and developing trust in the communities being served, a commitment to community engagement and to empowering individuals and organisations.
- **Power dynamics**
A full understanding of power dynamics of a development situation, of the institutional and informal structures, of policies and key people and broad political forces. This requires particular skill at developing political awareness while remaining independent. A professional integrity is essential.
- **Facilitation methods**
Facilitation skills, the ability to run an effective meeting; medium-high level minute taking skills. For these skills, self-confidence is important; a trust in people and processes, persistence and willingness to see out longer term processes.
- **Organisational Development**
A good facilitator will have broad awareness of OD theories, good practices and tools, combined with

a wide range of skills in their use. Self-confidence, a trusting attitude and persistence are appropriate human qualities.

- **Conflict management**
Skill in effecting it—and a mind-set which accepts that conflict is not bad, but is an opportunity to learn and grow.
- **Public benefit organisation culture**
A good working knowledge of public benefit organisation (non-profit) culture and practices. An intercultural awareness and sensitivity. Respect is an important attribute: for people and organisations they have created together with a willingness to hold people accountable.

Steps to implementation

- Assessment of knowledge, skills and attitudes of involved staff and organisations
- Draft skills development plans for staff and organisations
- Conduct skills training courses and provide developmental supervision for staff and mentoring for people in organisations.

Monitoring and Evaluation

Brief description

The M&E system covers three key components: the intended **outputs** of the programme as agreed by the main partners; secondly the underlying notion of **sustainability** based on QoL and thirdly the O&M **principles** described in this document. The M&E indicators feed into the overall Management Information System (MIS) and the information is used for management decisions. Of the six outputs of the VPUU programme, the first three are directly linked to the O&M interventions:

- A general upgrading of low-income neighbourhoods and provision of social and commercial services
- A strengthening of the capabilities of community structures and
- The increase of the self-help potential of the population through improving the potential for economic activities and income generation.

Elements of the tool

The following overview describes the relationship between the principles and the M&E elements

Principle	M&E process
Sustainable Neighbourhoods	<ul style="list-style-type: none">• Combination of Quality of Life indicators
Promoting ownership of spaces and facilities	<ul style="list-style-type: none">• Institutional arrangements with the Local Authority• Attendance registers for FAC meetings• Readiness assessment tool
Promoting voluntarism and progressing to CDS	<ul style="list-style-type: none">• Volunteer attendance registers• Attendance registers for FAC meetings• Readiness assessment tool
Skills development and socio-economic opportunities through CDS	<ul style="list-style-type: none">• Local labour opportunities lists• Training reports, skills training lists• EPWP report• Household survey• Business support partners statistics• Number of local business spaces let out
Seeking sustainability with special focus on financial sustainability of facilities	<ul style="list-style-type: none">• Facility usage report—monthly—provides information on types of users and actual room or facility use• Facility financial report—monthly—provides consolidated information on income and expenses for various facilities and compares budgets to actuals

Table 2 Elements of the tool

Steps to implementation

- Identify the outcomes, principles and underlying concepts of the programme
 - Develop indicators that will demonstrate desirable programme outcomes
 - Link indicators and data collecting systems to outcomes, principles and concepts
 - Develop simple, realistic and practical data collecting mechanisms that allow measuring of change
 - Collect data on regular and routine basis to allow an evidence based assessment of change
 - Evaluate outcomes of the data collected
 - Feedback outcomes of the data analysis and evaluation to the ACT
 - Review and take potential necessary steps to sustain and possibly improve performance on the indicators.
- Set up a three level data collection system in addition to the baseline that is done when entering an area:
- Regular surveys on a household level
 - Regular reporting system via staff and volunteers linked to project implementation
 - Desktop studies.

Trading plan development

Brief description

A trading plan is a **consultative legal process** that allows for the regulation of **informal trading** in an area in order to comply with the Business Act and the municipal Informal Trading By-Law. The trading plan development is seen as a transformative step between social development to a sustainable livelihood strategy.

Social development	Unregulated economic activity with ad-hoc support by philanthropic efforts or public sector to meet basic needs of an economically active person
Sustainable livelihoods	Economically active person consistently trading from safe regular place with security of tenure; actively seeking out a range of options to minimise risks and economic shocks
Business development	Able to pay facility rental and run business from a secure; place; public sector and/or private business development services available

Table 3 Trading plan development

It is important to have coherence and consistency in the payment for trading spaces and business premises in a SN in order to help promote a developmental agenda—a continuum from social development to sustainable livelihoods to business development. It is intended that the trading plan assists the SN development to be financially sustainable and to avoid conflict over some people paying and some not paying for upgraded trading spaces and facilities. Paying for trading permits comes with a range of benefits—security of tenure, an expectation of good services, cleaning, maintenance, access to water and toilets, storage, better security, etc.

Elements of the tool

There is a clearly defined legal process that must be followed to get a trading plan approved (*see Steps to implementation*).

Public participation meetings need to be held. A wider financial sustainability planning exercise needs to be done that includes the facilities and spaces in an entire SN to determine appropriate permit fees. Work with a local local traders' organisation in developing a plan, in order to get their assistance in engaging with local traders, and also as a form of partnership building.

The goals and key principles used in developing trading plans include:

- Infrastructure improvements and social developments in the area with a corresponding set of consistent procedures for regulating trading spaces
- Ensure the fair, transparent and equitable use of public trading spaces
- Create a safe and clean business environment
- Ensure strong community involvement and support
- Provide a range of trading space options with different levels of affordability
 - open bays
 - covered bays
 - lockable spaces
- Accommodate existing traders by matching them to an appropriate option
- Create opportunities for additional traders
- Ensure that infrastructure and public space improvements have the necessary financial resources to be sustainable
- Use a business-like approach ('footprints') where the trading bays near the highest pedestrian traffic cost more than trading bays with less pedestrian traffic
- Inculcate principle of 'pay to trade' in a well-maintained and well-managed area
- Protect people trading from their homes –they are not restricted by the trading plan.

Steps to implementation

A trading plan process (as prescribed by the CoCT Informal Trading By-Law) is as follows:

- Define the outer boundaries of the restricted area
- Develop maps that clearly highlight the trading spaces
- Specify the rental amounts for various trading spaces
- Get buy in and support from various stakeholders (includes education, clarifying expectations and conflict management)
- Submit a trading plan report to Sub-council
- If approved, the trading plan report goes to MAYCO and full Council.

Any entity developing a trading plan is responsible for the first five steps up to and including submitting a trading plan report and attending the Sub-council meeting where the report is discussed. The municipal Economic Development staff will support the process and handle the specific steps involved in legal submissions, approvals and gazetting.

Community Delivery of Services

Brief description

The term Community Delivery of Services (CDS), in a formal way, is taken to mean:

Having a LA, or its Intermediary, contract with a Community Based Organisation (CBO), community SMME, individual or NGO to provide services on a short term service contract (usually one to three years), for a specific element out of the SN concept which usually would be provided by municipalities.

Three examples of CDS are Landscaping Service Contracts, O&M Workers and GW Volunteers. Some volunteers who prove a certain level of commitment and aptitude are offered paid opportunities to provide landscaping services, help repair taps and toilets or provide maintenance and cleaning services in a facility. These examples illustrate the developmental approach of CDS in which more complex tasks and responsibilities shift with certain milestone achievements from an outside service provider to local resident groups. For the initial phase, the Intermediary sets up the CDS programme and helps build capacity within local individuals and groups.

Over time, the Intermediary's involvement focuses on oversight, quality management and contracting to ensure the required services are rendered. The term CDS can also be used in an **informal sense**, meaning that members of the local community deliver services in the SN either as volunteers or on a 'for pay' basis.

Elements of the tool

A contingency model has been developed by VPUU to explore practical areas for CDS to be implemented in a LA. The major categories are:

- The national and provincial legal framework
- The nature, development and context of an area
- The complexity of the facility to manage or service to be provided
- The characteristics of the LA

- The characteristics of the local community—individuals, community groups and SMMEs
- The characteristics of the local political situation
- The qualities of the CDS champion or facilitator
- The resources and quality of support provided to the CDS process.

Using terminology from the former DPLG (Department of Provincial and Local Government, now CoGTA), one form of Municipal Service Partnerships (MSPs) are Municipal Community Partnerships (MCPs) and this is the closest legal form to what is meant by the term CDS. An MCP:

- Involves two or more parties, which includes the LA and a community. An NGO can also be part of the partnership
- Works to achieve common goals, usually around extending service delivery. It can be a general service delivery partnership, or one which focuses on a specific issue, service or problem
- Has partners with defined roles and responsibilities to each other
- Shifts the roles of a LA more to a 'service authority' and the community more to 'service providers'.

The CDS opportunities are organised around O&M of infrastructure development (facilities and spaces) and labour (services), with labour divided into basic skills and higher skills (*see Table 4*).

Steps to implementation

VPUU has developed a CDS Good Practice Guide to provide practical guidelines on how to apply the concept of CDS. Key parts of the Guide are on the VPUU website, including a CDS Readiness Assessment and Planning Tool which can serve as an implementation checklist.

Links to other work-streams

- Broader community involvement—through legitimate community structures, through public accountability meetings and through supporting small projects that are important to both the community and VPUU (*see Community Participation chapter*)
- Creating safer public spaces through community involvement—security (*see Case Study 2.2 in Social Crime Prevention section*).

INFRASTRUCTURE: Facility management	LABOUR (services): Technical /specialist skills	LABOUR (services): More labour intensive, low skill work
<ul style="list-style-type: none"> • Management of trading stalls • Property management • Maintenance of rental stock and management of leases • Management and maintenance of neighbourhood centres • Local amenities • Sports facilities • Markets 	<ul style="list-style-type: none"> • Facility safety via NHW patrols • Maintenance of buildings • Maintenance and care of informal sports fields • Fencing and fences • Municipal parks and recreation • Street trading • Street lighting and traffic and parking • Booking and hiring out of facilities 	<ul style="list-style-type: none"> • Maintenance of paving / tar • Maintenance and care of soft landscaping • Maintenance of street lights • Maintenance and upkeep of street furniture • Cleansing • Cleaning of administration buildings • Billboards and the display of advertisements in public places

Table 4 Potential CDS opportunities

PART D: CASE STUDIES

The financial sustainability of Harare Sustainable Neighbourhood

These VPUU case studies are based on an in-depth investigation over two years of the financial sustainability of the Harare SN (March 2010–October 2012). It provides a systematic way of looking at this issue, collecting data, analysing information and reporting the results. Each study is a snapshot of the current status achieved in VPUU having three elements (1–3 described below) developed in parallel. The document may be helpful for further learning by comparisons by partners or readers with the principles, tools and criteria VPUU has developed. It is not the intention to generalise from these case studies that the VPUU approach is directly applicable in other contexts.

The internal structure of the study and its elements is the following: **context of the study: Area-based financial planning**

- **Element 1:** A small traders facility as an example to illustrate fine grain cooperation with community groups
- **Element 2:** A Sports and Recreation Precinct as an example to showcase O&M in a non-financially viable environment
- **Element 3:** Harare Square (a public square in a suburban node involving landscaping and several facilities) to showcase a financially viable suburban node.

Each element has the following sections:

- Geographic and social context
- Financial sustainability including the community O&M potential and the community dynamics related to this potential
- O&M principles and tools applied including links to other VPUU crime prevention pillars
- Reference to VPUU Logframe and other indicators
- Conclusion.

The context of the study: Area-based financial planning

VPUU wants to show how a mix of economically and socially oriented facilities can cross-subsidise each other to ensure the on-going operational and maintenance costs are covered from income derived from local volunteers and a contribution from municipal departmental funding. Once local O&M of facilities are financially sustainable and provide local employment opportunities over a reasonable period of time, then VPUU will refer to that area as a SN (as opposed to a Safe Node Area). It is important to reverse the trend in Khayelitsha and other areas of a history of non-payment of rent and poor management of tenants and public spaces. VPUU has developed an area-based financial planning tool to help in this process.



Figure 2 Overview Map of interventions

Financial sustainability of VPUU facilities

The financial planning tool and modelling, plus actual facility financial data over the past years, allows the development of several scenarios that demonstrate the possibility of financial viability for this SNA (see Table 5 that compares scenarios). There remain four high level issues that significantly impact on the financial sustainability:

- The level of rent or facility management fees City departments will pay the Intermediary
- The affordable security arrangements that can be arranged, especially for facilities with business activities which have a high risk of crime
- The ability of the City to purchase private land with economic potential (to generate an income around the Khayelitsha train station)
- The need to cover the Intermediary’s overhead costs, which are not included in the tables in this document.

Rental level

Three levels of rental may be taken as the basis for the model:

- The fee paid from a user line department to the City internal system of facility management and maintenance for line department offices. This rate would cover all costs
- A market related rental for the area. This would result in relatively high rentals for local businesses and could lead to unaffordable rental levels
- A fee that covers on-going utilities, maintenance and cleaning based on the cost incurred by the Intermediary—break even plus 15% for reinvestment in improving facilities. This would allow introducing different rates for instance for local residents compared to the public sector. It would also allow ‘sweat equity’ options for partially funding rental.

Local safety plan

The combination of security options—Neighbourhood Watches, FGs, Metro Police and some private security—the safety plan enables a cost efficient system of dedicated security resources on an area basis. Recreational facilities are covered by a system of volunteer FGs and the Metro Police officer. Facilities with commercial activities have a need for dedicated security services. Security is one of the biggest costs at some City facilities and the level of rentals that is determined by the security costs. Thus creative combinations of alternative security arrangements are needed.

Purchase of land

It remains to be seen whether or not the City will be able to purchase land near the Khayelitsha train station to develop for some anchor commercial tenants. City experts say it could take another two years plus time to develop it with facilities. Development would increase lettable space from 565 m² to 4,829 m², increasing potential income substantially.

Intermediary overhead costs

Overhead costs will be spread over multiple SNAs.

Further issues

Some of the other issues related to financial sustainability, and for which new activities are taking place, are:

- Improved marketing of facilities and opportunities is needed (to improve financial sustainability). FMCs, community organisations and all partners should be involved
- Securing business support for traders is important in order to strengthen them sufficiently to afford to lease space (a business support agency moved into a VPUU facility in April 2012)

- More rigorous tenant selection is required in one facility
- Non-paying tenants will be asked to leave facilities
- It is necessary to strengthen financial controls and monthly financial reporting.

Conclusion

The models below illustrate that various levels of financial sustainability can be reached depending on the commitment by all partners.

Harare scenarios	Overall cost to run SN	Anticipated income	Operating costs	If 24 hour professional security in commercial areas (est.)	Overhead costs for intermediary	Surplus or loss
		Annual	Annual	Annual	Annual	Annual
1. Internal CoCT line department pay per levels of current model to Intermediary	100%	106.7%	64.6%	20.5%	14.8%	6.7%
If land purchased & developed	100%	120.4%	66.7%	20.5%	19.3%	20.4%
2. Market related rentals (for Khayelitsha)	100%	74.9%	56.6%	25.1%	18.1%	-25%
If land purchased & developed	100%	101.9%	58.9%	23.8%	17.2%	1.9%
3. Internal CoCT line departments pay for basic utilities, maintenance & cleaning, only	100%	68.5%	50.4%	28.8%	20.8%	-31.4%
If land purchased & developed	100%	93.8%	52.8%	27.4%	19.8%	-6.2%

Table 5 Some Harare financial sustainability scenarios using key variables

3.1 KHAYELITSHA STATION TRADERS FACILITY AND LIVE-WORK UNITS—ALONG NTLAZANE STREET

The geographic and social context

The Western Forecourt of the Khayelitsha train station is primarily defined by a pedestrian desire line from residential areas to the station. Spaces along this pedestrian walkway have been filled in haphazardly by informal traders in the absence of any planning or attempts to manage the space. The station stairs and deck are lined with informal traders who do not have

permission to trade there and who pose a safety risk in the event of an emergency. There are open spaces that have not been developed by private land owners or the LA. There are no residential units or mixed use buildings in the area, nor any form of place management. After it becomes dark the area is very dangerous. Lack of access to affordable business premises was raised as a major issue in the baseline survey of local businesses. There was a group of informal traders around the Western Forecourt area who have been in an informal association (Ntlazane Traders Association) for over ten years and who were recommended to VPUU as the most organised structure in the area.



Figure 3 Landscaping plan of Ntlazane area



Figure 4 Traders facility on Ntlazane

An urban design framework was prepared through participatory approaches for the Harare neighbourhood which identified this forecourt as a hub for trading and retail activities. In line with this plan a rezoning was conducted for a council owned property to accommodate members of the Ntlazane Traders Association by providing trading, business and residential accommodation in line with VPUU's principles for a SN. The pedestrian walkway has been formalised and is well lit.

The financial sustainability of the Khayelitsha Station traders facility and Live-Work Units

The Community O&M potential—VPUU support to the Traders Association

VPUU's approach of identifying potential user groups and engaging with them in order to form a FMC is a labour intensive investment in trust building and ca-

capacity development. The approach also leads the community to take stronger ownership of the relationship with the LA and responsibility to look after facilities. Over time the Intermediary shifted away from such intensive facility level FMC identification, development and mentoring to an area-wide approach of working with the SNAC O&M Portfolio and a FAC made up of representatives from the various Tenants Committees in an area. The initial approach of individual FMC development is described below.

Initial discussions with the Ntlazane Traders Association on their potential involvement in advising on managing a traders' facility led to a ten day training course with the traders on OD, business management and FM. The course times were organised to enable the traders to continue running their businesses. As a trial of the group's organisational capacity, they signed an agreement to help manage storage for their members



Figures 5 and 6 Trader units on Ntlazane

in 6 shipping containers. After the training, VPUU and the traders wanted to work together in the future as they found useful synergies. A 'learning by doing' methodology was employed for key tasks like budgeting and financial planning, operational planning, facility policies and constitution development. This resulted in the group writing their own constitution and discussions on facility policies, which, in turn, led to policies which were included in a facility Operations and Management manual. In order to deepen skills and build trust, regular mentoring sessions followed the initial training. Significant skill building is not realistic in such a short course, and especially without opportunities for people to put in practice what they have learned and to receive feedback and further coaching.

Helpful knowledge and skills for training and mentoring FMCs includes:

- Training, facilitating and mentoring
- Specific knowledge related to the purpose of a facility—in this case small business development
- Basic Organisational Development
- Conflict management
- Financial management
- Administration and organising systems
- Property and facility management.

Five of the most important outcomes of the training were:

- Stronger and more trusting relationships between VPUU and the Traders Association
- Improved understanding of the traders' interests
- The Intermediary realised that they would need to fully manage the facility, with FMC playing an advisory role, for an extended period of time
- Increased sense of confidence and competence of the traders to play a meaningful role in developing their immediate trading environment
- Increased sense of ownership and pride of the Traders Association through being taken seriously and involved in such a practical way.

Community dynamics related to this O&M potential

One of the key success factors for the traders facility was that local traders who were organised were the ones with whom VPUU was actively engaged. This follows the approach of designing facilities appropriate for local context and involving users actively in design and management. It was a transparent engagement.

Facility sustainability is an important VPUU principle and it was important to work closely with the Ntlazane traders to develop the facility budgets and set break even rentals, especially in an area where people

are not used to paying market related rent or any rent at all. The process was greatly facilitated by the trusting relationship developed during the training period. Part of the training also included a visit to another small traders facility, where in depth discussions were held with the facility manager and business owners. It gave further insights to the group as to the importance of setting rental levels appropriately and how non-payment of rent leads to compromises with the management of a facility.

Facility sustainability also requires that traders surrounding the new facility paid comparable rentals. This required a trading plan development process as part of legal compliance with the City of Cape Town's Informal Trading By-Law. The Ntlazane traders were helpful partners in supporting VPUU work through the public participation processes with local traders.

Security at commercially oriented facilities is a cost factor described previously.



Figure 7 Live-Work Units and traders facility on Ntlazane

Community O&M principles and tools applied

Principles

- Promoting legal ownership of spaces and facilities
- Promoting voluntarism and progressing to CDS
- Seeking sustainability with special focus on financial sustainability of facilities.

Tools

- Appoint an Intermediary as dedicated facilitator/mediator
- Assess skills and conduct capacity development
- Trading plan development.

Links to other work-streams

Social Crime Prevention

- Establishment of neighbourhood patrols
- Conflict resolution and mediation.

Situational Crime Prevention

- Types of facilities to build based on LED strategy and priorities
- Supporting the trading plan development process
- Interacting with user groups around specific facility design issues
- On-going modifications to suit the needs of tenants, changing business needs and to ensure passive surveillance and place management.

Community Participation

- Organise /manage a range of community meetings
- Conflict resolution and mediation.

Knowledge Management

- Conduct baseline business survey and assist with the development of the subsequent LED strategies.

Reference to indicators

Principle	Model indicator
Promoting ownership of spaces and facilities	<ul style="list-style-type: none">• 90% of facilities built and managed have user agreements in place• The user groups participate in a democratic way in the management and operation of 80% of the facilities by project end
Ensuring access to Skills development and socio-economic opportunities through CDS	<ul style="list-style-type: none">• Number of people attending business training workshops• Number of business spaces rented out
Seeking sustainability with special focus on financial sustainability of facilities	<ul style="list-style-type: none">• At least 70% of public facilities and services are reported to be well-maintained and managed by end year of project• Occupancy (%) of rented spaces• Tenant rental payments received on time• Meeting room usage (hours and %)• Monthly income and expense records comparing budget to actual

Table 6 Indicators

Conclusion

The Khayelitsha Station traders facility and Live-Work Units are not currently financially self-sustaining and probably will not be until the City purchases additional land which was part of the original vision for the area. Tables 7 and 8 show the financial sustainability of Khayelitsha Station traders facility and Live-Work Units with and without the additional land in the Western Forecourt area. Table 8 shows the impact of lower occupancy rates (65%) which reflects the uncertainty of informal traders taking up all the spaces, consistently paying rent on time and the implementation of the first ever trading plan in Khayelitsha which will influence rent payments in VPUU facilities. The results of full occupancy are also shown.

The impact of security costs is illustrated. Other financial sustainability factors are the ability to charge market related rentals and covering the overheads of the Intermediary.

The City Business Areas Management team from the Economic Development department were key partners for helping to work out facility management issues as well as the trading plan processes that needed to unfold in order to help make the facility work. The City seemed under-resourced or inappropriately focused to set up this process, thus the Intermediary had to take on significant leadership and strategic and operational responsibility for making these things happen.

Khayelitsha Station traders facility and Live-Work Unit scenarios	Anticipated income	Operating costs	If 24 hour professional security in commercial areas	Overhead costs for Intermediary	Surplus or loss
	Annual	Annual	Annual	Annual	Annual
Internal CoCT line department payments per levels of current model – none in this area	31.2%	28.1%	46.6%	25.3%	-68.8%
If land purchased & developed	132.5%	43.9%	36.4%	19.7%	32.5%
Market related rentals (for Khayelitsha)	38.0%	30.1%	45.3%	24.6%	-62.0%
If land purchased & developed	158.7%	46.3%	34.8%	18.9%	58.7%
Internal CoCT line departments if only paying for basic utilities, maintenance & cleaning – none	31.2%	28.1%	46.6%	25.3%	-68.8%
If land purchased & developed	132.5%	43.9%	36.4%	19.7%	32.5%

Table 7 Financial scenarios for Khayelitsha Station traders facility

	65% occupancy	65% occupancy	100% occupancy	100% occupancy
	Annual	Annual	Annual	Annual
	Western Forecourt additional land	No additional land	Western Forecourt additional land	No additional land
Lettable space	3.798m²	574m²	3.798m²	574m²
Overall potential income	124.8%	31.6%	187.6%	45.9%
Overall potential expenses	100%	100%	100%	100%
Surplus/loss	24.8%	-68.4%	87.6%	-54.1%

Table 8 Financial viability of Khayelitsha Station traders facility and Live-Work Units with or without Western Forecourt additional land and with occupancy variances

3.2 HARARE SPORTS AND RECREATION PRECINCT

The geographic and social context

The Harare Sports and Recreation Precinct is comprised of three elements. The first is an urban park, largely in a stormwater retention pond area. It incorporates a number of partners and public buildings and facilities on a neighbourhood scale along a pedestrian thoroughfare from residential areas to the Khayelitsha train station. FIFA Football for Hope also built a small facility and provided an outdoor mini-AstroTurf field on the edge of the stormwater retention pond area which is managed by GrassrootSoccer. VPUU and GrassrootSoccer, a well-organised NGO, are working closely together to complement each other in their approaches, youth and educational programmes and the use of fields and facilities, including working together on the FMC. The second elements are the sportsfields and change-room facility at Kwamfundo secondary school across the street from the urban park.

The third element will include sports fields and other educational and community facilities at Luleka Primary School located three blocks away. A previously very unsafe area (identified as a crime hot spot during the baseline survey by residents) has been developed into a well-managed and well used park in the Harare neighbourhood. Pedestrian safety and recreational activities are well looked after by the development. As some of the sports facilities and fields to be developed were on school property, VPUU needed to work with the School Governing Body and the Western Cape Education Department (WCED), and the legal owner of the land, the Department of Public Works (provincial government). The school and Education Department were keen to have the City’s Department of Sports and Recreation (along with VPUU) responsible for managing the facility as this is not a core competence of schools. Working across two tiers of government and with community structures has proved to be incredibly

challenging and the processes for how to work together are still being worked out more than five years on. Very recently, VPUU has signed a MoU with the provincial government.

Element or facility	Description
Harare Urban Park	Youth focus; free access; easy to book for casual use
FIFA Football for Hope Centre and mini-Astro Turf field	Youth programmes managed by GrassrootSoccer; structured programmes
Kwamfundo secondary school sportsfield and clubhouse	Shared field and netball courts; local schools reserve times and have free use; Clubs and other users pay for use
Luleka primary school sportsfields	School sport; will be available for other users in some pay for use way

Table 9 Harare Sports and Recreation Precinct facilities

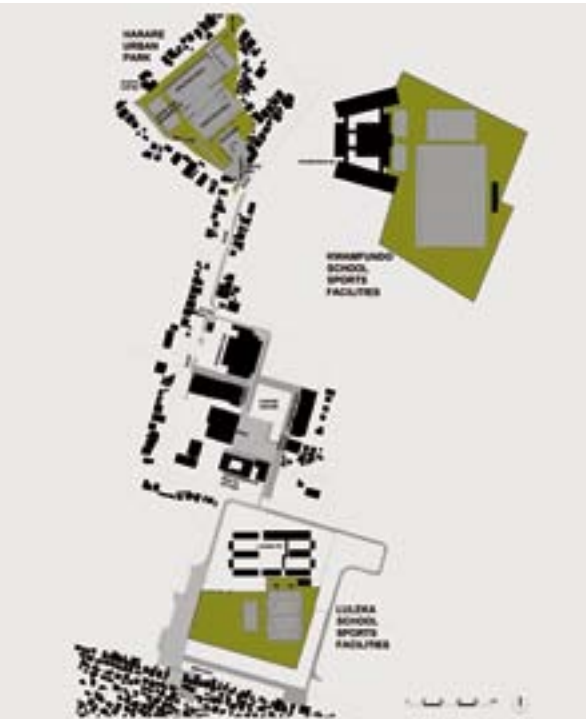


Figure 8 Landscaping Plan showing Harare Urban Park; FIFA mini-AstroTurf; Kwamfundo School sports facilities in the background and Luleka School sports facilities in the foreground





Figure 9 Harare Urban Park and FIFA mini-AstroTurf; Kwamfundo School sports facilities in the background and Luleka School sports facilities in the foreground

South African education sector research (Joint Education Trust and others) shows that approximately 70% of SA schools are dysfunctional at various levels. The focus at schools is on improving teaching and learning and matric pass rates. Sports and extra-curricular programmes, so important to youth development, often don't receive enough attention. As a result, some schools struggle to have organised sports programmes. Thus there is a risk that facilities provided may not be fully utilised and new opportunities may not be taken.

The financial sustainability

The important facilities and spaces for recreation and sports are normally subsidised by municipalities. However it is extremely difficult for good facilities to break even, evident in the fact that even one of the most successful, run by a FMC with the support of the

Department of Sports and Recreation, receives significant annual top up subsidy funding.

The SN model does not foresee the operation of these facilities on a cost recovery basis. However, large elements of such facilities must be widely accessible. Thus certain high maintenance elements that adhere to international sporting standards (a grass soccer pitch) are operated on a user fee basis. This is not intended to cut out the public but to allow well organised sporting clubs a home for their activities, assisting them to prosper by providing high quality sporting facilities which otherwise would not be possible to maintain.

This illustrates the need for a holistic approach whereby economically desirable spaces are occupied to generate a surplus which then can be distributed to less viable areas within the neighbourhood. Table 10 shows the financial sustainability potential at the projected occupancy levels for the next financial year as compared to

100% occupancy. There are other desirable income-generating opportunities that could be pursued by the FMC, VPUU or the City, for example having groups using the grass pitch charge gate fees, selling advertising on boards around the fields and holding fundraising events.

The Community O&M potential—VPUU support to the schools

An easily identifiable user group was of learners at one local secondary school and two primary ones which needed better sports grounds and facilities. There were no easily identifiable organised user groups for the Harare Urban Park. The CoCTs DSRA suggested organising an FMC based on their model of working with the Local Sports Councils. VPUU therefore approached the Khayelitsha Sports Council and received recommendations for some of their members who were local sports code representatives from the area where VPUU was working. Training in OD and basic facility management took place over 4 months, in 4.5 hour blocks over 7 Saturdays, spread out approximately every two weeks. The training was supported with regular follow up mentoring sessions with the FMC and the Principal, approximately one hour every other week. Besides mentoring, another 2-4 hours a week were spent organising follow-up meetings, providing administration support and facilitating policy and manual development. The VPUU approach of ongoing, regular mentoring and administrative back-up

support is time consuming and is a key component of trust and capacity building in the success of FMCs.

A viable FMC has emerged composed of representatives from the schools, Khayelitsha Sports Council, DSRA, WCED, GrassrootSoccer and VPUU. It is desirable to add a volunteer FG representative to the FMC. There have been some problems with the consistency of meetings, and a renewed effort is under way to achieve regularity. Developing one FMC for a few different facilities is more challenging and time consuming, even though they are close together geographically and have shared purposes. VPUU chose to place the Harare Community Facilitator (CF) and Administrator (responsible for bookings) in the Harare Urban Park facility. This physical presence of extra VPUU staff has helped manage this important area.

Community dynamics

Khayelitsha has limited outdoor sports fields which results in many young people playing soccer on patches of sand, dirt or grass along the highway. The grass soccer pitch at Kwamfundo School is highly desirable to play on, but grass needs to be protected and playing time limited quite strictly. Because of limited good outdoor venues linked with facilities for other types of events, there has been great interest in putting up tents and hosting events at the Harare Urban Park. However, some of these events damage the fields and are not desirable. Community expectations for using

	75% occupancy	90% occupancy	100% occupancy	100% occupancy
	Annual	Annual	Annual	Annual
	Urban park	Kwamfundo	Urban park	Kwamfundo
Lettable space (includes sportsfields)	1.904 m ²	10.024 m ²	1.904 m ²	10.024 m ²
Overall potential income	9.8%	7.9%	10.8%	8.3%
Overall potential expenses	100%	100%	100%	100%
Surplus/loss	90.2%	92.1%	89.2%	91.7%

Table 10 Financial viability of Harare Sports and Recreation Precinct

the new fields and facilities are high, leading to some tensions about appropriate use and restrictions.

In terms of affordability for users and the need for the facilities to generate income, some groups have more resources at their disposal than others, so a graduated payment scheme was developed in line with the City’s DSRA facilities. Policies have been worked out for accessibility, various stakeholder and age groups, different payment levels, and which fields should be used for different types of events.

Community O&M principles and tools applied Principles

- Promoting ownership of spaces and facilities
- Promoting voluntarism and progressing to CDS.

Tools

- Establish local coordinating structures
- Define institutional arrangements between Intermediary and CoCT
- Appoint an Intermediary as dedicated facilitator/mediator.

Links to other work-streams

Social Crime Prevention

- Establishment of neighbourhood patrols
- Conflict resolution and mediation
- Social Development Fund supporting various youth development initiatives
- Health education, youth development and homework support programming by GrassrootSoccer, a VPUU strategic partner.

Conclusion

Parks and sports and recreation facilities are important for the healthy social fabric of a community and they are sorely needed in areas like Khayelitsha. It is not envisaged to develop a financially self-sustaining model for such facilities based on user fee collection. One of the major challenges in creating these

facilities is combining different tiers of government which makes the process more complicated and time consuming. Working across a number of different spaces and facilities that are located separately from each other complicates management however is the sensible approach. Working with sports-related groupings is particularly challenging for a variety of reasons such as:

- School sport has its own management and seasons
- The sport sector has separate umbrella bodies such as KhayaPlain Sports Council
- It is easy for certain sports codes, like soccer, to dominate if including other codes is not mandated
- The local youth who play on fields informally are a very important stakeholder but they are not organised in a way that makes their inclusion easy.

Reference to indicators

Principle	Model indicator
Promoting ownership of spaces and facilities	<ul style="list-style-type: none">• 90% of facilities built and managed have user agreements in place• The user groups participate in a democratic way in the management and operation of 80% of the facilities by project end
Promoting voluntarism and progressing to CDS	<ul style="list-style-type: none">• Number of volunteers hired for short-term contracts
Seeking sustainability with special focus on financial sustainability of facilities	<ul style="list-style-type: none">• At least 70% of public facilities and services are reported to be well-maintained and managed by end year of project• Occupancy (%) of rented spaces• Tenant rental payments received on time• Meeting room usage (hours and %)• Monthly income and expense records comparing budget to actual

Table 11 Indicators

3.3 HARARE SQUARE

The geographic and social context

The residential area of Harare has about 40,000 inhabitants. Harare Square occupies a large piece of land within it. It accommodates a supermarket, a pension pay-out point, councillor offices, an underutilised, badly managed municipal building (Masibambane Hall), municipal offices which back onto the square, informal traders and large vacant undeveloped parcels of land. The square forms part of the pedestrian route from Khayelitsha Railway Station through Harare, towards Monwabisi Park informal settlement with its 25,000 residents. It also serves as a car park. The square is edged by the above facilities on only two

sides, and is perceived as an unsafe space. The bus and taxi stops are located on Ncumo Road, outside the square thus fracturing development and hindering an integration of uses. There are no activities outside normal business hours.

During the visioning exercise for the neighbourhood, the community leadership, of Harare and Khayelitsha, expressed the desire to develop the square as a hub for Youth Development and local business opportunity. To meet the desires of the community and realise the potential of the adjacent vacant or under-utilised properties, a number of multi-purpose developments have been built. These provide users with a variety of options and create a safer environment within the square and the surrounding streets.



Figure 10 Harare Square before developments

Following facilities have been constructed:

- A multifunctional House of Learning, that includes an Early Childhood Development (ECD) Resource Centre, a library with special focus on youth, office spaces for NGOs and other organisations
- A loveLife Youth Centre with a Hall, and the Y Centre elements (computer lab, youth space, offices, radio recording studio)
- A Business Hub, including larger scale commercial space, line shops for local entrepreneurs, a boxing gym, a bakery, open-plan offices, an Active Box, and spaces for skills development and business support NGOs and
- Live-Work Units for local business people.

The financial sustainability

Harare Square is the financial and broader community anchor for the SN. The commercially oriented spaces make a significant contribution toward rental income for Harare Square and contribute to the entire Harare SN.

The office accommodation, Youth Centre and spaces for municipal services provide a further important contribution. And the overall tenant and facility mix combined with landscaping and the creation of a community focal point help make Harare Square one of the most vibrant areas in Khayelitsha. The baseline Business Survey and subsequent Local Economic Development strategy for the area were very important processes for determining the mix of facilities. Harare Square has provided a test case for integrated commu-



Figure 11 Harare Square after developments

nity development while working with several different City departments: Economic Development, Sports and Recreation, Environmental Health, Library Services, Social Development, Governance and Interface, Parks and Gardens and Specialised Technical Services—Facility Management. One of the City models for IDPs is to have one department take the lead and coordinate the involvement of all the other departments. An attempt to use this approach failed. A second approach was to find a high level service department, STS FM, and form a strategic partnership with them as the lead City department to work closely with the Intermediary. This is the current model.

One of the financial advantages of working in an integrated approach is to find synergies from shared costs—such as security and maintenance for the fa-

cilities and public square—and to find the appropriate model for how STS FM and the Intermediary share City subsidy payments for services offered.

The overall financial sustainability of Harare Square is very secure based on the assumption that the most economically viable facility—the business hub—is kept in municipal ownership.

The Community O&M potential

Because of the diversity of facility types in Harare Square and the corresponding range of municipal departments—the envisioned FMC will be of the Tenants Committee type, with the Intermediary serving as the Facility Manager with back-up support from the City’s STS Facility Management department.

An organised informal traders group operates on the



Figure 12 Live-Work Units on Harare Square

Square. VPUU lead a 5 day basic training course in which members of the group were involved in the design of trading stands, and in safety and place management issues. There have been a range of crime, vandalism and violence problems on the Square. Groups funded by the Social Development Fund have been active with formal and informal cultural programming, with Friday afternoon music, dancing and educational events for school children, for example. For a time a group of local school youth regularly did volunteer cleaning of litter on the Square—an excellent example of spontaneous ‘community ownership’.

A key success factor is finding the right partners and mix of tenants. Tenant selection targets a range of businesses in terms of maturity, as well as of business types—to avoid too many copy-cat businesses. In se-

lected cases, the tool of partnership agreement is used, for instance to get a co-funding agreement with business support agencies that can deliver support to all tenants or with strategic partners of the Social Crime Prevention (anti gender-based violence initiatives, ECD support, Youth Development, career guidance, legal advice) to bring increased social cohesion into the area.

The development has reached a maturity that allows adding new elements to the overall model, such as the implementation of the Liquor Act which aims to regulate liquor outlets. Within the VPUU developments in Harare, 2 key locations for a liquor outlet have been identified to allow positive cooperation with the liquor board and local associations in changing a currently very harmful practice into a more socially acceptable one.



Figure 13 The Business Hub

Community O&M principles and tools applied

Principles

- Promoting voluntarism and progressing to CDS
- Ensuring access to skills development and socioeconomic opportunities through CDS
- Seeking sustainability with special focus on financial sustainability of facilities.

Tools

- Appoint an Intermediary as dedicated facilitator/mediator
- Define institutional arrangements between Intermediary and CoCT
- Trading plan development
- CDS.

Links to other work-streams

Social Crime Prevention

- Establishment of neighbourhood patrols and FGs
- Coordinating safety and security involvement of public sector (SAPS, Metro Police)
- Conflict resolution and mediation
- Social Development Fund
- Providing spaces for key social development partners.

Situational Crime Prevention

- Types of facilities based on LED strategy and priorities
- Supporting the trading plan development process
- Interacting with user groups around specific facility design issues
- Making improvements to facilities after getting feedback from existing tenants.

Harare Square scenarios	Overall cost to run Harare Square	Anticipated income	Operating costs	If 24 hour professional security in commercial areas (est.)	Overhead costs for Intermediary	Surplus or loss
		Annual	Annual	Annual	Annual	Annual
Internal CoCT line department payments per levels of current model (100% Library, 100% EHO and 50% Masibambane)	100%	150.8%	58.2%	21.9%	19.8%	50.8%
Market related rentals (for Khayelitsha)	100%	79.9%	52.4%	25.0%	22.6%	-20.1%
Internal CoCT line departments if only paying for basic utilities, maintenance & cleaning	100%	61.9%	44.7%	29.0%	26.3%	-38.1%

Table 12 Financial viability of Harare Square

Reference to indicators

Principle	Model indicator
Promoting ownership of spaces and facilities	<ul style="list-style-type: none"> 90% of facilities built and managed have user agreements in place The user groups participate in a democratic way in the management and operation of 80% of the facilities by project end
Ensuring access to Skills development and socio-economic opportunities through CDS	<ul style="list-style-type: none"> Number of people attending business training workshops Number of business spaces rented out
Seeking sustainability with special focus on financial sustainability of facilities	<ul style="list-style-type: none"> At least 70% of public facilities and services are reported to be well-maintained and managed by end year of project. Occupancy (%) of rented spaces Tenant rental payments received on time Meeting room usage (hours, %) Monthly income and expense records comparing budget to actual

Table 12 Indicators

Conclusion

The SN approach requires anchor spaces to help achieve financial sustainability and Harare Square is such a place. Some of the core types of business premises emerged from the business baseline research and subsequently developed Local Economic Development strategy which had strong community involvement. The wide variety of facility types included provides unique challenges and greater complexity in implementing a truly integrated development. Such complexity forces a LA to develop workable ways to handle integrated development, as it is happening. Using the full range of VPUU methodologies and principles has proven to be invaluable for developing such a complex public square which is financially sustainable.

SECTION IV

COMMUNITY PARTICIPATION

PART A: THEORETICAL AND METHODOLOGICAL FRAMEWORK

People-centred development • Authentic participation

• Tailored approaches • Participatory method

People-centred development

As indicated in the Introduction, an authentic participation and all that that means in terms of the growth to independence for individuals and groups, lies at the heart of the Sustainable Neighbourhoods (SN) model for development, put forward in this manual.

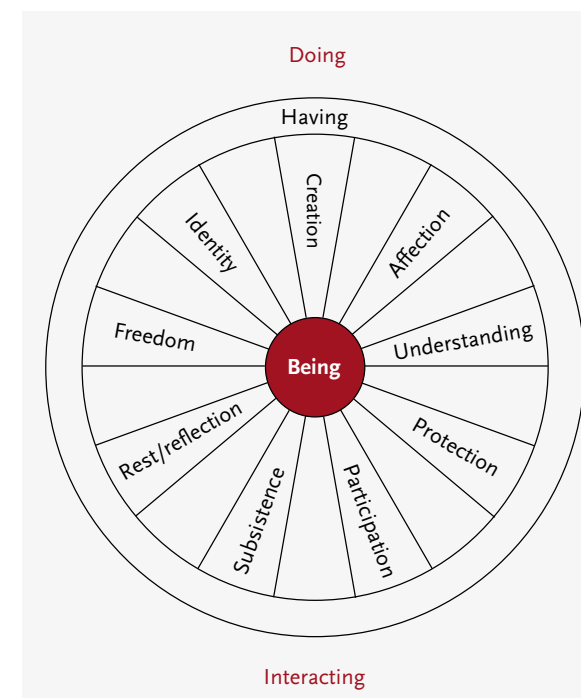


Figure 1 Wheel of fundamental human needs

Authentic participation

Much of the participatory method in the past (and also currently being used) has not been authentic. In brief, governments at different levels, or development agencies, approach impoverished communities with their **own** ideas of what the problems are. They devise ways to deal with the problems and seek a buy-in from the community through consultation or by various means of persuasion. Consultations may be with a group whom they consider to be representative, such as political representatives, who may represent only one part of the community, or through large meetings, from which it is notoriously difficult to elicit all (and particularly minority) views. Having gone through such a process, these same 'outsiders' to the community make decisions about what to do. They may call in consultants, or 'experts' to assist in clarifying problems and evolving solutions. Solutions too, plans or proposals, are shown by similar means and channels to the community, to gain approval. At the stage of implementation, some members of the community may be actively involved, selected, in many instances, by the same 'outsiders.'

It is now widely recognised that this is ineffective and does not assist development—indeed it may retard it.

- **Partnership:** Authentic participation occurs only when people are fully involved and have the power to articulate what they understand as their problems, to devise the means to tackle them and to play a full and active role in doing so. This implies a joint effort of agency, government, various stakeholders and community, in a form of equal partnership

Interdisciplinary

A further aspect of this, consequent on the broader view of human need and development as a function of many interrelated parts, people of many different disciplines, management, social work, spatial planning, education, business development and so on, play roles in a participatory programme in a coordinated, integrated way.

Community management

Development processes used to be managed at all stages by people outside the community. For example, a housing project would be managed by a government-appointed project manager and following implementation, management would pass to the local council. In the new paradigm, community people must be fully involved in deciding who will manage the process.

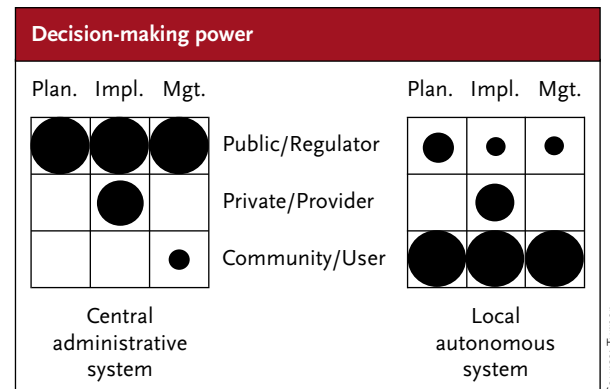


Figure 2 Difference between central administrative system and local autonomous systems such as the VPUU model

Small scale intervention

In analysing development projects, it has been found that those of a smaller human scale have generally survived better than the larger. It is simply easier to achieve small objectives than large ones, but as important as that is the ability for community members to identify with the goals of the development project. Participation occurs more readily in a community which is coherent and identifiable to its members and to outsiders, and where the spatial limits are clear. Thus the

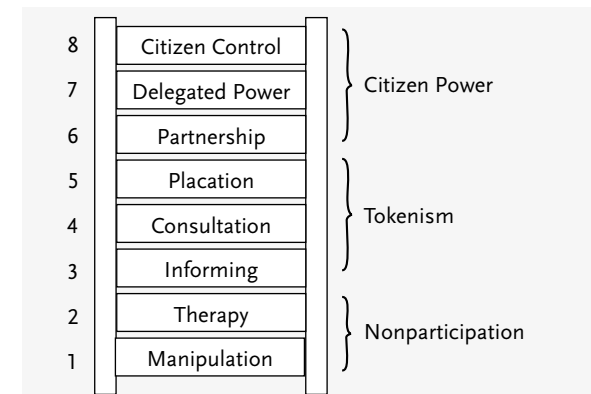


Figure 3 Intervention types during participation processes

best approach is to seek interventions which are small and manageable in scale, which can act as catalysts and which can link easily to similar or parallel projects in scaling up to more extensive programmes.

Hamdi sets out a number of steps from initiation:

- Start locally by identifying problems and opportunities and avoid conventional structures
- Search out clues to build on as catalysts for change to improve life
- Reason backwards from the small things to see how they can lead to the bigger issues
- Build local organisations
- Encourage networks
- Build assets—networks, training, saving, enterprise
- Scale up in benefit and network; scale down in numbers, control and responsibility

Characteristics	Community development	Empowerment	Negotiated development
Role of government	Open	Closed	Open
Nature of decision-making power	Small programmes, single output	Political, economic targeted programmes, clear defined outputs	Complex multi variable and multi-faceted programmes. High complexity
Community dynamic	Focus through project selection	Focused through strength and needs/issues	Diffuse, heterogeneous, requires moderation
Primary purpose of participative process	Limited	Centred around a dispute between state and community	Integrated systems approach, wide ranging interaction

Figure 4 Abbott's participation model

- Every step in planning to be transformative, visible and with recognisable benefit.

Tailored approaches

It is recognised that there is not one mode of participation suitable for all situations. There is a large difference between a situation which is highly confrontational and politicised, such as in a service delivery protest where government is not open to participation, and one where a Local Authority (LA) is seeking to understand particular problems related to a particular area. Both of these are very different from an intention to improve the Quality of Life (QoL) by a community, or civil society or local government. Each requires particular approaches.

Abbott developed a conceptual diagram which shows the variables of context and participation approaches clearly. This is shown in Figure 4 with the extent of complexity of the problem and the openness of government to participation. Essentially this demonstrates that with government relatively closed to participation and with issues of comparatively minor complexity, the model of participation is an empowering one. The more complex the issue, the closer participation moves towards a revolutionary, or highly activist mode. The more open government is, the closer the participation mode moves to actual management by the community.

The approach taken in this model relates to the basic goal: to improve safety as a public good in an area

through urban up-grading. This fits very well into the category of **synergic or catalysing satisfier** as outlined above. Crime impacts on every aspect of existence—it places limitations on an individual's and community's sense of security, freedom to move about, feeling of belonging, ability to make a living—and so on. And reducing crime requires an equally wide-ranging effort—to improve surveillance, to reduce the reasons for it, to increase the community's resistance to it. It has impact on the physical spaces of the community, on its economic and educational structure, on its leadership and organisational capacity. Thus to tackle crime effectively requires development across the spectrum of a community's needs.

Thus behind the idea of safety as a public good is a broader goal or end, the improvement of QoL in the community. By definition this is a complex issue, requiring the empowerment of local people to play a full role in partnership with government in decision-making, with an increasing role in management and, in parallel, an increasing openness of government. The process essentially will be one of negotiated development, aiming, as complexity increases, at a rooted mutual understanding and consensus.

Participatory method

Within such a paradigm and defined by such an approach, what is the outline of an appropriate method or work-plan?

Finding representivity

The first task of what Martin and Mathema call the 'community participation activators' is to seek out authentic representatives. And as they indicate: 'it would be very naïve to assume that community structures are self-evident ...' Thus a number of groups need to be engaged with to determine how established they are, how constituted and how elected to ensure they are representative. Furthermore every possible network must be penetrated to make certain that all

stakeholders in a community will have a voice. It is important to 'identify an inclusive' leadership, taking care to avoid simply accepting political figures.

Representivity should work both ways: i.e. ensuring the legitimacy, good faith, and mandate to make decisions of partners from outside of the community as well as from within.

Out of this a representative structure will be formed as the vehicle for formulating strategies, making decisions about and monitoring interventions. In its election of members, the community plays a central decision-making role. It is accountable to the community and, by definition of its constitution, it must ensure the active participation of the community in the project.

Establishing trust

In order for groups of people to work effectively together as equal participants in a project, they must trust each other. Thus an initial process of finding each other through learning about each other's background, objectives, track record and capacity to interact in a give-and-take way, must be undertaken to establish a trusting relationship. Part of this process will entail coming to agreement on basic objectives and part on bringing differences to light, so that they can be dealt with.

Furthermore, trust is also secured through people being seen to do what they say they will do, and for those actions to show positive benefit. The earlier this can occur the better. For example, the way meetings are organised or advertised, the venues used and how they are occupied and the communication of outcomes of early meetings, should all be aimed to convey the ethos of openness and positive action.

Getting the basic information

It is not possible to frame pertinent questions and strategies without clear information, which demands a good understanding of the community and its problems and assets. At one level, this means demograph-

ics: age, gender, family structure and so on, at another simply measuring space, goods, resources and assets, and at a third, discovering how the community works and what is the local culture of decision-making. At a fourth level, understanding needs to be gained of community views of the nature and location of problems.

There are as many ways to achieve this as there are facets to be understood. But the most important aspects of the process of information gathering, from the point of view of the participatory mode, are:

- that community members are fully involved in deciding what is to be gathered and in assembling it
- that it has depth i.e. that there is engagement with as many groups as possible. This means both formal ones such as political, religious and social ones and informal ones, and also individuals
- that the community shares in the results of the surveys and in their analysis.

Formulating strategies, prioritising and designing interventions

This is the stage when community ideas and aspirations are amalgamated with a city-wide vision which has been developed over time with all the know-how and previous experience by a LA. This stage, of the formulation of plans and of decisions about the central focus of action and the phasing over time, is the one that 'experts' are trained to do and are confident at doing. So there is a tendency that the experts run ahead with ideas without proper involvement of the people concerned or without listening properly to what they say and how they interpret problems. The gap in authority/consultant/community skills and experience is probably at its height during design. However, even at that stage, as at the earlier ones, the community must be involved, giving input, negotiating objectives, examining alternatives, deciding on priorities and finally giving full sanction to proposals.

Implied in this is the need for both on-going assistance—in understanding e.g. using models, game

playing etc.—and education or capacity training, particularly in management and leadership.

Implementation, on-going M&E

During and after 'implementation', Community Participation occurs in a number of different ways:

- There is the on-going monitoring by the Safe Node Area Committee (SNAC) in terms of progress, success, new problems and opportunities—also of management by the community
- Regular opportunities for any member of the community to make their views known
- Direct local involvement in projects, for example: running and being part of Neighbourhood Watches (NHWs), participation in actual building, management of facilities
- New partnerships are made, e.g. with local small business associations, or sporting or educational bodies.

Throughout the development process, there is continuous monitoring on various levels and an annual review of the Community Action Plan (CAP). The programme takes a large part of its benchmarking of successful implementation from the level of sustainability, especially in the area of O&M and management of facilities on an area-based level. This understanding of sustainability includes capital infrastructure (the spaces and facilities), the skills level within the community, social cohesion via social support, improved safety levels and economic improvements and financial sustainability.

Sustainability

Sustainability in terms of the participation process means that the projects and systems set up become less and less dependent on outside input in terms of commitment, resources and management i.e. more and more autonomous.

PART B: PRINCIPLES

People-centred developmental approach • Trust • Consensus building • Accountability • Voluntarism • Sustainability

People-centred developmental approach

The core of a participatory method is that the people whose QoL is aimed to be improved, should:

- be equal partners in the development process
- be involved at every level in the decisions that are taken and
- benefit at each stage of the process.

The people

It is important that ‘people’ means everyone in the community. All individuals and groups need to be afforded the right and opportunity to voice an opinion, make a suggestion or criticism or affect a decision. Thus the participation process should involve people at a number of levels, individuals, households, small groups and local neighbourhoods, areas and also institutional or governmental stakeholders.

Partnerships

Poole: ‘an association between two or more persons, groups or organisations, who join together to achieve a common goal that neither one alone can accomplish. This association is characterised by joint membership, by democratic participation and by shared responsibility. Each member agrees to contribute resources to the partnership with the understanding that the pleasure or enjoyment of the benefits will be shared by all. Partners work hard to strengthen each other and to endure conflict and change, because they recognise that their shared goal extends beyond the reach of any one member.’

As in any kind of partnership, mutual choice is essential. The initiation may come from one or the other: a community may approach an Intermediary or

vice versa, but each partner must be happy with the other. Without that, the process is likely to fail. This means that a lot of work must be done initially to gain mutual trust, to be clear about responsibilities and to ensure balance and interdependence. Trust will be dealt with more fully below. Here it is sufficient to say that every workable partnership has mutual trust at its centre.

There are four essential requirements of partnerships:

- The partners must have common objectives, goals and values. This is the root and the sustaining force of a good partnership. There is no place for hidden motivations or agendas
- Risks and benefits should be shared. How the partners can benefit from the development programme must be understood and accepted by each partner. Each must be clear about their own and the other’s risk, so that if there are serious problems they will be accepted as shared. The risks and benefits are likely to be different for each party and may occur at different times
- There should be a balance of contributions from all partners (monetary and otherwise). The assets of each, what each is bringing ‘to the party’, must be transparent and in balance. As indicated in the introductory section, the assets in an impoverished community are not necessarily easy to articulate either by outsiders or the people themselves, who may have a negative view of themselves. So all the networks, capacities, know-how, skills, physical and spatial assets, individual and communal, need to be elicited, spelt out and utilised in coordination with those of the other parties
- Authority, responsibility and accountability must be shared. This does not mean that they are necessarily the same for each party but that they are in balance. However people from the community must have an authority to affect the goals, strategies and management of the partnership, equal to any other

partner. Responsibilities need to be agreed upon as early as possible, and people or groups who take on responsibility must be willing to be accountable to the partnership.

Interdependence is the ideal to be sought—that the capacities of the partners are both essential and complementary such that the programme cannot move forward without both.

Decision-making

For people to take on ownership of ideas, strategies or places, they have to be essential to decision-making at every level. Questions such as the following must be asked:

- Who is the community or group involved?
- What are its strengths and weaknesses, its poverty and wealth?
- What are its main objectives?
- Who will represent it?
- What are the problems that need addressing?
- How are they prioritised?
- What strategies, social, financial, political and spatial, are appropriate to address them?
- How and where will implementation of projects, small and large, occur? Who will be involved in implementation?
- How will they be monitored and by whom?

All these decisions need to be shared by the partners of the project.

The key ideas here are for all participating to have accurate and the same information on the basis of which decisions can be made; for everyone to be carefully listened to and for consensus to be reached.

Benefits

It is very important not to set up the expectations of unrealistic benefits to be gained by the community. Indeed there are many instances where unrealistic expectations have been the cause of serious failure. However it is beneficial for the project to yield tangible benefits as soon and as regularly as possible. These may not be, in many instances, material or monetary. An open-handed invitation to take part in a discussion about a local survey is a benefit. Being part of making or simply seeing a mural showing information gathered, is a benefit. Being even a small part of management and being trained in management and leadership, are benefits.

These kinds of benefits begin to satisfy needs that may not seem to be connected to the problem being tackled and also help to gain the necessary trust that the intervention is worthwhile.



Trust

Trust is central to positive and productive participation, and a lot of effort needs to be put into ensuring it is reached. There are three main parts to it:

Finding each other

At the beginning of any partnership, there is a process of exploring each other's background, objectives, track record and stability, and generally checking to make sure the other is a good partner to work with. An Intermediary will want to know that community members who hold themselves to be representative are actually so and that organisations wishing to participate are properly established, have constitutions, hold annual general meetings and so on. Community members, on the other hand, will want to know that the development group has a track record of delivering on its objectives, that it has no hidden agendas, and that its objectives are complementary to those of the community. Ideally, each partner needs to be clear that it is choosing the other for good reason. It is very important that time is taken to listen well to each other and to develop the freedom to articulate problems.

Process of integrity

Trust evaporates and projects fail when people involved do not do what they say they are going to do and do not see things through. Thus part of finding each other is convincing that each is working in good faith, and will make every effort to deliver on what has been offered or agreed. Working with integrity right from the beginning, making sure stated intentions are met, is the best way to engender trust.

Accountability is described on page 149.

All three principles regarding the development of trust imply that it is, by definition, a process rather than an end. It has to be worked at and monitored over the whole period of partnership.

Consensus building

For a development project to move forward at a pace that is satisfactory, a high degree of consensus is necessary. Lack of it and the persistence of unresolved disagreement or conflict, leads to uncertainty of direction, ambiguity of communication, unclear decisions about action, long delays and eventually a complete loss of the momentum and spirit so necessary for positive progress. Serious conflict can derail a project very quickly.

In many communities there are in fact different groupings representing very different and often opposed positions. Especially where there is a lot of competition for resources, there may exist pockets of actual hostility. It is essential, therefore that conscious strategies are in place to engender and sustain a high degree of consensus among the community.

Accountability

Participants in partnerships must be accountable. This means that they must take responsibility for work or action, make the process and results accessible for evaluation and be willing to accept the judgement, sanction or policy adjustment of the larger collaborative. Thus systems must be devised which do not permit people to go off and do what they feel like and which monitor and evaluate work in terms of agreed criteria.

Accountability to the community

Monitoring and Evaluation (M&E) of development projects is problematic when it is aimed primarily at funders, essentially to assure them that funding has been well spent and accounted for. The evaluation of the usefulness of the project to the people of the community has been neglected. Although it is important for funders to know how money is spent, whether objectives have been met, and whether implementation was carried out as planned, it is much more crucial to know whether the actions undertaken are being of benefit to the community. Thus the work done must be accountable to the community and people of the community must be involved in the M&E process. It is equally important for the programme to measure the benefits for and changes within the community, from their perspective. Thus the accountability process should include formalised and regular feedback and assessment with communities.

Scale, time and accessibility

Many systems of accountability deal with a large complex project, and because the process, by definition, is time-taking and onerous, evaluations occur at infrequent intervals and often after the events have taken place.

Hamdi believes that this reduces the growth potential of the project: 'the best way of scaling up the impact of projects is to scale down the size of units of organisation, of management and decision-making to make sure that accountability is held locally and that success or failure is measured by those who are affected most'.

A further problem of conventional methods of accountability is that they are conducted and reported within a set of ideas and jargon which is not readily accessible to the community. This is counterproductive. In the light of the above, a number of principles are posited:

- The emphasis should be on local control and on addressing problems as they occur. Thus the project monitoring group must be made up of or include community representatives, and the review should be continuous
- The community and its members must be the primary arbiters of how well and how efficiently programmes work
- The feedback from M&E must be prompt
- The system of evaluation must be easily understandable, have a limited number of criteria and be transparent for and supported by all stakeholders
- Care must be exercised to ensure that the information and data used in evaluation are correct
- There must be regular feedback to the community.

Voluntarism

Intentions

Voluntarism, as indicated in the Introduction and Social Crime Prevention section, is intended to generate self-belief and active commitment among people with little hope.

Training, work opportunity and track record

In poor communities, with high unemployment, it is not easy to sell the idea of work without pay. Thus the encouragement of identity and commitment needs to be supplemented by offering rewards other than financial, namely training, work opportunity and track record.

Leadership training

An essential part of developing and sustaining trust, and one of the cornerstones of participation, is the training of leadership. There are a number of parts to this. First, the visible improvement in skills and capacities of community people helps to engender belief in the benefits of the project.

Second, a skilled leadership will be able to handle the process of development in a consistent and credible way.

Third, the actual benefit to individuals of training is an improvement not only of skill and know-how but also of employability—it strengthens CVs.

Fourth, to improve leadership capacities is to strengthen existing community resources, thereby also augmenting a sense of identity and independence.

At the level of the individual, the development project must have on-going training programmes:

- in life skills—punctuality, thoroughness, personal presentation, and so on
- in organisation and management—goal setting, task organisation, time lines, organisation, running and recording of meetings, on-going management and
- in leadership—vision statement, public speaking, negotiation, conflict management.

At the level of the community, there is much to be gained in know-how and skill from a continuous process of information via pamphlets, interaction through surveys, and participation in general meetings.

Work opportunities

There must be opportunities for work, for actively using personal and community resources to achieve tangible ends. These could range from participation in programmes such as child care, sporting or cultural, to NHWs, to street cleaning exercises.

Part of the means to motivate participation is that it enables both individuals and communities to run up a track record of positive activity. Individuals can considerably improve their CVs thus enhancing employment opportunities. Communities, or groups within the community, can demonstrate to potential funders or partners in development, their commitment, achievements and experience.

Sustainability

The goals of development are that people's livelihoods and QoL are improved, that they gain the confidence, skill and flexibility to make and manage a reasonable life for themselves and that, partly as a result of the foregoing and partly through the establishment of linkages and networks, they are in the position to exercise fully their rights and responsibilities as citizens. The achievement of that will denote the sustainability of the programme.

There are a number of contributing principles which have already partially been discussed:

- Working with problems and strategies for action which **catalyse** in a multiplier effect across a spectrum of existence—in business development, social organisation, housing, health, education and so on
- **Enabling** the community to gain 'the ability or willingness to provide the means with which to open doors and create opportunities in order to build livelihoods, reduce vulnerability and sustain development' and to become part of the main stream, rather than the marginalised outsiders
- **Assisting** the community leadership, through mentorship, training and experience, to gain the skills in negotiation and conflict resolution and the know-how to play a strong political role to 'influence policy, change standards, remove discrimination, promote rights and open doors'
- Setting up **strong institutions** which are not dependent on outside agencies to run them
- **Building** capacity and leadership through offering on the ground experience and training
- **Connecting** and making partnerships with networks and organisations with similar goals and principles.

PART C: TOOLS

Building trust and ensuring accountability • Community action planning • Multi-level approach • Participatory, multi-level decision-making • Voluntarism and skills development • Monitoring and Evaluation • Development process as a participatory tool

In order to meet the principles set out, a participatory process comprising a number of tools has been devised which is flexible enough to adapt to changing and different needs of communities.

Building trust and ensuring accountability

The basis for a successful programme is the ability to build trust and start reciprocal accountability.

Facilitate a relationship between Local Authorities and community

It has been found to be necessary to appoint an Intermediary to manage the relationship between local communities and the LA who will initiate and enable the establishment of trust and accountability in the relationship between them. This was largely based on experiences in the South African context over the past years which were characterised by an erosion of trust between communities and LA, mainly in low-income areas. Examples of this erosion are: the politicising of ward committees, a local leadership group that is aimed to assist with community consultation in development in a ward; the steep increase in violent protests which demonstrate frustration with the way the LA interacts (or does not interact) with residents of the area. As a result of these expressions by residents, there has been a clear shift of the LA towards a more top down approach—at best an empowerment approach. This means that LA is not open to consultation and does not follow an open minded public participation process, but, at the same time, tries to

implement targeted programmes to uplift communities. This leads to a situation where LA can react to issues raised by the community only on an ad hoc basis.

The programme tries to shift the discourse towards a negotiated development that aims to build trust, accountability and joint visioning and implementation in a partnership approach between LA and residents.

Intermediary as facilitator

In this set up, the Intermediary is the facilitator, with sometimes a mediating role, and also acts as an implementing agent for certain defined elements of the programme. Thus the Intermediary plays an active role in the programme: it facilitates the overall process, and ensures that both partners, the LA and the community, subscribe to the process. Furthermore, through building consensus on many levels—within the area, the whole community, and the LA—it seeks to achieve agreement between the two main actors, all with the aim of securing the adoption of the CAP.

The Intermediary also becomes involved in the implementation of defined elements of the programme which arise out of the CAP.

Role of the Community Facilitator

The Community Facilitator (CF) is a skilled person within the Intermediary, who operates within a local geographic area. The CF is essential to build the trust of the leadership in the SNA.

Tools applied by the CF are process-related and range from leadership development, consensus building, developing a culture of reciprocal accountability, negotiation skills training, regular meetings, the monitoring of the CAP implementation with the local leadership, conflict resolution, communication with leadership and broader communities and the application of a Social Crime Prevention tool—the Social Development Fund (*see Social Crime Prevention Tools*).

Once the process of establishing trust starts to mature, the CF opens a staged dialogue, initially between

the professional team of the Intermediary, the residents, and LA officials. This dialogue grows in complexity, initially focussing around the SDF implementation. As the process unfolds, other work-streams are added to the conversation. The intention, ultimately, is to enable an increasingly active role of local leadership in decision-making around the CAP.

Analysing the context

Analysing and assessing the competencies of existing stakeholders is the first step of engagement—to find the already active groups within a neighbourhood. Most areas have some kind of existing steering committee and a network of structures representative of various sectors of the community. All areas are mandated via legislation, to have certain structures on an area basis such as Ward Committees, Community Police Forums (CPFs), School Governing Bodies. However, the VPUU model works with social boundaries, within which cooperation is desired, rather than with the administrative ones to which above structures are mandated. Existing stakeholders may be task-oriented, such as mothers' groups, Early Childhood Development (ECD) organisations, sporting clubs and youth groups, or issues-oriented such as political branches, civic associations, informal settlement networks.

The process of engagement with these stakeholders requires essentially four activities:

- Introduction of the model methodology, process description. Open adverts placed in public spaces in the SNA to encourage leadership groups to indicate interest of involvement in the programme
- Individual meetings to clarify the development aims of the organisations involved, to articulate areas of agreement and difference, and to start to forge consensus
- Individual meetings with leadership groups, identified via the steps one and two, to analyse the credentials and authenticity of the groups. The

analysis includes interviews with the executive of organisations, and letterhead checks to ensure representivity. All this is done with the intention of forming a community representative committee

- Presentation of the Terms of Reference (ToR) containing the procedure for community governance within VPUU is a generic document across all geographic areas. Local stakeholders have the chance to engage with this generic document and are required to commit themselves to agreed ToR, in writing, as a basis of the leadership engagement.

Within this phase of engagement, the level of inclusion of diverse groups determines the capacity for trust and accountability. The intention is to consult with as many existing groups as possible.

Nomination for a community representative committee (SNAC—Safe Node Area Committee)

There is a prescribed system of delegated representation of local leadership in SNAs. This representation is aligned to the work-streams of the programme and embedded in the CAP. Existing leadership groups are

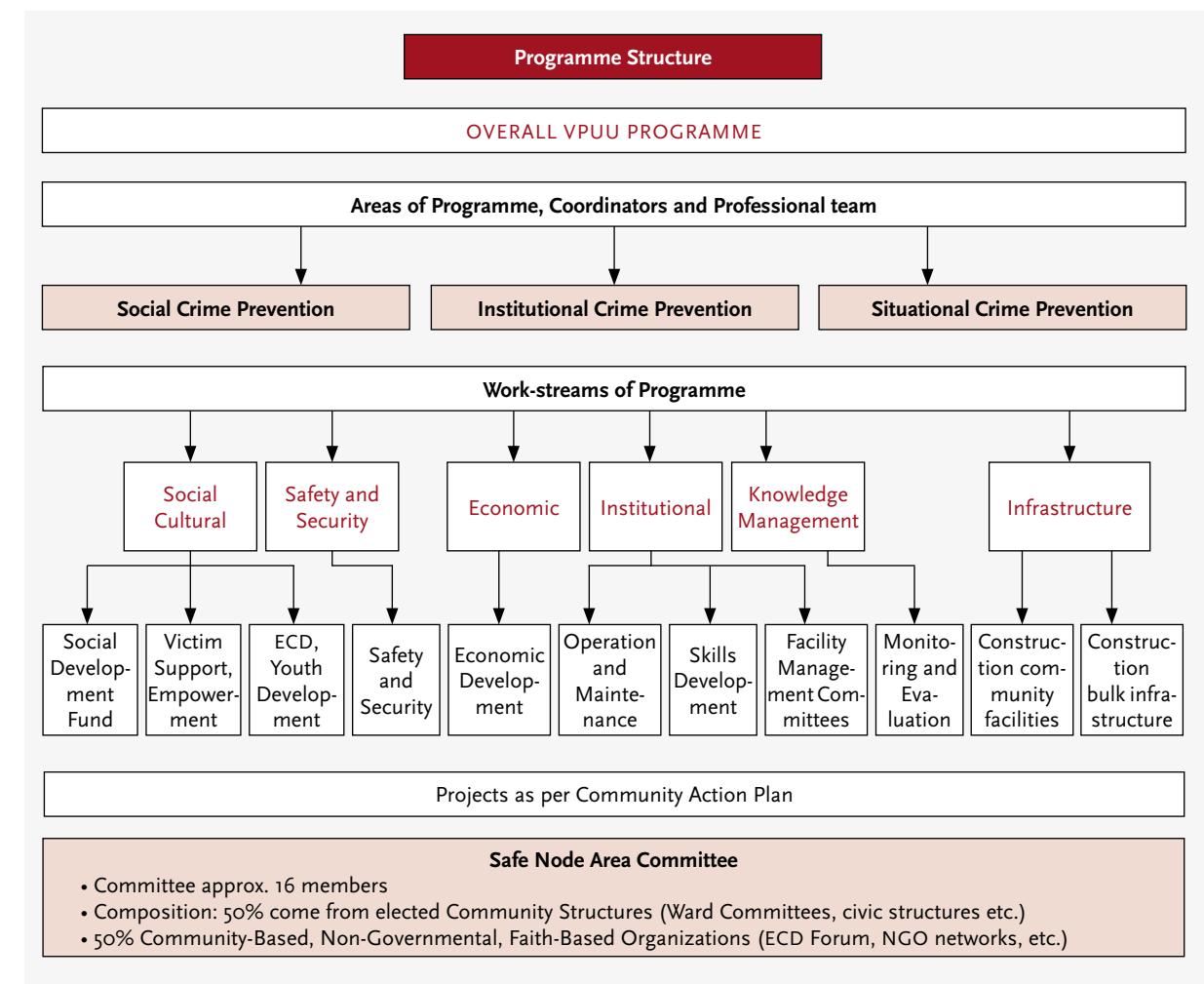


Figure 5 SNAC overview

clustered according to the work-streams. These clusters are required to nominate a certain number of representatives. Initially an equal number are nominated per work-stream. However, as the programme evolves, a certain weighting may be introduced to allow management of the implementation of CAP interventions. For example, if there are no capital infrastructure projects, but a number of social programmes, the number of representatives for social will be higher than for infrastructure.

The intention is to come up with a representative community committee of a manageable size (16-20 members). Not all structures will be represented, however all work-streams will be represented.

Election of SNAC

The nomination process arrives at the overall number of representatives within the community representative committee. The election determines the positions and functions within the committee. It is conducted amongst the 16-20 members of the committee. This, typically, has a chair, vice chair, secretary, treasurer and heads and deputies of each of the work-streams. The election procedures, the system and composition of observers, and the ballot system itself all must be agreed upon by the parties involved.

This process, from first engagement to the election of a representative committee, lays the groundwork for a trustful relationship.

Leadership training

An integral part of the process of development is initial leadership training. This is around roles and responsibilities as leaders. Once the programme has established itself within a community, the on-going leadership training, occurring parallel to implementation of the programme, is equally vital for development. Community leaders are given training to serve their community better, to make them capable of liaising competently within their community and also

externally, with other public and private organisations.

The initial package includes skills training on:

- **Process** such as visioning, negotiation, communication and conflict resolution
- **Planning** such as preparation towards a strategic plan
- **Responsible leadership** and
- **Housekeeping** such as the financial aspects of a committee, the conduct of meetings and minute taking.

Process-orientated training

As the programme unfolds, so the complexities and challenges to the leadership grow. The on-going training aims to address the new issues which the leaders within a community must face, at the same time as they emerge. The idea is to improve the leadership's capacity to reflect on the process and its particular difficulties. Practical examples of these new situations are: how to manage projects, such as NHW, youth or preschool projects; how to get involved in the O&M of facilities, such as community halls or crèches; how to present complex processes at general meetings in the community or how to inform communities about hard decisions that may go against the desires of the own constituency.

Working towards reciprocal accountability

Instilling a culture of regular leadership meetings, that have the development of a community at heart, is a necessity for the programme to succeed. Progress is often dependent on factors outside the sphere of influence of the community leadership or the Intermediary, such as budget cycles or shifting short term priorities within a LA. Understanding these as part of a process in the development, rather than as events and knowing how to deal with such realities, are best addressed in regular meetings. This avoids too many ad hoc meetings that become confrontational and

emotion-driven. During the regular meetings, the first elements of accountability are achieved by taking minutes and following up on agreed commitments by the partners in the development.

Ideally, the regular leadership meetings are chaired by the chairperson of the committee and include representatives of the Intermediary, the representative community committee and implementers from line departments. The agendas are largely implementation-focused, based on the CAP.

These meetings are reported and made accountable in three directions:

- Towards the broader community via quarterly general meetings on the progress of development
- Towards the local political leadership via quarterly update reports to the Subcouncils and
- Towards the public administration via monthly technical meetings.

Monitoring and Evaluation

Community-based M&E manifests itself in tools such as the on-going household survey (HS) on perception of crime, the various locally generated monthly statistics such as on voluntarism, skills development, local labour etc.

The outcomes of these surveys and data streams are discussed and evaluated internally within the settlement during the monthly meetings, the coordinating meetings chaired by the CF and the overall reference group—which combines the various leadership groups with the larger community and the professional team.

These discussions build towards a general understanding of monitoring process, evidence-based conversations and towards the capacity to evaluate progress and outcomes, and over time, impact.

Community action planning

The process of a participatory multilevel and comprehensive programme is well encapsulated in the community action planning. This tool allows the development of a complex programme to be people-centred, people-driven, and based on local assets, resources and constraints, to be appropriate for the local context, to be phased and to promote a partnership approach. It involves the community, the LA and partners in the formulation and implementation of interventions identified in the action plans. The action planning is an important process to build trust and consensus in a community. The CAP aims to provide a strategy for implementation, including Integrated Development Plan (IDP) items which guide local government development, other spheres of government development initiatives and community and Non-Government Organisation (NGO) partners' development initiatives. Thus it is intended to be a guiding document for an area-based approach on inclusive development.

Diagnostic community profile workshops

The CAP process aims to include both main stakeholders—the community represented by the leadership and the local (or provincial) government officials—in an Intermediary-managed process of describing the status quo of the project area, using the Asset-Based Community Development (ABCD) methodology.

The Community Profile Workshop is typically a one to two-day process between the Intermediary and the local leadership and a half day to one-day workshop between the Intermediary and the government officials working in the area. The workshop is used to start the uncovering of some of the difficulties in the relationships which often occur within the community amongst different constituencies, and in the relationship between leadership and local government. It is also used to reiterate the methodology and process of the programme.

Desired outcomes of a Community Profile Workshop are:

- A definition of the geographic boundaries of the development area (social and administrative)
- A description of the history of the settlement
- The identification of community resources
- The identification of shortcomings, constraints or issues in the community
- Relationships within the community and with government
- Reconfirmation of the principles of the development
- An understanding of current and planned public sector driven initiatives
- A common understanding of constraints for development from a public sector perspective as well of the methodology
- An agreement to conduct a baseline survey.

Baseline survey

The baseline survey aims to provide a quick overview of the status quo of the living conditions within the community. Besides the community profile workshop, it provides a second informant to the diagnosis of a community—an overview based on interviews with local residents. It is conducted by local field workers as a sample survey, of about 5–10% of households. It includes household and dwelling information, economic and social data on household level, demographics, the provision of services, the perception of crime and suggestions to improve the QoL within a geographic area.

Community Action Plan (CAP)

The CAP is a plan of strategies and actions to be undertaken in the geographical focus area (SNA) which will guide and continually be a reference for the process. It is formulated in a workshop based on the community profile information, arising out of the community profile workshop and the baseline survey. Thus it is founded on evidence and data that is locally generated

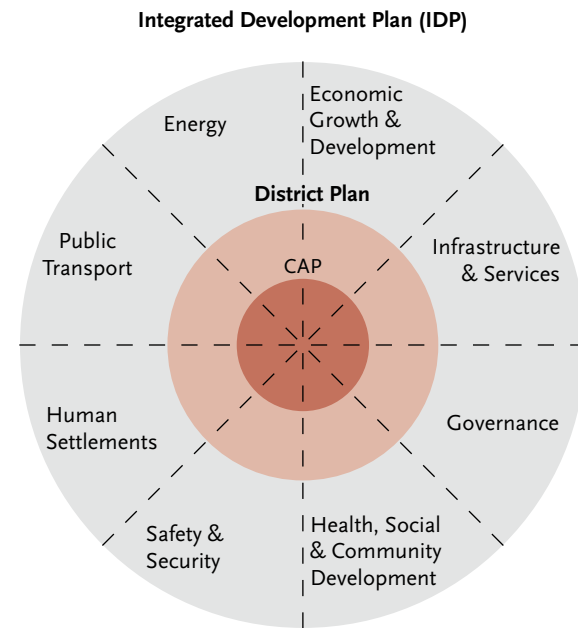


Figure 6 Overall Local Authority

and owned by the community. This is overlaid with the knowledge within the public sector. Hence both stakeholders are now able to own a joint development plan, the local leadership via the SNAC and the LA via the line departments (Core Team). Once consensus is found, the plan is elevated via Subcouncils into the mainstream IDP system. However, being owned by the local community representative committee, it is a much broader development approach than the IDP, which is to guide public sector investment only.

Three elements in the CAP development require particular mention—the holistic approach, the integration of local resources and the appropriate human scale that is applied.

Holistic approach

In line with the principle that holistic development processes involve not merely one but a number of areas of human activity, such as economic or technical infrastructure, and with the understanding that

developments are multi-faceted, the CAP involves a number of work-streams. Within the programme, the categorisation is done into six work-streams each of which focuses on a specific area of development within the project area. Overlap between work-streams is intended as it reflects a healthy complexity of approach, rather than one which oversimplifies human activities into too neat compartments.

The six work-streams are:

- Institutional
- Infrastructural
- Economic
- Safety & Security
- Knowledge Management
- Social & Cultural.

Use of local resources

The CAP methodology allows the mobilising of following local resources via various techniques:

- **Local skills, know-how, networks** as well as spatial and material resources are understood and harnessed in the development process
- **Leadership:** community leadership is elicited through the engagement with existing structures and developed through training and experimental learning as part of the project implementation
- **Volunteers:** work as volunteers in the various projects is advertised through meetings and fliers
- **Locally generated income:** where the process of development leads to paid employment, local people with appropriate qualifications should be employed to retain funds inside the programme area
- **Seed funding or own contributions towards development projects:** projects financed via the Social Development Fund (*see Social Crime Prevention*) are implemented on a co-contributing basis. Own contributions, primarily in sweat equity, are required in the process. It is also stipulated to share the benefits of such funded projects with the larger community by 'giving back' to the broader community.

Human scale development

There is always the discussion on what constitutes a human scale. Within the overall development programme, each planning and implementation area should not exceed the scale of 50,000 residents. This is based on research and historical experience from various urban development disciplines. However within the overall area, there should be various levels of smaller scale to ensure the best possible participation of residents. The term **neighbourhood** is of importance, in that it captures the sense of community pride, cohesion and local ownership that are so important for healthy community development processes. Each programme area will have to define the appropriate social boundaries that constitute the best ones for a human scale.

Municipal strategic planning levels

- **South African context:** Once every five years all LAs have to present an IDP. The 5 year strategic plan guides all facets of a LA's development. The LA is divided up into districts. The District Plans form part of and inform the IDP and provide a more localised development strategy
- **Envisioned by the VPUU project:** The CAP is a strategic development document for a smaller area within the district and therefore informs the District Plan. The idea is that strategic planning takes place both from the bottom up as well as top down.

CAP workshop

The CAP workshop is conducted over 1–2 days with the members of the SNAC. Public sector representatives are invited to the workshop which aims to achieve:

- A presentation of the baseline survey report
- A comparison of the outcomes of the community profile workshop and the baseline survey
- The development of a broad vision for the area
- The prioritisation and phasing of activities from the perspective of the community and the public sector officials

	CULTURAL/ SOCIAL	ECONOMIC	INSTITUTIONAL	SAFETY & SECURITY	INFRASTRUCTURE	KNOWLEDGE MANAGEMENT
Short term	Youth related Women empowerment Sport develop.	Support ECD strategy	Leadership training	Formalised Neighbourhood Watch initiatives	Operation and Maintenance of existing taps and toilets	Indicator development for the in-situ programme
Medium term	Support to reduce gender and youth based violence SDF projects	Business support	Draft Spatial Reconfiguration Plan (SRP)	Safe pedestrian crossing over Mew Way	Kick-about field & facility Neighbourhood centre	Household survey Monument photographs
Long term	Development of youth centre	Bulk buying co-operatives Small-scale manufacturing	Equitable access to community facilities and schools	Improved pedestrian walkways and access routes	Delivery of technical infrastructure	Annual review of CAP and on-going projects

Figure 7 Sample of a Community Action Plan

- Agreement on the realisation of 2–3 short term interventions which will be under the control of the community and the Intermediary to ensure a fast delivery of initial activities of the plan and to test the trust and accountability.

Within the programme framework, the outcome of the CAP workshop is a draft CAP clustered in the work-streams of the programme and prioritised into short term projects (up to 9 months) medium term projects (9–18 months) and long term projects (longer than 18 months are required to implement these interventions).

The methodology allows for adding complexities as the programme evolves. Thus the Intermediary should guide the groups to start with focused, simple actions under the control of the partners. Medium to long term interventions are seen as increasing in complexity and often the resourcing and control lie outside the sphere of influence of the community representative committee. This process corresponds with the idea of building trust, accountability and competencies amongst and between the development actors.

Endorsement and approval of CAP

The draft CAP is taken through various levels of endorsement before being approved by the Executive Mayor or the Mayoral Committee depending on the local government system applied in the LA.

The levels of endorsement are as follows:

- **Local residents within an area**
This is usually done via general meetings, during which the CAP is presented by the community representative committee (the SNAC). Once approved, a leaflet is produced and distributed amongst households
- **Line departments**
As part of the process described above, the line departments give their consent by providing input to the CAP in facilitated meetings
- **Sub-council**
A formal presentation for endorsement is made to Sub-council
- **Executive Mayor**
The CAP is formally presented to the Executive Mayor and endorsement is desired. The CAP is

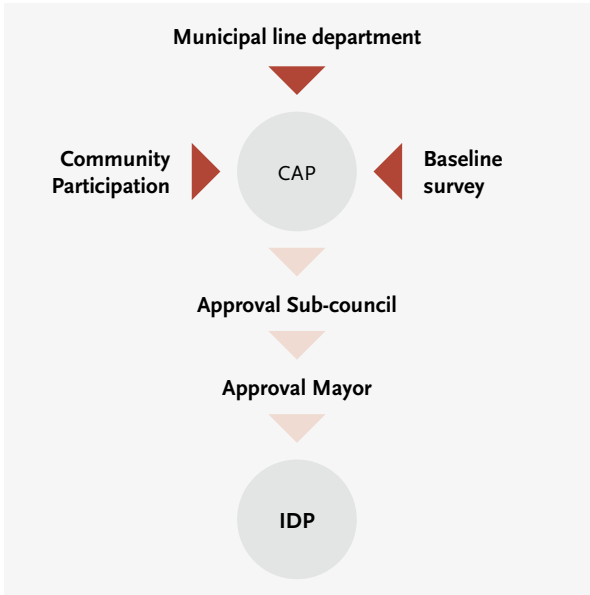


Figure 8 Linkage between Community Action Plan (CAP) and the Integrated Development Plan (IDP)

usually signed in a meeting between the community leadership and the Executive Mayor. Once signed, the CAP will be incorporated into the IDP and resourcing and commitments can flow from there

- **Revising the plan**
An annual review is built into the community action planning cycle. This is usually done initially with the leadership and the Intermediary, and then via regular general meetings advertised in the community. In a parallel process, the Intermediary negotiates with line departments on the updates so that consensus is possible
- **Revisiting the plan**
Continual revisiting of the CAP by the CF with the representative committee is necessary to ensure that they completely understand it in detail and take full ownership of it.

Multi-level approach

Consensus building

The means for achieving and maintaining the level of consensus in a community which is necessary to enable coherent and positive development, are inherent in much of what is described above:

- The CF, in all the processes of trust formation, negotiation with stakeholders, communication of objectives, assistance at meetings and liaison between the community and other partners, will be aiming to develop consensus
- All efforts to create and keep alive a trustful climate will be ones that engender consensus
- To formulate a CAP and to keep revising it requires consensus by definition
- In the step-by-step development process, all the partners and the whole leadership will be aiming to build a strong collective spirit around a singular broad aim as well as agreement on how to achieve it.

Conflict resolution and dispute management

Over and above the foregoing, because consensus is so essential to progress of development:

- In certain circumstances, where resolution of disputes proves too difficult to be handled internally, the CF may call in other agencies to assist, such as area management forums, senior staff or mediators
- Training in conflict resolution is part of the initial training and on-going mentoring sessions to the members of the SNAC.

Participatory, multi-level decision-making

To allow as much participatory decision-making and also multi-level decision-making as possible, certain levels are embedded in the methodology:

Local groups

Localised groups, such as those managing facilities or small projects, will have committees. The groups need to consult with the residents of a particular area, focus around specific tasks and interventions, and may advise on policy and overall issues. The scope of influence is centred around one project within the programme—either via a specific topic or a specific space. The group must report two ways—downwards to the residents of a specific area and upwards to the SNAC which is coordinating their activities.

SNACs

The SNAC is the custodian of the CAP, oversees the implementation, ensures the communication with residents and local groups and provides advice to the Intermediary and the LA. Strategies for the particular SNA are devised with this group. Regular, monthly meetings ensure that communities have a high degree of input and major decision-making role on phasing of development and levels of service in a particular area. Area-specific decision-making is done here and so too is the adaptation of overall policies to a local context. In cases of conflict the group is asked to assist in negotiating together with the Intermediary on specific items. The SNAC reports on progress, on all matters pertaining to the work in the project, to the local groups and to mass meetings. Upwards the group reports to the reference group.

Reference groups

The reference group is a public forum that meets initially once every month, and later in the programme, at less frequent intervals. It consists of the SNACs from different project areas, the professional team,

local government officials and interested members of the public. SNACs of each area provide feedback to this group, as do members of the professional team and local government. The intention is to disseminate information, raise strategic questions and define policy for the overall programme. The reference group also functions as a peer learning forum amongst the SNACs of the areas. On a community level the reference group is the highest decision-making forum.

Diamond model meetings

The 'diamond' model is how the relationship between work-streams is described. The image is of a diamond as Figure 9 illustrates. The various work-streams come together at two levels, the vertical points of the diamond.

At 'top' level the work-streams are aligned with VPUU priorities, principles and values, and are also integrated into metropolitan, provincial and national strategies and priorities. This ensures the overall relevance of VPUU's work, and protects its integrity.

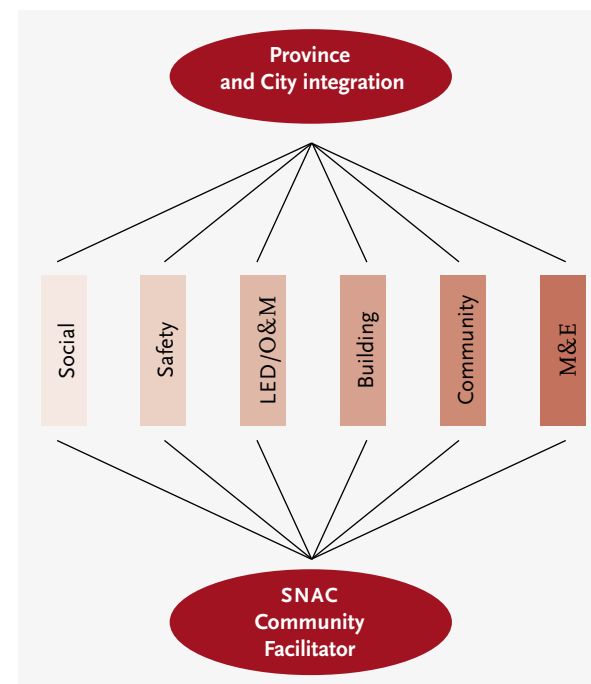


Figure 9 Diamond model

At the local level, it is just as important that VPUU presents a coherent, integrated, values-based picture of itself, that must be aligned explicitly to local priorities as expressed in the CAP. This is the role of the SNAC and CF. 'Diamond' meetings take place at community level, are chaired by the CF, receive input from all work-streams and focus on effective implementation.

General meetings within the community

The SNAC is advised to call quarterly meetings to inform and update the general public within a SNA about the status quo of the development. Such meetings improve accountability, information sharing and the ability of communities to provide input to the programme development. The meetings enable the SNAC to seek a mandate from the community at large for adopting certain courses of action.

Partners

Besides the multi-level approach with leadership structures described above, the interaction with partners requires to be mentioned. The Intermediary will form a number of partnerships with service providers and other organisations with a similar developmental agenda in the geographic areas. A large number of partners will be mobilised around Social Crime Prevention issues, hence there should be regular meetings with these partners every 2 months to coordinate interactions, implementation and strategy. Additional partners in other work-streams are formed. There are 2 types of partnerships—those funded by the Intermediary and unfunded partners. The first enter into Management Agreement (MA) aligned to the relevant work-stream strategy. Payment is subject to meeting the deliverables in accordance with the MA. Unfunded partners are asked to align their work towards relevant work-stream strategy, and the regular meetings are crucial in ensuring that this is done.

Voluntarism and skills development

Voluntarism (see Introduction)

A formal process is embarked on when residents register as volunteers within the Intermediary. An introductory conversation takes place around roles and responsibilities as a volunteer, an agreement is signed and people receive an individual guidance conversation in which often the skills training is agreed on based on which voluntary duties are contributed. It has proven beneficial to agree upfront on the desired reward so that the volunteer duties are aimed towards a specific personal goal.

Over the past years the notion of voluntarism has gained support within the public administration by including recognised voluntarism as one selection criteria on the job seekers database within Subcouncils when providing local labour for development projects. (Within VPUU proven voluntarism is regarded a strong selection criteria for local job opportunities).

Skills development

To augment the skills and know-how of community members at all levels, training is an essential participatory tool. There are differences between leadership training (see under *Trust and Accountability*), skills development for volunteers, and specialised training courses.

Monitoring and Evaluation

Within the notion of trust and accountability, a certain level of on-going M&E is included in each of the work-streams. Within Community Participation, the following tools are embedded:

On-going Monitoring and Evaluation

- **Monthly reports:** CFs from each SNA submit monthly reports to the work-stream leader (WSL) who collates an input into the overall monthly progress report. This information is accessible to all partners
- **Monthly leadership meetings:** as described these, constitute a tool to track progress of individual activities within the programme per SNA
- **Baseline surveys:** are brought to public attention through the Community Participation. In informal settlements the baseline survey has an added element of an enumeration process
- **Weekly household surveys:** are conducted by local field workers and the results are fed back into the leadership meetings
- As part of the **area coordinating meetings**, tracking of progress and levels of achievement against the programmes logical framework (LogFrame) and the CAP is conducted
- Specific interventions have built-in **monthly statistics** such as volunteer duties, neighbourhood duties, status quo of public infrastructure (water taps and toilets), monumental photographs, etc.
- **The reference group meetings** perform a M&E function and allow conversations around achievements
- **Annual review sessions** in terms of the levels of achievement of the CAP are conducted with the SNAC in each area.

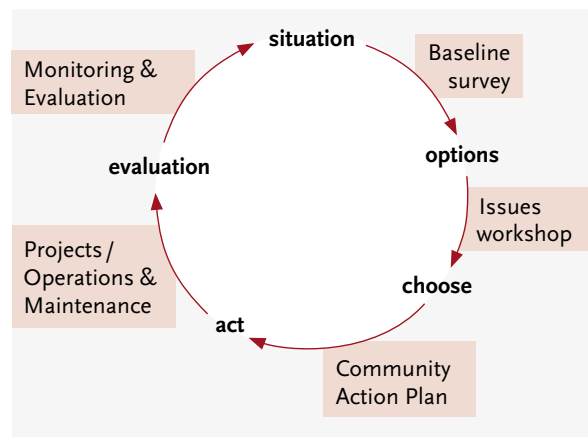


Figure 10 Decision-making process and outcomes

Development process as a participatory tool

Assuming that a climate of trust has been created and is maintained, and that local people are fully involved, as outlined above, for a project of development to be sustainable, the next major tool for participation is firstly the development process itself—from initiation to implementation to community management, and secondly the establishment of a strong network with similar projects, and a broad range of partnerships.

Development process

A development process has been designed that consists of five phases with each phase having its own desired outcome. These outcomes will frequently be revisited which is a natural consequence of participative (democratic) and therefore dynamic processes. Each phase of development allows and should be seen as opportunity for participation.

Table 1 illustrates in a summarised form the phases and the opportunities for participation.

Phase	Step	Process
Social Compact	Formation of Safe Node Area Committee (SNAC)	<ul style="list-style-type: none"> Analysis of stakeholders in the programme area Negotiations with current stakeholder groups in the community around formation of a SNAC, based on the 6 work-streams MA between these stakeholders and the Intermediary around the ToR of the SNAC Leadership training of members of the various stakeholders Selection process of SNAC members based on outcomes of negotiations with existing stakeholder groups and based on capabilities SNAC nominees presented to the stakeholder groups and the democratic election of SNAC by the stakeholder group
	Baseline survey & diagnostic workshop	<ul style="list-style-type: none"> Conduct of the diagnostic workshop with all relevant community stakeholders aimed to: elicit major problems, issues and assets; define the boundaries of the development area; reach agreement about principles Sample survey (% dependent on statistical significance) with interviews with individual residents in the community within the development area Collection of relevant GIS information with the assistance of the community Presentation of survey results in general community meeting and acceptance of the results
Planning	Development of local strategy	<ul style="list-style-type: none"> Workshop with the SNAC to compile a draft CAP (short, medium and long term interventions) The results from the baseline survey are linked and integrated with the draft CAP to make a final CAP Input from municipal and provincial departments and other stakeholders (integrating existing projects into CAP) Endorsement of CAP by SNAC Presentation of CAP to the community and its endorsement by the community Official recognition by the LA of the CAP as the major strategic planning document for that specific area, via Sub-council and Mayor on political level and Core Team of Directors on administrative level As a final step the Mayor and the community will sign the document Annual revision of the CAP to ensure that the strategic document is up to date
	Prioritising Interventions	<ul style="list-style-type: none"> During the CAP formulation all interventions are priorities in short-medium-long term interventions according to needs, budget availability, compliability and achievability. Interventions are clustered per work-stream
	Design interventions	<ul style="list-style-type: none"> Design of interventions based on the list of priorities. Compared to the other phases, there is a different balance between technical expertise and community participation in this phase. This is a more expert-led phase that requires on-going participatory inputs via the SNAC and other focus groups Interventions are presented to the community by the SNAC for discussion and endorsed by them
Implementation	Implementation of interventions	<ul style="list-style-type: none"> Continual interaction with the community within formal and informal arenas to report on progress, implementation, issues arising Where necessary, in agreement with the SNAC, and depending on the scale of the intervention, community agreement adaptations on interventions are arranged Local labour is recruited via fair and transparent systems Where possible local labour and contractors are utilised
O&M	Operation, Maintenance and Management	<ul style="list-style-type: none"> Area-based O&M is defined through an MA between LA and Intermediary Local income and community delivery of service opportunities are identified and implemented where possible Sustained income to local residents and groups out of programmes interventions
M&E	On-going Monitoring and Evaluation	<ul style="list-style-type: none"> Continual monitoring by the community of the implemented interventions via a weekly HS and regular meetings Assessment by the Intermediary regarding the impact of interventions in relation to QoL indicators Evaluation through external research partners

Table 1 Objective and participation tools

PART D: CASE STUDIES

4.1 LOTUS PARK

Lotus Park is an informal settlement to the Nyanga Junction railway station. The railway line forms one boundary of the settlement, while a small river and a road form the boundaries on the other sides. Lotus Park sits right next to single sex hostels in Gugulethu, a former township reserved for black Africans, and next to Manenberg a former township reserved for coloured people. The settlement has been blocked, which means that all self-erected dwellings have been lined up in a regular grid along streets. It is a very dense settlement with 220 dwelling units per hectare. Once the area had been occupied and made a settlement called Lotus Park, its close proximity to the railway station allowed residents to start businesses well

placed to attract mainly railway commuters and residents of the hostels. The selling of goods, including alcohol from illegal outlets, has been one of the strongest business types in the area.

The lack of basic services gave rise to active street protests in 2009–2010. The leadership at that time came out of a local structure of street committees. They took a list of needs/demands to the City Council at the Fezeka complex. The Department of Social Development became engaged and assisted the election of a steering committee of 15 members. Difficulties and disagreement with the local councillor made progress difficult. VPUU was alerted and became involved as a development agency/intermediary as of the end of 2010.

Formation of community trust and accountability engagement

At that time a CF was employed by VPUU to facilitate the process of engagement. Meetings were arranged to which all stakeholders were invited, including SANCO, USACO, the spaza shops, the shebeens and faith-based organisations. VPUU's aims and processes were explained. The set up within the community was very volatile and fractured along party lines, organisations and individuals. It emerged that a very heterogeneous leadership existed that had no trust in each other. Previous and existing committees ensured exclusion to manifest the stronghold by certain groups and individuals. Tours to Khayelitsha were organised to enable the stakeholders to see what VPUU were doing there and presentations were made to clarify objectives and methods of work. The decision was made at a community general meeting, to form a partnership with VPUU.

of this committee did not meet the VPUU requirement of a committee which was representative of the various properly constituted stakeholder groups. To ensure inclusivity and mutual trust a compromise was reached to co-opt a certain number of members of this pre-existing steering committee into the SNAC. All other members were elected via a standard VPUU procedure. A stakeholder analysis took place; appropriate participants were identified; nominations were made; an election took place. The SNAC, consisting of 18 members, was formed.

After election, eight one day leadership training workshops were conducted by an outside facilitator with the committee members. The workshops dealt with the roles and responsibilities of members, time management, budgeting, conflict management and other leadership skills.



Figure 12 Engaging with stakeholders

Election of representative committee—SNAC

A long process of negotiation took place aimed to take down some barriers and individual disagreements between the leaders. VPUU facilitated a mediation process to allow joint meetings and discussions as a way to build trust amongst the leadership.

One of the most difficult factors was the existence of a prior steering committee that felt vulnerable through this process of inclusion. The composition



Figures 13 and 14 Lotus Park SNAC orientation



Figure 11 Lotus Park residents

On-going meetings and leadership skills

The SNAC holds two meetings a month. One meeting is reserved for developmental issues of the settlement. This is the meeting that debates progress of interventions, new interventions and any other matter towards achieving the goals of the programme. The agenda includes matters of urgency, new undertakings, current issues, report backs from the various work-streams, and monitoring of activities undertaken—including evaluation of performance and time in relation to objectives. Thus this series of meetings comprise an on-going internal M&E.

The second meeting is a learning/training meeting where pertinent topics are discussed and ideas exercised, often led by invited people outside SNAC who may be VPUU staff but could be anyone with relevant skills and know-how. This meeting allows debate about leadership styles, additional tools to work on issues, and trust building. It has to deal with the management of frustration with the perceived slow progress and also with the internal issues amongst leadership groups within the settlement. As new members replace members of the SNAC, an induction and refreshing training is conducted during these sessions. The aim is to provide a safe space to express opinions and improve the leadership style.

The developmental process

Community profiling workshop

In order to start the process the SNAC and VPUU met for a one day workshop to discuss issues pertaining to development and to determine the extent of the need for development. Needs as well as assets within Lotus Park were identified. The need for a baseline sample survey was discussed and verified with the leadership and the questions for such a survey of the population were verified. Through this workshop the view of the leadership group was captured.

Baseline survey

The baseline survey was done through local residents that were trained by VPUU as fieldworkers on survey techniques and skills. The leadership verified the questionnaires for this 10% sample survey of the Lotus Park population, which was aimed to elicit information about basic demography, employment, economic facts, safety perceptions, as well as the views of residents about problems that a development like VPUU should tackle.

Community Action Plan workshop

Once the survey was completed, the results were shared with the SNAC in a weekend Community Action workshop. In its first step, this workshop aimed to compare the issues, assets and needs identified by the leadership during the previous workshop with those views expressed by the residents as part of the baseline survey. In other words the perceptions and knowledge of the leadership group were compared with the locally generated knowledge of the baseline survey.

In a second step, the developmental issues coming out of these two sources were put into vision and action items that needed to be developed to make the community a sustainable one. During the workshop the short, medium and long term goals and interventions were agreed upon. The CAP was taken to a general community meeting for discussion and approval.

Small projects

A number of small projects were initiated immediately. Funding was provided mainly by the VPUU Social Development Fund.

The decision was arrived at in the CAP to commence with a focus on the youth, and the five projects instigated were soccer, the Lotus Park Youth Development Forum, cultural groups (largely traditional song and dance) and faith-based groups. These were selected primarily to create opportunities for young people to engage in various positive and healthy activities.



Figures 15 and 16 Lotus Park baseline team volunteers

Medium term projects

Because Lotus Park is beset by serious lack of elementary infrastructure, the urgent priority and focus of medium term projects was to improve it—to get proper systems of water, electricity and sewerage installed and roads to be paved. VPUU assisted SNAC in coordinating tasks and in allocating people to work on specific parts. The work is still in process and SNAC members are involved in negotiations with the various City Council departments responsible for Roads, Solid Waste Removal, Sewerage, Electricity and so on, to clarify requirements, determine and allocate budgets.

Community involvement

The community at large was involved at an early stage—in the agreement to work with VPUU. SNAC organises quarterly general meetings for the community. These are held in a local venue. They are advertised through leaflets and posters. During these meetings SNAC reports back to the community on its achievements and progress, looks for a mandate to be gained from the community for a proposed course of action as per outlines of the CAP. The meetings are also for anyone in the community to raise new issues or problems with the performance of SNAC. They are in fact, the occasion where SNAC is held to account by the community. The professional team is called on to provide specific inputs to these meetings.

Consensus

They are often robust meetings where a lot of disagreement is voiced and the chairperson is hard-pressed to achieve the kind of consensus necessary to move forward. With a historical background of division, there is often considerable difference of opinion and conflict. Jealousies between different groups or individuals emerge, and people come up with unrealistic expectations. When a breakdown in communication happens, the CF assists in resolving the conflict. At times, the issue will be put on hold and assistance sought from others, who may be from VPUU or a person completely outside the organisation, to help negotiate agreement.

A further difficulty in achieving consensus is that people at one meeting, who may raise various issues, do not attend the next. And at that next meeting, there are many who were not at the previous one where decisions were made. Sometimes they disagree with those decisions. The chairperson has to be clear that previous decisions must rule, otherwise there is no action. In doing this effectively, the use of an attendance register and the proper keeping of minutes have proved to be vital.

In the situations of conflict, VPUU often acts to remind participants of the non-political development focus of the project.

Voluntarism

An essential part of the work of SNAC has been to secure and maintain voluntary participation. The work required is advertised through various means in the community—and people come forward. There is no monetary reward for work done. However there is much to be gained from it—particularly empowerment through the development of skills gained simply through the experience of working alongside others with skill, through the monthly SNAC meetings which are informational or skills directed and through the specific skills training workshops. The experience and skills development equips people to apply for work they would not previously have been able to consider and to provide a CV of substance.

Monitoring and Evaluation

As has been suggested, M&E is done in an on-going way by SNAC at its meetings, which deal with work in progress, examine how it meets with goals set and evaluate its success.

A weekly HS has been started in the area of a small representative sample of people (about 10 households). This longitude survey allows trends to be picked up and changes over longer periods of time to be detected.

Over and above this, the quarterly community meetings serve to enable the community to check the progress and success of SNAC, VPUU and the City Council in tackling the problems that have been identified.

Achievements to date

After about two and a half years of VPUU engagement, the CAP has been approved, short term interventions have been completed, social interventions have started, the O&M regime for water taps and toilets has been introduced and works, a spatial planning framework called the Spatial Reconfiguration Plan (SRP) has been provided in and the City of Cape Town is about to appoint engineers to assist in providing a conceptual engineering layout to the plan in order to finalise the plan, negotiations with the land owner of about 70% of the site are under way to allow development and a neighbourhood centre has been designed and will be built in the next few months. An enumeration process (community register that will lead towards security of tenure) is under way.

So far there has been no action in the areas of basic service provision of water, sanitation, security of tenure, stormwater drainage and refuse removal on a household level. Electricity is provided to the majority of homes and services are provided on a shared basis. However the need to protest on the streets has been allayed and there is an understanding among the community leadership that they are involved in a process towards a positive end.

4.2 HARARE

Introduction

Harare was identified as an area where a considerable amount of crime occurred and where a programme of development would be appropriate. Exactly what this meant, ordinary residents, as well as community leaders, needed to know: how was the problem seen, what process would take place in tackling it, and who would be responsible for what? Secondly the leaders had to be confident that they could make a contribution if they wanted to and that their view was an essential part of the decisions that were taken. Thirdly, to ensure that people would identify with the project as their own, they needed to feel that it could benefit them as individuals and the broader community, beyond simply making their lives safer.

Engagement—Community Representative Committee—SNAC

Project committees

The formation of a representative committee was a long and difficult one. Khayelitsha as a whole has a civic structure, the Khayelitsha Development Forum (KDF), which is composed of all the major stakeholders and also the civics organisation: SANCO. The KDF is a partner of VPUU and there is, broadly, positive cooperation and a respectful relationship with regular meetings and input by the KDF on a conceptual level. However, in some instances, in the brokering of consensus with communities, there has been considerable resistance on the local level by some strong and loud voices to what was viewed as an intrusion by VPUU. Despite a considerable number of meetings it was extremely difficult to reach the agreement needed to proceed in a positive way. Essentially these main stakeholders needed to accept the idea that VPUU was project-based and particular in its focus, rather than being concerned with political development in the whole ward.

Because civic organisations were very strong in the area, the efforts at gaining trust and acceptance were focused firstly on the executives of these organisation, and secondly on the existing area committees which were composed of representatives from street committees. A long series of weekly meetings was embarked upon, with both area committees and also the general community. Essentially these meetings were aimed to make the VPUU intentions clear. Volunteers, who had been organised into NHW patrols, and had been given a good grounding in VPUU methodology, also played a role in getting acceptance from the general community.

Eventually project committees were formed out of a 50/50 mixture of civic organisations and political players, (such as the KDF and SANCO) and NGOs, Community Based Organisations (CBOs) and churches. The committee procedures were agreed by consensus and because the committee membership was so broad, it was very difficult for any particular group to hijack it. Even local Councillors, who were made ex officio members, had no extra power in discussions or in voting procedures. The project committees worked closely with civic organisations, the KDF and the community at large, ensuring that all were informed and in agreement with decisions that were made.

The volatility of the leadership situation in Harare has come to the forefront when major political events have taken place. For instance the forming of a new party, the Congress of the People (COPE), or preparations for a national conference of the ANC, have had an immediate impact on workings 'on the ground.' Political issues taken up by individuals within the project committees are brought into the developmental discussions.

SNAC

After a number of years, sufficient trust and sense of purpose had been achieved to form a SNAC now quite separate from existing structures although composed of members elected from these structures.



Figure 17 Draft Spatial Reconstruction Plan for Lotus Park



Figure 18 Enumeration preparations



Figure 19 Enumeration process

Community Facilitator

Within this process the role of a resource person, dedicated to one area, to discuss and negotiate development, has become clear. One of the difficulties in Harare has been that although this is the area with the most development activity of VPUU, a dedicated resource has not been available for much of the process, leaving a gap in the facilitation that was often taken by local leaders. Very senior members of the VPUU team have had to negotiate the development. It is envisaged that this dedicated resource will be provided soon to allow the process to be managed—particularly now, in the period after construction, O&M.

Monitoring and Evaluation

A consistent reiteration of informing, discussing and deciding at different levels, from local small project committees, to the larger project committees (subsequently SNAC), to meetings of partners, reference group meetings with other SNACs and other players, and general community meetings, has played a major role in maintaining trust.

Achievements

Harare has received capital infrastructure of about R90mill (8mill Euro) and a variety of social, cultural, economic and institutional interventions have been made. They are described in other case studies of this publication. Lastly the achievement of implementation of a series of these small and large scale projects has ensured a sense of collective purpose and a momentum for the leadership.

Community action planning

Local people were central in clarifying local problems, identifying short medium and long term goals and strategies, and actually proposing solutions.

The project committees helped to identify areas for upgrading and to make a full audit of the area, clarifying its boundaries, land uses, land available for de-

velopment, and business opportunities. This was followed by a baseline survey on the perception of crime. The project committee acted as a focus group, and together with respondents in the survey, indicated on a map where and what kind of crimes have occurred. In addition community assets were identified to know what resources were available from within the areas. Parallel to this engagement with the leadership, a sample survey was done amongst households to ensure that ordinary residents also made an input into the design of the programme.

From these processes, clear diagrams of crime emerged, showing where the dangerous routes were, and where the concentrations or hot spots.

Feedback and planning was then done in Issues Workshops held with the leadership and with the community. These included needs analysis, a clarification of the history of the area, eliciting issues affecting the community and framing its dreams and vision for the future. Finally, drawing out of all these activities, a workshop was held with the leadership in which all the main ideas for intervention were generated and priorities were established, within each of the six work-streams. It was taken as a draft to a general community meeting for input, and was adopted. Once this had happened, the vision and plan was presented to the Cape Town City Council.

Holistic approach

A piece-meal approach to tackling crime was deemed, early in the life of the project, to be ineffective and a much broader strategy was necessary. Furthermore with the VPUU's broader vision of human development, a wide, all-inclusive approach was assumed. It dealt, in the first instance with spatial, planning issues related to crime, but parallel with that, VPUU also set up social programmes, which range from organizing neighbourhood patrols to support services for victims of crime, to youth projects at schools and anti-drug



Figure 20 ECD Resource Centre in the Harare House of Learning



Figure 21 Harare Play park



Figure 22 Good lighting ensures that the sports fields can be used by the community at night

initiatives. Institutional programmes were put in place, which involve improving the delivery of services, keeping the facilities well-managed, monitoring the whole process and stimulating local economic development.

Thus the project has become involved with many areas of human activity and offered local people opportunity in all those areas for experience, training and work.

Multi-level approach

Through the connection with the community at large, with small groups within it, with its stakeholders, with the project committee or SNAC and with the LA and councillor for the area, a strong, interlinked system of different scales of engagement has been adopted. This constitutes a network of considerable staying power.

Training

Training has been done in the following ways:

- Initially much training occurred through the process of explaining VPUU's method and intentions and of the ToR it uses for committees
- On-going organisation and management training has been given at monthly project committee and later SNAC meetings
- After election of project committees and of the SNAC, members have been given an eight week leadership training course.

Participation within the development process

Volunteers

These preliminary processes of engagement with the community enabled the VPUU project team to make contact with a large number of community members, from whom volunteers were recruited. The volunteers, for example, those participating in the NHW programme that was set up, were not paid. However it was made clear to them that they would be involved in training exercises of various kinds, and that their experience as volunteers would improve their strength in applying for employment with anybody, including VPUU.

Implementation—appointing contractors

With the process of appointment of small contractors to do small contracts, a lot of work was necessary to find a procedure which was acceptable to all parties. Firstly it was agreed that small contractors should come from the area. Secondly it was decided to elect

a Steering Committee specific to the project which would consist of VPUU members (who could be SNAC members), representatives from the Ward Development Forum (WDF) and volunteers. Whatever issues and challenges there were in relation to appointing contractors, they were handled by this committee.

Community Liaison Officers (CLOs)

For the CLOs needed in relation to larger contracts using large contractors, VPUU advertised posts. Together with the KDF, they identified a pool of 10 CLOs. These were given to the contractor, who would make the final decision. In the process of this the CLOs were given a full orientation regarding rights and responsibilities.

Labour on site

Initially the required quota of local labour on site was drawn from the volunteers that were registered with the Sub-council local labour list. This is in line with the legal framework of the CoCT. However, there were objections to this from the KDF, who has acted for years as custodian of a local labour list via the KDF labour desk. A compromise was reached whereby people who had registered with the KDF labour desk were also included. There were objections to this too, from people coming from outside the ward who felt it was unfair practice. Finally it was agreed that the pool could be much wider but should be confined to the Sub-council boundaries.

Subcontractors

Subcontractors, to work with main contractors, had to be based in Khayelitsha. The Khayelitsha Business Forum was always referred to in their selection. Contractors were requested to give reasonable warning of what and how many subcontractors were needed. This led to a certain amount of favouritism and competition with the WDF. The steering committee would be used to help resolve such conflicts.

Security subcontracts

With security contracts, the volunteers formed a coop and were given first preference. Again there were objections from other sections of the community, which eventually led to a split community and projects were actually stopped. Eventually a consensus was reached that contracts would be awarded to the volunteers' coop and to other local security organisations alternately.

Opening of facilities

The opening of a number of facilities since 2009 gives a good indication of the degree of local participation and cooperation in the project. The festivities were co-ordinated between VPUU, SNAC, the KDF and WDF.



Figures 23–24 Opening festivities in Harare, attended by VIPs and locals



Figure 25 Music at the opening festivities

Small subcommittees with members from each were involved in the planning of security arrangements, catering and slaughtering.

The community ownership was well demonstrated by the decision to slaughter an ox in what had been one of the most dangerous areas—a powerful traditional ritual of cleansing.



Figure 26 Dance at the opening festivities

Consensus building— local people making local solutions

Most of the focus of Community Participation described above has, by definition, been to build a cohesive community with a collective vision of development. It remains to indicate that, throughout, a major emphasis has been on strengthening and broadening the community's understanding of the issues. The SNAC is well informed through the ToR, their training, the Organisational Development inputs, their management and handling of meetings, their understanding of plans and achievements within the different work-streams. They, in turn play the major role in making the community informed. VPUU has produced pamphlets to update the community on

progress. There have been report backs on successes and failures, and the reasons for the latter have been discussed publicly.

The result of this, in the eyes of those involved in managing participation and of SNAC members, is a very considerable community buy-in. Local people have come to believe in the project because they have been so fully involved in the process, in devising local solutions that have demonstrable benefit, because at the level of the local VPUU office or the SNAC, they find people willing to listen to their problems and ideas. The goal of active citizenship has been strongly promoted and widely adopted. Having learnt to distinguish between ownership and entitlement, local people have taken ownership of the project.



Figure 27 Handover of Kwamfundo School sports facilities building

SECTION V

KNOWLEDGE MANAGEMENT

PART A: THEORETICAL AND METHODOLOGICAL FRAMEWORK

Contextual notes • Benefits of Knowledge Management and managerial challenges • Role within the model strategy • Key elements

The section serves to incorporate Knowledge Management (KM) and Monitoring and Evaluation (M&E) principles and tools into overall project management. Therefore the section is helpful for professionals, programme managers and public administration staff as well as for service providers and community representatives involved in KM and M&E.

The purpose of this section is also to describe the concept of KM within the VPUU, which includes M&E as one of the main elements, to ensure that these project management tasks are adequately considered throughout the duration of long-running and complex development cooperation initiatives. The model promotes a KM concept that serves the interests of implementers, stakeholders, partners, donors and communities as well as demands for information and the presentation of knowledge gained and progress achieved.

Contextual notes

'If we only knew what we know'. This phrase often cited in KM circles, points to a persistent flaw that plagues not only public institutions but also complex development cooperation programmes. It pinpoints the problems of fragmentation, dispersion and outright neglect of knowledge existing in organisations and their programmes. In general, KM activities focus on Organisational Development (OD) objectives such

as improved performance, innovation, the sharing of lessons learnt and continuous improvement of the programme that is being implemented.

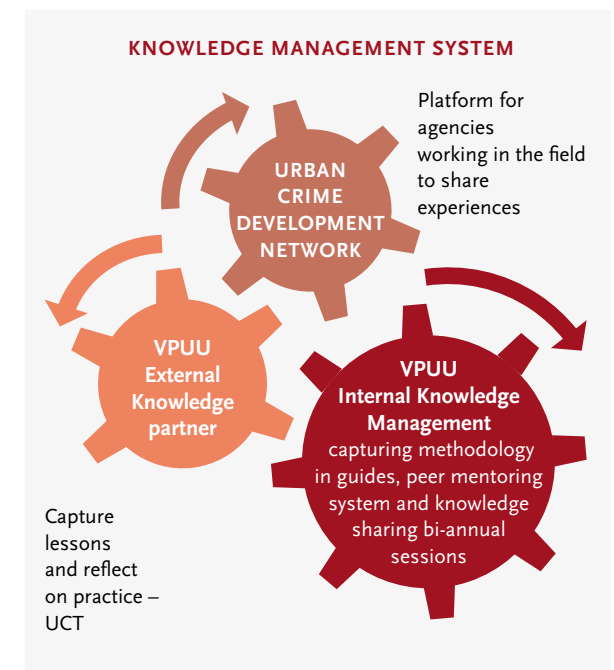


Figure 1 VPUU KM System

KM efforts often overlap with institutional learning, and may be distinguished from institutional learning by a greater focus on the management of knowledge as a strategic asset and a focus on encouraging the sharing of knowledge. But KM is also necessary to ensure that project documents are traceable and allow for quick and fruitful reference.

Barriers between various professional disciplines and sectors in teams and staff, disciplinary lines in

Source: K&W FS for VPUU Phase 4, 2011

complex organisations like city, provincial or national administrations and dysfunctional communication between them often present difficulties for the effective use of knowledge.

In this model, the underlying objective is to allow other third parties to make use of experience and knowledge in similar programmes. In addition, the flow of information from networks, science, research, partnerships etc. is part of the mainstreaming activities into the so-called Community of Practice (CoP).

VPUU started its M&E work based on a logical framework (LogFrame). In the focus were its objectives/goals and their indicators and the continuous monitoring of those as well as the evaluation of the use of outcomes, the description of direct benefits and ultimately of impacts (indirect benefits). Identified risks and underlying assumptions were also observed regularly. Several formats were elaborated during a participatory Feasibility Study in 2002 and between the City of Cape Town (CoCT) and KfW before the programme start in September 2005. This approach has been constantly complemented with locally generated data of activities, e.g. the baseline survey in 2006 which made wide use of focus groups in order to learn what residents wanted done and what would count as job well done. The same refers to participatory Community Action Plans (CAP) for settlements.

General benefits	Benefits for the Intermediary team, partners and contributors
Cost savings	<ul style="list-style-type: none"> • Learn from mistakes (own and those of other initiatives) and funding streams • Train staff quickly and easily • Use proven, existing IT solutions • Avoid duplicating work
Time savings	<ul style="list-style-type: none"> • Know how and where to find documents, data, photographs, maps • Share experience and communicate in the team without any conflicts • Avoid duplication work and wasting time • Benefit from ideas from other projects
Quality improvement	<ul style="list-style-type: none"> • Improve results thanks to a good project concept • Provide competent advice to partners • Achieve good local coordination with other donors • Learn from experience together with the partner • Pull in the same direction, in the team, and with others locally
Shared understanding	<ul style="list-style-type: none"> • Explicit and implicit knowledge is shared and a Community of Practice established – as explained below

Table 1 Benefits of Knowledge Management

Benefits of Knowledge Management and managerial challenges

In general terms, the reasons to exercise KM in complex programmes are costs and time savings as well as quality improvement of the services offered. The more work-stream experience and overall management expertise is acquired, the more important it is that all partners and contributors learn from both good and bad experience. The table above lists some benefits to do so.

The challenge to every KM practitioner in a cooperation programme consists then in organising encoded knowledge (explicit knowledge) resources and in bringing knowledgeable people together so they can share their distinct knowledge and experiences. By facilitating creative and relaxed communication project staff, partners and community can synergise their insights and learn new things from each other.

Level	Type	Description
SIMPLE	Data	Data consists of numbers, e.g. prices, quantities, records on income, temperature and so on. Data is not meaningful in itself but raw material for creating a message (information).
	Information	Any information contains a message and pursues an objective. The problem with information is that the sender of it must check if the receiver understands it as was intended by the sender. Therefore information materials must always be tested before mass reproduction begins.
COMPLEX	Explicit knowledge	Explicit knowledge can be described, written down and documented (i.e. encoded). Behavioural rules, agricultural calendars, curative treatments, scientific theories represent explicit knowledge. Explicit knowledge is largely acquired in formal educational settings.
	Implicit knowledge	Implicit knowledge is acquired through enculturation and experiences in one's socio-cultural environment. Implicit knowledge is complex, logical and value laden but often unconsciously acquired and learned. Therefore, it is difficult to explain to an outsider who does not belong to the same social group. Due to its implicit characteristics it also is difficult to document. Many of our daily routines, behaviour, ideas about good life, success, tasty foods etc. rest on implicit knowledge.

Table 2 Explicit and implicit knowledge

Figure 2 illustrates distinct knowledge systems: local (programme level) and more global (provincial, national, international level) systems overlap only partially. If the overlap is small, communication between professionals (team) and local people (target group, beneficiaries, local partners) may be full of misunderstandings. The more overlap, the easier communication gets. The area of shared knowledge can be expanded, if locals and experts/team spend more time together, exchange ideas in an open way and refrain from judging the others knowledge as true or false.

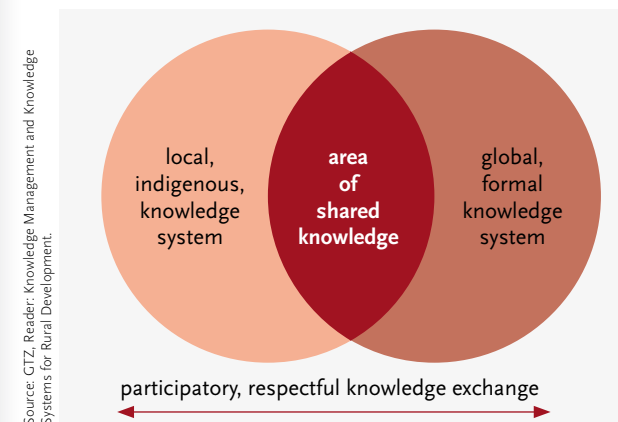


Figure 2 Distinct knowledge systems

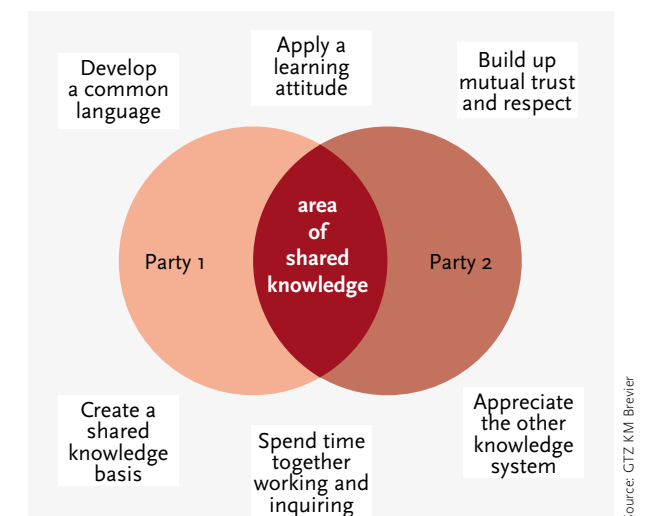


Figure 3 How to increase the area of shared knowledge?

As more complex knowledge (implicit knowledge) comes to be exchanged between experts and locals, communication must be more and more directed to group-to-group communication (e.g. within the VPUU reference group, from one SNAC to another SNAC). Ultimately the sharing of knowledge via individual communication (between community leader and work-stream leader (WSL) or between WSL to researcher) is needed.

Performance monitoring, measuring of benefits and impacts are elements for the internal overall project management allowing for corrective action in steering the programme. Evaluation can defend the programme from unrealistic expectations, as well as from undeserved criticism. Municipal line departments may also benefit from data captured and forwarded. In addition, M&E activities offer chances for the involvement of researchers and interns, e.g. for the development of new indicators or attempts to capture alternative information on crime and violence. Facts and figures produced by M&E are also presented to the communities in the reference group meetings allowing for transparency and accountability on the use of funds and the outcomes. These activities also provide job opportunities for local service providers e.g. conducting baselines, interviews and surveys.

Managerial challenges are first of all the necessary steps within a team and with partners for setting up the M&E system (*see checklist for reference on this*). Often, at the beginning, too many indicators are formulated and too much data is captured which later remains unused. Personnel and costs for baselines or surveys are sometimes underestimated or not even budgeted for. Continuous adaptation, as well as quality check of data generated through such processes including service providers' progress reports, is necessary.

- Do our contracts with service providers clearly specify what data must be forwarded?
- Are we then able to use this information to form a monthly performance summary?
- Can we accumulate periodic data to a single overview?
- Are we reviewing performance with partners that contribute to the programmes' M&E system?

Role within the model strategy

KM and M&E are connecting activities in the VPUU model. KM is one of the 5 key elements of VPUU.



Figure 4 KM as a centralised activity

KM has distinct key performance areas and weaves together the main activities. The role of KM within the broader strategy is to ensure that the activities in the elements prevention, cohesion and detection are structured in such a way that the creation, collection, compiling and assessment of information and data coming out of the various activities in these elements is resourced with own personnel, partner personnel and service providers. In addition KM staff is then also tasked to organise the information flow into a centralised reporting system for progress and benefits against the agreed goals and indicators. Research activities for validation of indicators, testing of new data sources (e.g. via the 'Burden of Disease' approach) complement this role. KM is understood as an executive function of team- and overall management.

Key elements

KM acts on and for different spheres and levels. KM products are used to inform the general public, donors and a range of partners, including those at local and provincial government level, about outputs, the use of outputs and direct and indirect benefits. The programme target group, the communities in the several Safe Node Areas (SNAs) are addressed via the reference group meetings and a series of other routinely scheduled meetings. All of these addressees, strategic partners, form

the outside sphere of the programme. Within the inside sphere are also a range of other departments which have relevance to one or more interventions and which are approached by Intermediary KM staff for information and data exchange to produce outputs. The applied local SNA coordinating meeting (diamond management model meeting) requires a steady internal flow/exchange of info between the several work-streams (*see Tools in Community Participation section*). Table 3 displays the various VPUU KM spheres and levels.

Programme spheres	Level	Focus	Elements / tools used
External			
General public	Worldwide and local	Offer information for interested general public	Website
Donors		Report on progress achieved, process and integrate information from partners	Half year reports and presentations
Community of practice	International	KM inputs to CoP	Inputs into international conferences e.g. German Crime Prevention Forum, World Urban Forum, UN HABITAT
	National	National, NDPG, NT, research projects	Reports, presentations, making use of SAPS crime stats
Partners	Provincial	Line departments	Powerpoints, workshops, Inter-Governmental Committee meetings, area coordinated teams (e.g. Nyanga)
	City of Cape Town	Line departments	Presentations to MURP, MAYCO; Knowledge sharing via 'Research Hub' seen as a knowledge sharing platform between departments; monthly reports on informal settlements. monument photos
Internal			
Work in and with community, Liaison to community	SNA, SNAC, Subcouncils	Create, process and report on localised, area-based information	Baseline surveys, household survey, enumeration process, crime mapping, reference group meetings, quarterly community meetings, bi-monthly SNAC meetings, monthly meetings chaired by CF with local staff, quarterly sub-council updates, community newsletters
Internal management	Local Areas, SNA, work-streams	Coordination and information exchange between VPUU work-streams, team, routine WSL meetings	WSL meetings (strategic and operational), monthly and half year reports, monthly meetings with partners, quarterly strategic meetings, annual planning meetings
	Service providers per topics and/or area, SNA	Data from partners like Legal Aid, Mosaic, Sikula Sonke, Rental income etc.	Monthly data from service providers, random client follow-up survey, GIS data, financial sustainability sheet, profiling of data, specific evaluation of project components, local labour stats, volunteer stats

Table 3 VPUU KM spheres and levels

Key Performance Areas of KM

- Setup and continuous update of KM system including of LogFrame and knowledge exchange amongst work-streams
- Management of the work-stream and staff involved in KM/M&E
- General programme knowledge management and data bases
- Conduct baseline and household surveys (HS) and enumerations
- M&E of programme activities
- Mainstreaming of programme components
- Reporting
- Monthly data assessment.

In addition the following overall initiatives are performed:

- Knowledge Transfer via Group-to-Group Trainings: cultivating a master-apprentice relationship work between senior team staff and interns and students
- Setting standards and elaborate manuals: via the M&E Plan and Reader; the SDF assessment guide; the monument photos manual, the HS guidelines. Further sets of communication materials for e.g. the baseline survey consisting of flyer, a technical handbook and a process manual, may also be developed
- Strengthening KM in the internal sphere: a digital library, a filing system and data bases are set up for work-streams. Safeguarding information on back-up drives etc. is complemented via Internet knowledge repositories allowing the import of files and formats by listed stakeholders but also offering a hierarchical structure of documents
- Several, sometimes periodically, public relations measures in various fields of PR.

PART B: PRINCIPLES

Establish clear processes and structures for goal-oriented processing of information and use of knowledge

- Suitable methods and tools
- Communicate and build relevant abilities and skills for handling knowledge successfully
- Organise the right cooperation and communication for utilising knowledge
- Build trust amongst partners to share, review, appraise and evaluate

The principles of KM outlined in this part can be used and adapted to specific local and administrative situations for the use of KM tools during the implementation of complex development cooperation programmes. These principles are kept simple and practical. However the principles and their main implications should be known to all staff and to all major partners.

The focus of KM within this model is first of all on team members in the internal programme sphere. Whether we can learn from experience depends on applying the five success factors aligned to the principles namely:

- Goals, strategies, processes
- Methods, procedures
- Competences
- Cooperation, communication
- Mutual trust.

Following principles are proposed:

Establish clear processes and structures for goal-oriented processing of information and use of knowledge

This principle requires all partners to buy into the goals, the strategies and processes of the programme. Questions that require to be responded to as part of this principle are:

- What is important?
- Who has what role?
- How do we set our priorities?

In addition to above questions it is required that all key partners design simple reporting mechanisms and accountability systems for their contribution to the programme to ensure coherence in terms of this principle.

From a management point of view one needs to understand process evaluation as programme management oriented process. Management needs to describe clear linkages between input, outputs, outcomes and impacts under the focus of effectiveness, efficiency and significance of personal and financial resources that are utilised to meet the programmes targets.

Suitable methods and tools

Methods and procedures are the key success factor aligned to this principle.

Questions that require to be responded to as part of this principle are:

- Where do we find what data?
- How to manage the information and data flow?

In addition to above two questions one wants to ascertain that solid baseline data for the programme areas is collected. This can be photos, stats, interviews, recorded perceptions etc. to compare at the end of the various phases the achieved status with the baseline status. In terms of efficiency and relevance the selection of suitable tools and methods to process data and compare is of the essence.

Communicate and build relevant abilities and skills for handling knowledge successfully

The key success factor aligned to this principle is competences. This success factor can be linked to two questions:

- How do we proceed?
- What do we still need to learn?

In order to build this competence a number of elements can be applied. The creation of a shared knowledge base by staff member training, publications, team building and job rotation are such elements. Providing adequate meeting places and time for ex-

changing ideas as well as offering capacity building to employees/staff/partners in order to become more creative are other elements to improve competences.

Organise the right cooperation and communication for utilising knowledge

Cooperation and communication are success factors linked to this principle. Questions linked to this principle are:

- Who has already done this?
- Is there an example?
- How can partners be included?

In addition to above questions it has been proven to be of importance within the programme to ensure that both the community is involved in M&E design and its application as well as the municipal Project Management Unit (PMU).

Build trust amongst partners to share, review, appraise and evaluate

The key success factor for this principle is mutual trust amongst the programme partners. Questions that assist in defining the principle are:

- Is there a level of maturity to trust each other?
- Are we able to appraise in a reciprocal manner?

Some additional elements to foster the trust are to establish incentives for those who share their knowledge, appreciating ideas irrespective of the status of the person (non-hierarchical handling), encouraging staff/partners to admit knowledge gaps and programme failures and sharing of knowledge in a mutual manner with partners.

PART C: TOOLS

Quality of Life indicators • Centralised reporting system • Monument photos

The selected tools are implementation procedures, formats, methods and techniques through which the principles are applied. These are drawn from VPUU methods and values, and from statistical principles. The general underlying rationale for the presentation of the tools is: Brief descriptions of the elaboration and management of the tool, implementation process and problems/challenges as well as lessons learnt and finally remarks on the relevance to Log-Frame and indicators and use in mainstreaming.

Quality of Life indicators

Description

This particular set of indicators (index) was developed for the informal settlement upgrading programme.

The index was developed in order to allow a comprehensive assessment of targeted areas, based upon quantity and quality of services in an informal settlement, safety and security of tenure, emergency response, and residents' satisfaction. It aims to be used as a barometer for the health of an informal settlement, a measurement that can be used in comparison with other informal settlements in Cape Town or South Africa, a determination that is not only based on numbers and statistics, but on quality and sustainability of the programmes.

Staff involved

M&E Expert, all WSLs.

Partners

In developing Quality of Life (QoL) indicators with index and scoring systems it make sense to work closely with partners such as Municipal Strategic Information departments and research institutions.

Management and procedures

Monthly reporting is channelled through to a centralised reporting platform. The KM expert is so enabled to compile data from work-streams on a monthly basis. The WSLs gather and provide requested data from various sources and stakeholders, both internally and externally into this single reporting platform.

Elements of the tool

Methodology to the Quality of Life indicators

The index aims at reporting on the QoL of residents at a settlement level—it is not meant for individuals or individual households—and it comprises 38 core indicators scored on a 1–5 scale, 1 being the lowest score and 5 the highest. The scoring system incorporates aspects of quantitative and qualitative benchmarks, ensuring that aspects of sustainability of the programmes (e.g. operations, maintenance, management plans) are included in the measurements. The score of a 3 is set to correspond to South African standards when applicable. The score of a 5 is set to reflect the model objectives and targets. Over time, indicators, which show change over a longer period, can be added to this set of core indicators—e.g. indicators reporting on economic, educational and health aspects.

Description of the 38 Quality of Life core indicators

The selected 38 core indicators relate to the following areas of the CAP: social development, safety and security, community involvement, and infrastructure development. Based on good practise info on measuring QoL in informal settlements the importance of access to and resident satisfaction of public services to overall QoL, therefore quality (condition of utilities), quantity, access (distance away from households) and resident satisfaction of services and utilities are all incorporated into the QoL indicators.

Recommendations for future development of the Quality of Life index

Aspects of economic, educational, health and personal progress become more pertinent in the later stages of programme interventions.

- **Economic:** Unemployment rate, average income: questions about employment status can be added to the HS, however average income is a sensitive subject to ask in a survey. Therefore, looking into Stats SA or municipal statistics may be more useful. The programme may not be directly connected to economic opportunities in the area. However,

with improved services and utilities, more time may become available to residents to perhaps pursue job careers

- **Health:** Children under 5 mortality rate, diarrhoea (and other water borne pathogen incidence), access and satisfaction with health facilities: finding accurate health statistics is a difficult undertaking. Speaking directly to clinics in the area might be the most appropriate way to find this data. Access to clinics can be mapped using the GIS techniques while satisfaction can be added onto the monthly service
- **Education:** School dropout rate, % of children finishing primary school on time (age 15): this could

Quality of Life indicators			1	2	3	4	5	Data source
SAFETY & SECURITY	Security of tenure	% of households anticipating eviction within the next 5 years	81–100%	61–80%	41–60%	21–40%	0–20%	HS
		% of households that have been evicted from their residences in the last 5 years	81–100%	61–80%	41–60%	21–40%	0–20%	HS
		Evidence of documentation can be used as proof of secure tenure status	Existing structure number	Enumeration interview	New structure number recognized	Formal address	Enforceable agreement – utility bill	HS
		Land use and land tenure management	Existing community register	Enumeration conducted	Up to date community register approved by CoCT	Land use/tenure management system in place	Land recognised	STATS!
INFRASTRUCTURE	Access to safe water	Distance to taps – % of households within 50m of a tap (100m national standards for essential services)	0–20%	21–40%	41–60%	61–80%	81–100%	MAPPING
		Time to repair tap – % repaired in less than a week	0 –20%	21–40%	41–60%	61–80%	81–100%	O&M STATS-GIS
		Number working taps/number of households	1 tap/40 households	1 tap/30 households	1 tap/25 households (SA standard)	1 tap/25 households + management system in place	1 tap/1 household	O&M STATS-GIS
		% of households satisfied with tap quality and management	0 –20%	21–40%	41–60%	61–80%	81–100%	HHS

Table 4 Snapshot of proposed Quality of Life index/scoring system, September 2012.

Source: VPUU 2012

potentially be added onto the HS. Local fieldworkers will need to be trained accurately before more complex questions are added. Conversely, approaching schools in the area might be the most direct way of getting this data

- **Social and Emotional well being—satisfaction with life, leisure time/activities, and social connectedness:** Aspects of social and emotional well-being can be added into the HS. However, they are the more subjective facets of QoL indicators and are therefore more controversial. Some studies insist on their inclusion in a QoL index and others argue strongly against them.

Lessons learnt

- Once the QoL index and indicators are tested, the HS questionnaire can be reviewed in order to monitor progress on QoL based on the newly developed index and indicators
- Local service providers and fieldworkers must be trained in understanding and using the questionnaire
- The next steps should be to gather all the necessary information from different data sources—e.g. HS, GIS mapping, and monthly statistics—to identify QoL levels according to the index in various areas of intervention.

Reference to indicators

Mainstreaming of VPUU methodology within local government.

Mainstreaming

The concept behind proposed QoL index and indicators could be adapted and applied to a variety of local contexts and programmes objectives. Proposed tool was developed in partnership with Municipal Strategic Information department.

Centralised reporting system

Description

The centralised reporting system is directly linked to the LogFrame and shows progress on the levels of achievement of indicators. It does not substitute current and more detailed records kept by the different work-streams but allows for quick data analysis and provides an overview of progress to date at any given time. Besides creating a direct link to the LogFrame and centralising information, it aims at facilitating the generation of overall and specialised reports based on monthly inputs from all work-streams. The system is a time saver while providing structured and timely reports.

Staff involved

KM Expert. Data come from WSLs as ‘reporting hubs’—but they themselves get data from various sources—e.g. other staff, strategic partners such as Legal Aid, Consultants/Principal Agents (Construction), etc.

Partners

All contracted programme partners as well as work-streams.

Management and procedures

The KM expert is responsible for the management and updating of the statistical centralised system.

- Information collected monthly
- Information reported every 6 months as part of the half yearly reports.

The KM expert is so enabled to compile data from work-streams on a monthly basis. The WSLs gather and provide requested data from various sources and stakeholders, both internally and externally into this single reporting platform.

Elements of the tool

A decision was made to utilise an easily available software, hence an excel workbook divided into distinct spreadsheets is developed. Each spreadsheet relates to a specific indicator as per main LogFrame and is directly linked to the ‘Overall Progress’ spreadsheet which lists all indicators and enables to have a quick overview on overall progress.

Challenges

- Setting-up the system as well getting all parties involved into a reporting routine is quite resource consuming
- Such system requests a strict discipline in terms of reporting to be efficient and produce desired outcomes.

Lessons learnt

- The system must keep consistency in successive reports. At regular intervals changes, variations and additions should be accommodated

- Key indicators and items should be reported on in more regular intervals to limit data collection and analysis which can be rather consuming of resources. One must be careful about over-reporting
- Clear reporting lines should be defined up front within the programme management set-up as too many data sources and reporting lines can undermine the efficiency of the system.

Reference to indicators

Range and coverage of service providers. Mainstreaming of VPUU methodology within local government.

Mainstreaming

Proposed statistical centralised system is flexible and simple enough to be replicable to a variety of programme management set-ups.

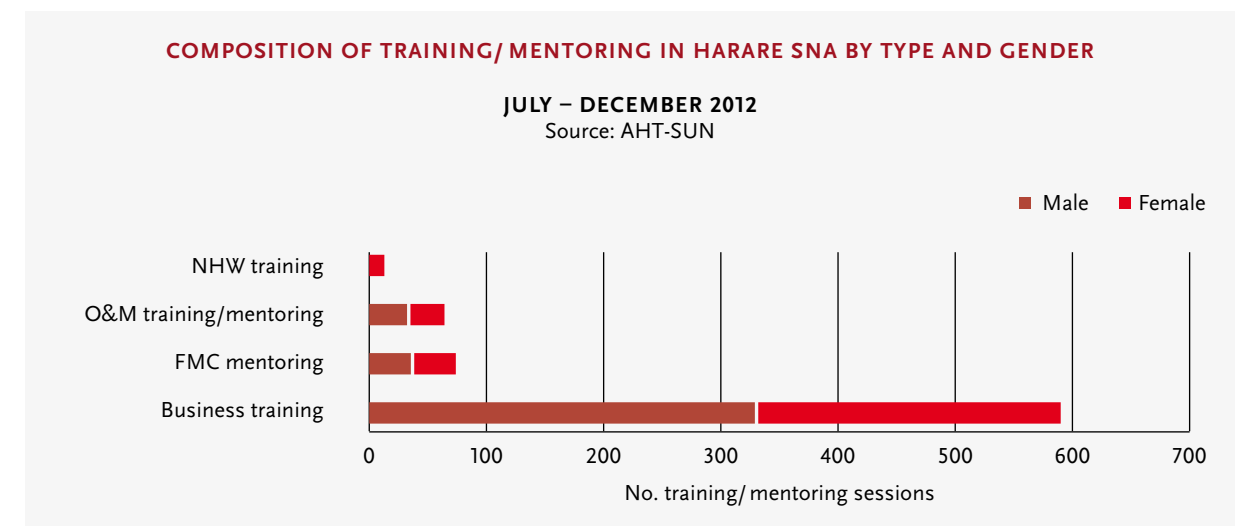


Figure 5a Example of area-based statistical analysis from proposed centralised reporting system

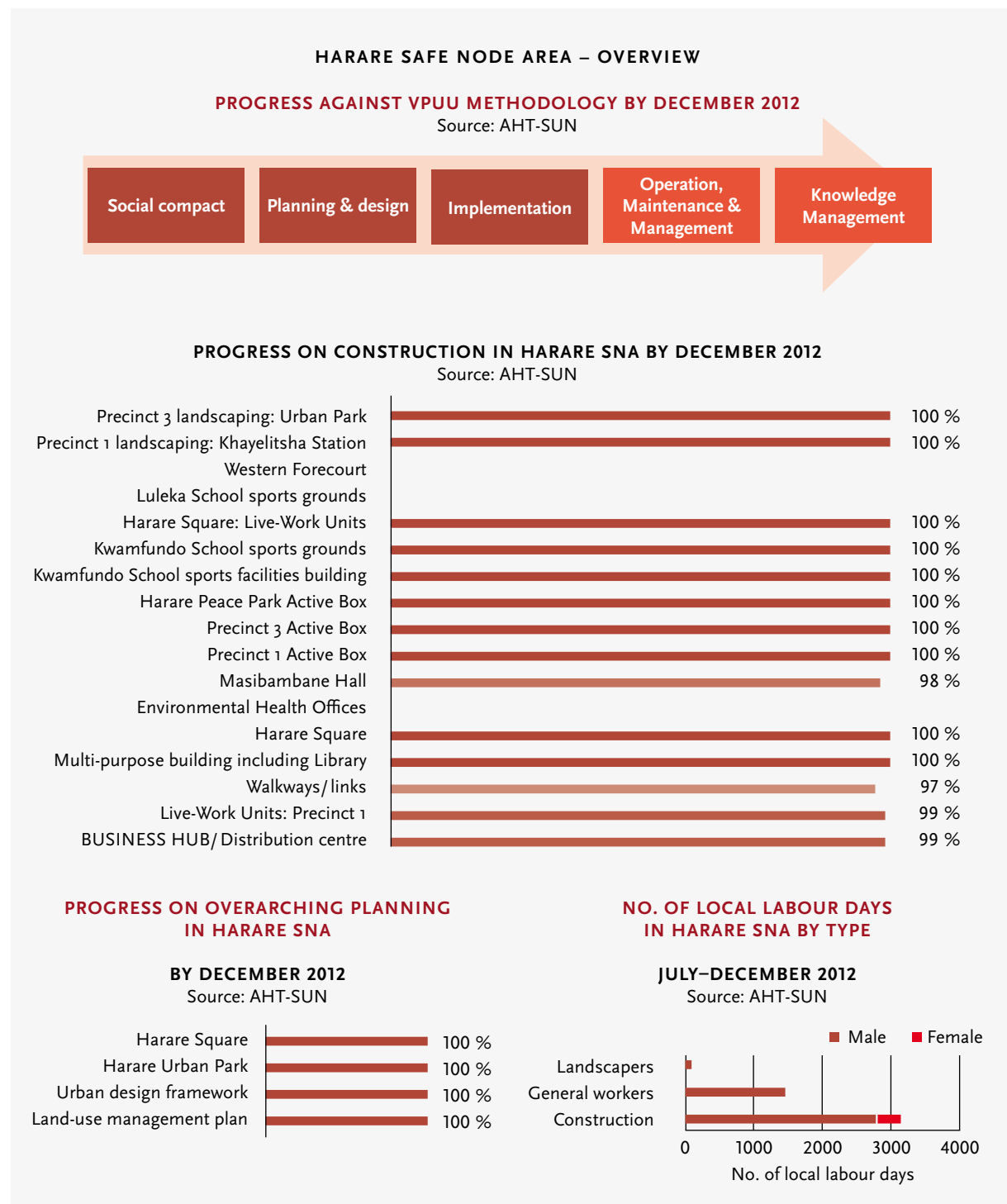


Figure 5b Example of area-based statistical analysis from proposed centralised reporting system

Monument photos

Description

This is a change detection and visualisation tool that uses community members to take digital photos within SNAs according to a set schedule and from fixed standpoints. Spatial changes as well as the use of public facilities and public open space over long periods can be documented.

The tool is to be linked to the Project Planning Matrix (PPM) and contributes as a mean of verification to the assessment of indicator achievement.

The objectives are:

- Monitor progress and impact in programme areas
- Show physical change and programme work
- Demonstrate change /impact of infrastructure development on community social life and safety
- Monitor maintenance aspects of implemented programmes/facilities
- Monitor progress on CAP processes.

Staff involved

The Situational CP WSL introduces the tool and identifies the monument points. The community-based service provider and fieldworkers take the photos according to agreed quality standards and keep them safely stored. The M&E Coordinator is responsible for support and mentoring, quality insurance, photos storage and management, whereas the M&E WSL is responsible for overall supervision and quality assurance, data analysis, compilation of visual reports and information sharing.

Partners

Local service provider and community members contracted and trained, with on-going mentoring.

Management and procedures

A separate manual of instructions has been compiled. Photos are taken either monthly or weekly according to the stage of the programme in the respective areas.

Photos are then provided to M&E work-stream. Photos are analysed and compiled into visual and descriptive reports on a quarterly basis and are shared with relevant stakeholders.

Following implementation flow has been successfully utilised:

- Training of community members on how to use digital cameras in relation to monument points
- Administrative skills to encode the photos according to an agreed template
- Quality control of the process and safe data storage
- Photos analysis and report about changes/findings
- Frequency of taking monument photos varies according to the phases of a intervention that is documented via monument photos (e.g. construction project: the frequency could be monthly before the start of construction, every two weeks during construction, again monthly after construction for the first year and every 3 months after the second year of construction)
- Publication of findings.

Challenges

- Reliable execution of once-weekly technical task with little supervision
- Personal security risks of taking photos
- Encoding of digital photos
- Replacement of lost, stolen or broken digital cameras and chips
- Use of specialised software for high number of digital photos
- Elaboration of chronologic photo sequences over longer periods in video format
- Taking photos at different frequencies.

Lessons learnt

- The tool is helpful for project management informing about changes of physical settings as well as behavioural changes, e.g. in the use of infrastructure/facilities or the public space
- Staff training and special software is necessary to handle high number of digital pictures
- Comparisons 'before-after' or changes as per film strips are widely used in project presentations and project documents
- For safety concerns it is helpful to link monument photo activities with the work of Neighbourhood Watches (NHWs), Facility Guardians (FGs) and Fieldworkers.

Reference to indicators

The tool is linked mainly to Social Crime Prevention and Situational Crime Prevention activities. The data and reports on monument photos are used to populate the following indicators:

- General upgrading of low-income neighbourhoods as well as a better provision of public, private, social and commercial services to the population
- Statistically significant reduction in number of residents, men and women, feeling unsafe by final year of programme
- Sustainable use and operation of the infrastructure provided.

Mainstreaming

- Use of operational manual for further trainings (fieldworkers, service provider)
- Use of photos in half yearly reports.



Figures 6–13 Example of change detection using weekly monument photos in Harare, Walkway-Link project. December 2009 to September 2012

PART D: CASE STUDIES

5.1 ENUMERATION PROCESS MONWABISI PARK

Introduction

Monwabisi Park (MP) is one of the pilot sites identified by the CoCT to implement the mainstreaming of the VPUU methodology to informal areas. The other pilot sites are: TR Section and BM Section in Khayelitsha, Lotus Park in Gugulethu and The Heights in Lavender Hill. MP is located on the southern edge of Khayelitsha and is separated from Harare (VPUU SNA) by Mew Way Road. The settlement is located on a sand dune system and is adjacent to the Wolfgat Conservation Area.

The vision of VPUU is to build safe and integrated communities by upgrading the existing settlement from essential service levels to basic service levels without relocations to areas outside the settlement, upgrade in social and economic infrastructure and programmes. The security of tenure is part of the programme. MP is home to about 25 000 people living in approximately 6700 households. There is very limited infrastructure in MP. High levels of poverty and crime are major challenges for the people living in the settlement.

In August 2009, SNAC was established and the baseline survey was completed in October 2009. By November 2009 the CAP, was finalised with SNAC. The CAP was signed by the Mayor of the CoCT and the Chairperson of SNAC in February 2010.

Purpose and main phases of the enumeration process

The need for an enumeration process arose around March 2011 from a number of inter-related initiatives:

- The will expressed by the City Housing Department to enumerate MP residents and to transfer collected data into the City Housing Informal Settlements Database
- The need for an up-to-date, accurate and locally accepted list of who currently lives in MP and under which conditions, as well as the need for a GIS local land database to inform strategic planning and to provide LA with the necessary information to engage MP in a long term development perspective
- The need to understand existing tenure arrangements and local governance dynamics well enough to identify appropriate tenure options for the residents of MP.

After a conceptualisation phase in consultation with City line departments, the local Sub-council and the SNAC, enumeration was started in May 2011. In consultation with SNAC, the main purpose of enumeration was defined as: 'to establish an agreed list of residents currently living in MP and to record information that is important proof in processes of rights determination.' Five phases were then envisaged:

- **Preparatory work:** stakeholders' engagement, questionnaire & fieldwork methodology design, nomination and training of community volunteers to conduct the enumeration survey
- **Numbering and geo-location:** using either existing structure numbers where applicable or providing temporary survey numbers where necessary. The geo-location consists of visiting and geo-locating every structure using GPS devices
- **Enumeration survey:** consists in interviewing 100% of households currently living in the area, collecting information on the Head of Family, on the household and strategic information such as

access to basic services, disaster history and existing tenure arrangements. Information collected during the survey is then linked to a GIS system using the reference number used during the 'Numbering & Geo-location' phase

- **Data verification and conflict mediation:** consists in making the information collected during the survey accessible to the community members and offer them the opportunity to verify it and possibly apply to make changes to it. Throughout this

enumeration process, and in particular during the verification phase, it is important for the team to be prepared to deal with potential community disputes arising from the process. Training a number of community members and leaders at conflict mediation is highly recommended

- **Data management and improved security of tenure through reinforced administrative recognition:** consists in developing a sustainable system which will ensure that the information collected is regu-

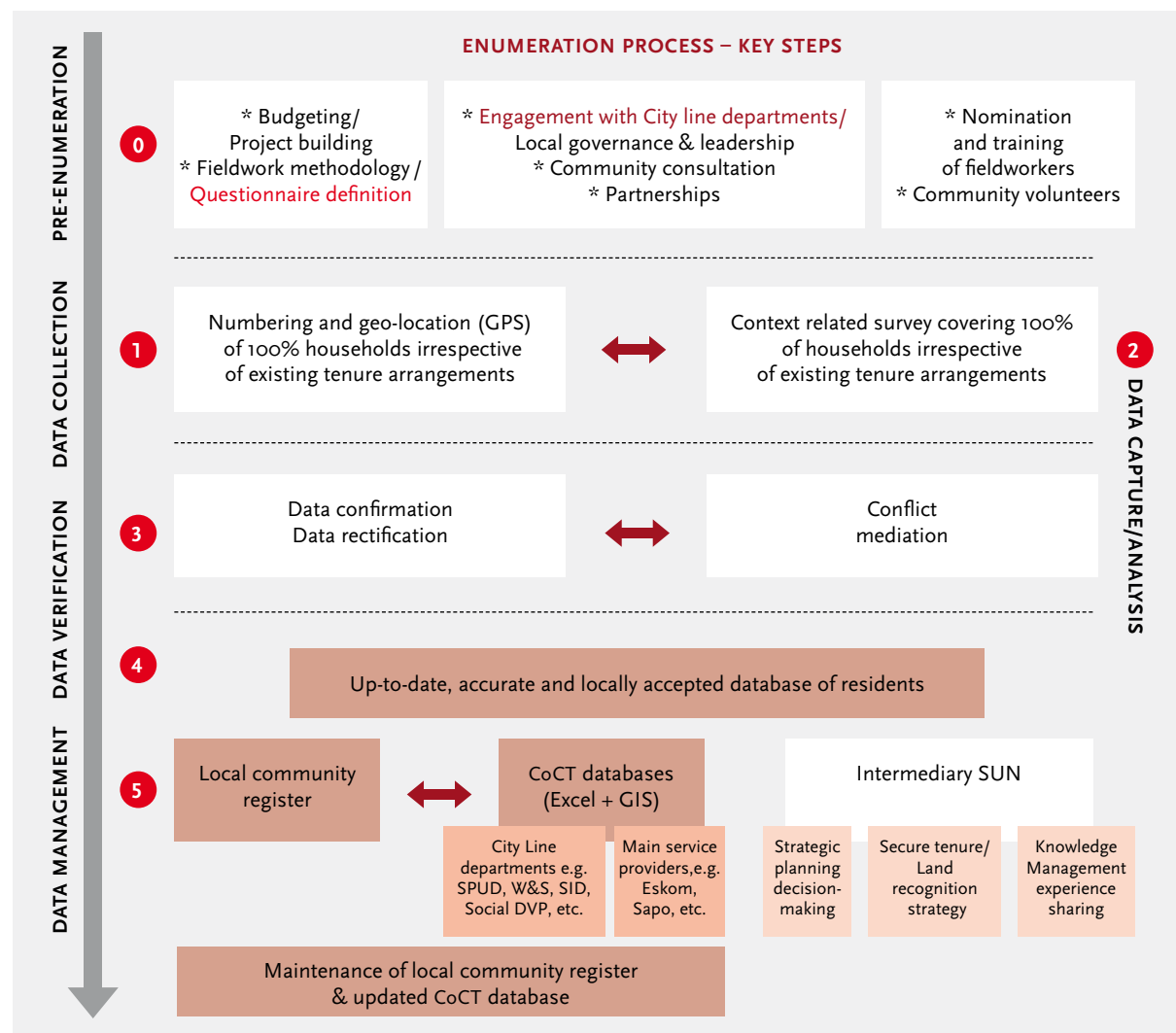


Figure 14 Process diagram illustrating progress on Monwabisi Park enumeration in November 2012



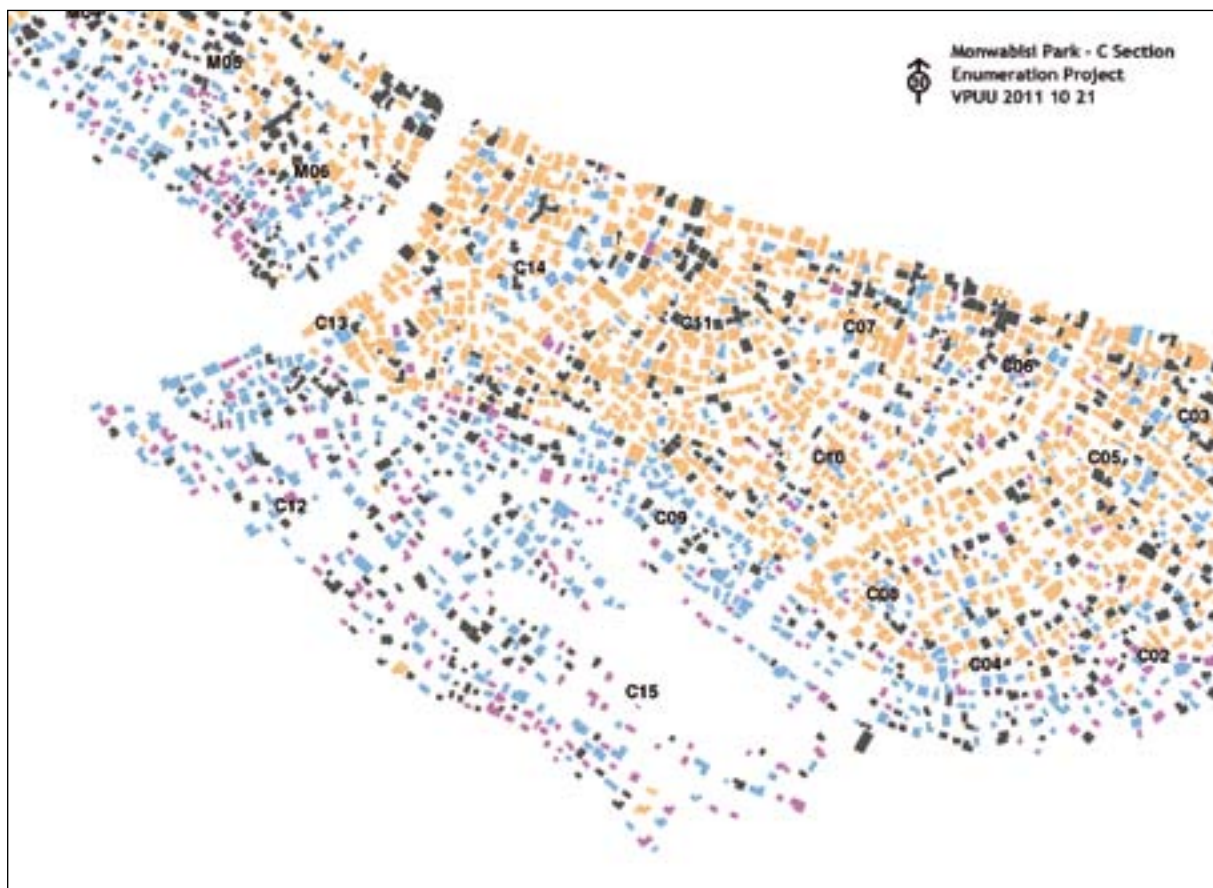
Figure 15 Team comprising CPUT students and community volunteers conducting the numbering and geo-location of structures in MP in June 2011

larly being updated and reflects residential dynamics in the area. It is advisable that some community group is actively involved in this system. It is also recommended for LAs to be engaged and involved in order to reinforce levels of Administrative Recognition of the area and of its residents e.g. transfer of the enumeration list to LAs, development of a co-management system between local community and LAs to maintain and update the list.

Process and progress

The primary stages of MP enumeration process consisted in 2 main components: the numbering and geo-location of each and every structure and a detailed survey covering 100% of the households residing in MP. The geo-location process started in May 2011 and was

conducted by a team comprising of SUN staff, a GIS consultant, students from the Cape Peninsula University of Technology (CPUT) and Stanford University (USA). The enumeration survey started in June 2011. While the geo-location of the structures, after a certain number of rounds of rectification and quality control took approximately 4 months (May-August 2011), the enumeration survey took nearly 5 months (June-October 2011). The survey was conducted by trained community members and supervised by experienced local fieldworkers contracted from the Khayelitsha-based researchers group Sikho. By October 2011, approximately 90% of the estimated total number of households residing in MP had been interviewed (5,800). After a round of engagements with SNAC, it was agreed that the enumeration survey should carry on in order



Source: VPUU October 2011

Figure 16 GIS map generated using enumeration data and showing electrical connections types in C-Section, MP. Dwellings structures in orange have formal connections, blue symbolises informal connections and purple represents structures with no electricity. Grey structures had not been interviewed yet when this map was generated (October 2011)

to reach the estimated missing 10% of households. Out of the initial enumeration team, eight community members showed interest in continuing to be part of the enumeration process. Looking at the difficulties encountered by the team at reaching households, an intensive advertisement strategy was conducted through a number of sections' community meetings and by displaying advertisement posters across the settlement in order to popularise the process.

The enumeration survey started again in March 2012 and took until May 2012. The team was divided in 2 groups: one would go door-to-door in order to reach missing households using GPS devices whereas

the other group would be based at the container facility in MP.

Following the section meetings, as well as the community mass meeting on electrification, residents started visiting the enumeration office in significant numbers to ensure that they were included in the enumeration database. This showed that enumeration was incrementally being recognised as an important process by the residents.

By May 2012, the enumeration team had conducted 413 additional interviews and had verified data of approximately 2,500 to 3,000 residents. This brought the enumeration survey to an estimated 97% completion.

Data collected during the enumeration survey was continuously digitally captured, analysed and uploaded into a Geographic Information System (GIS) database. The first set of GIS maps on electrical connections—i.e. formal, informal, none—obtained by linking the geo-location of structures to the information collected during the survey were forwarded to electricity provider Eskom in order to inform the electrification strategy for the area.

Similarly forthcoming GIS information generated using the enumeration data on aspects such as flooding or fire prone areas, types and distribution of land uses, and access to basic services are information to inform strategic and spatial planning for the area.

In June 2012, the 'Data Verification' process started where residents were given the opportunity to come and check their information and apply for changes. A team of local leaders were trained in conflict mediation in partnership with the University of Cape Town (UCT). A number of community disputes were dealt with, often rather misunderstandings than disputes. Community leaders from 2 other informal settlements—i.e. TR Section & Lotus Park—were also trained in mediation skills together with the MP community leaders with the idea of promoting inter-communities learning networks.

By November 2012 over 30% of residents had come to verify their information in the enumeration database and the accurate, up-to-date and locally accepted enumeration list comprised 6,450 entries (estimated 98% completion). The responsibility to maintain the local enumeration register has now been handed-over to the Community Participation work-stream and a longer term system for the maintenance of the local register still needs to be defined in consultation with the SNAC and IAs.



Figures 17–19 Photographs showing community volunteers assisting residents during the enumeration data verification process ' (June–November 2012)

Mainstreaming

The enumeration process was presented to the City Strategic Information Department and to Spatial Planning and Urban Design (SPUD) in July and August 2012. Both departments demonstrated enthusiasm and support for the proposed methodology and outcomes. Strategic Information showed interest in hosting the information coming out of the enumeration process, being reports, maps, GIS data and possibly sharing it with other City line departments via its Research Hub. There were also a number of engagements with the Housing Informal Settlements Branch in regards to the following:

- The transfer of MP enumeration list into the City Informal Settlements database and its maintenance
- The set-up of a sustainable system for the maintenance of MP local register
- The development of a re-numbering strategy for MP in line with the Spatial Reconfiguration Plan (SRP)
- The draft and approval of a Certificate of Tenure to be issued to MP residents.

The IS branch showed positive interest in improving the administrative recognition of MP. While the development of a maintenance system for the community register is still work in progress, the enumeration list has been transferred to the IS branch, a final draft for a Certificate of Tenure was approved and signed off by the Housing Executive Director and a renumbering strategy was developed and is currently implemented across the area.

The renumbering strategy follows the spatial structure of the SRP and is organised around 32 Super Blocks and 158 Neighbourhoods Blocks. These Blocks were defined according to identified access routes, in particular the 'safe walkways' and tertiary routes, based on the existing movement network. Each Super Block was allocated a number while Neighbourhood Blocks

were given letters. Households are given a number according to the geo-located enumeration data.

For example:

Super Block = 1
Neighbourhood Block = A
Household Number = 10
The new number is 1A-10

While the Super Block and Neighbourhood Block are constant and do not change—i.e. they form the Plan of Subdivision as part of the land-use management application—Household Numbers are flexible. This allows for potential 're-blocking' within the Neighbourhood Block.

In partnership with electricity provider Eskom and with community volunteers, the renumbering process



Figures 20 und 21 Community volunteer stencilling new numbers on dwellings, August 2013



Figure 22 Monwabisi Park proposed renumbering plan, June 2013

started in August 2013 and is currently underway. The new numbering system will be used as a reference and an address by Eskom as it presents a geographical logic which will allow for easier orientation in the area—e.g. operation and maintenance of the infrastructure.

The drafting and approval of a Certificate of Tenure was reached through numerous engagement and working sessions with the Informal Settlement branch towards the end of 2012.

The Certificate of Tenure is directly linked to the renumbering strategy as it includes the new number

next to the existing dwelling number where applicable. It introduces the idea of joint-registration of head of family and partners in order to mitigate gender-based vulnerability. It also intends to reflect the complexity and diversity of existing tenure arrangements by allowing tenants or occupants other than the structure's owner to appear on the certificate.

The Certificate of Tenure was drafted in line with the Single Residential Zone 2: Incremental Housing (SR2) zoning as part of the newly approved Cape Town Zoning Scheme (CTZS). The SR2 was developed to accommodate informal settlement in situ upgrading initiatives and offers some more flexibility as well as

Challenges

- ## Case Studies • Enumeration Process Monwabisi Park

Figure 23 *Certificate of Tenure*

Lessons learnt

VPUU principles applied

- Communicate relevant abilities and skills for handling knowledge successfully
- Organise the right cooperation and communication for utilising knowledge
- Build trust amongst partners to share, review, appraise and evaluate.

The activities and works prepare and contribute to Situational Crime Prevention, Social Crime Prevention, Institutional Crime Prevention and Community Participation.

The activities and works refer to the indicators:

- The activities and works contribute to:

- Activities to improve education and skills levels (here: training of surveyors etc.)
- Number of trained volunteers
- Number of formalised businesses and smaller enterprises developed by the programme (here: the case of support to Sikho).

- Use of the information by CoCT Housing Department
- Use of the information for influencing CoCT policy towards urbanisation of MP
- Further qualification of Sikho as service provider
- Possibility to institutionalise the enumeration process into CoCT system
- Contribution to conflict mediation
- Building of trust between community and local leadership SNAC
- Key process in improving levels of security of tenure.

Introduction

Purpose and main phases of the introduction of the new M&E tool

With the idea of incrementally enhancing QoL, the Operation and Maintenance (O&M) of existing communal taps and toilets is seen as the first step of an improved access to essential services in informal areas. The O&M of taps and toilets falls under the In-



Figures 24 and 25 Examples of poorly maintained community water tap and toilets in Monwabisi Park, April 2010

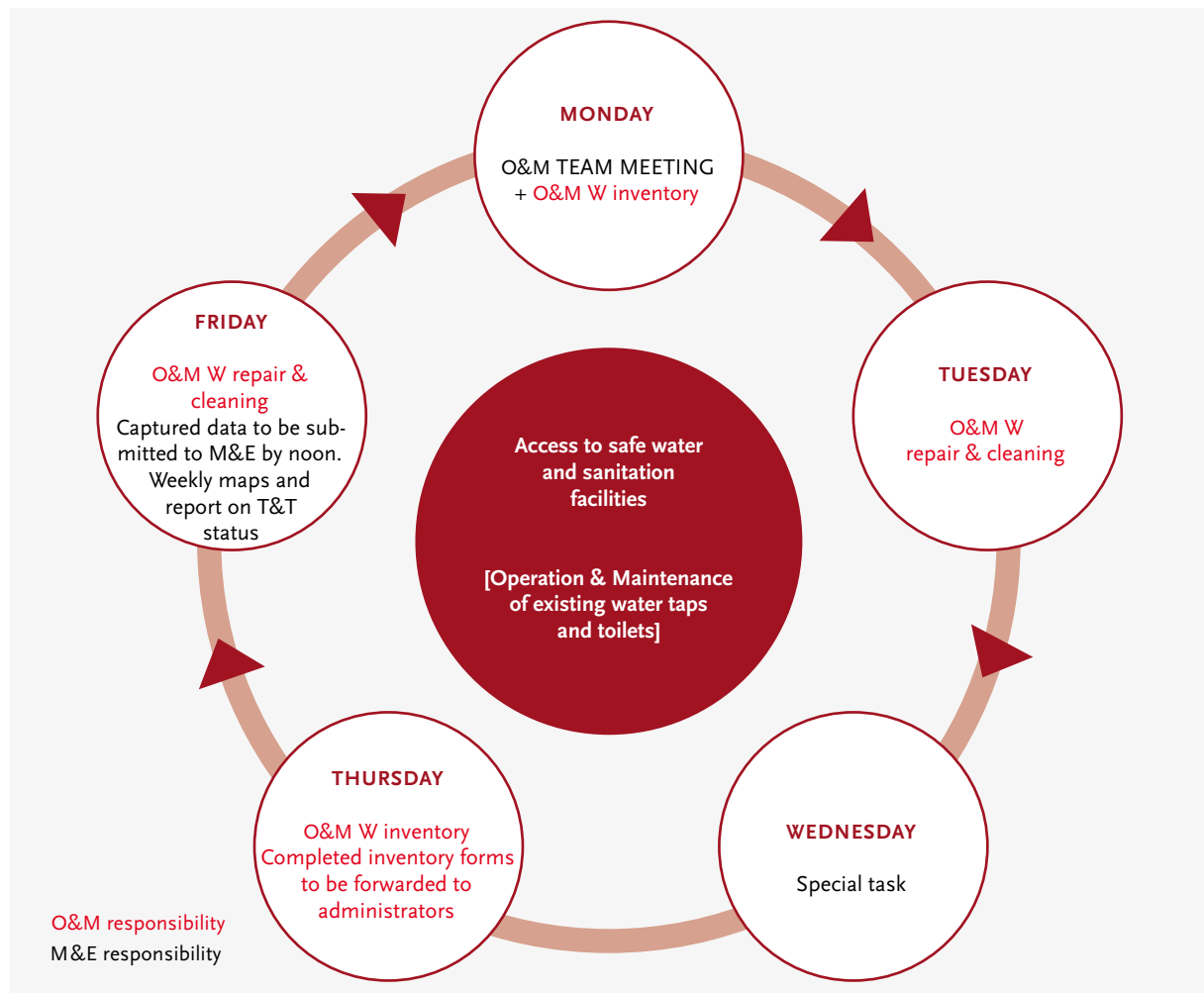


Figure 26 Diagram outlining responsibilities and illustrating weekly routine from data collection to information sharing, June 2012

stitutional Crime Prevention work-stream (ICP) and is undertaken by locally contracted workers i.e. O&M workers who are trained and guided by a team comprised of the Intermediary and CoCT staff.

From November 2011 to June 2012, the ICP and the KM work-streams worked on developing a system which would allow measurement of progress on access to safe water and sanitation through statistical and GIS analysis. Progress would be shared monthly with the City Water & Sanitation Department (W&S)

and with community leaders and members at the reference group meetings.

The M&E system linked to the O&M of existing taps and toilets in VPUU areas aims to:

- continuously monitor and evaluate the progress on access to safe water and sanitation in the settlements
- demonstrate the relevance and efficiency of Community Delivery of Services (CDS) to assist municipal services delivery



Figure 27 Working status of water taps in Monwabisi Park before local O&M/M&E systems in place – September 2009



Figure 28 Working status of water taps in Monwabisi Park once local O&M/M&E systems in place – March 2013

- identify areas which require particular attention—e.g. specific vandalism hot spots—and areas where additional infrastructure is urgently needed
- assist the O&M team in organising and prioritising its work.

Process and progress

In November 2011, the O&M and the KM teams clarified the respective roles, responsibilities and timeframes to set-up the system. It was agreed that the O&M team would be responsible for collecting and capturing data on taps and toilets, whereas the KM-M&E team would be responsible for statistical and GIS analysis. In practical terms, the O&M workers would go and visit each tap and toilet twice a week and assess their working condition. Collected data would then be captured digitally and forwarded to the KM-M&E team. A template for data collection was developed with the assistance of a GIS technician to ensure that the data collected could be transferred and analysed using GIS techniques.

In November 2011, the KM-M&E team provided training support in data collection methodology and techniques. The O&M workers started using the newly developed template in December 2011.

All taps and toilets were physically re-numbered and geo-located in order to assess changes since they were last geo-referenced in 2009. In addition, the local KM-M&E Coordinator provided the O&M Facilitator with continual support on data capturing and qual-

ity control. It was also agreed that the administrators in the areas assist with data capturing. The diagram above outlines process and responsibilities in the routine collection of data.

In June 2012 the responsibility to supervise data capturing and conduct quality control was taken over by the KM-M&E Coordinator with support by the designated administrators in providing captured data of quality and in time.

The M&E statistical and GIS system linked to the O&M of taps and toilets in informal areas took more than half a year to be fully operational. It allows the preparation of accurate weekly and monthly reports which are shared on a monthly basis with the City W&S Department as well as with community leaders and members. It is a key component in measuring and monitoring progress in QoL in VPUU areas as access to water and sanitation is a key component. It has been a very useful tool in assisting the O&M team in identifying key issues and in organising their work. It is also a powerful tool when raising issues and challenges to the City W&S Department.

The Monwabisi Park statistics are used to illustrate the possibility of evidence based corrective measures to the provision of essential services. Statistics depict an increase of 29% in the number of water taps working and of 18% in the number of toilets in good working conditions between September 2009 and March 2013. This significant improvement in access to water

and sanitation in the area is closely linked to the active involvement of local residents in maintaining, repairing and monitoring the status of the public infrastructure on a day-to-day basis.

Challenges

- Even though the proposed M&E system allows collecting and analysing of powerful information, it is time-consuming and demanding in terms of human resources
- As new O&M workers are contracted every 6

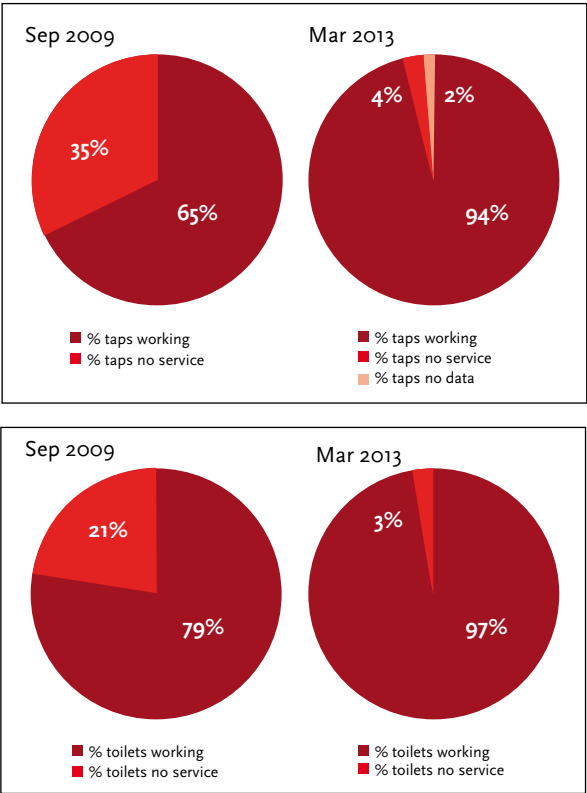
months, there must be on-going training and mentoring on data collection

- The system requires on-going and strong supervision in order to maintain the data collection/data capturing routine which came slowly into place.

In response to the above challenges, a proposal is to set-up a cell phone application which will allow the enabled cellphones. These cell phones would be directly linked to a GIS and statistical database which would greatly reduce the amount of paper work and time spent at

SNA: Monwabisi Park - September 2009 to March 2013								
WATER TAPS	DATE	BASE-LINE	JUL 12	SEP 12	NOV 12	JAN 13	MAR 13	AVER-AGE
	No. taps total	235	288	248	259	281	244	264
	No. taps working	153	251	225	219	201	229	225
	No. taps no service	82	27	23	38	32	9	26
	No. taps no service: vandalised/reported	–	–	3	15	1	0	5
	No. taps no data	–	10	0	2	48	6	13
	No. taps other (Private/ Non-exist etc.)	–	13	28	17	30	41	26
	% taps working	65%	87%	91%	85%	72%	94%	86%
	% taps no service	35%	9%	9%	15%	11%	4%	10%
	% taps vandalised/reported	–	–	1%	6%	0%	2%	2%
	% taps no data	–	4%	0%	1%	17%	0%	4%
	Ratio No. working taps / No. households	42	26	29	30	32	28	29
TOILETS	No. toilets total	358	358	347	348	347	346	349
	No. toilets working	282	314	327	328	324	337	326
	No. toilets no service	76	12	20	21	18	9	16
	No. toilets no service: vandalised/reported	–	–	3	2	0	0	1
	No. toilets no data	–	32	0	0	6	0	8
	No. toilets other (Private/ Non-exist etc.)	–	2	13	12	13	4	9
	% toilets working	79%	88%	94%	94%	93%	97%	93%
	% toilets no service	21%	3%	6%	6%	5%	3%	5%
	% toilets no service: reported	–	–	1%	1%	0%	0%	0%
	% toilets no data	–	9%	0%	0%	2%	0%	2%
	Ratio No. working toilets / No. households	23	21	20	20	20	19	20

Figure 29 Example of statistical analysis on access to community watertaps and toilets in Monwabisi Park, September 2009 to March 2013



Figures 30 and 31 Example of statistical analysis on access to community water taps and toilets in Monwabisi Park, September 2009 to March 2013

digitally capturing data. It would in addition allow one to generate statistical and GIS reports at any given time.

Lessons learnt

- Continual support, on-going training and mentoring, on-going quality insurance and a strong supervision are key elements in sustaining such a M&E system
- The success of the system relies on work-streams' integration and team work.

VPUU principles applied

- Establish clear processes and structures for goal-oriented processing of information and use of knowledge
- Provide suitable methods and tools for processing information and securing knowledge
- Communicate relevant abilities and skills for handling knowledge successfully
- Organise the right cooperation and communication for utilising knowledge
- Build trust amongst partners to share, review, appraise and evaluate.

Links to other work-streams

The activities and works prepare and contribute to Institutional Crime Prevention and Situational Crime Prevention.

Reference to indicators

The activities and works refer to the following VPUU indicators:

- Positive social cohesion
- Range and coverage of service providers.

The activities and works contribute to the following outcomes/outputs:

- Activities to improve education and skills levels (here: training of surveyors, field workers etc.).

5.3 DEVELOPMENT OF THE HOUSEHOLD SURVEY

The HS is based on the Participatory Impact orientated M&E principles. The aim of the HS is to:

- Provide continuous feedback on the effectiveness of VPUU interventions in reducing crime, promoting a sense of safety, and improving the QoL of residents
- Gather information from residents about perceived safety. Crime hot spots and shifts in crime patterns to guide the deployment of both citizen and police patrols are captured during the baseline survey processes
- Provide information and promote VPUU aims and programmes
- Collect information about how well the LA, key Justice Sector services (including community-based structures), and social service organisations are functioning
- Update the community-based projects database to assist the SDF in identifying existing projects and increase its impact
- Enable triangulation with findings from the baseline survey and the business survey, comparison with the official crime statistics and patterns revealed—but also enumeration survey (in informal areas), mapping exercise and monthly stats
- Encourage those with ideas about crime and violence prevention to become actively involved.

Selected approach of the household survey in Phase 1 and 2

Fifty households were selected at random within the Harare and Kuyasa SNA per week. Each sample is independently randomly selected from households not previously interviewed, the findings of each week could be taken as providing representative feedback from the community to those managing the delivery of the programme. This process, over time, would ensure that every household had a chance to provide in-

put into VPUU. The first cycle of the HS was planned to take 70 weeks. Data from the survey was analysed weekly to produce a longitudinal profile. Data was also aggregated to provide monthly or quarterly summaries. This information was used to assess the progress and effectiveness, from the community's perspective, of VPUU social and spatial interventions.

Key elements of the HS questionnaire

The main sections of the questionnaire cover the following areas:

- Personal information about the respondent
- Information about households: demographics, children's schooling, activities
- Economic activity of the household: employment, home-based business, skills identification
- Facilities and services: functioning of community-based organisations, LA, and assessment of VPUU interventions
- Perceptions of safety and crime: rating of safety in various contexts, mapping of priority concerns, identifying high risk persons, places, times, days; self-protection efforts, risks to children, functioning of relevant structures and services; suggestions to improve safety in defined contexts.

Implementation process

A team of six local residents who were trained as Community Development Workers but who were not subsequently contracted by the relevant state department, and who already assisted with the VPUU Business Survey conducted the HS. This group was trained in additional techniques for the HS:

- the random selection of households
- the use of maps to record responses of citizens when identifying dangerous places within their community and
- data capture of both alpha-numeric and spatial data.

By 2008 the HS had collected and captured over a year the required information every single week, apart

from three weeks over the 2007 festive season. 2,376 households were interviewed, making up 92% of the targeted number for the year. This was a notable achievement, particularly in light of the service provider consisted of previously unemployed and relatively low skilled people. The occasion was marked by a certificate from VPUU recording this achievement.

The graphs and tables displayed on the following pages are only examples how information and data was interpreted and presented, e.g. coming from a review of trends over the year; for non-spatial data; analysis by key variables like age and gender, comparative analysis between different VPUU areas and quality control.

Trends in perception of safety: Data was produced out of the HS especially for the perception of safety in the two SNAs Harare and Kuyasa:

Figure 32 suggests that people are feeling safer by day than by night. It also suggests that while the level of perceived safety is higher by day, this level is slowly dropping which would indicate that people are feeling less safe by day at the end of the reporting period compared to one year earlier. By contrast, while people are feeling less safe by day, they are feeling safer at night at the end of the reporting period compared to one year earlier. There are at least two possible explanations for this: one is that the area has been through a phase of xenophobia-related violence where most attacks took place by day. The other possibility is that since the civil patrolling only takes place at night, people may miss its reassuring presence by day. This last possibility would add further to the growing perception, which the police supports, that day-time civil patrols are needed as well. These initial results were

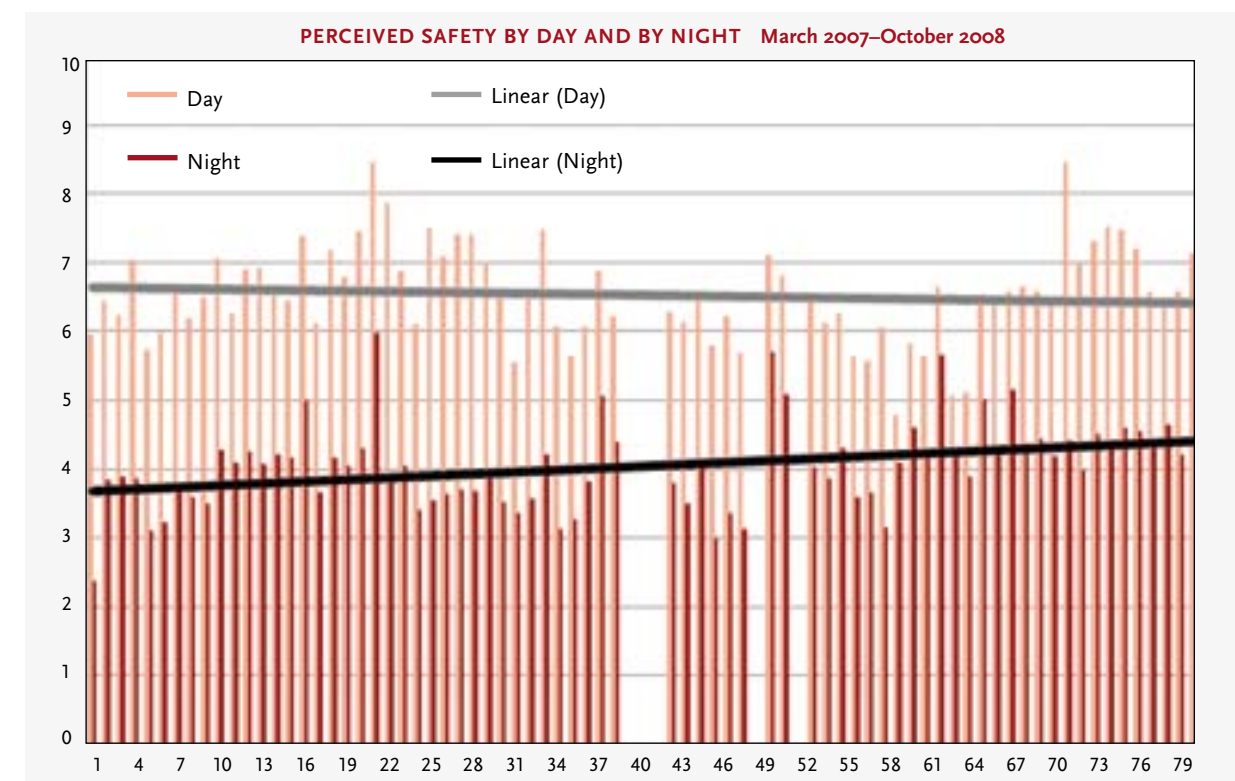


Figure 32 Perceived safety by day compared with by night

Source: VPUU HS

ROBBERY: PRIORITY CRIME CONCERN – 28 months to June 2009

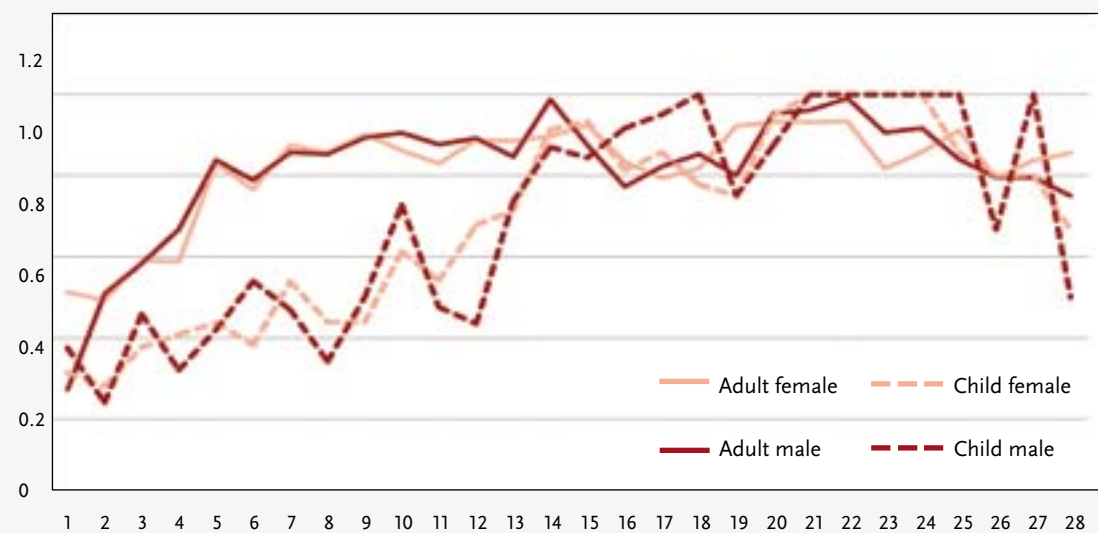


Figure 33 Priority concern no 1: Robbery

taken prior to any construction or O&M measure of VPUU. So it would be premature to link the data primarily to VPUU interventions.

VPUU should remain cautious about claiming stable improvements and do not of course claim that any measured changes are solely as a result of VPUU-related interventions. There is quite a bit of variance between months, and there have been drop-offs before, such as at week 25, 36, 65 and even the last 4-week av-

erage. The VPUU programme will also want to check trends against the other measures that are in place.

Analysis by age and gender

The HS data can analysed in many number of ways. Two key variables are age and gender. Examples of analysis using both of these dimensions are offered in Figure 33 which shows there are not many differences in the priority given to robbery by men and women, or

Time patterns in crimes targeting ADULTS
28 months to June 2009

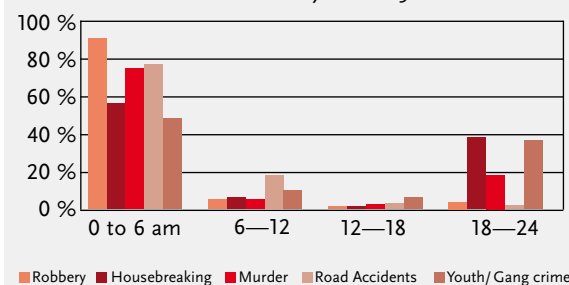


Figure 34 Time patterns of crime in relation to gender (adults)

Time patterns in crimes targeting WOMEN
28 months to June 2009

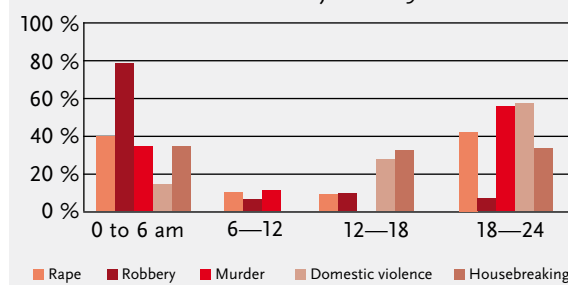


Figure 35 Time patterns of crime in relation to gender (women)

AVERAGE RATING BY FIELDWORKERS TO QUESTION 3.1.

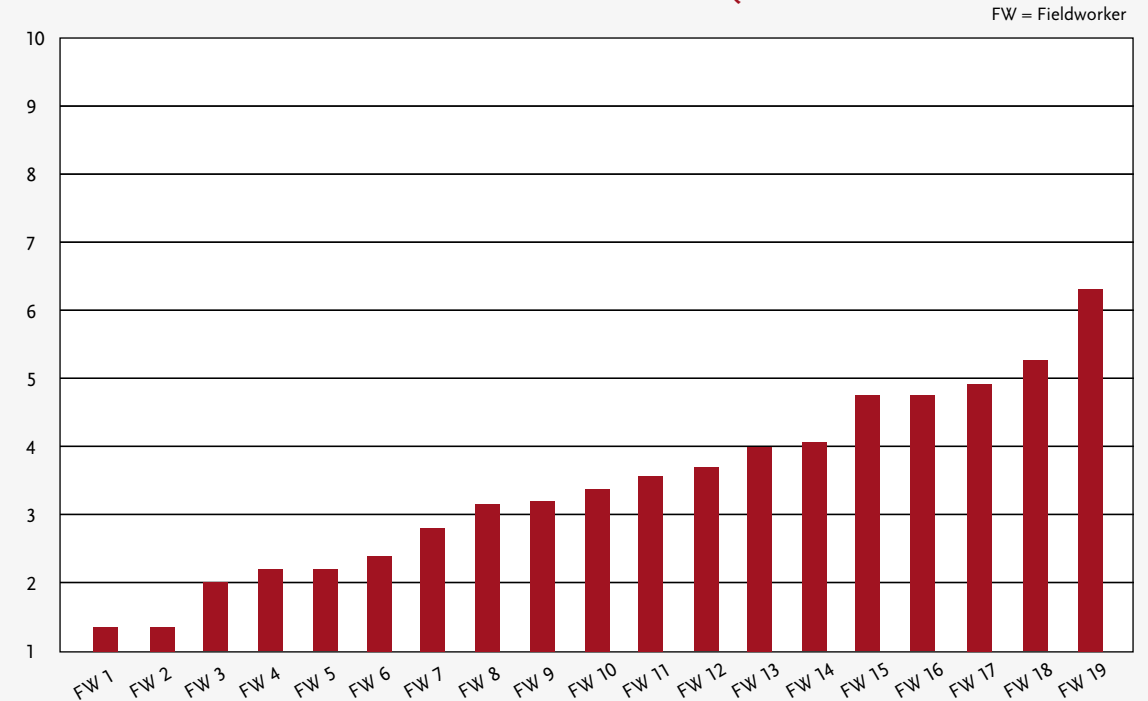


Figure 36 Fieldworker ratings

in relation to younger or older residents. It appears to be the universal concern. Early lower rates of concern in relation to children have disappeared.

Crimes are ordered on the basis of how often times of their most frequent occurrence were given. This ordering is not a frequency of occurrence.

The overall diurnal pattern in relation to crime against adults is that most crime and violence takes place between midnight and 6 am (Figure 34).

The middle of the day is relatively quiet, with crime frequencies rising again after 6 pm. Housebreaking and youth violence dominate as evening crimes, whereas most robbery is seen as taking place early in the morning.

The diurnal pattern with women is similar but with roughly equal amounts of crime taking place early in the morning and at night (Figure 35). There is a par-

ticular concern about early morning robbery and rape, while rape, murder and domestic violence are feared late at night.

The pattern with men is a bit different, with the great majority of crimes and violence taking place between 6pm and midnight. The one exception is youth and gang violence which is seen as taking place primarily during daylight hours. Shooting is seen as occurring only late at night.

These patterns suggest that civil patrols should work in the early morning if they are to protect women.

Improvement and changes in 2009

In 2009 the following changes were introduced:

- The appointment of a supervisor to ensure better data quality and coaching of fieldworkers
- The shortening of the questionnaire.

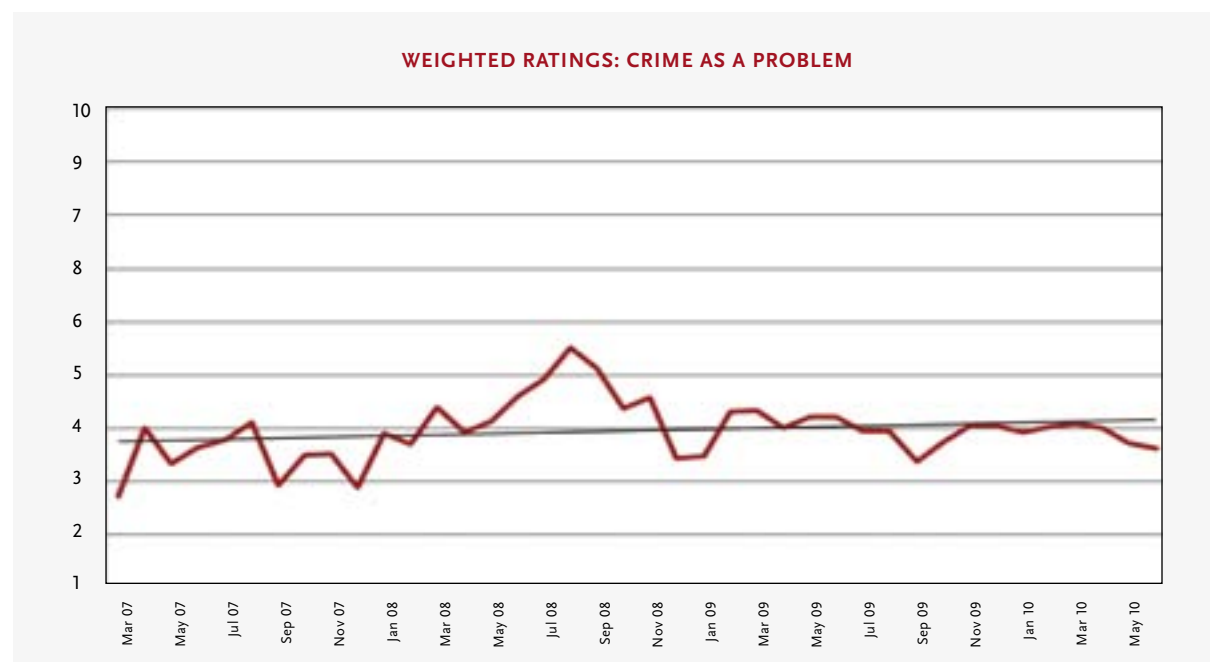


Figure 37 Average weighted rating

Expansion of the HS to new areas: comparative analysis and quality control

As VPUU expands to new areas the establishment of a HS allows for comparison between various areas.

From May 2010 onwards, a rationalisation of numbers has taken place. The initial number of 50 households per area per week has now been reduced to 6 households per area per week.

This has meant that some assessment needed to be made of variations in the growing number of fieldworkers and bias of field workers was analysed, particularly data from scalar questions. More specifically a way was needed to make sure that any measured changes over time in perceived safety were due to actual shifts in how safe people were feeling, and were not due to different rating patterns that are always found when relatively untrained fieldworkers are compared. As a starting point, the average ratings on the question 'How much of a problem is crime and violence in your

area?' for each fieldworker were calculated. Figure 36 shows clearly that some tended to rate higher on average than others. This raised the concern that changes in reported feelings of safety could reflect more the fact that a different fieldworker was collecting the data, than that people actually felt safer or less safe. A way to minimise fieldworker impact on ratings was needed.

Figure 37 shows the weighted average ratings over the months that the programme has been in existence, to the question of how big a problem crime and violence is to people. The linear trend line shows an overall increase in perceived safety, rising from 3.7 to 4.2. The weightings were done by adding or subtracting to each fieldworker's month average, the amount by which their average differed from the overall average of all fieldworkers. This mimics the effect of more advanced fieldworker training, where through practice and feedback, each fieldworker internalises a ratings standard that is common throughout the team. As is

shown in Figure 38, the effect of this is to reduce the inter-fieldworker variability of ratings. As the team settles down, and training takes effect, the graph shows that variability is decreasing again in the raw data. As this weighting has been applied to all measurements from the first to the most recent, and will continue throughout the programme, it does not artificially bias the findings towards indicating an increase in safety.

Review of the HS— content and fieldwork methodology—in 2012

Looking at the proposed QoL indicators and index, the content of the HS was reviewed in order to incorporate some additional QoL components e.g. security of tenure, disaster history (fire, flooding), residents' satisfaction in regards to basic services. Some additions were also made considering the programme's new concerns such as alcohol related questions. Looking at the challenges encountered with the perceived safety 10 points scale i.e. scoring variations between fieldworkers and subjectivity of interviewees—it was agreed to simplify it and to reduce it to a 5 point scale.

Also it was proposed that the HS should be conducted and analysed according to the distance from VPUU built facilities. Several maps outlining data collection zones according to the distance to facilities were developed for Harare, Kuyasa and Site C.

The revised questionnaire and fieldwork methodology were introduced in Harare, Kuyasa, Site C as well as in MP and TR Section in November 2012. The HS was initiated in Lotus Park in January 2013 after engaging with the local leadership and training a fieldworker from the area at conducting the HS interviews.

Lessons learnt

Fieldworkers must be accurately briefed and trained at understanding what the broader programme is about and what are its main components and processes. By visiting individual households, currently 120 households each month, fieldworkers are also promoting the programme and facing critical situations and challenges. Respondents are not necessarily welcoming or can be curious and wanting to find out more about VPUU. Some community members ask questions which are outside the scope of the HS and fieldworkers must be prepared either to answer these when appropriate or to refer people to the SNA Community Facilitator for instance.

- Any changes or additions to existing M&E tools or systems should be made in close partnership with local service provider and fieldworkers in order to promote local capacity building in terms of KM/M&E and the sustainability of such systems
- HS is not a static M&E tool but it needs regular reviews in terms of content and fieldwork methodology in line with lessons learnt along the programme span and with model's dynamics and needs. The HS should however be consistent enough over time to ensure consistency in data analysis and reporting
- Interviewers must maintain confidentiality in order not to compromise their access to households.

VPUU principles applied

- Establish clear processes and structures for goal-oriented processing of information and use of knowledge
- Provide suitable methods and tools for processing information and securing knowledge
- Communicate relevant abilities and skills for handling knowledge successfully
- Organise the right cooperation and communication for utilising knowledge
- Build trust amongst partners to share, review, appraise and evaluate.

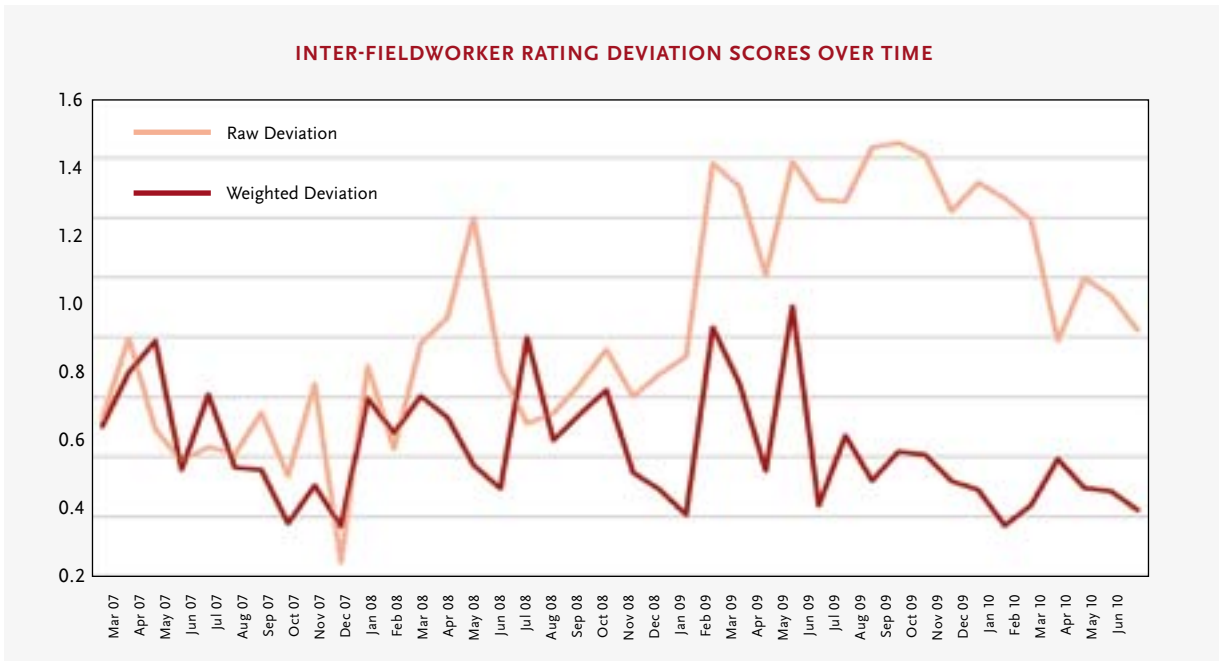


Figure 38 Rating deviation patterns

Links to other work-streams

The activities and works interact with all other work-streams.

Reference to indicators

The activities and works refer to the following VPUU indicators:

- Positive social cohesion
- Range and coverage of service providers.

The activities and works contribute to the following outcomes/outputs:

- Activities to improve education and skills levels (here: training of surveyors, field workers etc.)
- Formalised businesses and smaller enterprises developed by the programme with special focus on micro enterprises and Early Childhood Development (ECD) centres (here: set up of local service provider specialising in local research).

CHECKLIST

Determine the goal of KM		
What do you want to achieve through KM?		
What expectations does the team itself have of functioning KM?		

Methods, Benefits, Inputs	YES	NO
Have you done a Stakeholder Survey to enable early involvement of all stakeholders?		
Have you done a Strengths-Weakness Analysis to identify risks and future prospects?		
Do you have a Benchmarking system for measurement comparison?		

Knowledge process in the team	YES	NO
FOR GOAL DEFINITION	What knowledge goals have already been set out for the team?	
FOR RESEARCH, PROCESSING AND DOCUMENTATION	What tools is the team already working with successfully?	
	What research options are also available?	
	Are important needs still not covered?	
FOR QUALITY ASSURANCE	What quality assurance procedures for knowledge at your and other partner institutions already include (or should include) the team?	
	Are important quality requirements not being met?	

Communicating knowledge	YES	NO
Who needs what knowledge to be able to do his/her job better?		
By when, how often and in what form?		
How can you most simply ensure knowledge sharing with the stakeholders (targets, sources)?		

Necessary support	YES	NO
OPINION	Is the team management itself convinced of the value of measures and does it communicate this to the team and partners/third parties?	
	Do top managers publicly state their desire for successful implementation of KM measures?	
MEANS	Are the measures and their risks taken fully into account in the budget, timetabling and project planning?	
	Is it clear who is responsible for implementing the various measures and has enough time been allowed for this?	

Criteria		YES	NO
URGENCY	Is the measure essential, important for deadlines, desirable or nice to have?		
BENEFITS	How long will it take for the benefits to cover the costs of the KM measure?		
	What is the estimate of the (net) benefit of the KM measure one year after programme end?		
	Who benefits most from the measure?		
COSTS	What is the estimate for time required, for financial input for implementing the KM measure?		
	Does the KM measure result in follow-on costs and/or further needs for action?		

IT solutions:	YES	NO
SHOULD AN IT SOLUTION BE DEVELOPED?		
Is there a clear user group which has stated its request for an IT solution in this form?		
It is certain that someone will take care of data maintenance, updating and quality of information and technology on a permanent basis, and are resources, time and competencies available for this?		
Is the use of the systems firmly integrated in the working processes of the teams or third-party users?		

Positive conditions	YES	NO
TRUST	Do team members trust each other?	
	Do top managers publicly state their desire for successful implementation of KM measures?	
MODELS	Does team management provide an example of handling knowledge in an open and trust-creating fashion?	
EXPECTATION	Are all team members equally aware of the expectations made of them with regard to KM?	
QUALIFICATION	Are all team members aware of the tools available for this and their use?	
	If not, is training required?	
ADVICE	Are there individuals in the team to advise or coach team members in performing their knowledge sharing tasks?	
TASKS	Are the 'rules of the game' in the team designed to reward knowledge sharing?	

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