

COMMUNITY SAFETY GUIDELINE 2010



GAUTENG DEPARTMENT OF COMMUNITY SAFETY IDASA: SAFETY AND SECURITY PROGRAMME

Department of Community Safety
PO Box 62440
Marshalltown
2017
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ABBREVIATIONS

CSF	Community safety forum
GISC	Gauteng Intergovernmental Safety Committee
GSS	Gauteng Safety Strategy
IDP	integrated development plan
MEC	member of the Provincial Executive Committee
MMC	member of the mayoral committee
NCPS	National Crime Prevention Strategy
PCSF	Provincial Community Safety Forum
PEC	Provincial Executive Committee
SAPS	South African Police Service
UMAC	U-Managing Conflict

ABOUT THE GUIDELINE

The Gauteng Department of Community Safety, mandated by pillar 2 of the Gauteng Safety Strategy, Promoting Social Crime Prevention, contracted Idasa's Safety and Security Programme to develop this guideline for community safety forums (CSFs). The guideline primarily aims to introduce CSFs as the local-level safety coordinating structures attached to municipalities. Their role is to develop and implement multidisciplinary initiatives that improve the local quality of life by improving the levels – and perceptions – of citizens' safety.

This guideline aims to demystify the concept of CSFs. It provides, firstly, a framework to build awareness among interested parties and partners, and, secondly, a tool to empower and enable the strategic reorientation of existing CSFs. It learns from existing toolkits and theoretical understanding of local multisectoral partnerships. It offers basic, practical information, ranging from a definition of CSFs and an explanation of their overarching processes to tools that will help you carry out some of these processes.

As we write this guideline, CSFs are still misunderstood and policy direction is not clear. The Republic of South Africa does not have national legislation requiring municipalities to establish CSFs. Idasa believes that this guideline will assist in the development of CSFs as local champions of local safety. Local safety is more than the reduction of crime. It includes everything that enhances the perceptions of citizens about their local safety. That makes issues such as unsafe driving, potholes, the environment and personal security completely relevant.

To compile this guideline, we used the lessons Idasa had learnt in the process of establishing CSFs around the country, and also consulted published literature and toolkits. The guideline does not claim to be exhaustive or to have the answer to every challenge a municipality might face in establishing a CSF. Practical experience will certainly enrich the information in this guideline.

Target audience

The Department of Community Safety wanted Idasa to develop this guideline for local municipalities, which means that the target audience is, in the first place, municipalities in Gauteng. However, a whole range of community structures – such as street committees, rural safety committees and local drug action com-

mittees – can apply the principles contained in this guideline.

Structure

The guideline has nine parts.

Part 1: Background: This section introduces CSFs. It describes them, their purpose and the differences between them and community policing forums (CPFs), and it concludes by explaining the different safety institutions from local to national level.

Part 2: Legal framework: This part explains the international and national legal framework for CSFs.

Part 3: Community safety value chain: Here the guideline presents and discusses the primary and support components of the community safety value chain.

Part 4: Municipal council resolution: This part discusses the first element of the primary component of the community safety value chain, setting out the processes to be followed to obtain a council resolution on CSFs.

Part 5: Structure: Here we discuss the various structures that municipalities can draw from to establish proper governance structures for CSFs.

Part 6: Establishment: The processes and tools that a municipality can use to identify role players, define their roles and responsibilities and set up a CSF are explained here. Other topics are management and leadership, coordination and resourcing.

Part 7: Safety diagnosis: This section explains and discusses safety diagnosis as a critical element of developing a municipal safety plan. It gives examples of tools that municipalities can use to carry out such a diagnosis and it defines sources of information.

Part 8: Developing a municipal safety and implementation plan: This part of the guideline outlines the process of developing a municipal safety plan. It also explains how safety coordinators can incorporate the safety plan into a municipality's integrated development plan and discusses approaches to resourcing the plan.

Part 9: Monitoring and evaluation: Here the guideline sets out how one develops a detailed monitoring and evaluation approach to assess the progress and impact of a municipal safety plan.

1. BACKGROUND

We can trace this constitutional provision back to a 1994 United Nations survey of 135 mayors from every continent, which found that crime and violence was the fourth most severe problem facing the world's cities – and this has not changed.

Section 152(1)(d) of the Constitution of the Republic of South Africa requires local government to “promote a safe and healthy environment”. This creates a broad safety mandate for local governments, although municipalities have often limited their safety responsibilities to traffic control and disaster management. Some argue that safety is the exclusive responsibility of the South African Police Service (SAPS). This is a popular view, but it does not take into account the legal obligation of local government through this constitutional mandate.

The Constitution does indeed make crime prevention a mandate of the SAPS, but does not limit it to that specific agent of the state. Family cohesion, installing and changing street lights, victim empowerment and substance rehabilitation programmes are among the potential social and environmental crime prevention initiatives that fall outside the mandate of the SAPS. Promoting these initiatives in a coordinated way at local level is something that municipalities have to do. CSFs are a mechanism that enables municipalities to meet their responsibility for promoting a safe and healthy environment.

The Constitution also requires municipalities to structure and manage their administration, including budgeting and planning processes, to give priority to the basic needs of the community (section 153(b)). Health and safety are basic needs and priorities for all South Africans. Their fulfilment is essential to improving the quality of life of residents of any municipality. Without it, the socio-economic rights of residents cannot be realised. The risk that crime poses to the stability of municipalities requires a focused and dedicated approach to managing safety.

In addition, the Constitution compels municipalities to provide the essential financial and human resources for the promotion of safety and health. Section 152(2) requires municipalities to meet all the objectives of local government, including the promotion of safe and healthy environments, using their own financial and administrative capacity. In practical terms, this means that municipalities must find the money to design and implement safety initiatives, and must also provide the administrative capacity required to create a safe and healthy environment for all residents.

These sections of the Constitution are important because they state unambiguously that safety at local level is a mandate of local governments and must be funded through annual municipal budgets. Municipalities can, of course, make the case for provincial and national funding to meet this objective.

1.1 What is a community safety forum?

A community safety forum is a local sectoral committee or partnership that brings together the different disciplines, skills and experiences of the state, non-state actors, the private sector and communities to develop and implement initiatives to enhance safety levels in a municipality. In metropolitan municipalities, regions are administratively responsible for designing and implementing interventions. The regional initiatives are overseen by the responsible office at metropolitan level. Local municipalities are administratively responsible for designing and implementing safety plans, while district municipalities oversee implementation, give technical assistance and assume responsibility for district-wide priorities.

CSF partners, discussed in part 6, include:

- The municipality (speaker's office, office of the municipal manager, and those parts of

the municipal administration responsible for planning, utilities, traffic, water, parks, the environment and public safety);

- Government departments and agencies in the justice, crime prevention and security cluster (SAPS, National Prosecuting Authority, Department of Correctional Services);
- Government departments and agencies in the social development cluster (departments of social development, education etc) and responsible for economic development (liquor boards etc);
- Private sector (chambers of commerce, hawkers' associations, taxi owners' associations, local business forums, tavern owners' associations, traditional healers etc) ; and
- Community-based structures (relevant local non-governmental organisations, CPFs, faith-based institutions etc).

The local safety strategy will chiefly determine who needs to be involved.

CSFs primarily exist to implement multisectoral safety initiatives. These initiatives must not only ensure that attention is paid to law enforcement interventions (such as roadblocks, evictions and confiscation) to create safety, but also focus on long-term activities aimed at addressing the root causes of crime. This is explained in part 7 of the guideline. The initiatives are therefore likely to be a combination of the following measures:

- Social and environmental crime prevention (family cohesion, substance demand reduction, youth employment, offender reintegration, installing street lights, cleaning public spaces etc);
- Victim empowerment (trauma counselling, court preparation etc);
- Traffic and road safety (combating speeding and driving under the influence, promoting pedestrian safety etc.)
- Law enforcement (patrols, stop and search etc.); and
- Monitoring service delivery (by actors from all three spheres of government using the Intergovernmental Relations Framework).

These programmes are led by different partners in the CSF.

Intervention programmes implemented by CSFs address safety in terms of risk, or its absence as a factor that inhibits local economic development, investment and quality of life. Effective safety promotion programmes improve the quality of life and make the municipality attractive to businesses, tourists and residents, because they do not have to live in fear of crime or spend money building fortresses.

These multidisciplinary programmes are formulated following an analysis of the causes of insecurity in a municipality. Some safety and security problems are identified during the needs identification phase of the integrated development plan (IDP), but this might not address all the manifestations of insecurity felt by residents. The safety diagnosis phase outlined in part 6 of this guideline will enable CSFs to plan adequately to meet their constitutional obligations.

Other countries have crime prevention partnerships or local safety coalitions, but in South Africa we call these structures community safety forums.

1.2 The birth of community safety forums

CSFs evolved from an evaluation of how the Community Policing Policy was being implemented in South Africa. In many countries, community policing forums in which police

work actively with communities to develop sustainable approaches to enhancing safety are not created by legislation and are therefore not confined to law enforcement. South Africa, however, established its CPFs – community-based committees attached to police stations – through an Act of Parliament (the South African Police Service Act, 68 of 1995). The mandates of these committees are to:

- Establish and maintain a partnership between the community and the SAPS;
- Promote communication between the SAPS and the community;
- Promote cooperation between the SAPS and the community in fulfilling the policing needs of the community;
- Improve the rendering of police services to the community at national, provincial, area and local levels;
- Improve transparency in the SAPS and the accountability of the SAPS to the community; and
- Promote joint problem identification and problem-solving by the SAPS and the community.

The evaluation raised the concern that, through their legal mandate, CPFs are restricted to monitoring the SAPS and contributing to building community relations. Their composition and mandate do not legally allow them to hold multiple stakeholders accountable to a multi-agency social crime prevention agenda. CSFs were therefore conceived as a means for implementing the National Crime Prevention Strategy (NCPS) at local level using a multidisciplinary approach and drawing on the authority of the Intergovernmental Relations Framework. The intention is not to lose the vital contribution that CPFs make in improving policing in South Africa, but rather to address many of the frustrations experienced by CPF members every day. CSFs were therefore not designed to replace CPFs, but rather to operate in harmony with them.

Several provincial governments experimented with the mechanism. Different processes and structures were tested against provincial crime prevention strategies. The term “community safety forum” was first used in the Western Cape, where the provincial government introduced a Multi-Agency Delivery Action Mechanism (MADAM), which brainstormed the possible structure and functions of a local multi-agency body and identified the departments and groups that should participate. The resulting structures, designated “community safety forums”, brought together government departments (local, provincial and national) and community organisations (eg the CPF, development forums and youth forums) in a partnership to coordinate the implementation of crime prevention strategies and projects within defined geographic areas. The aim of these forums was to transcend interdepartmental and intersectoral boundaries standing in the way of community safety by bringing various representatives together regularly to develop projects and programmes.

MADAM officially launched CSFs as a provincial project in the Western Cape in October 1998. Britain’s Department for International Development and the Open Society Foundation provided funding. A non-governmental organisation called U-Managing Conflict (UMAC) was commissioned to develop eight CSFs as pilot projects in the Western Cape. As a provincial initiative, the CSF project was overseen by a provincial steering committee consisting of representatives from the SAPS, the community police boards and the government departments responsible for community safety, local government, justice, correctional services, education and social development.

In 2001, UMAC replicated the project in the Eastern Cape while the Network of Independent Monitors ran a concurrent initiative in KwaZulu-Natal. At the same time, a few

CSFs were established in other provinces. Their formats and structures varied extensively from province to province, so one cannot speak of a single South African CSF model. However, practical experience of implementing all these different forms of CSF could and should inform national policy development.

1.3 The purpose of community safety forums

A CSF is a mechanism that coordinates the relevant services and initiatives of national, provincial and local government agencies, civil society and communities in designing and implementing community initiatives to address the root causes of crime within a particular municipality. This includes local law enforcement interventions.

CSFs are built on the principles of the NCPS. At local level they facilitate and promote the implementation of multi-agency community safety initiatives by:

- Organically enabling common-purpose networks to be formed to respond to pressing issues of safety;
- Promoting the development of a common understanding of safety matters and the identification of inputs necessary to achieve safety through service improvement and crime prevention;
- Facilitating the active participation of partners and role players in the planning and implementation of multi-agency safety projects;
- Enhancing a coordinated response by the departments of the criminal justice system and other agencies, including non-governmental organisations and community-based organisations, to specified priority safety issues;
- Bringing about peace and stability in communities through an integrated and coordinated structure that incorporates all relevant partners within the local municipal boundaries;
- Facilitating the development and implementation of local safety-enhancing initiatives; and
- Providing improved and mutually beneficial two-way communication and interaction between the state, non-state actors and communities around community safety issues.

The NCPS requires local government to co-ordinate and promote work in inter-agency crime prevention work within local boundaries.

1.4 Local government leadership¹

Local governments throughout the world are in the process of becoming the leading drivers of safety creation through crime prevention and other initiatives. Mayors and safety practitioners around the globe have championed the shift from seeing safety as the responsibility of the police and the justice system to viewing it as a public good and a human rights issue (Shaw, 2001). This shift has enabled local government to assume bold leadership in the design and implementation of local sectoral plans whose aim is to improve safety. The change in thinking has been influenced by the following factors:

- Citizens besieged by crime in their residential areas are lobbying local councillors for local leadership of safety measures.
- Policy changes now require local governments to coordinate local multisectoral teams implementing safety plans.
- Increasingly communities expect local government to assume some level of responsibility for initiating or directing action against crime seen to be affecting local well-being and quality of life. In this sense, the local authority is the level of democratic process closest to, and most clearly reflecting, the needs of communities.

¹ This section is based on the work of Bentley and Khalane (2005).

In a survey by the National League of Cities, a US organisation, 64% of mayors saw strengthening and supporting families as the most effective approach to crime reduction, and 49% pointed to jobs and economic development. (Waller & Welsh, 1999).

- Growing evidence from already implemented safety interventions points to the effectiveness of locally organised and coordinated crime prevention actions. Examples often cited are housebreaking reduction programmes in the United Kingdom, responses to disorder at major events in parts of Australia and gun control initiatives in the United States of America.
- Local government frequently has the most appropriate management infrastructure and skills base for delivering the multi-agency programmes that are often required. Services provided by local government that may be relevant to the crime prevention process typically include: environmental design, land use and zoning (including the establishment of alcohol-free zones), waste management, the provision of street lighting, public events management, local human services and community recreational services (AIC, 2004).

While it is clear that local government has a greater role to play and that it requires appropriate capacity to do so, it needs to be understood that not all local municipalities operate at full strength in South Africa, and that while they must provide leadership and coordination, they need to be assisted and supported by national and provincial governments, civil society and the private sector. This should be done through providing appropriate and adequate technical support and other resources such as funding, skills development, and access to necessary research and data, and policy guidance.

Local governments from around the world continue to mobilise local partnerships with key actors – social services, schools, the police and other agencies, community organisations, residents and the private sector – to develop strategies and programmes that promote community safety.

The first official government document to advocate the greater involvement of municipalities in promoting safety in South Africa was the NCPS. It was clear to the drafters that the sphere of government closest to the community should be responsible for localising the content of the NCPS. The role they envisioned for local government was to co-ordinate and promote interagency crime prevention work within local boundaries.

The White Paper on Safety and Security (Republic of South Africa, 1998) argues that local government should play the lead role in promoting local safety through multi-agency partnerships. Figure 1 is a diagram representing the initial thinking regarding a strong coordinating role for local government. It is this thinking that informed the development of the CSFs.

The following White Paper extracts indicate the reasoning of the Department of Safety and Security in 1998 and the role it envisaged for local government.

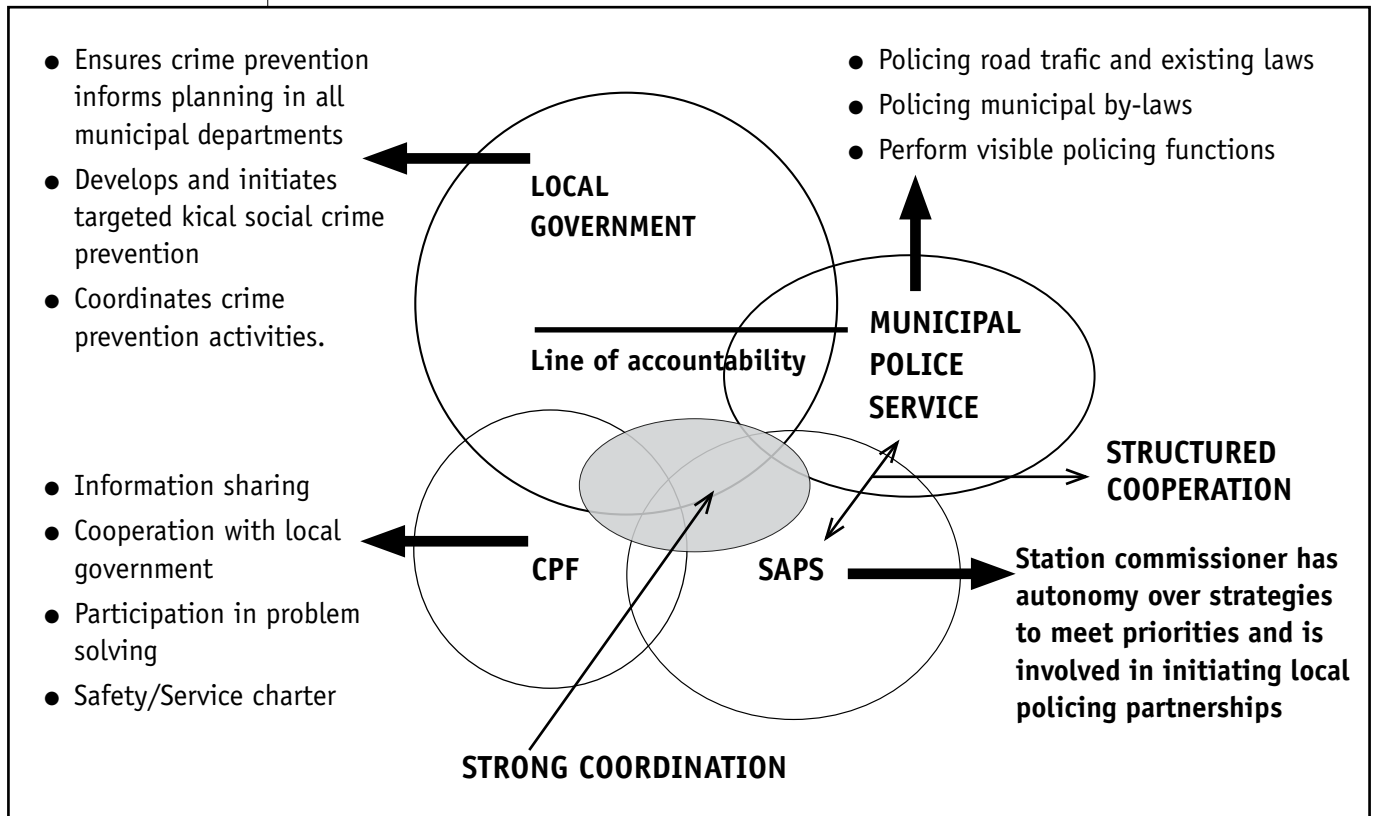
Crime varies from locality to locality and requires different solutions in different places to reduce it. While national government can provide frameworks for encouraging and supporting crime prevention, implementation must take place at local level. ...

Apart from this role, however, international experience suggests that without the co-operation of local government, social crime prevention initiatives targeted at specific problems seldom succeed on the ground. Cities and towns should be encouraged to establish strategies for crime prevention. These should aim not only to ensure internally or externally initiated crime prevention interventions, but also to align local resources and development objectives within a crime prevention framework. Crime and crime prevention should be seen as central to the planning and function of all municipal department line functions. ...

Local government is well placed – provided the required resources and capacities are available – to design and implement programmes targeted at specific crime problems and groups at risk. Such prevention programmes can either be financially supported by local government itself or through business, donor and national government funding.

...

FIGURE 1 *National, provincial and local government relationship for social crime prevention²*



The local government crime prevention spectrum

- The internal prevention of crime within the structures of, and on the property of, the municipality.
- Working with local police in setting joint priorities and identifying possible areas for local government intervention.
- Aligning internal resources and objectives within a crime prevention framework.
- Ensuring development projects take account of crime prevention principles.
- The co-ordination of crime prevention initiatives operating within the municipal area to avoid duplication.
- The effective enforcement of by-laws to ensure safer and cleaner environments less conducive to crime.
- Effective traffic law enforcement to ensure well-managed and regulated environments less conducive to criminal activity.
- Assisting victims of crime through the provision of information around what services are available or where capacity exists providing limited victim support services.
- Initiating targeted crime prevention programmes aimed at specific problems and groups at risk.

Importantly, the White Paper recognises the existence of disadvantaged local governments, singling them out for special assistance by national and provincial governments. It also recognises the importance of ensuring that local government is included in policy-making processes intended to support crime prevention efforts.

1.5 Functions of community safety forums

Table 1 sets out the roles of CSFs as envisioned by the Gauteng Department of Community Safety.

TABLE 1 *Roles of community safety forums*

ROLE	RATIONALE
<p>The forum shall act as an institutional mechanism through which the member of the mayoral committee (MMC) responsible for public safety can marshal government and civil society to address crime and its causes in a municipal area</p>	<p>Crime and its causes, for the most part, can only be defeated through multi-agency actions that bring to bear the required combination of skills and resources to effectively address crime and its causes.</p>
<p>The forum shall provide a mechanism for the MMC to determine strategic safety priorities for the municipality, that she or he shall use to direct the integration of safety efforts. This shall include ensuring:</p> <ul style="list-style-type: none"> ● Strengthened regional safety plans and IDP safety plans; and ● Comprehensive inputs on the municipality's policing needs and priorities for the Department of Community Safety to use to engage the national Minister of Police over police resourcing plans. 	<p>This requires law enforcement, which deals with the crime, to work in concert with social crime prevention, which deals with the causes of crime (ie socio-economic and environmental factors).</p> <p>At municipal level, only an MMC responsible for public safety has the mandate to undertake the coordination necessary to bring the relevant safety stakeholders together effectively.</p>
<p>The forum shall encourage both the autonomous and integrated work of stakeholders through the provision of strategic direction and information, and the development of a sense of accountability of all stakeholders through a process of oversight. This should be done, inter alia, through:</p> <ul style="list-style-type: none"> ● The advocacy of support for all stakeholders undertaking relevant safety work; ● Building the accountability of all structures through their structured participation and reporting to the forum; ● The escalation of stakeholder performance and commitment challenges to the required level, with the assistance of the Department of Community Safety or exco, in order to improve stakeholder accountability; and ● Addressing impediments to joint work. 	

<p>The forum shall provide strategic leadership and direction through the provision and maintenance of a shared situational awareness of crime and crime causes in the municipality.</p>	<p>The MMC's promotion of autonomous and integrated efforts can only be effectively sustained if stakeholders share an understanding of safety priorities. The forum needs to develop and maintain this awareness with input from its stakeholders.</p> <p>Basic protocols or agreements developed by the forum on how to partner to address a given safety issue should lead to more timely responses to crime and crime causes.</p>
<p>The forum shall be used to promote the idea of safety networks in which the participation of government serves units, partnership safety structures (eg CPFs, school safety committees, youth desks) and civil society structures (eg faith-based organisations, business forums, women's and youth groups) in both safety actions and planning.</p>	
<p>Because many government departments and civil society organisations have not conceptualised, or fully conceptualised, a safety role for themselves, the forum shall, from time to time, provide training and best-practice exchange to improve autonomous and collaborative work. Its aim shall be to mainstream safety work into all relevant areas of the metro's work.</p>	<p>The training, much of which can be provided by the Department of Community Safety, will assist in developing the safety roles and capabilities of stakeholders but also their ability to work as partners within a safety networking framework</p>

2. LEGAL FRAMEWORK

Community safety forums (CSFs) are a product of policy evolution and developments with regard to safety in South Africa and internationally. At the time of writing, South Africa does not have a government policy specifically requiring municipalities to establish bodies called CSFs. However, national ministers have made numerous statements on CSFs and the ruling party has passed successive resolutions on the subject at its policy conferences as far back as 2002, thanks to civil society advocacy. In addition, the Minister and Deputy Minister of Police pronounced on the need to establish CSFs in their 2009-2010 budget speeches. There is a process under way to formulate a policy that will regulate the establishment of CSFs.

Although there is no CSF-specific legislation or policy, this part of the guideline will highlight the many documents that can inform the setting up and running of a CSF.

2.1 Policy guidelines

In the absence of a formal enabling legislative framework on CSFs, the design and structure of this mechanism are informed by various pieces of policy and legislation that have guided the direction of the initiative and determine its underlying principles. CSFs represent a practical attempt to develop a mechanism at local level to operationalise key aspects of the National Crime Prevention Strategy (NCPS) adopted in 1996. This and other documents reflect the principles underpinning the post-apartheid evolution of South Africa's young democracy. They include a focus on inclusivity, coordination, joint decision-making and the integration of programmes: modern, functional concepts that also reflect international best practice.

The CSF concept correlates directly with government policy guiding the delivery of safety and security services. In particular the CSF is in line with:

- The provisions of the 1996 National Crime Prevention Strategy (NCPS) relating to the development of a coordinated multi-agency response to crime. The NCPS is notable for its emphasis on the integration and transformation of the criminal justice system as a prerequisite for effectively combating crime. According to the NCPS, crime prevention should incorporate "coordinated long-term strategies that involve a range of participants beyond the traditional criminal justice system". As such, it is an important attempt to provide a comprehensive policy framework that addresses all the policy areas that impact on crime.
- The provision in the 1998 White Paper on Safety and Security relating to local government's strong coordination role in enabling crime prevention partnerships with a range of role players including CPFs.
- The provision in the 1998 White Paper on Local Government mandating local governments to develop a greater responsibility for local safety and security.
- The Constitution of the Republic of South Africa, Act 108 of 1996, which empowers local government to assume responsibility to lead safety initiatives in their area (see section 152). The Constitution also creates a framework of cooperative governance responsibilities obligating provincial and national assistance to local government (section 154) and ensures local government participation in provincial and national programmes (section 153(b)) and also in legislative and policy processes (section 154(2)).
- The provisions of the Local Government: Municipal Systems Act, 32 of 2000, mandating each local government to undertake integrated development planning for its area.

Integrated development planning is a process through which a municipality prepares a five-year strategic development plan called an integrated development plan (IDP). It is the principal strategic planning instrument that guides and informs all planning, budgeting and decision-making in a local government area involving local government service units, national and provincial government departments and non-governmental service providers. The IDP serves to amalgamate all other development plans at local level. With democratic governance in mind, the IDP process institutionalises public participation in the identification of a local area's service needs. The IDP is made up of a number of sector plans covering the local government's management spectrum. The Municipal Systems Act makes some of these plans mandatory, for instance the spatial management plan. Local government may incorporate any other plans that it needs, such as a safety plan.

- The provisions of the Intergovernmental Relations Framework Act, 13 of 2005, relating to the creation of mechanisms that can be established by national, provincial and local governments to promote and facilitate intergovernmental relations, to facilitate the settlement of intergovernmental disputes and to deal with related matters.
- The provisions of the 2003 White Paper on Traditional Leadership and Governance relating to the promotion and facilitation of strong relationships between the institution of traditional leadership and the different spheres of government, in particular local government, so that it acts in partnership with local municipalities to ensure service delivery and secure and safe rural areas, and also supports municipalities in the identification of community needs.
- Section 20(1) of the Traditional Leadership and Governance Framework, 41 of 2003, which empowers government departments to use legislative measures or other means to accommodate the roles, including those that are safety-related, of the traditional leadership or council. Boyane Tshehla (2005) notes that traditional leaders have remained on the periphery of crime prevention policy, and that their roles beyond law enforcement should be explicitly defined. Key roles suggested by Tshehla are:
 - Championing development initiatives that contribute to crime prevention in areas falling within the jurisdiction of traditional leaders;
 - Facilitating the building and maintenance of social institutions, such as schools and health facilities; and
 - Leading crime prevention through environmental design.

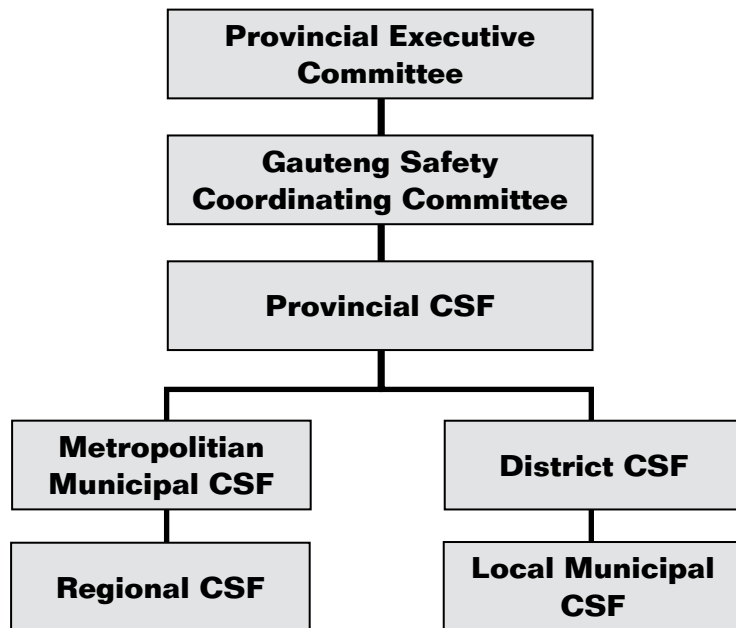
Local government consists of a legislature (in the form of a council), an executive and service provision units. It has the competency to establish structures useful for its service delivery, such as CSFs, by resolution of the council and to formulate the mandate for these structures.

2.2 Community safety structures and linkages in Gauteng

Figure 2 depicts the various safety structures that make decisions on safety in Gauteng. These structures are presented for use as reference. The Provincial Executive Committee (PEC) is the highest decision-making structure of the provincial government. The Premier of the Province chairs the PEC, which consists of members of the executive committee (MECs) and the heads of provincial departments. The committee determines provincial policy direction, strategy and resources, and monitors the implementation of priorities.

Safety is one of the strategic priorities of the Gauteng Provincial Government. The Department of Community Safety is responsible for designing a province-wide safety strategy on behalf of the PEC. The PEC discusses, makes inputs on and adopts the safety strategy. The PEC then assigns the Department of Community Safety to coordinate the

FIGURE 2 *Decision-making safety structures in Gauteng*



At the time of writing, the Gauteng Department of Community Safety was coordinating the implementation of the Gauteng Safety Strategy.

The strategy has four pillars.

- Pillar 1 defines the provincial mandate for improving the quality of policing.
- Pillar 2 is about innovations in promoting social crime prevention.
- Pillar 3 outlines the institutional arrangements to support social crime prevention.
- Pillar 4 encourages community participation.

implementation of the strategy and report to the committee. The PEC determines targets that the strategy must achieve.

The PEC adopted the Gauteng Safety Strategy (GSS) for implementation between 2006 and 2014. If the CSFs function effectively, the PEC will be able to use municipal IDPs to shape the provincial strategy, rather than having to develop it from scratch and follow a top-down model of governance.

Pillar 3 of the GSS requires the establishment of a Gauteng Intergovernmental Safety Committee (GISC) to coordinate the joint planning and implementation of initiatives between the provincial and local spheres of government.

The GISC was duly formed, and is chaired by the PEC member (MEC) responsible for

community safety. It consists of the members of the various mayoral committees responsible for public safety, the administrative heads of the departments of safety and security in provincial and local government, and technical experts.

The GISC adopted a proposal to establish the Provincial Community Safety Forum (PCSF) in August 2007. The PCSF is responsible for coordinating the design of innovative ideas to promote social crime prevention in Gauteng. It is coordinated by an administrative official delegated by the head of the provincial Department of Community Safety. Municipalities have appointed safety coordinators to participate in the PCSF. The partners in the forum include municipal IDP officials, the national and provincial departments responsible for health and social development, the provincial Department of Education, the Gauteng Liquor Board and the national Department of Police. The purposes of the forum are to:

- Develop an efficient enabling environment for safety through a network approach;
- Share information and best practices;
- Integrate the initiative through joint planning and coordination; and
- Build a provincial social crime prevention team

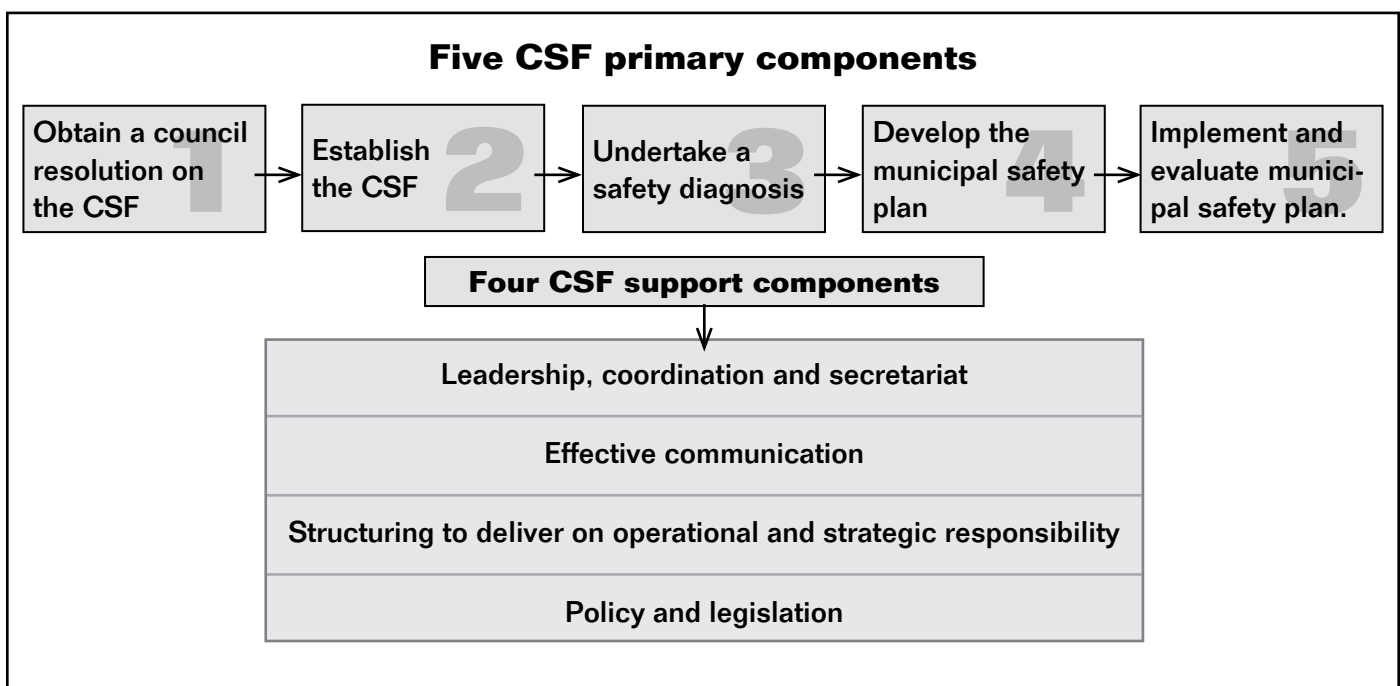
District and metropolitan municipalities can establish their own CSFs. The policy on CSFs will determine the form, format, roles and functions of metropolitan and district municipality CSFs. It is recommended at this stage that metropolitan and district municipal CSF functions should not include implementing and developing safety plans. Their role and functions should include providing the resources, tools and expertise to enable local municipalities and service delivery regions to design and implement safety plans. CSFs at district and metropolitan level should also concern themselves with monitoring and evaluating the impact and effect of the plans developed. However, should there be safety issues that can benefit from coordination at the highest level, district and metropolitan CSFs should not shy away from doing this.

3. COMMUNITY SAFETY VALUE CHAIN

The community safety value chain provides the overarching approach to identifying and creating community safety value in municipalities. The value chain is recommended, though not prescribed. Following the value chain will help municipalities in Gauteng identify and address matters that might get in the way of providing effective safety values to citizens, local business and relevant partners. Achieving community safety is an intricate and difficult task. It requires clarity of purpose, commitment, management, effective coordination, administrative support and resources. Local safety cannot be delivered cheaply. Safety requires resources. This aspect will be reviewed later in this guideline.

CSF establishment should be seen as part of the broader objective of improving the local quality of life through enhancing community safety. Therefore the formation of a CSF should never be considered an end in itself, and should not be regarded as a process separate from designing the municipal safety plan. They are both part of the bigger value chain. This section of the guideline will be confined to the local safety value chain. While a CSF is an important coordinating mechanism for safety, establishing one is not an end in itself. It represents the start of the community safety value chain, which has five primary components and four support components.

FIGURE 3 *Community safety value chain*



3.1 Primary components

The five primary components of the community safety value chain entail the following five processes:

- Secure a council resolution on the establishment, resourcing and management of a CSF.
- Establish and coordinate a multisectoral CSF and structure it so that it can fulfil strategic and operational responsibilities.

Secretariat support and coordination will either make or break the CSF.

- Diagnose safety to develop an evidence-supported understanding of the safety needs of beneficiaries (citizens, businesses etc), their causes and possible actions.
- Develop a municipal safety plan that outlines safety priorities, objectives, strategy, short- to long-term strategic projects, implementation teams and budgets to address the safety needs of beneficiaries.
- Manage, monitor and evaluate the implementation of the municipal safety plan.

The following sections of this guideline will expand on each of the primary components, so they will not be discussed at length here.

3.2 Support components

These support components are critical to the success of the primary components.

● *Leadership, coordination and secretarial support*

The municipality, through the MMC holding the public safety portfolio, is responsible for providing leadership. The municipality must provide capacity to enable the CSF activities and value chain to be coordinated effectively, and coordinating CSF activities is a full-time job. We strongly urge municipalities to appoint dedicated officials whose sole, full-time responsibility is coordinating and providing secretarial support to the CSF. This embraces everything from overall coordination – including the CSF's establishment, resourcing, and reporting – to providing technical assistance to enable implementation and management. Secretarial support includes such functions as organising meetings in time (allowing at least two weeks' notice), taking minutes and distributing them promptly (no more than three days after the meeting), and follow-up on decisions taken. The coordinator and the secretary should be appointed or seconded either before or immediately after the adoption of the CSF resolution by the council.

● *Effective communication*

A CSF needs to communicate its activities, plan of action, progress and impact to internal and external partners who have an interest in or are affected directly or indirectly by issues of safety. The CSF should not prioritise external communication but

The very first communication material that you, as the coordinator, should prepare is a simple flyer explaining the CSF, its objective, its potential partners, the council resolution that established it and the coordinator's contact details. You can either ask your communication unit to create the flyer or, if you have the budget, outsource the job. Otherwise or you can create one yourself. Several websites offer free templates and design assistance. All you have to do is google the words "free flyers" or "free brochures".

Microsoft Office also offers numerous brochure templates that you can use to prepare a simple flyer. An address for some templates, if they are not already on your computer, is <http://office.microsoft.com/en-gb/templates/CT101043031033.aspx?av=ZWD000>. Please make sure that your municipality's communication official or language experts edit your flyer before you print and distribute it.

After that, the CSF coordinator should ask the official responsible for communication in the municipality to provide communication assistance. You can do this by forming a technical committee on communication composed of communication specialists or communication officials attached to CSF partners. Their role will be to develop a comprehensive communication strategy to help the committee continuously communicate CSF activities to internal and external partners. The coordinator should ensure that communication is one of the standing items on the CSF agenda, and each meeting should have themes to communicate to member organisations and external parties. Newsletters, emails, the internet, radio and print are media that the CSF can use to communicate safety themes. Some themes may flow from the government's programme of action or from safety-related incidents affecting residents.

rather strike a balance between that and internal communication. Especially during the formative stages of the CSF, the coordinator should prioritise internal communication, especially among CSF members, and then gradually incorporate external communication. The main recipients of messages should always remain local residents, workers, tourists and businesses.

The CSF should be structured so that it can fulfil strategic and operational responsibilities. CSF structuring is discussed in the next part of this guideline. Suffice it to point out here that the strategic activities of the CSF include conceptualising the CSF, approving and resourcing the municipal safety plan, and monitoring and evaluating the plan's impact. Operational activities involve managing the day-to-day activities of the CSF. This includes coordinating and managing the process of establishing the CSF, undertaking diagnosis, presenting diagnosis reports to identify priorities, recommending strategy, coordinating implementation and reporting on impact.

Policy and legislation give CSFs statutory legitimacy. Without these, CSFs are unable to hold departments and organisations accountable for delegated activities. The most important policy instrument for any CSF is the council resolution that established it.

Local government is normally the initiator, owner and coordinator of all the main processes. However, any other capable individual or organisation can initiate the CSF, provide interim leadership and thereafter hand it over to the appropriate unit in local government.

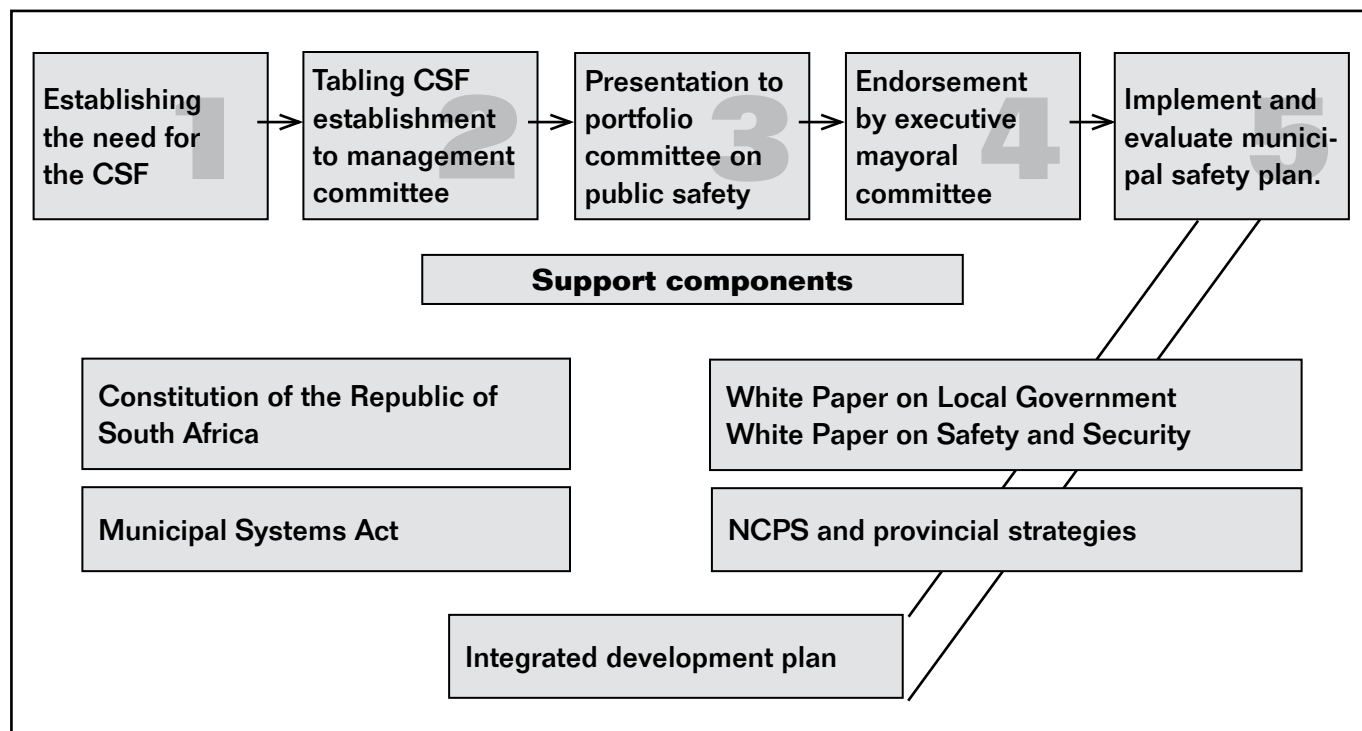
Additional reading

Rosenbaum, D.P. 2004. *Evaluating Multi-Agency Anti-Crime Partnerships: Theory, Design and Measurement Issues*, Chicago: University of Illinois, Crime Prevention Studies, 14, pp.171-225.

4. MUNICIPAL COUNCIL RESOLUTION

This is the first part of the process of establishing a CSF (assuming that a local municipality initiates and leads the process). It mainly entails carrying out the background work that is critical to the establishment of an effectively run and managed CSF. The main deliverable of the process is a council resolution on CSF establishment.

FIGURE 4 *Primary components of CSF setting-up process*



The initiator should first identify or formulate a need for the CSF. Various entry points can be used to advocate the establishment of the CSF. Here are three:

- The laws and policies explained in part 2 of this guideline form the basis of the statutory obligation on local governments to establish safer municipalities. At the time of writing, South Africa did not have legislation requiring municipalities to establish CSFs. There have, however, been pronouncements on CSFs by policy-makers such as President Zuma, in the 2010 State of the Nation address, and the Minister and Deputy Minister of Police in their 2009-2010 budget speeches. The initiator is required to read and become intimately familiar with legislation providing the legal justification for the existence and establishment of structures such as CSFs.
- Communities normally raise concerns about insecurity and crime during formal IDP hearings. The initiator will be required to review the needs section of the IDP document. There will be many safety concerns, ranging from basic issues such as noisy liquor retailers to school safety. The initiator can use these community safety needs from the IDP to advocate the establishment of a sectoral forum whose main functions will be to develop a deeper understanding of the causes of safety problems, formulate a municipal safety plan to respond to safety concerns and use multi-disciplinary approaches to meet the safety needs of communities systematically.
- Local service providers who are concerned about levels of safety can initiate discussions with the municipality to establish a CSF. For example, the local chamber of

commerce may identify crime and insecurity as an inhibitor to local economic development. The chamber can lobby the local municipality to establish a CSF to lead the process of improving levels of safety and thereby make the municipality attractive to business.

The West Rand District Municipality has a full time CSF coordinator who is assisted by three safety officers. These officers coordinate the process of implementing some pillars of the municipal safety plan

Irrespective of the entry point chosen, somebody must initiate the process of establishing a CSF. Whoever it is, the official delegated by the municipality to establish the CSF can follow the value chain set out above to obtain the required authorisation. The key to establishing a CSF is producing a memorandum motivating it. The memorandum must address the following, among other things:

- It must argue that the municipality has to establish a CSF as the only mechanism to lead and champion safety initiatives within the local municipality. The body of legislation outlined in part 2 can be included in the motivation, as well as the pronouncement by President Zuma.
- Taking into account the structural needs of the municipality, it should suggest the most appropriate CSF structure. The structures discussed below can be adapted to meet the needs of the particular municipality.
- It must also set out to persuade the municipality to appoint an individual to coordinate the work of the CSF full-time. This official will be known as a community safety coordinator. Depending on the size of the municipality, support staff might also have to be appointed. The staff members must be municipal employees in the community safety or crime prevention sectors, departments or units. If dedicated CSF coordination and secretarial functions are to be retained in the municipality, the tasks need to be integrated into the job description and performance contract of a specific (preferably senior) manager.
- The memorandum must emphasise the importance of both political and administrative oversight by a standing committee and the executive committee, particularly of departments outside the direct control of the municipality.
- It must set out the resources and finances required for office set-up, logistics and CSF work. Key initial cost drivers will include expenditure for the identification and mobilisation of partners, diagnosis and some, though not all, the costs of developing, implementing and evaluating the municipal safety plan.

The CSF concept is in line with the government's approach to safety, and is likely to be formally legislated into existence in the near future. At the time of writing, CSFs are non-statutory bodies without executive powers. Some municipal officials may not understand the need for municipalities to fund safety issues. Some government departments may not be willing to participate in CSFs without legislation and might need convincing. In this situation, a municipal council resolution on CSF establishment is the most critical policy decision that can be used to lobby for support.

The memorandum must first be formulated, discussed and approved within the relevant division or business unit. Once it has been approved, the head of the department of public safety will table it for discussion by the municipal management committee, chaired by the municipal manager. The committee might make amendments and then endorse it for implementation. After that, the approved memorandum must be tabled for detailed discussion by the portfolio committee on public safety, which will then draft a resolution for tabling to the executive mayoral committee for endorsement and, lastly, to the council for a resolution.

The council must formally pass the resolution establishing and resourcing the CSF before it can be launched or discussed with other structures. Without such a resolution, it would be difficult to coordinate the various role players and even to obtain resources within local government.

5. STRUCTURE

The structure suggested here is informed by a review of numerous CSF structures piloted in different parts of South Africa and crime prevention partnerships operating internationally. South Africa does not have a policy that prescribes a CSF structure, and there is no consensus on how CSFs should be structured to function and operate. It is believed that the policy to be formulated by the national Department of Police will shed more light on this.

In establishing a CSF, it is best to adopt a flexible approach, taking into account the size of the municipality, capacity and area of implementation. The structure eventually arrived at must enable the CSF to fulfil three main functions, namely:

- Making strategic decisions;
- Coordinating activities and projects implemented by different government and non-governmental organisations to enable safety at the local municipality; and
- Enabling management to review and provide strategic direction to the CSF.

5.1 Organisational design principles

The basic rule behind the creation of a structure is that strategy precedes structure. While this principle should ideally be adhered to, the first step is to establish a team that will coordinate everything. The team will follow the development of the strategy review and agree on the ideal structure for a CSF.

Three structures are presented in the diagrams below. Each structure has advantages and disadvantages. In formulating a structure, the designers must take into account issues such as roles to be fulfilled, the importance of coordination and accountability, and the need to enable effective implementation of interventions. CSFs coordinated at the district level are likely to have different structures from those operating at local level. Whatever structure is decided upon, it must enable the CSF established to:

- Make strategic decisions;
- Coordinate and provide essential support; and
- Enable project implementation.

The fulfilment of these three functions is essential. CSFs that only make strategic decisions are likely to become talk shops. Those that strategically combine all three functions will be able to translate vision into action.

5.2 CSF structures

Figure 5 proposes a simple structure for a CSF. The structures take cognisance of the fact that municipalities in Gauteng are all category A or B municipalities, and that all have executive mayoral committees and MMCs responsible for public safety. The MMC, as the political head of public safety, chairs the portfolio committee on safety and provides leadership to the CSF. The MMC, together with the head of the department responsible for public safety, will table all CSF issues for discussion in all key decision-making structures of the municipality. These are the management committee, chaired by the municipal manager; the portfolio committee on public safety, chaired by the MMC; the executive mayoral committee, chaired by the mayor; and the council, chaired by the speaker.

5.2.1 Basic CSF structure

A municipality's highest decision-making body is the council. The council makes decisions and the portfolio committee, within the local council, will oversee the CSF. It will receive and evaluate progress reports continuously. The CSF is ultimately accountable to the portfolio committee and council for its activities.

FIGURE 5 *Basic CSF structure*

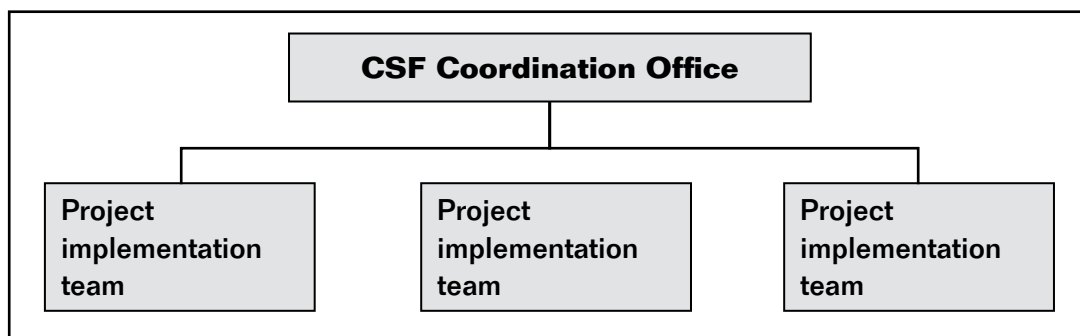


Figure 5 depicts the simplest and most basic of the three known CSF organisational structures. It assumes that the municipality will be responsible for coordination. A full-time official is responsible for coordinating it. The CSF can nominate a secretary from among the participants, or the municipality can appoint an individual to provide administrative support. Normally the coordinator or the head of the department of public safety chairs such structures. The MMC responsible for public safety will receive reports on CSF activities from the coordinators, and will participate in determining the meetings or activities of the CSF. The CSF will use teams to conceptualise projects and to coordinate resourcing and implementation. The team will report progress at each meeting of the CSF.

This is a very basic simple structure, in which all the parties are responsible for both strategic and operational activities. Members of the CSF decide what needs to be done, and on the approach and accountability. CSF members in such structures account to their organisations only. The CSF cannot hold them accountable. They can easily withdraw their participation, because no one can hold them accountable for departmental work.

This limitation has led to the formulation of the structures described below, which separate strategic responsibility from operational responsibility. They also introduce a committee that is constituted of the principals, or the most senior managers, of organisations participating in the CSF. Their role is predominantly strategic in nature, and relates to resourcing and to monitoring and evaluating impact. They can also hold those responsible for operational activities jointly accountable for the successes or failures of the CSF.

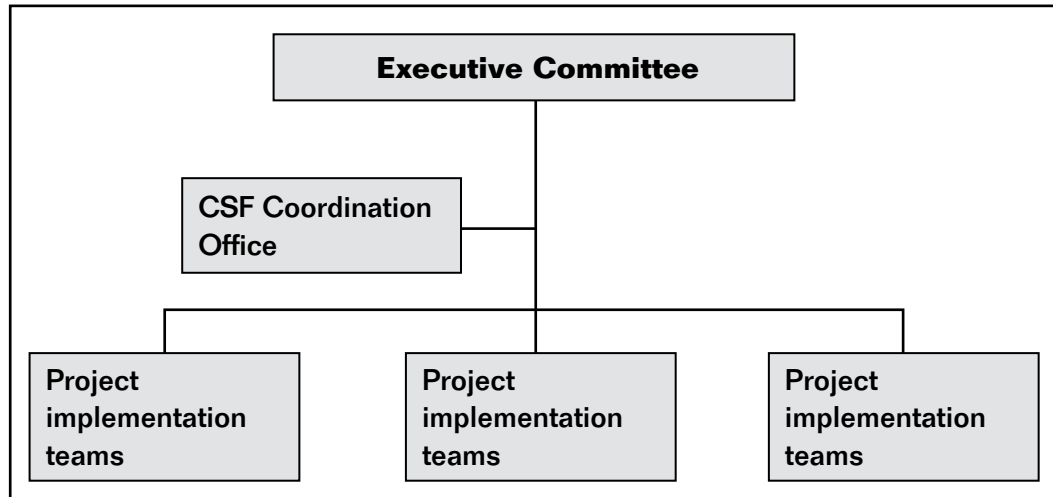
5.2.2 Functional CSF structure

This CSF organisational structure arises out of the limitations of the basic structure set out above. It introduces an executive committee that is responsible for the strategic responsibilities of the CSF. It also enables MMCs relevant to safety to participate actively in the CSF, together with other principal and most senior managers of organisations that are part of the CSF. The MMC responsible for public safety chairs the executive committee, which can meet, as and when required, on its own, with project team leaders, or with the entire project implementation teams. The role of the CSF coordination office is purely that of coordination, and not of chairing the CSF. The office provides

technical capacity, secretarial support and resources for the executive committee and the project implementation teams.

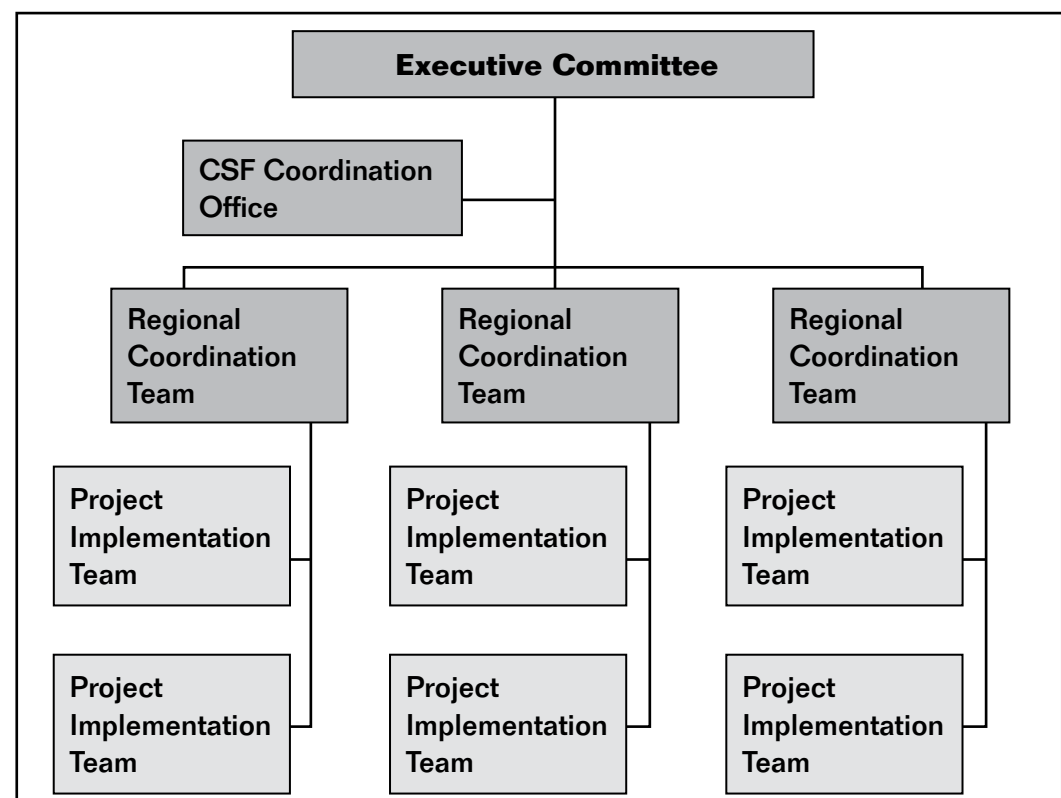
The structure represented as figure 6 can evolve from the basic structure illustrated in figure 5. While it introduces the element of accountability, it also has limitations. Metropolitan, district and local municipalities in Gauteng have huge geographic

FIGURE 6 *Functional CSF structure*



boundaries. They have extremely diverse settlements whose safety needs differ vastly. For example, the safety needs of those in a central business district may vastly differ from those in residential areas. Affluent residences are likely to have different safety concerns from those in disadvantaged areas. To address these divergent needs, municipalities may want to form complex structures to address the safety needs of each geographical area.

FIGURE 7 *Complex CSF Structure*



In such an instance, a municipality may establish regional implementation coordination teams. Their role and function will be to coordinate CSF activities in a particular area or service delivery region. This can be achieved by appointing additional personnel to the CSF coordination office who will be responsible for coordinating activities in specific region, zone or service delivery node.

Figure 7 illustrates a complex structure that may present challenges of management. The advantage is that the CSF can be inclusive and mobilise the participation of residents in activities aimed at addressing safety issues in their geographical area, rather than participating in municipality-wide activities.

5.3 Functions of the different structures

The functions of the executive committee include:

- Providing leadership and championing CSF activities and the community safety value chain;
- Facilitating the conceptualisation of the safety vision for the municipality and actively lobbying for and mobilising participation in key structures;
- Reviewing and approving the municipal safety plan;
- Enabling the integration of the municipal safety plan into the IDP and strategic plans of institutions that are part of the CSF;
- Sourcing funding and resources to implement the municipal safety plan;
- Establishing project implementation teams; and
- Monitoring and evaluating the implementation of the municipal safety plan.

The executive committee must meet as often as possible, at least once a quarter, to assess progress and impact.

The CSF coordination office is a component within the local municipality created to provide overall coordination and technical support to the executive committee and the project implementation teams. Coordination is a full-time responsibility. The coordinator's functions include:

- Coordinating, on behalf of the executive committee, the process of developing a municipal safety plan and municipality-wide implementation plans;
- Assisting in the configuration of the implementation teams;
- Helping implementation teams design project implementation plans and build the required project management skills and capacity;
- Coordinating meetings of the CSF executive committee and project implementation teams;
- Providing secretarial support to the executive committee and implementation teams;
- Providing the technical services essential to enable the implementation teams to perform their roles and functions, which include providing services such as project management, design and costing;
- Preparing progress reports on behalf of the project implementation teams for presentation and discussion by the executive committee;
- Preparing progress reports to the council on behalf of the executive committee; and
- Procuring the technical services required to monitor and evaluate the projects.

The functions of regional implementation coordination teams can include the following, in addition to coordination:

- Developing a broader understanding of the regional dynamics that cause insecurity;
- Integrating regional understanding into the municipal safety plan;
- Regionalising the implementation of the municipal safety plan by designing implementation plans;
- Forming teams at the regional level to implement designed plans; and
- Providing progress reports and regional trends to the CSF executive committee for decision.

The operational staff of organisations represented in the executive committee make up implementation teams. For example, the head of crime prevention from a police station within the municipal boundaries should be part of the implementation team. The department that leads a specific project or intervention flowing from the municipal safety plan should convene the implementation teams concerned. For example, if one of the strategic interventions decided upon aims to reduce substance abuse, the relevant official from either the Department of Social Development or the Central Drug Authority should convene a team to design and implement interventions to achieve a defined objective regarding substance abuse. Team members can include organisations that have mandates on substance abuse, such as rehabilitation institutions, liquor retailers and the SAPS. The coordination office will make personnel available to enable the project implementation teams to fulfil their mandates.

The project implementation teams will be responsible for:

- Developing detailed project plans to implement an intervention;
- Costing or determining the budget required to implement an intervention;
- Determining the most cost-effective way to implement a strategic intervention;
- Implementing the strategic intervention;
- Implementing region-specific implementation plans; and
- Sending progress reports to the executive committee.
- Implementation teams should meet as frequently as possible to coordinate the design and implementation of their initiatives.

6. ESTABLISHMENT

One of the resolutions adopted at the 1990 United Nations Congress on the Prevention of Crime and the Treatment of Offenders points out that crime prevention programmes must

bring together those with responsibility for planning and development, for family, health, employment and training, housing and social services, leisure activities, schools, the police, and the justice system in order to deal with the conditions that generate crime (*Rosenbaum, 2004*).

The role players listed in the resolution do not primarily have the mandate to prevent and reduce crime, but they are brought together because their mandates have positive safety outcomes. For example, exposure to stress and male emasculation can cause domestic violence and drug use. The normal response of the criminal justice system is to arrest and prosecute offenders, an approach that yields short-term benefits. However, long-term benefits can be accrued through interventions that put criminal justice agencies in contact with mental health and other practitioners to tackle local priority safety issues such as domestic violence and drug use. This approach, which brings different role players together to jointly design and implement initiatives that prevent and reduce crime, is known as a multidisciplinary approach. It can, in theory at least, bring about sustainable improvements in the quality of life.

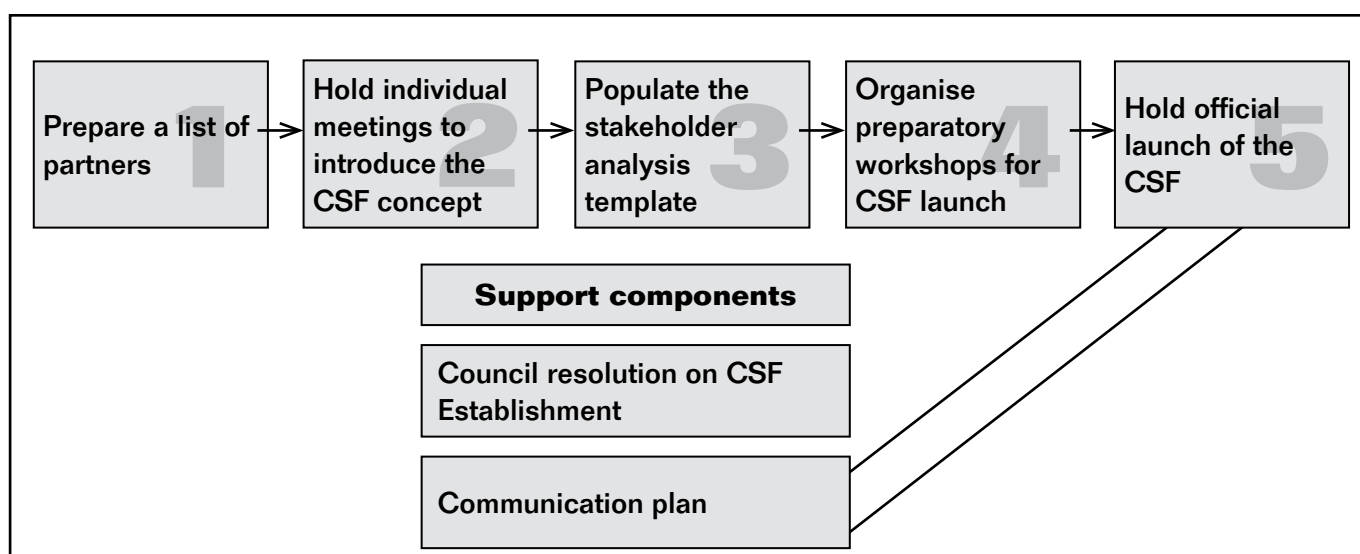
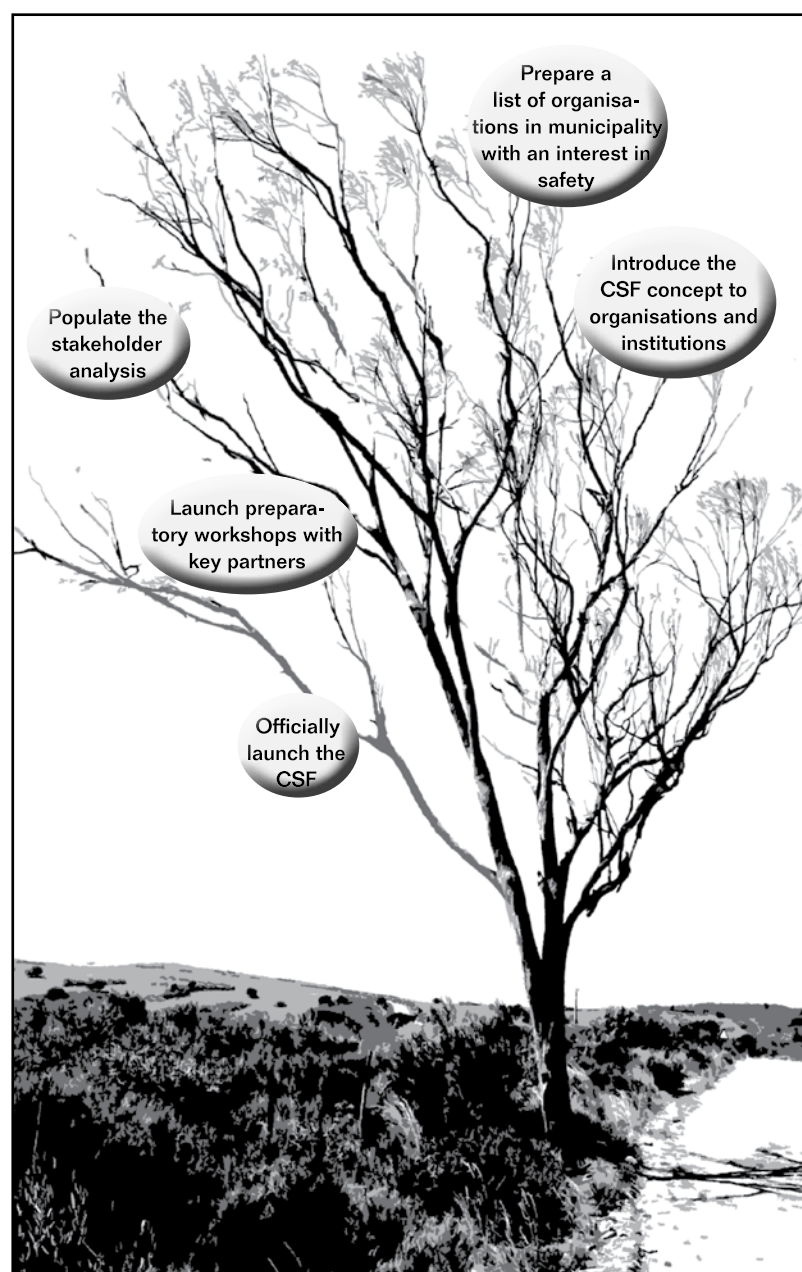
Crimes committed in communities normally manifest a deep, hidden interplay of structural and sociological factors (eg age, social class, region), social interaction variables (drug use among family or peers) and individual psychological factors (motivation, behavioural traits). Mostly, policy-makers label these “socio-economic factors”, and the criminal justice agencies on their own cannot solve these crime-causal factors. They have neither the mandate nor the technical know-how to address the causes of crime, and rather depend on institutions that have a mandate to do something. These are institutions such as schools and departments responsible for planning, social services and mental health. It is therefore essential for these role players to be brought together to do something about crime.

Once the municipal council has resolved to establish a CSF and appoints an official to coordinate the process, the first task is to set up the structure. To do so, the coordinator should work together with the MMC responsible for safety to identify and mobilise partners for the CSF.

Figure 8 graphically sets out the core processes for identifying and mobilising different organisations to form a CSF.

The initiator should:

- Firstly, prepare a list with contact details of organisations within the municipality that may have an interest in safety (see table 2). The list can begin with organisations that have a crime prevention mandate. Other organisations can be added following the safety diagnosis and strategy formulation parts of the community safety value chain;
- Secondly, request meetings with identified organisations and institutions to introduce and sell the CSF concept. In these introductory meetings, the coordinator can use the communication brochure developed to explain the roles and functions of the CSF;

FIGURE 8 *Identifying and mobilising partners: core components***FIGURE 9** *CSF partner tree*

- Thirdly, populate the stakeholder analysis;
- Fourthly, organise launch preparatory workshops with key partners; and
- Finally, officially launch the CSF. Table 2 offers the initiator guidelines on organisations and government departments that can be invited to form the CSF.

The council resolution on CSF establishment and a communication plan are essential support components. The council resolution should clearly set out the CSF's establishment process, its role and function, and how it will be managed.

Before the first meeting, the coordinator may set up a meeting with the community or public relations division of the local municipality to ask them for assistance in formulating the brochure and an interim communication plan for the initial stages of CSF establishment. The plan can be enhanced with inputs from other partners as and when the CSF is established.

6.1 Identification of partners

It is acceptable to regard those with an interest in safety, who should be included in a CSF, as either partners or role players. Internationally, the approach taken in establishing similar structures is one of partnership, and we recommend that approach.

This perspective assumes that a partner is not interested in only part of the initiative, or only in their role, or in outshining the rest. They are all jointly responsible for the success or failure of the initiative and have to share the blame if the CSF fails to meet or to reach its objectives. It becomes the responsibility of each partner to see to it that they work together, complement one another and address one another's shortcomings so that the CSF succeeds.

The tree in figure 9 illustrates the importance of seeing the CSF at all times as a uniform body with many branches that work together to produce the same fruit, safety. Each individual fruit represents a deliberate effort by each partner, working in harmony with the others, to deliver organisational or department-specific outputs that enable the CSF to achieve its objective. The CSF as a whole remains responsible for holding everything together. These fruits can only be produced if there is a strong foundation and coordination, and if everyone pulls together in one direction.

While it is not possible to include everyone, there are certain role players and organisations whose involvement is critical to the success of the CSF. Table 2 lists the organisations that the CSF coordinator and MMC can initially invite to participate in the CSF. The coordinator can use this list, adding contact details and telephone numbers. Preferably the invitation should be addressed to the most senior member of the organisation concerned.

TABLE 2 *List of organisations to be invited*

ORGANISATION	CONTACT PERSON	TELEPHONE NUMBERS
SAPS		
Department of Justice		
Department of Education		
Department of Correctional services		
Department of Safety & Liaison		
Department of Social Development		
Department of Transport & Public works		
Department of Housing		
Business		
Social services		
Community policing forums		
National Prosecutions Service		
Department of Education		
Utilities departments		
Neighbourhood watches		
Ward committee representatives		
School safety committees		
Local drug action committees		

These entities are essential to a fully functioning CSF.

6.2 Individual meetings to introduce the concept



If the prospect of meeting certain individuals or organisations intimidates you, rather leave those until you have had a few meetings and built up sufficient confidence in your ability to sell the CSF concept.

Once the list has been compiled, the coordinator should request a meeting with each prospective partner to market the CSF concept and the value it will bring to the municipality. The coordinator should try to send invitation letters directly to the most senior officials of each organisation.

Each meeting should be carefully documented and the results used to populate the stakeholder analysis template discussed below.

One of the reasons for completing the stakeholder analysis template is to develop a comprehensive understanding of the standpoint of each entity met. While selling the CSF concept, the coordinator must strive to comprehend the concerns of possible partners and, where possible, the conditions of their participation.

At the introductory meeting, the coordinator must ascertain the safety issues that the other party is most concerned about, interventions already being implemented to address those issues, specific needs other than resources and the party's views about CSFs. These issues should be reviewed as part of the community safety value chain, particularly during the safety diagnosis and municipal safety plan development stages.

Once you have populated the stakeholder analysis template, develop an action plan to manage the issues identified for each stakeholder. The action plan should include organising an inaugural workshop for the CSF.

6.3 CSF launch preparatory workshop

The coordinator should invite the partners involved in the individual meetings described above, particularly the most senior managers and MMCs, to a preparatory workshop before the CSF launch. The preparatory processes include the following:

- To introduce the partners to one another;

TABLE 3 Completed stakeholder analysis template (example)

	Key stakeholder	Role in organisation	Power of influence category (ABCD)	Impact of project on stakeholder (HML)	Current and desired support		
					Strongly opposed	Opposed	Neutral
1	John Smith	Quality manager	A	M			
2	Mary Jones	VP operations	D	M			@
3	Susan Davis	Production supervisor	A	H			
4	David Kelly	Repair technician	B	M		@	
5	Mark Thomas	Quality engineer	B	H	@		
6	Fred Ganger	Inspector	D	H	@		

Source: BMGI Training Guideline.

- To enable departments and other organisations to discuss and gain understanding of their own and one another's roles and responsibilities in the CSF, and potential benefits from the CSF;
- To formulate and agree on a vision and mission for the CSF;
- To agree on the strategic and operational functions of the structure, the frequency of meetings and incidental issues;
- To agree on a code of practice, on rules and procedures, and on issues such as accountability, budgeting and meeting attendance, and to determine the need for a constitution, code of conduct, protocol and/or guidelines on meeting procedures; and
- To identify additional members to be invited to participate to the CSF.



The preparatory workshop will help the partners understand what they can contribute to the CSF individually and collectively, and identify with the vision of the CSF. The event will help solicit buy-in and commitment and will unify partners around a shared understanding of the CSF concept.



Once all this preparatory work has been done, the CSF can be officially launched. The initiator must ensure that reports from the preparatory workshop are submitted to the decision-making structures of partners, including the municipality.

		Reasons for support/resistance
Supportive	Strongly supportive	
@		Project will reduce most common defect
@		Will result in increased productivity.
		Feels that the changes are imposed by others.
		Disagrees with priority of some projects compared to others
		Fears job losses

About the stakeholder analysis tool

The stakeholder analysis tool is a "structured approach to deal with the 'people side' of a process to understand the critical support needs to achieve a set goal", according to a training guide by the BMGI business consultancy firm. The tool is used to determine the standpoint of various partners who are important to the initiative. Partners have different power points and their impact on various initiatives differs. The power points and impact must be understood before the project is initiated. For example, mayors and municipal managers are very powerful individuals in municipalities. They determine which initiatives can be supported financially or morally. CSF survival requires more financial than moral support. Knowing the standpoint of powerful individuals in organisations is critical to the success of CSFs.

The only way to find out a stakeholder's standpoint is to ask the representative concerned directly and correctly understand their reasons. The initiator should ensure that the individual concerned is asked for his/her views after the context for the initiative has been adequately explained and any concerns and questions have been responded to. After the first interaction, the standpoints and their reasons must be plotted on the stakeholder template (table 3).

The initiator will then need to determine what support is desired from each stakeholder and plot this. Preferably a stakeholder should at least be neutral, if not supportive or strongly supportive. The initiator will now have to develop a strategy to move strategic partners, if necessary, from their current standpoint to the desired level of support. This can be done through advocacy or repackaging the initiative and selling it in a way that can be better understood. It might be difficult to change the stakeholder's power of influence and impact on the project, but it is always possible to change them to support an initiative.

One workshop may not be enough for all the preparatory work. The partners should actually hold at least three workshops to discuss and prepare for the launch of the CSF. The final workshop should approve the communication plan for the launch. The last activity will be to launch the CSF.

6.4 CSF launch

The last process in the establishment of a CSF is the launch itself. We recommend that the launch be carefully planned around a particular safety initiative of one or more of the CSF partners. This can be an issue of concern to the community. During the launch the CSF should introduce itself, its vision, the partners and what it hopes to achieve, and should outline the remaining links in the community safety value chain.

Points to remember

The CSF will collapse if all it does is bring together the partners to a meeting whose aim is only to talk and not act. Prestby and Wandersman, quoted in Rosenbaum (2004: 181), provide five hypotheses that are relevant to CSFs. CSF will remain viable only if they:

- Acquire the necessary resources (eg skills, experiences, technology, funding from member organisations);
- Create an organisation;
- Create a structure (eg leadership, prescribed roles,

- formal rules and procedures) that allows the group to set goals and meet both individual and organisational needs;
- Engage in activities, including both strategy-related actions and activities that serve to maintain the organisation; and
- Achieve short-term and long-term outcomes relevant to the coalition’s goals.

The CSF must measure itself continuously according to these pointers.

Other issues that need to be communicated are the timelines for the safety diagnosis and the formulation and implementation of the municipal safety plan. The CSF, through the MMC responsible for public safety, must undertake to report to residents on its activities at least once a month.

6.5 Challenges and problems

Here is an outline of known challenges and problems that you may encounter during the process of establishing a CSF.

TABLE 4 Problems in establishing a forum

	Description of the problem	Possible solutions
Problem 1: Conflict because of composition	Conflict is likely because a CSF contains a mixture of professional and community representatives with different belief systems. Each will argue for different approaches to programme planning and implementation (Rosenbaum, 2004: 183). Community groups favour quick programme implementation, while government departments prefer a strategic approach that protracts the planning process (Rosenbaum, 2004: 183).	The mixture of professional and community representatives is what makes CSFs and similar structures unique in crime prevention. It is this mix that brings innovation to crime problems. The coordinator should always aim for a balance between short, quick-win solutions and medium- to long-term interventions.

Problem 2: Disagreement on how best to respond to a problem.	Criminal justice agencies such as the police, prosecutors and correctional services are likely to favour a punitive approach to crime prevention when faced with a safety situation. Actors outside the field of criminal justice normally prefer prevention and rehabilitation.	
Problem 3: Ineffective implementation	CSFs often have limited resources, and these need to be used in a way that gets the maximum impact. The area of operation is normally the municipality, and additional funding is seldom received.	Lessons learned from evaluating the “Weed and Seed” programme, a major partnership initiative in the United States, suggest that “greater success is achieved when the funds are concentrated on a narrowly defined (smaller) target population, and when administrators are able to channel and leverage other funds for the initiative” (Rosenbaum, 2004: 187-8). To achieve this, the CSF needs to plan its intervention carefully and ensure that it picks appropriate sites. It will certainly be criticised for choosing a small geographical area. CSF members will need to be ready to defend their decisions, especially against political and community leaders who feel that their areas are being ignored.
Problem 4: Inadequate community involvement	Rosenbaum suggests that many crime prevention partnerships seldom truly involve the community. There are many reasons for this, including the following: Community members from low-income and high-crime neighbourhoods do not participate in crime prevention initiatives because of hopelessness and despair, fear of retaliation or distrust of government, especially the police. Communities are not homogeneous, and leaders of factions or interests within a community will always fight for legitimacy and power (Rosenbaum, 2004: 189).	
Poor attendance at meetings		Consistency of attendance at meetings is an important factor in judging the success of these partnerships, as it shows that members are interested in the activities proposed and committed to the work of the partnership, and that they realise the value of its continuation.
Record-keeping and reporting	It is unrealistic to expect CSF partners to read all minutes from half a dozen subcommittees as well as the coordinator’s monthly report. Keeping records up to date can also be onerous and time-consuming.	Records and reports should be concise and consolidated, as members have busy schedules and will therefore be unable to go through mountains of paperwork.

6.6 The obligations and rights of members

The members of a CSF have a right and a duty to:

- Directly participate in the management and delivery of standards;
- Ensure that the structure and vision of the CSF are communicated to all staff;
- Ensure that the member's role is communicated to, and understood by, all staff;
- Draw up a list of crime reduction issues that link with existing policies and strategies;
- Develop a procedure for aligning internal policies and CSF policies;
- Learn from the experience of other partners;
- Include crime reduction as an integral part of their strategy;
- Appoint a person to lead CSF membership and action;
- Produce a detailed, continuous improvement plan;
- Contribute appropriately to the CSF, in terms of money, human resources and equipment;
- Commit a sufficient contribution to achieve the aims of the CSF;
- Commit to joint working, common understanding and creating solutions, taking into account the culture of the other partners and the reasons behind these different cultures;
- Participate in the annual review, and keep to agreed deadlines; and
- Introduce internal arrangements for ensuring accountability.

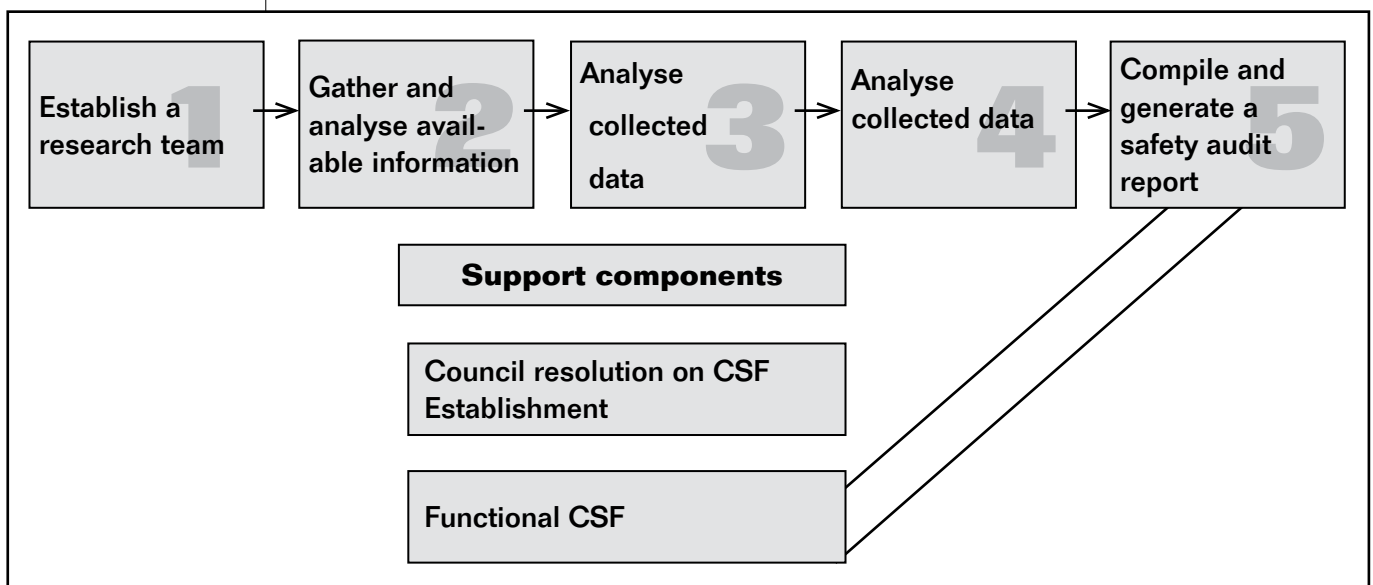
7. SAFETY DIAGNOSIS

Doctors use the term “diagnosis” to describe the process of gathering medical data to determine the nature of a disease and its cause. Medical professionals use a range of tools and skills to carry out the diagnosis, such as interviews to help them understand the patient and samples extracted with specialised equipment for further examination using complex tools at laboratories. The diagnosis informs the prescription and dosage of the treatment used to address the cause of the illness rather than merely its symptoms. It is this same approach that must be utilised in safety.

The safety diagnosis aims at developing a comprehensive understanding of crime and insecurity and their causes. It also helps identify who else in the local municipality is involved in safety initiatives. This process is an indispensable part of developing an effective municipal safety plan. Proper diagnosis allows participants to become familiar with the crime and safety issues that are particularly important to a community.

Accurate and comprehensive information is critical in building up a full picture of crime and insecurity. Figure 10 illustrates a recommended process for the safety diagnosis or audit.

Figure 10 *Safety audit core components*



- The point of departure is the establishment of a team to lead the process of building this understanding. The team can be made up of researchers seconded from institutions that are part of the CSF. Alternatively, the research can be outsourced to an external institution.
- Secondly, CSF members should be requested to make available the information at their disposal. The information must paint a comprehensive picture of the community. Table 5 lists CSF member organisations, the types of data that each organisation can provide and what the data could tell you.

TABLE 5 *Safety audit checklist (based on Community Safety Centre, nd)*

Organisation	Type of data	What the data will tell you
SA Police Service	Crime statistics Docket analysis	Recorded incidents of crime. Detailed components of crime and its causes. Offender and victim profiles.
Department of Justice and Constitutional Development	Court data	Conviction rate by crime Court records outlining motivations and justifications for crimes
Department of Correctional Services	Offender data and information	Offender profiles Triggers and crime-causal factors
Department of Labour	Unemployment figures Total employment by sector	Total employment by sector
Department of Social Development	Information on vulnerable groups	Victimisation Families at risk Vulnerable groups
Department of Community Safety	Policing service delivery assessment reports.	Policing service delivery complaints
Department of Education	Attendance reports Safety incident reports	School attendance Truancy School insecurity and vulnerability
Department of Economic Affairs	Socioeconomic and economic development data	Demographic data Economic activities and priorities Socioeconomic development agenda
Department of Health	Health facility admission reports	Injury data Substance abuse and use
Department of Arts, Sports and Culture	Report on arts, sports and culture	Community activism
Public safety / Municipal police / Traffic police	Traffic management data	Vehicle accidents Driving under the influence Traffic safety
Community policing forums	Minutes of community meetings Reports on police service delivery complaints	Policing service delivery gaps Community safety priorities
Development forums	Socioeconomic and economic development data	Demographic data Economic activities and priorities Socioeconomic development agenda
Youth forums	Youth strategic plans	Data on youth issues, aspirations etc
Media	Articles about crime and perceptions of insecurity	Perceptions of insecurity, social problems, homelessness
Nongovernmental organisations	Reports on community issues	Specialist information on community needs, service delivery and gaps
Private security companies	Incident reports	Household crime incidents responded to by geographic area Crime hot spots.
Municipality	Integrated development plan	Municipal profile Community needs and priorities Municipal development agenda

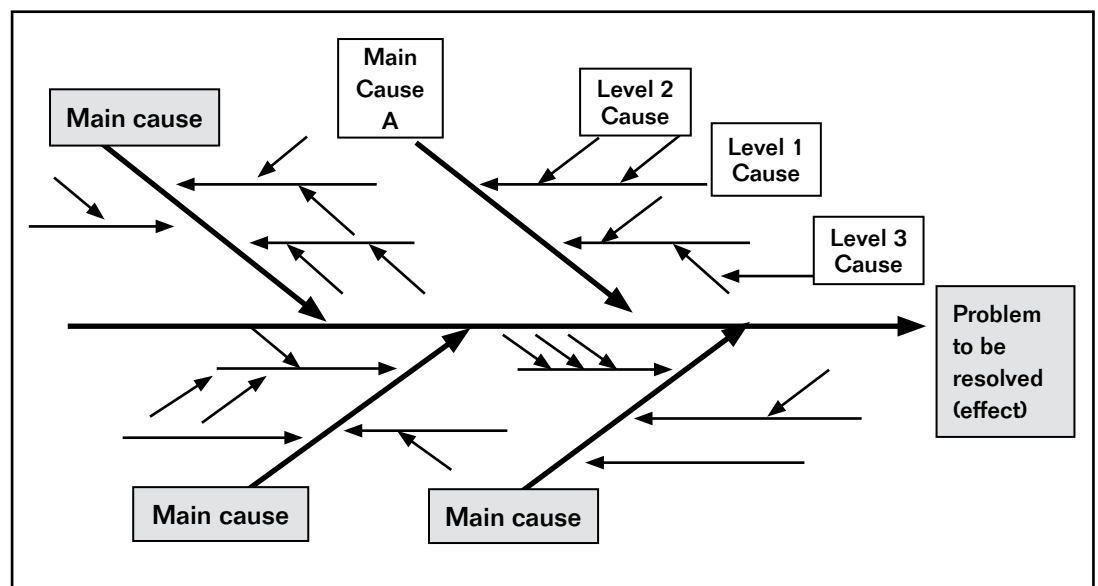
Bear in mind that these organisations might not all have their data readily available, or it might not be accessible. Organisations such as the SAPS and Department of Correctional Services have strict policies on issues relating to institutional data. The research team should respect these policies.

The research team should analyse data collected from different organisations, using various tools. The object is to generate a comprehensive and accurate understanding of the causes of insecurity – and a simple analysis will not produce such an understanding.

For example, a simple analysis may indicate that domestic violence is caused by alcohol. However, a detailed analysis may reveal that male emasculation is the reason for domestic violence and that alcohol is simply an enabler.

There are tools with which the research team can deepen their understanding of data and information collected on causes of insecurity, one of which is called the fishbone tool, or the cause and effect diagram, or the Ishikawa diagram. A fishbone analysis can help unearth many possible causes for an effect or problem.

FIGURE 11 *Fishbone analysis*



Source: BMGI Training Guideline.

How to conduct a fishbone analysis

Agree on a problem statement (effect). Write it down on the right of a flipchart or whiteboard. Draw a box around it and draw a horizontal arrow running to it from the left.

Brainstorm the major categories of causes of the problem and draw them as spurs on the horizontal arrow, which starts to look like the backbone of a fish skeleton.

Brainstorm all the possible causes of the problem.

Ask: "Why does this happen?" As each idea is given, write it as a branch from the appropriate category (spur). Causes can be written in several places if they relate to several categories.

Again ask: "Why does this happen?" about each cause. Write sub-causes branching off the causes. Continue to ask "Why?" and generate deeper levels of causes. Layers of branches indicate causal relationships.

When the group runs out of spontaneous ideas, focus attention on places on the chart where ideas are few.

Various other methods can then be used to collect additional information to address identified gaps, including community safety audits, victimisation surveys, safety walks and women's safety audits.

Finally, compile a detailed report with recommendations. The report should outline crime risk factors and causal factors and make recommendations for the municipal safety plan.

Recommended reading

Final Public Safety Strategy, May 2002, Mogale City Local Municipality

8. DEVELOPING A MUNICIPAL SAFETY AND IMPLEMENTATION PLAN



The CSF must lead the process of formulating the municipal safety plan, which is a key deliverable of the fourth main process of the community safety value chain. The municipal safety plan will provide short-, medium- and long-term intervention projects that CSF members will implement using a multidisciplinary approach. There are many methods that CSFs can use to formulate a safety plan. One simple six-stage process is introduced below. It is participatory in nature and should involve all members of the CSF.

The convenor needs to plan for at least five workshops to formulate the municipal safety plan, and must make sure that all relevant organisations are invited, including those identified during the safety diagnosis phase.

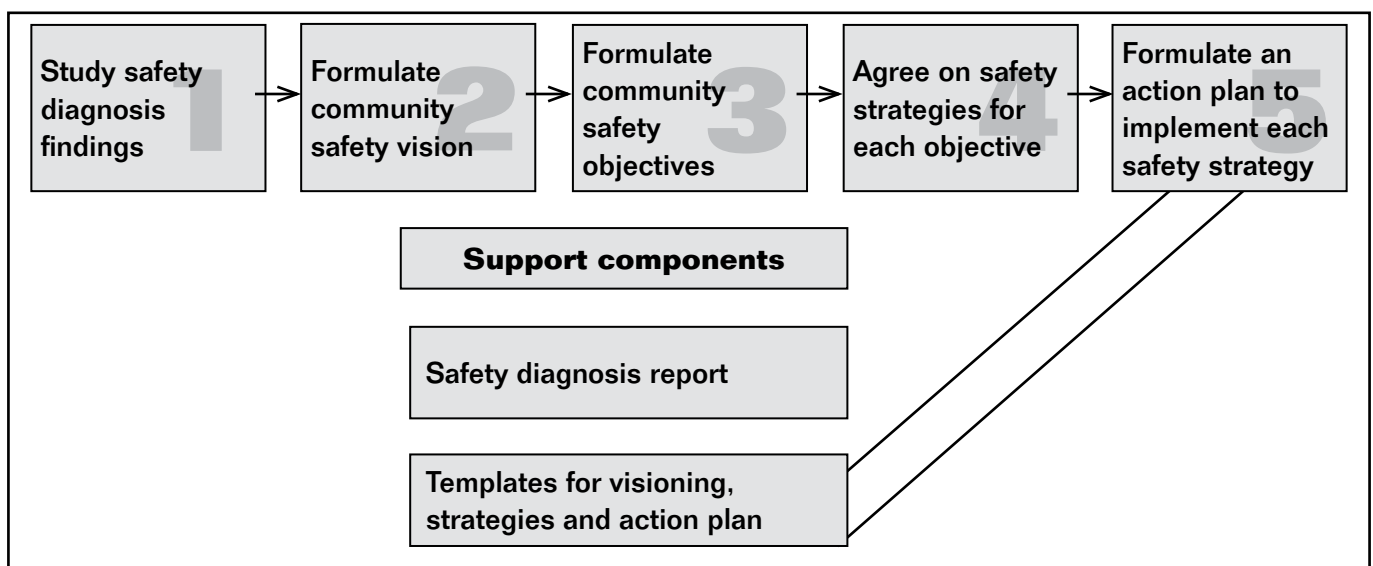
The wider the range of organisations actively involved, the more they will be encouraged to think seriously about the plan, buy in to it and participate in it. It is these partners, after all, who will have to resource and implement the plan. These meetings will help generate an understanding of where every intervention comes from, so that participants do not feel that it was imposed on them.

8.1 Municipal safety plan development process

The process commences with CSF members familiarising themselves with the findings of the safety diagnosis. The findings are an output from the third main stage of the five-stage community safety value chain. If the diagnosis is conducted accurately, it will have developed a comprehensive picture of the crime and safety needs of the municipality's residents, businesses and visitors.

Once they have studied the findings, CSF members will then be required to formulate a community safety vision that articulates the goal they want to achieve. The vision

FIGURE 12 *Municipal safety plan development core components*



statement should not be complex, but simple and understandable to all CSF members, something like: "To create a clean, safe environment for residents and visitors to work, live and play in without threat to themselves and their property."

The CSF can also formulate mission statements. These need to be understood simply as statements of what, if done, will lead to the achievement of the vision. In simple terms, mission statements set out the tasks that have to be done to achieve the vision.

Once the vision and mission have been established, the parties must formulate community safety objectives addressing challenges identified during the safety diagnosis phase. The CSF must ensure that objectives and mission are aligned, so that achieving the objectives helps achieve the municipality's safety vision. For example, if the safety diagnosis lists youth violence as a major problem, the CSF should formulate an objective that responds to youth violence. The CSF should try to keep the number of objectives to a manageable few.

For each objective formulated, the CSF should also identify a performance indicator to serve as a yardstick to measure progress towards achieving the objective. Strategic interventions or focus areas must then be formulated for each objective, and after that the activities for each focus area. The CSF should assign responsibility for leading the implementation of each intervention to one institution, and can also identify support institutions. The team will then meet to devise detailed activities and determine the exact time frames.

Table 6 provides a template that the CSF can use to document the outputs from the municipal safety plan development process.

Once developed, the plan must be presented to the municipal council for adoption and endorsement. It is also critical that it be integrated into the IDP of the municipality.



TABLE 6 *Municipal safety plan outputs (example)*

Strategic objective 1	Create an institutional capacity to coordinate and implement the municipal safety plan.
Intervention projects	Activities
Source dedicated capacity to coordinate the implementation of the municipal safety plan. (coordinator, staff and resources).	<p>1.1. Create positions for a safety coordinator, administrator and safety officers to coordinate all activities of the municipal safety plan.</p> <p>Present the research report and the municipal safety plan to the executive mayor.</p> <p>1.1.2. Present the research report and the municipal safety plan to the council.</p> <p>1.1.3. Get the MMC for safety to lead the discussion and processes with human resources staff to establish, grade and advertise the above positions.</p> <p>1.1.4. Employ people in the above positions.</p>
Strategic objective 2	Address factors that draw individual young people into offending behaviour.
Intervention projects	Activities
Ensure that children and youth (particularly male youth) complete school and reduce number of those who drop out.	<p>2.1. Project to reduce school drop-out rate</p> <p>2.1.1. Prepare questionnaire for schools to complete.</p> <p>2.1.2. Analyse and prepare a report with recommendations</p> <p>2.1.3. Discuss and workshop recommendations with relevant schools and bodies.</p> <p>2.1.4. Draft a project to address the reasons for youth dropping out at school. This project will flow from the research findings.</p> <p>2.1.5. Implement and monitor the project.</p>

The vision statement of the Mbombela Local Municipality Safety Plan:

- To have a safe and secure Mbombela Local Municipality.

One of the four mission statements of the Mbombela Local Municipality Safety Plan:

- To improve the quality of life of all by systematically addressing the causal factors of insecurity.

Performance indicators	1. Full-time capacity to coordinate implementation 2. Council resolution, signed memorandum of understanding, CSF launch			
Lead role player	Other role players	Deliverable	Time frame	Budget
Local municipality	Provincial Department of Community Safety, Security and Liaison	Safety coordinator and staff	From 18 Sept 2009 to 28 Feb 2010 and ongoing 1.1.1. 18/09/09 1.1.2. 30/10/09 1.1.3. 15/11/09 1.1.4. 28/02/10 1.1.5. Ongoing 1.1.6. Ongoing	Municipality to determine budget based on post grading.

Performance indicators	1. Project implementation plan approved to commence in April 2010 2. Defined key performance area and baseline per initiative 3. Impact assessment reports			
Lead role player	Other role players	Deliverable	Time Frame	Budget
Department of Education	Department of Social Development, Department of Culture, Sports and Recreation, SAPS and CPF members, municipal youth department	Report outlining reasons for learners' dropping out early, project plan informed by research findings and progress reports.	2.1.1. 15/01/10 2.1.2. 28/02/10 2.1.3. 30/03/10 2.1.4. 30/04/10 2.1.5. 01/05/10 <i>(subject to annual review)</i>	R100 000 research budget and project budget to be determined by project plan.

8.2 Implement and evaluation of municipal safety plan

The aim of this process is to enable the implementation of the intervention projects listed in the municipal safety plan. Each lead agency takes responsibility for formulating a detailed project plan for each activity and ensuring its implementation. This has to be done in conjunction with other role players who are responsible for specific activities listed in the project plan.

The lead agency has the responsibility for coordination and compiling progress reports for submission to the CSF. At specific intervals, the CSF will undertake a formative evaluation of the project. Formative evaluation measures progress in implementation and initial impact. On completion of the project, the CSF should undertake a summative evaluation of the project to measure effect and outcome.

9. MONITORING AND EVALUATION

Monitoring and evaluation are the most important support components of any initiative, particularly community safety. All organisations, including the South African government and donor agencies, require state institutions to monitor and evaluate the impact they are making with taxpayers' money. Evidence from monitoring and evaluating is very important for community safety, and the processes can, if appropriately conducted, enable the CSF over time to show progress, learn from limitations and intervene to correct deficiencies.

Monitoring and evaluation are competencies of the CSF's executive committee. The committee, assisted by the coordination office, must formulate the evaluation framework and decide on the most appropriate instruments. The executive committee should plan project monitoring and evaluation in advance to commence at the same time as project implementation.

9.1 About monitoring and evaluation

This guideline regards monitoring and evaluation as two distinct yet linked concepts. "Monitoring" refers to activities that measure progress made on planned inputs, outputs and outcomes. Findings and deliverables from monitoring are normally utilised to inform evaluations. A project plan that outlines project activities, outputs, outcomes and timelines is one reference tool by which progress can be monitored. Other tools that can be used at defined intervals are minutes from meetings and reports compiled by project teams.

Evaluation, on the other hand, is conducted at specified intervals to respond to specific questions relating to the implemented process, progress, impact or cost benefit. Projects are also evaluated, in some instances, to determine the "the worth or merit of an object" (Frechtling, 2002: 3). Information gathered during project evaluation assists in determining whether the project is proceeding as planned, in line with stated goals and objectives, and according to timeline. Organisations use findings from project evaluations to make various decisions including closing projects, sustaining them and granting them additional funding.

There are two types of evaluations, formative and summative. The differences between the two are discussed in detail below. Formative evaluation assesses the initial and ongoing activities of a project and summative evaluation assesses the quality and impact of a completed project (Horn & Miron, 1999, 3-4).

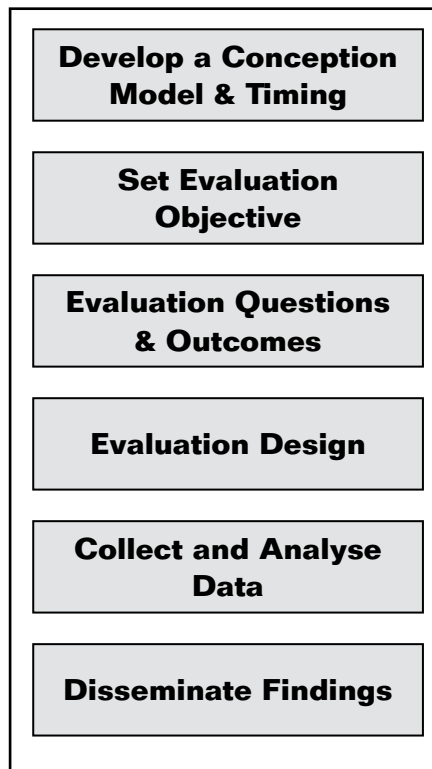
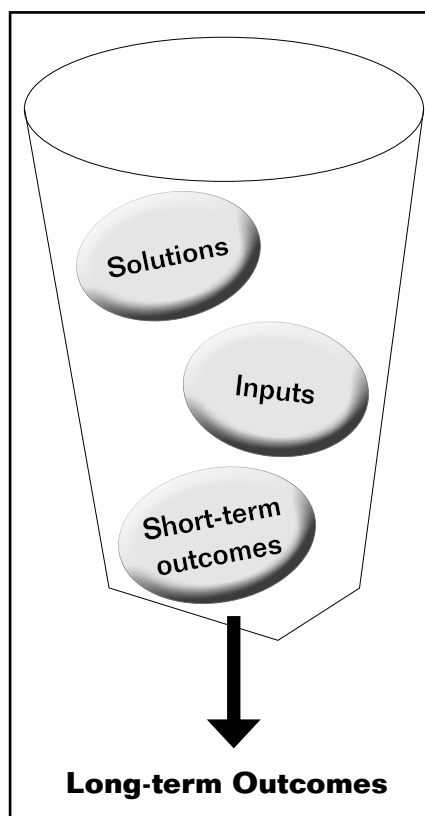
9.2 The evaluation value chain

Six steps are proposed for designing and developing the evaluation framework: developing a conceptual model and timing, developing evaluation questions and defining measurable outcomes, developing an evaluation design, collecting data, analysing data and providing information to interested audience (Frechtling, 2002).

9.2.1 Develop a conceptual model

The first step in an evaluation process involves the development of a conceptual model of the project. The conceptual model aims to develop a shared understanding of the project architecture³ and to ensure that the evaluation design addresses the critical project elements.

³ The project architecture is the project's structure, connections and expected outcomes.

FIGURE 13 *Evaluation phases***FIGURE 14** *Critical project elements*

The critical elements are diagrammatically illustrated in figure 14 and draw from Frechtling's (2002: 16) logic model. The diagram illustrates that the project will utilise various inputs⁴ to implement solutions.⁵ These solutions should contribute towards achieving short-term impacts.⁶ The achievement of the short-term outcomes enables the project to achieve long-term outcomes.⁷

The project plan and facilitated discussions with the project team are tools that will ensure the development of a correct conceptual model. The discussion will work backward:

- Starting with a detailed description of the intended long-term outcome, short-term outcomes, solutions and inputs,
- Followed by a determination of the timing for when the activities and impacts would be expected to emerge, and
- Concluding with a decision on the critical achievements and time frames that must be met.

The output of the exercise is a conceptual model that will be applied to each project and taken to the next phase of the process.

9.2.2 Set evaluation purpose and objectives

The evaluation purpose and objectives are formulated once the conceptual model has been finalised and fully developed. The evaluation purpose must clearly outline the reasons why the project needs to be evaluated and what will be done with the evaluation results. For instance, the purpose of the evaluation could be to learn whether a specific intervention works and improves levels of safety, or has unintended consequences. The evaluation results could be used to justify, for example, further funding or rescoping or closure of the project. The evaluation purpose assists in framing the objectives.

Once the purpose is clearly defined, the CSF's executive committee will formulate the evaluation objectives using "SMART" principles. SMART (ie specific, measurable, achievable, realistic and timely) objectives will assist in determining measurements, methodology and timing for evaluation. For example, if the impact of the project will be felt after six months, it means that the impact can only be measured after six months. Therefore evaluation can be staggered using the process-progress-impact approach to (Phillips, Bothell and Snead, 2002):

- Measure reaction, satisfaction and planned action with the project management solution (level 1);
- Measure changes in knowledge and skills needed with the solution (level 2);
- Assess application and implementation of the project management solution (level 3);

⁴ Inputs are funding resources and resource streams that provide support to the project (Frechtling, 2002: 17).

⁵ Solutions are the services, materials and actions that characterise the project's thrusts (Frechtling, 2002: 17).

⁶ Short-term impacts are the immediate results of activities (Frechtling, 2002: 17). These are the conditions or events that will need to be established before long-term outcomes might be expected to occur (Frechtling, 2002: 19).

⁷ Long-term outcomes are the broader and more enduring impacts on the system (Frechtling, 2002: 17). These outcomes will reflect NPA's 2020 Strategic Outcomes.

- Identify impact from the project management solution (level 4); and
- Calculate return on investment of the solution (level 5).

These are the five levels of project evaluation. Evaluation cannot go to a higher level than the level of the objectives written for the project. When developing evaluation objectives, it is important to do so for each of the five levels.

9.2.3 Develop evaluation questions

This third stage builds from the conceptual model and consists of four steps:

- Identify partners and their information needs;
- Translate outcomes into measures;
- Formulate potential evaluation questions of interest to the partners and audiences; and
- Prioritise and eliminate questions.

9.2.3.1 Identify partners

The identification of partners for a project and for the evaluation of outcomes is essential. Partners are those involved, affected and involved in the project. As consumers of the evaluation outputs, partners are identified to determine their information needs and interests and to be used as sources of evidence. Partners bring different criteria to implemented projects. They use these criteria to judge the project as well as the evaluation outcomes. Knowledge of the criteria assists in determining evaluation indicators and objectives.

TABLE 7 *Identifying partners*

Key stakeholder	Name of spokesperson for each stakeholder	Values, interests and expectations that will play a key role in the analysis and interpretation stage of the evaluation			Stakeholder to assist with peer review of findings		Stakeholder only interested in specific information		Ops level
									S/D/R/P/N
		Values	Interests	Expectations	Yes	No	Yes	No	

9.2.3.2 Translate project outcomes into measures (indicators or metrics)

Table 8 illustrates how objectives or outcomes that are specified in the conceptual model can be translated into measures. A similar refining process can be utilised to develop measures for inputs and outputs. Here we discuss a process for developing measurements for outcomes. It is likely that project outcomes or objectives will be similar to those specified in the project plan or will have been adjusted during the facilitated discussion explained above. These outcomes or objectives must be translated into reliable and valid indicators or measures in two stages.

First, conduct research to determine the most appropriate indicators for the project. Focus on identifying indicators from similar projects in South Africa or elsewhere. Thorough research will also help ensure that your indicators are of high quality and use the most appropriate methodology, tools and techniques.

Secondly, break down existing project objectives into micro objectives with indicators. Begin by listing the evaluation macro objectives, as in table 8.

TABLE 8 *Template for macro objectives*

Evaluation macro objective	
1	
2	
3	

- Then break down each macro objective into micro objectives. Some macro objectives can have many micro objectives. If possible, set and list all micro objectives according to the template below. The team developing the micro objectives must ensure that they do not lose meaning, but relate directly to the macro objectives. Meeting all the micro indicators must result in the fulfilment of the macro objective.

TABLE 9 *Template for micro objectives*

Evaluation micro objective		
1.		
	1.1.	
	1.2.	
2.		
	2.1.	
	2.2.	

- The next step is to define indicators for each micro objective. A micro objective should ideally have more than one indicator. All the indicators defined for each micro objective must enable the evaluation to measure the achievement or non-achievement of the related macro objective. Indicators can be quantitative⁸ and qualitative⁹ and are utilised to measure inputs,¹⁰ outputs,¹¹ outcomes¹² and costs associated with implementing a specific project.

TABLE 10 *Template for micro and macro objectives with indicators*

Evaluation micro and macro objective			Indicators
1.			
	1.1.		1.1.1. 1.1.2.
	1.2.		1.2.1. 1.2.2.
2.			
	2.1.		2.1.1. 2.1.2.
	2.2.		2.2.1. 2.2.2.

⁸ Quantitative indicators use statistical information to measure the effect of an action.

⁹ Qualitative indicators measure the how and why behind the numbers. They are descriptive and measure quality of performance (Artz, 2003).

¹⁰ Indicators of programme inputs measure the specific resources that go into carrying out a project or programme: for example, the resources allocated to a specific project.

¹¹ Output indicators measure the short-term (immediate) deliverables obtain by a project, eg publication of the monitoring and evaluation report.

¹² Outcomes indicators measure "whether the outcome changed in the desired direction and whether this change signifies program 'success'" (Frankel & Gage, 2007: 36).

Developed indicators must:

- Produce the same results when used repeatedly to measure the same condition or event;
- Measure only the condition or event it is intended to measure;
- Reflect changes in the state or condition over time;
- Represent reasonable measurement costs; and
- Be defined in clear and unambiguous terms (Frankel & Gage, 2007: 38).

9.2.3.3 Formulate potential evaluation questions

The description of evaluation purpose, evaluation objectives and stakeholder interests, values, and expectations, as well as objectives and indicators, is essential for identifying relevant evaluation questions to guide data collection.

Indicators (qualitative and quantitative) will assist in determining the correct questions to ask. The expert who helped the project team develop indicators can assist in formulating indicator-specific questions.

These seven criteria can be used to guide the selection of questions:

- The information collected must contribute to providing answers relevant to the goals of the project.
- There must be a person or project that will use or benefit from the information.
- The information collected must include new or unknown information.
- The information must be important to several partners or a strategic stakeholder.
- The information collected must be of continuing interest.
- The question must translate into a measure.
- It must be possible to collect the information with the available methodological, financial and human resources.

9.2.4 Evaluation design

9.2.4.1 Data collection instruments

A number of instruments or tools can be used to collect data for each indicator. The nature of the indicator may determine the tool. Qualitative indicators utilise qualitative tools such as open-ended questionnaires. Quantitative indicators entail the use of quantitative instruments such as surveys.

- Surveys;
- Questionnaires;
- Interviews;
- Focus groups;
- Gantt charts;
- Budget worksheets;
- Performance records; and
- Profiles.

Key issues that will have to be finalised in this stage are those relating to methodology and sampling, where necessary.

9.2.4.2 Piloting or testing

Before the tools developed as outlined above can actually be used, they must be tested

in a pilot process. The pilot will show whether the evaluation process is correct, and help determine the resources required (eg the number of data collectors and what training they need), the tools to be developed (clearance, introductory letters, ethics, schedules and ICT tools, including data analysis tools) and the validity of indicators and instruments. The testing will ensure that when the evaluation is undertaken, it has as few errors as possible.

9.2.4.3 Project evaluation timing

Project evaluation timing is about the timing for gathering evaluation data. Projects can be evaluated before project implementation (pre-project measurement) to collect baseline data, at specific predefined intervals (multiple measurements) and/or on completion of project implementation, or after the time required for outcomes to come to fruition.

The nature and type of project determines the timing. For example, a production project can be evaluated within 30 days of completion. However, a major change project that affects the process, paradigm and mindset shift of employees and the corporate culture requires them to be grounded over a period of time before they can be evaluated. Thus the nature of the project (production or change initiative) can determine the correct timing for data collection plans.

The output from this process will be a schedule providing the exact dates and format of evaluation.

9.2.5 Data collection and analysis

9.2.5.1 Baseline data collection

The data collection process will start with the collection of baseline data using the instruments and tools developed as outlined above. The data will be used to measure changes that take place following project implementation. Evaluation objectives will determine the type and nature of data to be collected. Ideally, the baseline data should include all available data that will provide information on outcomes. Where possible, baseline data can be extracted from existing information.

9.2.5.2 Analysing the data

The data collected must be captured, analysed and interpreted. The analysis and interpretation processes will differ depending on the methodology that has been used to gather data. Qualitative data may be interpreted using descriptive narratives, thematic coding and/or content analysis.

There are four steps to be followed for analysis.

- Check the raw data and prepare them for analysis
- Conduct the initial analysis based on the evaluation plan.
- Conduct additional analyses based on the initial results.
- Integrate and synthesize the findings (Frechtling, 2002: 34).

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