

PREAMBLE

AIMS AND STRUCTURE OF THE MANUAL

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

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

ABOUT VPUU

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

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

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

STRUCTURE OF THE MANUAL

The manual is structured in the following way:

Introduction

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

Five Components of the Model

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

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

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

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

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

Key terms:

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

INTRODUCTION

VISION AND GOALS

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

Its **goals** are:

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

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

CORNERSTONES OF THE APPROACH

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

Human development

Changing paradigm

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

People not things

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

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

All human needs

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

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

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

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

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

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

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

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

Voluntarism

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

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

Sustainability

Empowerment/Self-reliance

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

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

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

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

Sustainable Neighbourhoods

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

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

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

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

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

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

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

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

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

The core elements of the SN approach are:

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

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

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

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

PROGRAMME FOCUS — SAFETY AS A PUBLIC GOOD TOWARDS SUSTAINABLE NEIGHBOURHOODS

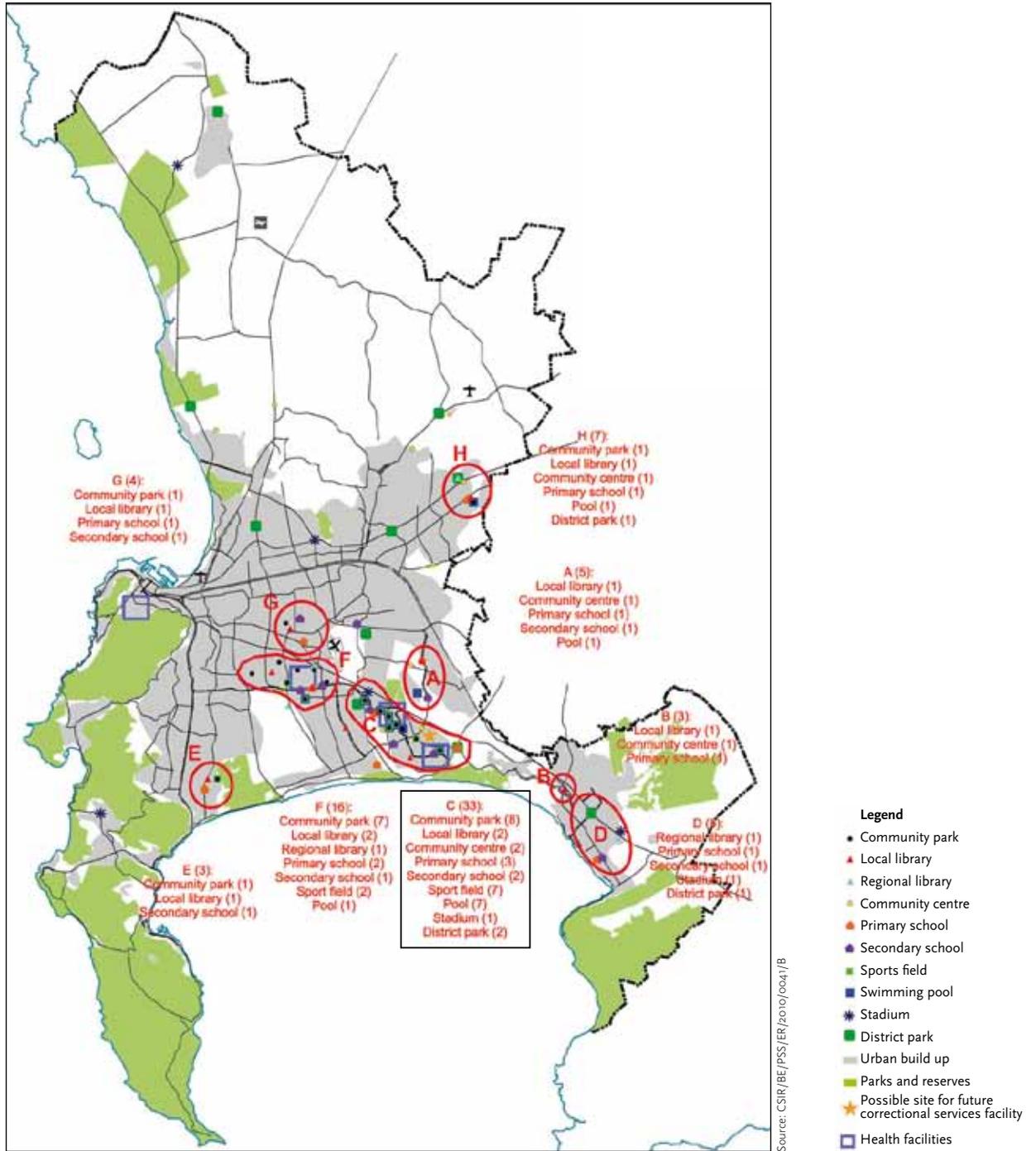
The focus of the model is the improvement of safety. Insecurity severely affects the QoL of a community: by making it fearful and defensive, reducing the freedom with which people can use public spaces, impacting negatively on the exercise of business and deterring new economic investment, drawing into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

Social Crime Prevention context

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

(CoCT 2013 with thanks to Janet Gie)

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



Source: CSIR/BE/PSS/ER/2010/004/7/B

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

Important conceptual foundations

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

Four particular elements are woven together on a neighbourhood level:

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

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



Source: VPUU, 2006

Figure 2 VPUU Strategy

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

Environmental Criminology

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

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

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

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

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

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

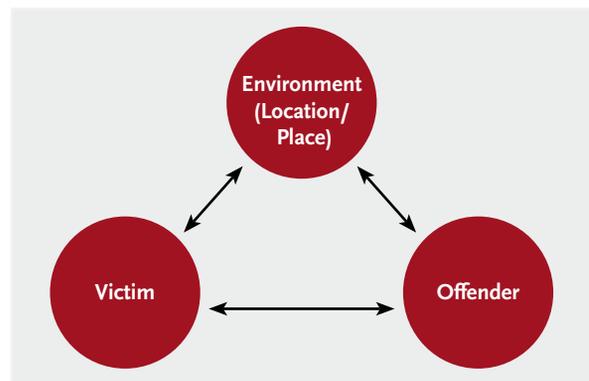


Figure 3 Problem analysis triangle

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

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

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

The concept of activity spaces

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

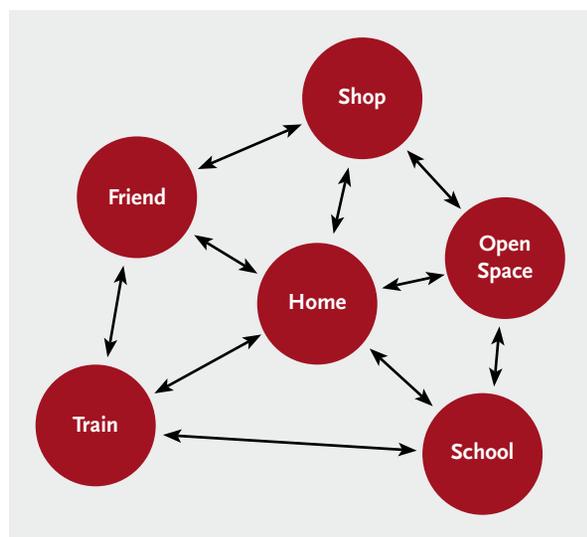


Figure 4 Linkages diagram

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

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

PROGRAMME COMPONENTS

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



Figure 5 VPUU concept

Infrastructure development—construct safe public spaces

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

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

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

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

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

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

Community Participation—partnerships in development

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

Knowledge Management—Monitoring and Evaluation (M&E)

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

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

PROGRAMME PARTICIPANTS

Partners in the process

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

The Community

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

The Municipality

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

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

The Intermediary

As dedicated facilitator/mediator

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

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

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

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

Key mediator roles:

Effective coordinating and alignment structure

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

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

Drive planning, implementation and operations for the Local Authority

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

Innovative thinking

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

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

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

Managing and mediating conflict

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

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

Managing funds intended for the programme

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

Independence of election cycles

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

Potential to provide a coherent communication strategy

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

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

METHOD

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

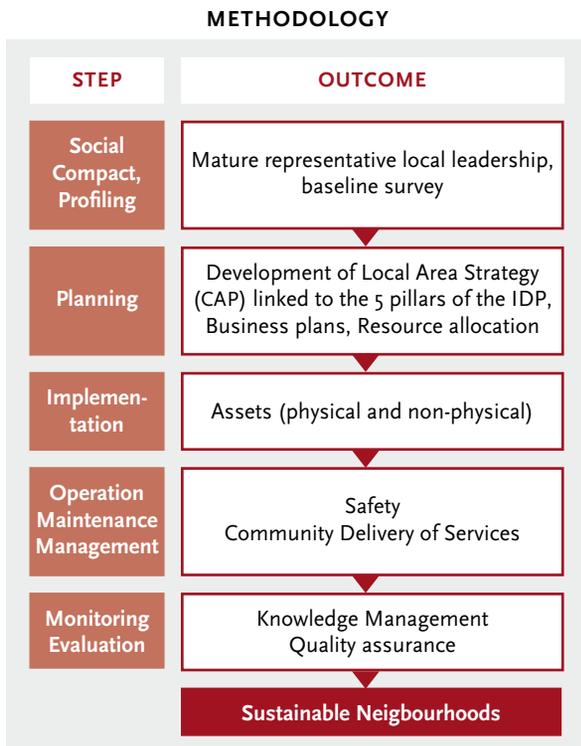


Figure 6 VPUU methodology

Social Compact

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

Planning

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

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

Implementation

Individual interventions are implemented via

- Line departments, LA/Province
- The Intermediary
- Community groups
- NGOs, Private sector.

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

Operation and Maintenance Management

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

Monitoring and Evaluation

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

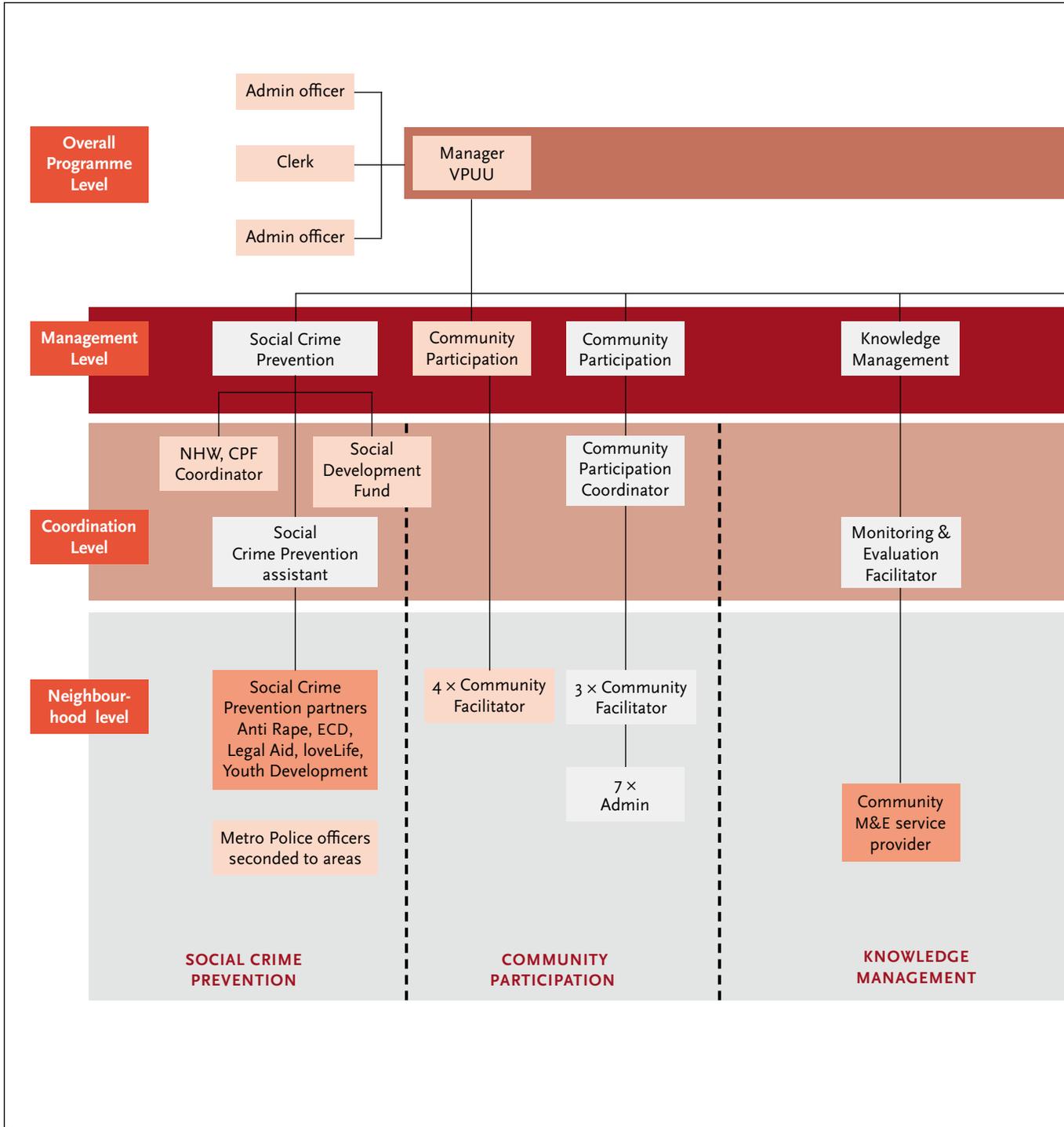
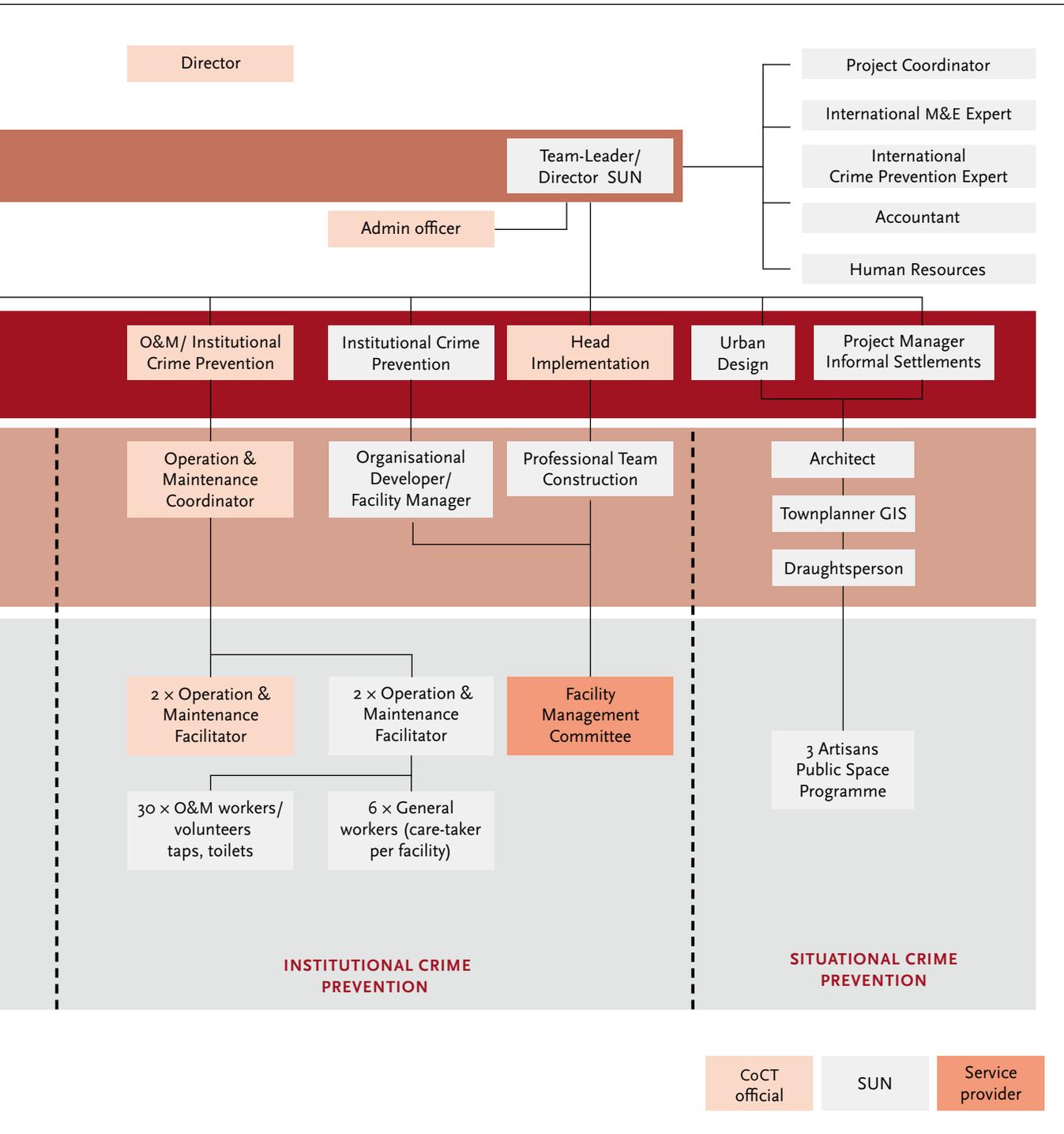


Figure 7 VPUU Organogram

ORGANOGRAM VPUU—SUN—CoCT



TERMINOLOGY

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

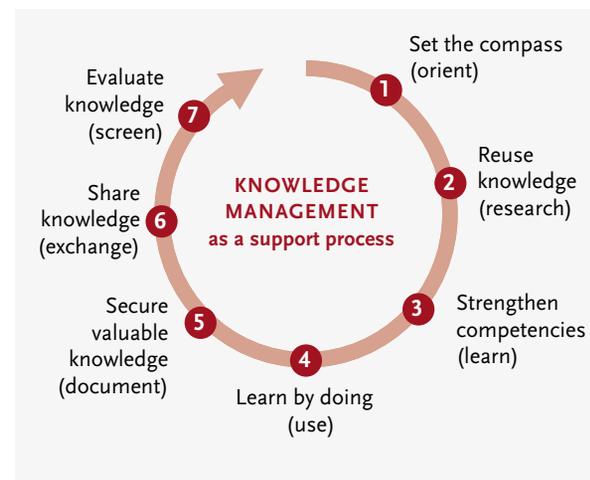


Figure 8 Knowledge Management as a support process

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

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

Monitoring and Evaluation

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

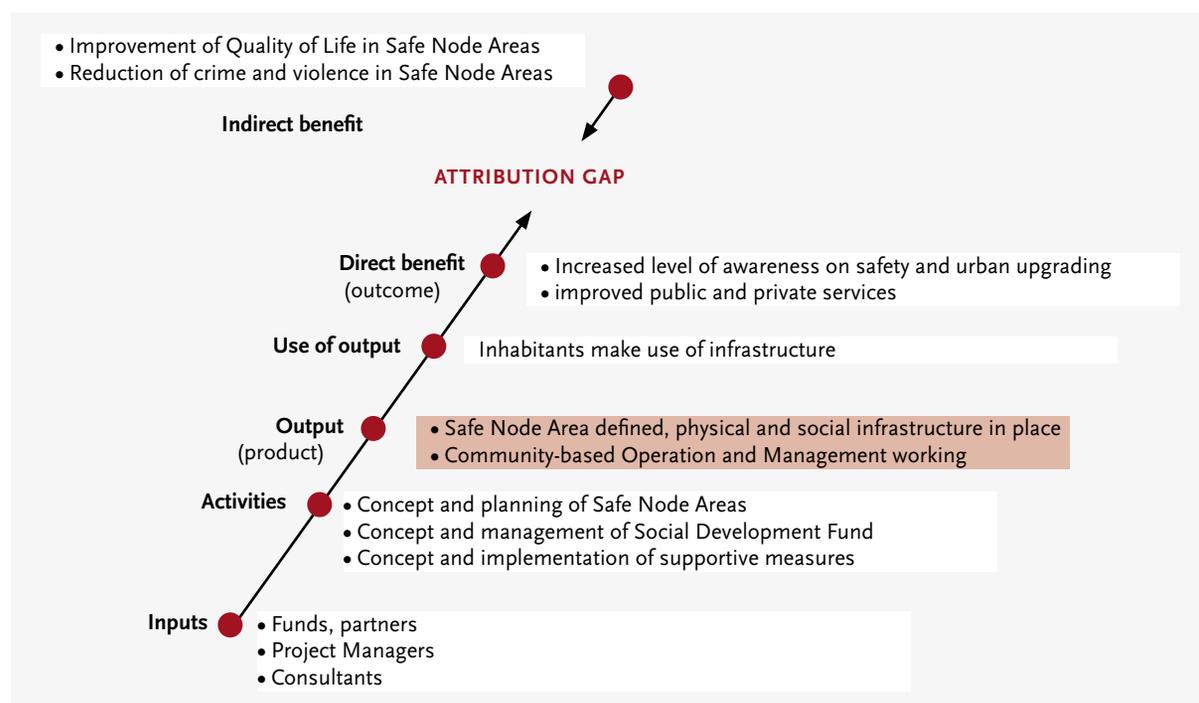


Figure 9 Result chain/Impact chain for a Safe Node Area

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

Typically development cooperation programmes are evaluated against:

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

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

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

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

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

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

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

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

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

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

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

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