Capacity Building for Adaptation to Climate Change at Local Government Level: the case of Dar es Salaam
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BACKGROUND
Local Government Authorities (LGAs) play a crucial role in human development in terms of public infrastructures delivery and service provisions. This is even more evident in the vulnerable contexts, such as sub-Saharan cities, where the lack of or the inadequate access to the essential resources and services drastically affects the livelihood strategies and outcomes for a rapidly growing number of people. This assumption is confirmed by the increased participation of LGAs in recent decision-making processes in the framework of the international development agenda.

RESEARCH FRAMEWORK
Assumption
The research assumes that there is no blue print methodology for designing capacity-building initiatives. Following the OECD/DAF definition (2004) it is a process of "unleashing, conserving, creating, strengthening, adapting and maintaining capacity over time". With respect to LGAs, three levels of capacities should be taken into consideration: 1) the enabling environment (the broader system within which institutions function); 2) the organizational capacity (the internal system allowing an institution to fulfill its mandate and achieve its objectives); 3) the individual capacity (the skills, experiences and knowledge of individuals).

Approach
The "positive thinking" (PT) approaches (M. Patton 2011) propose a learning process that goes beyond the identification of gaps, needs and problems and investigate a specific situation starting from the success than from failure. Those approaches suggest to look at those cases in which the expected problems did not occur or were addressed successfully by the community in the real context of the intervention. Formulating explanation for such successes can facilitate support for and capitalization on the strategies to address known problems.

Objectives
Using common elements of three PT approaches (table 1), the research study aimed to:
- find cases of climate change (CC) adaptation measures successfully put in place by LGAs in Dar es Salaam; and
- understand the process chain and mechanisms that made them possible and significant, as well as the role played by the institutional and non-institutional actors.

Hypothesis
The PT approaches can support analysis of the local context and facilitate the design of a capacity-building programme by eliciting and analyzing evidence of successes to be used as agents of change.

Future development
Based on the findings of the context analysis, the same approach could be used to evaluate the capacity-building initiative results, providing dimensions and indicators.

Table 1 Three PT approaches: analyzing their implications in evaluative research

<table>
<thead>
<tr>
<th>Assumptions</th>
<th>Appreciative Inquiry</th>
<th>Most Significant Change</th>
<th>Positive Deviance</th>
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</thead>
<tbody>
<tr>
<td>In every society something works.</td>
<td>Evolution is a learning process, and learning by individuals is a subset of this process.</td>
<td>Every community somehow has the know how and the assets to self-organize and put in place the solutions/strategies for addressing their problems.</td>
<td></td>
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<tr>
<td>Objectives</td>
<td>Eliciting the good experiences to motivate future actions</td>
<td>Identifying unexpected changes</td>
<td>Building and explaining unexpected good outcomes</td>
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<tr>
<td>What criteria to identify success</td>
<td>What the people think was a success</td>
<td>What is wished by the story teller/Success is when a positive change is identified by more stakeholders</td>
<td>They are the best performers</td>
</tr>
<tr>
<td>What evidence for success</td>
<td>Something that other stakeholders recognize as a success</td>
<td>The stories are collected and told validated through direct observation and dialogue with stakeholders.</td>
<td>They have already solved the problem.</td>
</tr>
<tr>
<td>Methods</td>
<td>Participatory methods, direct observation, interviews, story telling, delight group, etc.</td>
<td>Qualitative and quantitative methods</td>
<td>Qualitative and quantitative methods</td>
</tr>
<tr>
<td>Relation to learning</td>
<td>The whole process is learning oriented</td>
<td>The most significant stories are those from which most can be learned.</td>
<td>It is easier to change behavior by predicting than by just knowing about it.</td>
</tr>
<tr>
<td>Where suited</td>
<td>Organizational; Complex programmes</td>
<td>Complex programmes; Participatory programmes</td>
<td>Community-based programmes; Complex programmes</td>
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</tbody>
</table>

References

UICC 2
Urban Impact of Climate Change in Africa
Planning with Scant Information

2nd International Conference
November 13, 2013, 9:00-14:00; Caccia, Colonne and Zodiaco Halls, Politecnico di Torino, Viale Mattioli 39- Turin

CASE STUDY METHODOLOGY
Application of the PT approaches
Phase 1: Setting up the local institutional framework
Phase 2: Identification and selection of success cases
Phase 3: Validation of selected cases through field visits
Phase 4: Validation of successes (in terms of positive changes) with the relevant stakeholders involved

Investigation techniques
- Desk review: relevant policies and legal acts (related to environment, local government and CC) at national level; plans and organizational structures at municipal level.
- Semi-structured interviews with key stakeholders: officers at municipal, ward and sub-ward level, community-based organizations (CBOs), academic institutions, NGOs, and inhabitants.
- Field visits

SELECTED SUCCESS ADAPTATION MEASURES FROM KINONDONI MUNICIPALITY

Municipalities | Words | Sub-words |
--- | --- | ---
Dar es Salaam | 22 | 65 |
Tembeke | 30 | 180 |
Kinondoni | 34 | 171 |
TOTAL | 86 | 416 |

Table 2 Selected success adaptation measures from Kinondoni municipality

<table>
<thead>
<tr>
<th>Measure</th>
<th>Description</th>
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<tbody>
<tr>
<td>Greenhouse project</td>
<td>Mbezi Beach/A sub-ward, Awa Ward. Funded by Kinondoni Municipality and implemented by Jitihada CBO</td>
</tr>
</tbody>
</table>

FINDINGS BY THE CASE STUDY

Table 3 Findings

| Conceptualization of CC and adaptation related issues | The lack of local plans, strategies and initiatives directly addressing CC and adaptation-related issues should not translate into a lack of LGAs’ competences and capacities. The conceptualization of these themes in in many cases confused and associated mostly with extreme events (i.e. flooding). On the contrary, projects put in place by LGAs that could be defined as good examples of adaptation measures already exist. |
| Complex administrative structure | The complexity of the administrative city profile is the real cause of some mismanagement, including: lack of clearness in responsibilities due to the overlapping functions of multiple LGAs; the role played by the institutional and no-institutional stakeholders; different solutions for similar problems within the same municipal boundaries (with the consequence of decreasing effective efforts); separate dialogue between the three municipalities and the sector ministries. |
| Decentralization and devolution | Even though the Local Government Reform Programme (1996) decentralized many functions and financial resources attributing considerable autonomy to LGAs in terms of territorial governance and setting their priorities, many key issues are still centralized: decision-making processes for sector policies, strategies and programmes; LGAs human resources appointment and management; budget allocation. |
| The "street level bureaucracy" (M. Lipsky 1980) | The local government pyramid-like structure and its widespread presence, as a vestige of the socialist model promoted by Nyerere, could offer an opportunity for bottom-up identification priorities and solutions. The sub-ward is the lowest administrative and political level. Its role could be crucial in: collecting and promoting community priorities at the lower administrative level; community priorities providing the bottom-up process at local government level; mediating between citizen needs, local regulations and policy implementation. |

The role played by the community-based organization | CBOs have a crucial role in: supplying or supporting LGAs in many service provisions (i.e. solid waste collection and water distribution from public boreholes); identifying the priorities of the community; promoting, designing and then implementing community-based projects and initiatives at the LGAs level. |