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Planning with Scant Information

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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 roles 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/DAC 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 strengths 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

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

References

H. Preskill and T. T. Catsambas 2006, J. Dart and R. Davies 2003, N. Stame and V. Lo Presti 2013

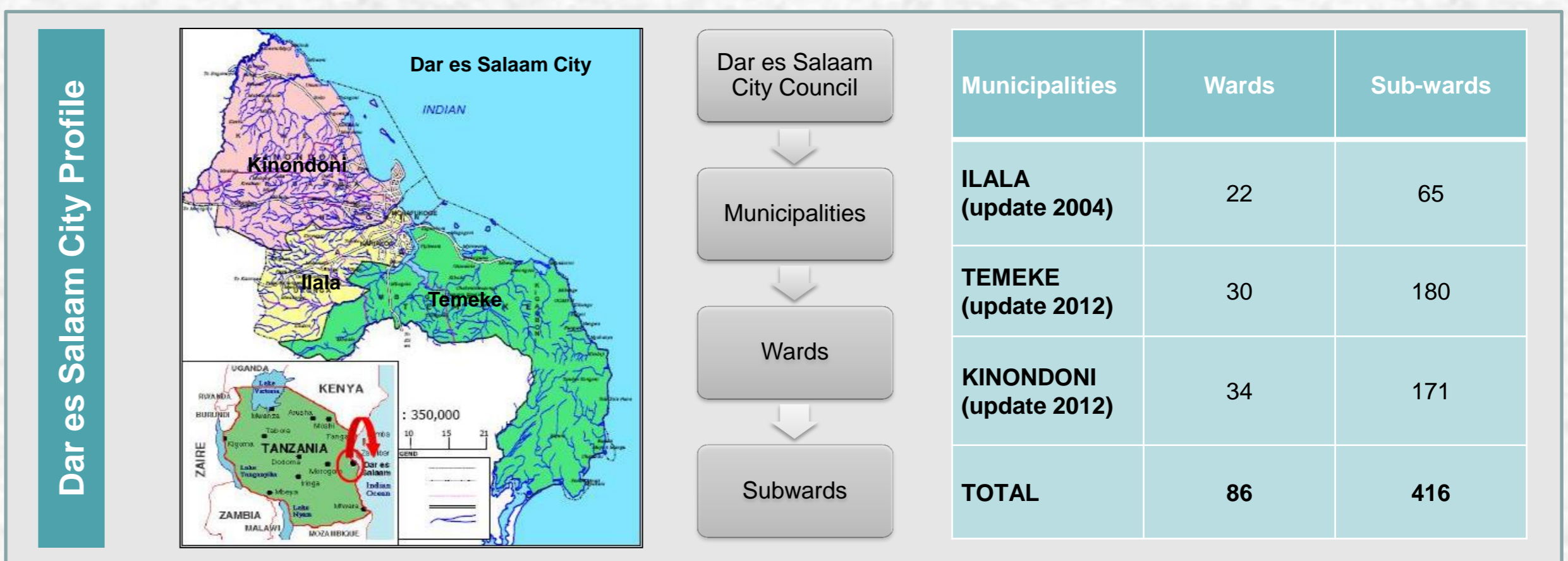
CASE STUDY METHODOLOGY

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

Rain water harvesting project.
Temboni sub-ward, Msigani Ward.
Funded by Kinondoni Municipality and implemented by Faraja CBO

Greenhouse project.
Mbezi Beach A sub-ward, Kawe Ward.
Funded by Kinondoni Municipality and implemented by Jitihada CBO

FINDINGS BY THE CASE STUDY

Main 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 those themes is 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 often the real cause of some mismanagement, including: - lack of clearness in responsibilities due to the overlapping functions of multiple LGAs governing the same territory (i.e. the case of the DCC and the three municipalities); - different solutions for similar problems within the three municipalities' boundaries (with the consequence of discontinuity and wasted efforts); - separate dialogue between the three municipalities and the sector ministries.
Decentralisation without devolution	Even though the Local Government Reform Programme (1998) 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 bureaucrat" (M. Lipsky 1980)	The local government pyramid 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 upper administrative level; - community priorities supporting the bottom-up process at local government level; - mediating between citizens 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.