

Climate, Food, Trade

Analysis of Institutional Interplay and
Information Exchange

Tanzania



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Contents

Acknowledgments	i
Note on Authors	iii
Acronyms	v
Executive Summary	vii
1. Introduction	1
1.1 Background and Context	1
1.2 Problem	1
1.3 Objectives	2
1.4 Rationale	3
2. Study Findings	4
2.1 Local Government Organisation Structure	4
2.2 Case Studies	8
2.3 Realities of Institutional Coordination, Legal and Budgetary Processes	9
2.4 Interactions of Different Institutions Involved in Agriculture, Climate Change and Trade	12
2.5 Formal and Informal Linkages Between District Councils and the Central Government	15
2.6 Existing Gaps and Challenges	17
3. Conclusions and Recommendations	20
3.1 Conclusions	20
3.2 Recommendations	20
Appendices	24
References	33
Endnotes	34

List of Tables, Figures and Boxes

Table 1	Selected Respondents	25
Figure 2.1	The Local Government: Central Government Linkage	5
Figure 2.2	Map of Study Areas	8
Figure 2.3	Tea Estate in Njombe Rural District	9
Figure 2.4	Sesame at Masasi District	9
Figure 2.5	The Agriculture, Climate and Trade Institutional Interactions	12
Box 2.1	Information Sharing System	11
Box 2.2	Farmers Shift to Charcoal	11
Box 2.3	Transparency of NSAs Projects	15
Box 2.4	Resource Gap	18

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We would sincerely like to mention that we have no definite illusions on how this publication will serve Tanzania. However, it is our hope that it will give an impetus to thought provoking discussion on how to improve the institutional interplay on agriculture, climate and trade related issues.

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Acronyms

ACT:	Trade, Climate Change and Food Security
ASLMs:	Agricultural Sector Lead Ministries
BO:	Beekeeping Officer
CAVA:	Cassava Adding Value for Africa
CBOs:	Community Based Organisations
CC:	Climate Change
CMT:	Council Management Team
CSOs:	Civil Society Organisations
DAICO:	District Agricultural, Irrigation and Cooperatives Officer
DLFO:	District Livestock and Fisheries Officer
DAS:	District Administrative Secretary
DC:	District Commissioner
DCCs:	District Consultative Council
DCDO:	District Community Development Officer
DHRO:	District Human Resources Officer
DLO:	District Legal Officer
DRO:	District Reforms Officer
DDPs:	District Development Plans
DED:	District Executive Director
DESO:	District Environmental and Sanitation Officer
DLNRO:	District Land and Natural Resources Officer
DPLO:	District Planning Officer
DSAs:	Daily Subsistence Allowances
EMA:	Environmental Management Act
ESRF:	Economic and Social Research Foundation
FBOs:	Faith Based Organisations
FFS:	Farmer Field Schools
FIP-Africa:	Farmer Input Promotion Africa
GDP:	Gross Domestic Product
LGA:	Local Government Authority
M&E:	Monitoring and Evaluation
MAFC:	Ministry of Agriculture, Food Security and Cooperatives
MDGs:	Millennium Development Goals
MoIT:	Ministry of Industries and Trade

MoU:	Memorandum of Understanding
MP:	Member of Parliament
NADO:	Njombe Agricultural Development Organisation
NAP:	National Agricultural Policy
NAPA:	National Adaptation Programme of Action
NCCS:	National Climate Change Strategy
NEMC:	National Environmental Management Council
NEP:	National Environmental Policy
NFRA:	National Food Reserve Agency
NFSP:	National Food Security Policy
NGOs:	Non-governmental Organisations
NSAs:	Non State Actors
NSGRP:	National Strategy for Growth and Reduction of Poverty
NTP:	National Trade Policy
O&OD:	Opportunities and Obstacles for Development
PACT-EAC:	Promoting Agriculture, Climate, Trade Linkages in the East African Community
PFM:	Participatory Forest Management
PPF:	Private Forest Programme
PMO-RALG:	Prime Minister's Office Regional Administration and Local Government
RAS:	Regional Administrative Secretary
RC:	Regional Commissioner
RCC:	Regional Consultative Council
REDD:	Reduced Emissions from Deforestation and Forest Degradation
SDGs:	Sustainable Development Goals
SUA:	Sokoine University of Agriculture
TAHA:	Tanzania Horticultural Association
TANESCO:	Tanzania Electric Supply Company
TASAF:	Tanzania Social Action Fund
TRA:	Tanzania Revenue Authority
UDSM:	University of Dar-es-Salaam
VEOs:	Village Executive Officers
WDC:	Ward Development Committee
WEOs:	Ward Executive Officers
WRS:	Warehouse Receipt System

Executive Summary

As the link between Agriculture, Climate, and Trade (ACT) proves to be strong in Tanzania, different non state actors with close relationships with the government of Tanzania have continued initiating new activities that aim to facilitate smooth interplay between different institutions involved in ACT. The government has put forth several national policy frameworks that act as a blueprint towards attaining inclusive and socio-economic growth. However, major challenges or gaps (weaknesses) exist that hamper implementation of these National Policy Frameworks, such as low involvement or participation and limited capacity of the key players and institutions, particularly those at lower levels.

In view of the limited involvement and implementation capacity of key players at lower levels, poorly adopted institutional framework and its interplay, and therefore overall performance of the ACT at District Council levels led to an urgent need to address implementation challenges at lower levels by way of understanding the functioning of the institutions as well as the challenges they face.

This study therefore has attempted to identify, understand and suggest improvements of the institutional interplay from the local to the national level for the holistic tackling of the three issues of climate change, food security and trade. To do so, the study focuses on institutional, legal, financial bottlenecks and skills gaps in planning, budgeting, and implementation of ACT-related plans. It also seeks to acknowledge and support the current efforts by the government and various stakeholders in mainstreaming the environment, climate change, food security, and trade initiatives in the planning and budgeting processes at different levels.

It is envisaged that through the study recommendations and conclusions highlighted in this publication, the relevant stakeholders including the government, non state actors, farmers, traders and even environmentalists would agree on a framework that would enable each one of them work in a well-coordinated manner that would eventually help promote agriculture, climate and trade-related issues.

Chapter 1

Introduction

1.1 Background and Context

Through the project titled, “Promoting Agriculture, Climate, Trade Linkages in the East African Community (PACT EAC),” national studies were conducted from 2011 up to 2013 in the five East African countries of Tanzania, Kenya, Rwanda, Burundi and Uganda. These studies focused mainly on understanding how agriculture (food security), climate change, and trade (ACT) relate to each other, as well as building the capacity of key stakeholders and institutions to develop and implement holistic responses in the context of relevant international regimes, particularly those related to trade, agriculture and climate change.

For each country, the studies identified key policy recommendations. A common need for ensuring inter-institutional coordination and policy coherence on the three critical issues of climate change, food security, and trade is paramount and discernable. In Tanzania, the study recommendations included the need to align trade policy to climate change and food security challenges. Thus, issues related to institutional framework (functioning of institutions) coordination, linkages, surveillance and monitoring, as well as the legal and regulatory framework governing various levels of the government are among the major pertinent areas.

Building on the above recommendations, it was felt and agreed that there is a need for further focussed studies to identify, understand, and improve the institutional interplay from the local to the national level for a holistic tackling of the three issues of climate change, food security and

trade. As noted earlier, Tanzanian research findings published in 2013 show clearly that climate change as a global phenomenon is here to stay, and its effects on all aspects of human life are manifesting themselves across all walks of life in the country. It is also recognised that the fight against harmful climate change impacts is a shared responsibility among all the countries as well as stakeholders.

Accordingly, as we shall see in section 1.3, understanding and analysing institutional interplay and the associated link to ACT is the focus of this study, and emphasis has been made in regards to both vertical as well as horizontal institutional interplay.

This study has therefore focussed on two districts as case studies (See Chapter 2, Section 2.2).

1.2 Problem

Among the major challenges or gaps (weaknesses) facing implementation of the National Policy Frameworks (such as the National Five years Development Plan – 2011-12 to 2015-16), National Strategy for Growth and Reduction of Poverty (NSGRP) and Millennium Development Goals (MDGs), and therefore inclusive economic growth in Tanzania, are the low involvement or participation, and limited capacity, of the key players and institutions, particularly those at lower levels, namely the District Councils (District, Ward and Village levels), but also higher institutional levels, namely the regional Secretariat and central government levels. Players, actors and institutions at lower levels are the key

implementers of all the National Policy Frameworks (See also Figure 2.1). Thus, successful implementation of any plan, policy, strategy, or programme will largely depend on players at the local government level (in collaboration with central government), yet there is not only limited involvement, but also limited capacity (including skill, competencies and resources) of these important stakeholders, which is largely caused by a poor institutional framework as well as institutional interplay governing the national development framework.

For most District Councils, not all the ACT components (e.g. environmental related activities such as management and conservation of forest resources, enforcement of rules and regulation, agricultural extension services and budgets, as well as trade facilitation through reduction of tariff and non-tariff barriers) appear to be part of the priority projects or activities identified during the planning and budgeting processes despite their strong influence on national food security, the mitigation of climate change impacts, and trade. The national planning process in Tanzania begins at lower or community levels and it is guided by an Opportunities and Obstacles for Development (O&OD) planning tool. O&OD is a planning instrument that was created by the government during the early 2000s. This tool allows community members to prioritise activities for implementation. The process entails a few District Officials coming to the villages and organise sessions where, under their guidance, community members identify and make a list of obstacles (challenges) and opportunities they have experienced over the past year in the village, discuss them, and finally come up with the priority list of activities (projects) which they propose should be taken on board. The agreed proposal of priorities is afterwards submitted to the higher level, i.e. Ward development Committee (WDC), for further steps.

However, whenever the ACT related projects or activities such as gender, agricultural extension and support services, afforestation, non-tariff barriers, etc. are integrated in the District Development Plans (DDPs), the

necessary resources (budgets) from the central government are not forthcoming as requested, thus making it difficult to implement the projects. In some cases, this has a serious implication on food security, climate change, as well as trade performance.

In view of the limited involvement and implementation capacity of key players at lower levels, poorly adopted institutional framework and its interplay, and therefore overall performance of the ACT at District Council levels, there is an urgent need to address implementation challenges at lower levels by way of understanding the functioning of the institutions as well as the challenges they face. The interventions must include building capacities necessary at various levels to implement ACT related plans and policies coherently and cognizant of their inter-relation, including financing the respective budgets.

1.3 Objectives

This survey therefore is intended to identify, understand and suggest improvements of the institutional interplay from the local to the national level for the holistic tackling of the three issues of climate change, food security and trade. The inquiry focuses on institutional, legal, financial bottlenecks, and skills gaps in planning, budgeting, and implementation of ACT- related plans.

The specific objectives of this study are therefore as follows:

- (a) To identify and examine the different institutions (both public and private), as well as their interactions in relation to ACT in Tanzania, with a view to outlining the current status of institutional interplay related to ACT at the district level
- (b) To examine the formal and informal linkages between district and national policy-making and implementation related to ACT, with a view to outlining the current status of the flow of information/inputs from the district level

to the national level, and of the flow of policy directions/explanations from the national to district level

- (c) To identify existing gaps and shortcomings both at the vertical (i.e. between the district and national level) and horizontal (i.e. between the local governments, e.g. districts, wards and villages) levels, and make recommendations to address them for better policy and institutional coherence.

1.4 Rationale

The rationale for this study is three-fold. First, because Tanzania is largely dependent on natural resources, or natural environment, for food and trade, a study on the institutional capacity in relation to climate change, food security and

trade is not only relevant but also pertinent to the country. Secondly, the note seeks to acknowledge and support the current efforts by the government and various stakeholders in mainstreaming the environment, climate change, food security, and trade initiatives in the planning and budgeting processes at different levels. Lastly, it should identify institutional weaknesses and existing gaps in integration (and implementation) of the natural environment and climate change, food security, and trade components in planning, budgeting processes and implementation. These objectives are critical in improving and ensuring all environmental and climate change, food security and trade components are adequately taken on board in planning and budgeting as well as implementation, thus improving the relationship, quantity, and quality of ACT performance.

Chapter 2

Study Findings

2.1 Local Government Organisation Structure

2.1.1 District Council's Organisation Structure, Leadership, and Public Service Delivery

Each District Council in Tanzania is made up of divisions, which are then further sub-divided into wards, village councils and streets (the smallest government administrative unit). Though limited, the District Councils have autonomy in their geographic area. These Councils coordinate the activities of the township authorities, ward and village councils, which are accountable to the district for all revenues received for day-to-day administration. The village, ward, and township councils have the responsibility of formulating plans for their areas.

There are also a number of democratic bodies that debate local development needs. The leadership in the ward, village, and streets is composed of an elected chairperson (villages and street), Executive Officers (wards and villages), and other members, all of whom serve on an advisory committee.

Democratic elections for the Councils are held every five years. Elected members of their respective authorities indirectly elect the chairpersons and mayors. The village assembly, comprised of all adults over the age of 18, elects the members of village councils. The District Council is made up of the members elected from each ward (Councilors) and the Member of Parliament (MP) representing the constituency. The number of women appointed to the Council

is not less than one-third of ward representatives and the MPs combined.

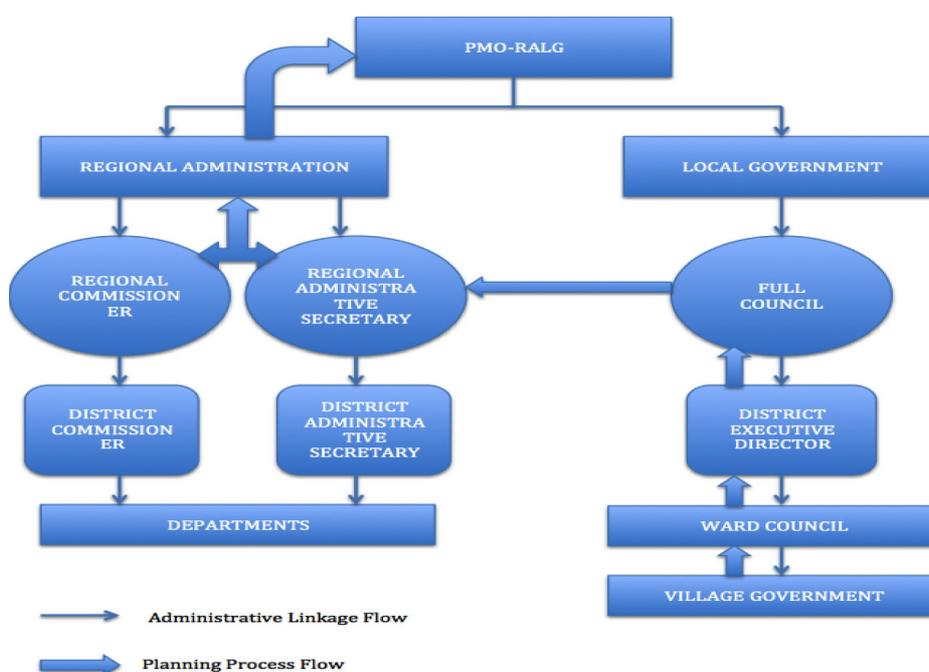
District Council management is a multi-sectoral and cross-sectoral organ that requires a holistic approach and multi-level operation. The day-to-day activities are run by the Council Management Team. The Council management is headed and led by a District Executive Director (DED) who is assisted by the following Heads of Departments: District Planning Officer (DPLO), District Agricultural, Irrigation and Cooperatives Officer (DAICO), District Livestock and Fisheries Officers (DLFO), Beekeeping Officer (BO), District Land and Natural Resources Officer (DLNRO), District Environmental and Sanitation Officer (DESO), District Community Development Officer (DCDO), District Human Resources Officer (DHRO), District Legal Officer (DLO), District Reforms Officer (DRO), Ward Executive Officers (WEOs), Village Executive Officers (VEOs) and Village Chairperson. The other supporting functions include the following sections: Procurement, Legal, Audit, Information and Communication Technology, and Supplies.

The current legislation assigns the following basic functions to the Council: (a) Maintenance of law, order and good governance (which are critical for facilitating development programmes including ACT related projects); (b) Promotion of economic and social welfare of the people within its area of jurisdiction; and (c) ensuring effective and equitable delivery of qualitative and quantitative services to the people within its area of jurisdiction. In addition to the basic functions,

the Council is charged with seven other functions and duties, as follows: (a) Formulation, coordination and supervision of the implementation of all plans for economic, industrial and social development in its area of jurisdiction; (b) Monitoring and controlling the performance of duties and functions of the Council and its staff; (c) Ensuring the collection and proper utilisation of the revenues of the Council; (d) Making by-laws applicable throughout their areas of jurisdiction, and considering and improving by-laws made by Village Councils within its area of jurisdiction; (e) Ensuring, regulating, and coordinating development plans, projects, and programmes of villages and township authorities; (f) Regulating and monitoring the collection and utilisation of revenue of village councils and township authorities; and (g) Subject to the laws in force, doing all such acts and things as may be done by a people's government. Although in the current legislation the above functions have been assigned to the Council, this study found that some of the services and infrastructure are still being provided by the central government or its executive agencies. Also, most of the funding (about 90 percent) still comes from the central government.

Most of the District Council's income comes from the central government allocations (through the Prime Minister's Office Regional Administration and Local Government (PMO-RALG), which on average account for about 90 percent of the entire Council's approved budget. The Councils also raise revenue locally. The main sources of local income come from: fees including taxi registration, bus stands, forestry products, valuation, scaffolding, inoculation and ambulance; licenses, including road and liquor; property taxes and rent; charges, including for refuse collection, crop cess, hire of vehicles, markets; fines; and others including sale of assets and recovery of public funds. Generally speaking, the revenue base of the Councils is weak (less than 10 percent of approved budget), and is getting weaker as some of the revenue is shifted to the central government through the Tanzania Revenue Authority (TRA). In addition, the recent requirement by the Parliamentary Committee that 60 percent of the internal revenue should be directed to development projects is constraining even further the effective implementation of the Councils' operations and service delivery functions.

Figure 2.1: The Local Government - Central Government Linkage



Source: Author's Elaborations

2.1.2 Institutional Coordination, Legal, and Budgetary Processes

(a) *Institutional Coordination*

The District Councils' governance system is holistic, i.e. multi-sectoral, government units with a legal status (body corporate) operating on the basis of discretionary, but general, powers under the legal framework constituted by the national legislation, Local Government Authority (LGA) Act of 1982. As pointed out earlier, the local government has the responsibility for social development and public provision within its jurisdiction, facilitation of maintenance of law and order and issues of national importance such as education, health, water, trade, management of the natural environment, roads, agriculture, livestock, and fisheries, and is the legal owner of these assets. The local government has a constituted unitary governance system based on elected counsellors and committees and a professional administration. However, water and national truck roads services are not under the responsibility of the district. The Ministry of Water owns and operates water intakes, treatment and distribution facilities. TANROADS develops and maintains the national road system. The supply and distribution of electricity in Tanzania is the responsibility of the Tanzania Electric Supply Company (TANESCO). Other civil works have been financed and directly implemented by the central government, though the ownership of the resulting assets remains local. Local government responsibilities include: local planning, development control, provision of local roads, and environmental management (such as drainage and solid waste management, and environmental health functions). Trade and food production cut across both the central government authority and the local government.

Overall, the District Councils' staff reported that, with the exception of some areas, the institutional framework is satisfactorily supportive and to some extent enables implementation of DDPs at the district level including wards and village level. Nonetheless, it was revealed that the Council would like to have more autonomy, specifically financial

discretionary powers (i.e. more powers to determine and levy local taxes and generate more own resources). These Councils would also like the central government to supply adequate and timely grants. The late and unstable disbursements are hindering the effective implementation of DDPs. In addition, the Councils' inability to recruit personnel is creating a perpetual human resource gap.

As to the role of the central government vis-a-vis the Councils, the inter-governmental relations with central government are good. However, sometimes the over-riding powers and orders from the Sectoral Ministries and Government Agencies cause confusion and unease during the DDP implementation. A typical case is the conflict between the implementation of certain components of the Environmental Management Act, 2004 (EMA, 2004), and the Councils' by-laws. Since developmental issues are expected to be more complex with the onset of green economic growth and the designed Sustainable Development Goals (SDGs), there is a need to review the role and functions of the Council and harmonise certain legislation of line ministries with those of the Councils' by-laws. With this respect, ministries responsible for agriculture, trade, as well as the environment must have a way to integrate their activities directly with respective district departments so as to ensure effective implementation of the set national goals and objectives.

For instance, the EMA, 2004, and by-laws on the environment need to be harmonized. Furthermore, there is a need to redefine and make clear the role of non-governmental organisations (NGOs), Community Based Organisations (CBOs), and other non-state actors (NSAs) in the governance system of the Councils to increase the efficiency and effectiveness of mainstreaming and implementing the natural environment, climate change (CC), food production and trade activities, mobilisation of resources, monitoring and evaluation, and reporting. Currently, the NSAs are invited to participate in the annual planning process when it is in the midstream, but some do not respond.

(b) Legal Framework

All local government authorities were established under the LGA Act of 1982. LGAs exist for the purpose of consolidating and giving more power to people to competently participate in the planning and implementation of development programmes within their respective areas and on the national level. In fulfilling the basic function of economic and social welfare of the people, it is crucial to have in place laws that facilitate food production, trade, and protect the environment. As elaborated in the institutional framework and its structure, the LGA is positioned as an implementer of policy and directives from the central government through the respective departments. This includes inter alia legal issues and environmental laws in particular.

The existing legal framework allows for two levels: national law (Parliamentary Act –*sheria mama*) and the by-laws. The by-laws are set at the district and the village levels. The important thing to note here is that the district level by-laws are supposed to be consistent with the national laws under the Parliamentary Act. The village by-laws are also supposed to be consistent with the District Council by-laws, and are approved by the counselors through the Full Council Meeting.

(c) Budget Process

The budget preparation process uses the guidelines from the central government (Ministry of Finance) and follows the normal agreed national budget cycle. As per budget guidelines, the budget processes are supposed to start from the lower level through the O&OD principles. This approach requires all the processes to start from the grassroots (hamlet or street level), through the Village, Ward, District Council, Regional Councils, and finally to the national level. The exercise of prioritising development projects starts at the hamlet (Kitongoji) level, which is comprised of a number of households. The agreed priority projects are then submitted to the village level to form village priority projects for that period. The village general meeting is the level where agreed development priority projects are approved. Village plans are then submitted and analysed at the ward level to form

the ward plans that are approved by the WDC. Some of the priorities, however, are conceptualised and agreed at the ward level.

Priority development projects and plans approved at the WDC are then submitted to the District Council level. These development priorities are then discussed through the respective departments at the district level, and the synthesised report is discussed and approved by the Council Management Team (CMT).¹ At the level of District Council the planning process goes through various stages before the approval by the Full Council. These levels include the department level, where ward plans are received and analysed and synthesised into district plans. These plans are analysed and discussed in various departments of the Council, and then departmental plans are harmonised to form district plans. The latter are then discussed in the Workers' Council to see whether all matters pertaining to workers' affairs are adequately addressed. Then the Stakeholders² meeting is called upon by the Council to discuss the district plans and include issues from NSAs, and then the plan is eventually reviewed by various district committees which are all chaired by the Councilors. The committees are: Financial, Administration and Planning; Economic, Infrastructure, and Environment (this includes gender issues); Education, Health, and Water; Coordination, Control, and HIV/AIDS; and Ethics. As noted earlier, trade and food production cut across various committees, such as Planning, Economic, Infrastructure and Water. Finally, the plan is discussed and voted upon by the Full Council. The Full Council is the highest governance organ at the district level for approving plans and the budgets. It is worth mentioning here that, like in committees, the Full Council is also chaired by a Councilor, and in the four committees and the Full Council, the decisions are made by the Councilors only (the technical cadre/district subject matter specialists are not allowed to vote).

The plan is then submitted to the Regional Council, where all district plans are consolidated into a regional plan, and finally submitted to the Ministry of Finance through PMO-RALG. The

Ministry of Finance then submits the ceilings (maximum budget levels per district) to districts, and the districts review and scale down their budget levels so that they are in line with the ceilings (some priorities and projects are normally abandoned at this stage).

2.2 Case Studies

2.2.1 Observation Areas

This study has been undertaken through case studies of two district councils. These districts are Njombe Rural in Njombe Region and Masasi in Mtwara Region (See Figure 2.2).

These two districts have been purposively selected due to their potential for agricultural exports that has been, and would be, affected by

climate change over time. While Njombe Rural District has potential in the production of commercial crops such as flowers, tea, fruits and vegetables as well as forest products, Masasi is one of the major producers of cashew nuts and sesame.

Other crops produced in Njombe Rural are sunflower, round potatoes, maize, paddy, coffee, beans, and a variety of horticulture products. Other crops grown in Masasi are: maize, groundnuts, beans, fruits, etc. Also important to mention is the fact that these districts are characterised by not only the environmental degradation, such as deforestation, but also climate change impacts, food insecurity, and trade deficiencies.

Figure 2.2: Map of Study Areas

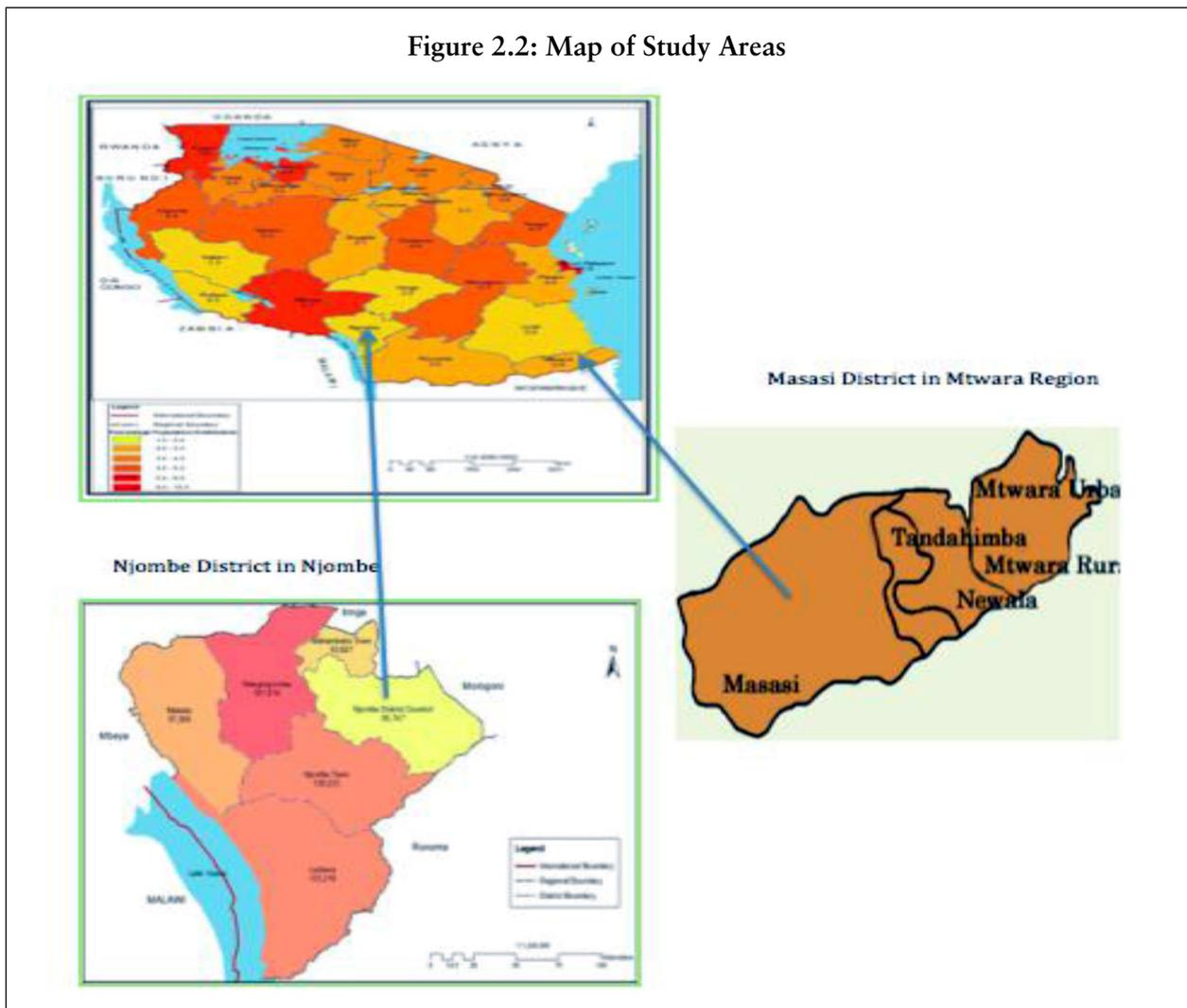


Figure 2.3: Tea Estate in Njombe Rural District



There are also high levels of poverty, gender disparities, and the opportunities to reduce poverty through sustainable management of domestic natural resources, climate change adaptation (and mitigation), and especially sustainable trade of forest products. Note also that the selection of the two districts was motivated by an active presence of complimentary interventions and local actors' readiness to engage in the natural environmental and ACT activities, as well as the goal to integrate them in the DDP and budgeting.

In Njombe for example, a joint programme between the Government of Tanzania and the Finnish Government was launched in January 2014. This programme is commonly known as Private Forest Programme (PFP) and is initially implemented in the six districts of the Southern Highlands. These are Njombe, Makete, Ludewa (in Njombe Region), Kilolo and Mufindi Districts in Iringa Region, and Kilombero District in Morogoro Region. The programme is intended to promote commercial tree planting through farmers groups.

Figure 2.4: Sesame at Masasi District



2.3 Realities of Institutional Coordination, Legal, and Budgetary Processes

2.3.1 Njombe

According to the DESO and the DAICO, the following are the legal challenges facing the LGAs in implementing environmental, trade, and food production initiatives. For District Council by-laws to work, they need approval from the ministry (PMO-RALG). Experience has shown that it takes a long time to achieve this approval, sometimes more than a year. With such a delay and the fact that people at the local level (village) do not have the capacity (skills in particular) to prepare their own by-laws, any decisions that are to cater to ACT are often hampered. For example, when there is low agriculture production due to a number of tariffs imposed at the district level, traders often find it costly to trade. Thus, for such district by-laws to be waived to allow for movement of the crops, the time taken would eventually reach the next cropping season, making them not useful.

The DPLO was of the view that, in some areas, government parastatals and NSAs were not responsive because of the conservative thinking that they are independent entities outside the Council's loop. On the other hand, the NSAs invite the Councils in their planning processes, but rarely share their plans or progress reports, making collaborative arrangements difficult, sometimes leading to duplication of efforts. Although the Councils and NSAs work with communities in assisting and advising them on all aspects of social economic development and environmental protection, food security and trade, the challenge remains on how to identify economically attractive projects, how to optimally share the resources, and how to harmonise the implementation process, since the Councils and NSAs have different missions, objectives, and reporting systems.

Another major challenge comes through the implementation of these by-laws both at the district and village level. This part requires, among other things, commitment and financial resources, which are lacking to a large extent.

For the successful implementation of environmental by-laws, commitment of leaders at different levels is very crucial. Financial resources to facilitate implementation, such as transport, daily subsistence allowances (DSAs), and other incidental allowances for environment officers' visits, are very important. Official budget statistics have shown that substantial gaps exist between approved and disbursed funds.

Note also that despite some persisting gaps and weaknesses, institutional processes and mechanisms for coordination of development planning and implementation are fairly supportive and enable the implementation of DDPs at district level, including wards and village level. The key challenges however are the inadequate financial and human resources and working tools. Some examples of these are a lack of appropriate and reliable software and data management facilities for management, coordination, performance review, monitoring and evaluation (M&E), quality assurance, impact evaluation, lack of access to fast internet connection, and limited transportation facilities.

The district planning specialists mentioned that one of the major challenges in the budget preparation cycle is that the budget ceiling usually comes very late from the Ministry of Finance, which makes repackaging the budget extremely difficult.

Though the budgeting and planning processes are standard as shown in the guidelines, the most challenging part is in implementation, M&E and reporting. The following are some of the challenges identified at the focus group discussions involving selected heads of departments and sections in of the Councils:

- (a) Inadequate internal revenue sources, which account for less than 10 percent of the budget. Internal revenue sources were previously used to cover internal expenditures (which were mostly recurrent), but for the current budget (2014-15), the Districts were instructed by the Parliamentary Committee that 60 percent of the internal revenue should be allocated for development projects. The

challenge here is how to fill the gap as far as internal expenditure is concerned.

- (b) Miss-match between the budget approved by Full Council and regional level versus the ceiling received from the central government, which is normally at the lower end. In order to accommodate the ceiling, a number of identified priorities have to be dropped. To a large extent this has raised questions at lower levels about the relevance of the processes since only a few (if any) of their priorities are normally considered, but even those considered are not all fully implemented. All these demoralise the people at the grassroots, especially when they have laboured to make their contributions (mostly in terms of materials and own labour)
- (c) Very late disbursement of the approved resources to the District Councils makes it impossible to implement some of the plans given the time constraints. There is always a gap between the budget allocated and the amount of funds released, and sometimes the process of disbursement is unreliable and not timely.

2.3.2 Masasi

In Masasi, every year a meeting is held, bringing together all relevant agriculture stakeholders from the regional offices to the lower local government authorities. People like the chairmen of all farmer groups, the Regional Commissioner (RC), District Commissioner (DC), Regional Administrative Secretary (RAS), District Administrative Secretary (DAS), and NSAs are some of those attending such meetings. The sole aim and purpose of the meeting is to have open discussions on existing pertinent problems facing the agriculture sector and all other cross cutting sectors. Issues, such as agriculture prices for cashewnuts and the payment modality to be followed, are discussed. However, the study was informed that these meetings do not often reach a compromise, and farmers blame the government for making decisions that do not favour farmers.

Box 2.1: Information Sharing System

Information can be channeled right up to the decision makers, but what next? Nothing happens, it just becomes a formality to show that all stakeholders have been involved but all pertinent issues that the government may view as not beneficial to them will be dropped.

Chikukwe AMCOS, 21st December 2014

During the interviews, a member of Chikukwe AMCOS claimed that this kind of platform and other information sharing systems that exist at the local government authorities level can be deemed more political due to lack of implementation on the agreed issues discussed in these meetings. This is precisely why most farmers lose hope and opt to engage in other economic activities, such as charcoal burning. Embarking on charcoal business in many districts, and Masasi in particular, is considered as an activity that needs relatively low or no capital, with only the axe (*panga*) and the furnace to burn the wood for charcoal production.

An observation was also made that, in some cases, farmers delivered their problems to their Members of Parliament (MPs), but to their dismay, no concrete actions were taken to address their problems. With this, some claimed that both the Councilors and MPs are people not to be trusted at all.

Box 2.2: Farmers shift to Charcoal

As farmers' concerns are used for other people's gain, nowadays many farmers are in the charcoal business simply because there is an assurance of market and income is guaranteed instantly not after some time.

Farmer in Chikukwe ward, Masasi, 21st December 2014

Among the main challenges reported by farmers are local taxes which are imposed on their agriculture products in Masasi district, and Mtwara region as a whole. For instance local taxes imposed on sesame farmers was reported to reduce producers' income by TZS 476 per kg, which is equivalent to 34 percent of the final sesame price per kg. Such charges are a disincentive to farmers.

The Masasi District Planning Officer claims that institutional processes and mechanisms for coordination of development planning and implementation at district, ward and village levels are supportive. However, the DAICO states that for the case of agriculture and environment, there is yet clear demarcation of responsibilities between his department and that of the environment. Such contradiction occurs often during the planting season when the Environment Department restricts farmers from using fertilisers for their crops. To the Agriculture Officer, this is viewed as stepping into agriculture matters, which are none of the Environment Department's concern.

Late disbursement of funds and payment for farmers' agriculture produce from the Central government is among the major challenges reported to compromise agriculture and trade performance in Masasi district. This was expressed by farmers who cried foul play for late payment by the government for their cashewnut produce stored in the warehouses through the Ware-house Receipt System (WRS). As such, farmers are demoralised and become incapable of investing more in the sector due to lack of sufficient finances.

With overdependence on the central government for the disbursement of funds, the Masasi Town Council Economist reported that it becomes extremely difficult for the district plans to be effectively executed due to the financial dependency. The district is deemed to depend on more than 90 percent of its finances from the government and development partners' projects - a situation very unlikely to facilitate ACT-related activities in the region.

2.4 Interactions of Different Institutions involved in Agriculture, Climate Change and Trade

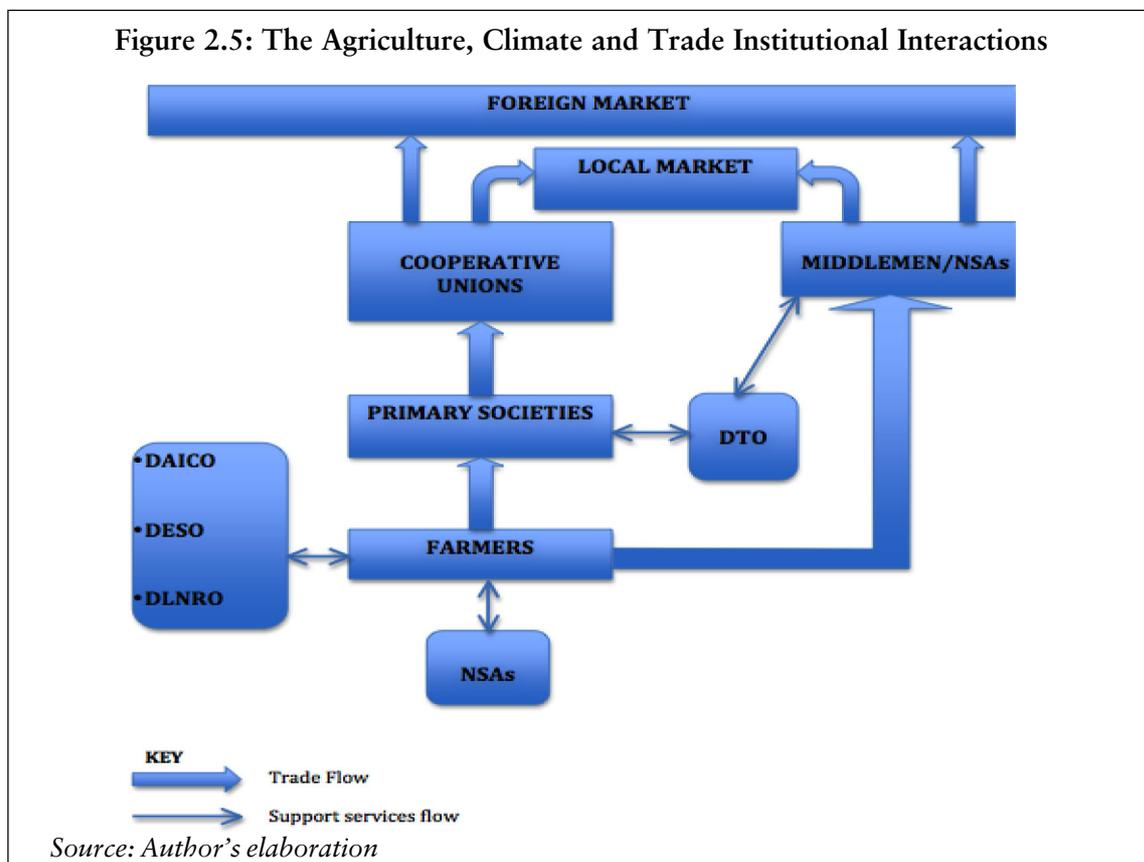
Tanzania has attracted a number of players and institutions working in the area of ACT. Apart from the public institutions – such as the District Department of Agriculture, Irrigation and Cooperatives; Department of Lands and Natural Resources; Department of Environment and Sanitation; and Department of Trade. There are also NSAs, such as private organisations, Civil Society Organisations (CSOs), CBOs, Faith Based Organisations (FBOs), International Organisations and Development Partners.

Existing public institutions, modes of interaction, information sharing, and networking are generally uniform across district councils mainly because they use the same guidelines that are issued by the central government. Thus, the difference between one district council and another mainly depend on the available NSAs and the approach they use in the respective districts, such as the area (sector) and agricultural crops of focus, as well as type and number of

beneficiaries. Experiences from Njombe Rural and Masasi Districts are presented below.

The linkage between Njombe rural (and Masasi) district Councils, on one hand, and the Central Government, on the other, exist through various routes, which move in both directions (two way traffic). All of the proposed annual plans and budgets (where ACT projects are integrated), including the feedbacks, are routed through this institutional system.

Other district councils' institutions that are closely involved in ACT, according to the DPLO, include the District Agriculture, Irrigation and Cooperatives, Department of Lands and Natural Resources, Department of Environment and Sanitation, and the Department of Trade. These are among key respondents who were interviewed in Njombe rural and Masasi districts, where researchers collected views from the head of Lands and Natural Resources, head of Environment and Sanitation, head of Agriculture, Irrigation and Cooperatives and head of Trade. Other respondents have been presented in Table 2.1. Other departments include lands, water, livestock, etc. at different administrative levels.



The process of institutional interplay, in regards to ACT linkage, is illustrated in Figure 2.5. Farmers (agricultural production) communicate with the DAICO, DLNRO, and the DESO. DAICO provides the required support and extension services to farmers from the first stage of the production cycle, namely farm preparation, through planting (or seedling), fertiliser application, and weeding, up to the harvesting and storage stages. DLNRO and DESO are responsible for ensuring that all environmental requirements (rules and regulations) are integrated during the farming process. For example, it is DAICO's responsibility to ensure that fertilisers and improved seeds reach farmers in good time and in adequate amounts.

The DLNRO and the DESO are both responsible for ensuring that farming does not accelerate environmental degradation, such as deforestation and invasion of wetlands and water sources. These rules are meant to ensure, for example, that crop production or farming does not unnecessarily harm vegetation, and that tree plantations do not harm crop husbandry. In addition, the district councils, through their Lands and Natural Resources Department, ensure that farming is not practiced near water sources (it must be 60 meters away from water sources).³ The three departments also collaborate in organising capacity-building training for farmers through Farmer Field Schools (FFS).

Evidence from the field data reveals that interaction of different institutions involved in ACT linkage has influenced agriculture, climate change as well as trade in the two districts and the country at large. Njombe region, for example, has witnessed climate change resulting in both negative as well as positive changes. For example, increased temperature has led to the emergence of the tropical borne insects, bacteria and diseases, such as malaria, which were not common in the past. The outcome of changing climate in Njombe is diverse because, on the positive side, a number of new crops that respond better to tropical weather such as watermelon, pineapples, flowers, mangoes and avocados are

now produced in large quantities. This is a new source of income to farmers, which has a positive implication to food security in Njombe and the country as a whole. Institutional support has played a greater role towards this success. The public institutions, particularly the Njombe District Councils and the Regional Secretariat, have created an atmosphere that attracts NSAs to invest in the horticulture sub sector. Masasi has made a significant improvement in the area of agricultural marketing by creating a unique Marketing Model using the Warehouse Receipt System. To a larger extent, unnecessarily large numbers of players in the sesame and cashewnut marketing chain have been cut down, thus eliminating transaction costs which used to push production down.

Despite ACT related institutional collaboration, unsustainable trade in forest products is currently mushrooming, where huge stocks of logs and timber are harvested and transported to other parts of Tanzania as well as in the neighbouring countries. The booming trade has accelerated both afforestation and immature tree harvesting in Njombe region.

2.4.1 Njombe Rural District

In addition to the public institutions related to ACT, Njombe rural district council has also attracted many NSAs who are working in the area of ACT. NSAs provide support services to farmers in the area of agriculture or the natural environment. Others are working under contract with farmers in the area of marketing and trade. For example, a joint programme between the government of Tanzania and the Finnish government was launched in January 2014. This programme is commonly known as PFP and is initially implemented in the six districts of the Southern Highlands. These are Njombe, Makete, Ludewa (in Njombe Region), Kilolo and Mufindi Districts in Iringa Region, and Kilombero District in Morogoro Region. The programme is intended to promote commercial tree planting through farmers groups.

In 2013, Njombe Region Secretariat (where Njombe Rural District Council belongs), entered into an agreement with the Economic and Social

Research Foundation (ESRF), which required that the Foundation prepare a Njombe Regional Strategic Plan using the following scope of work:

- (a) Compile a situation analysis of the region
- (b) Review District Plans and hold discussions with key informants (how they were prepared, status, challenges)
- (c) Identify clearly the tools (e.g. logframe, results, framework, etc.) and processes that will be used in developing the strategic plan and facilitators at the District who would produce the draft District Strategic Plan. This will appear as sub-strategies in the Regional Strategic Plan.
- (d) Present the draft Regional Strategic Plan to the District Consultative Council (DCC) and the Regional Consultative Council (RCC)
- (e) Incorporate the feedback from DCC and RCC and submit the final Regional Strategic Plan including the presentation that was made at the RCC.

Other NSAs within and outside the district that are currently collaborating with Njombe Rural District Council include Tanzania Horticultural Association (TAHA), Njombe Agricultural Development Organisation (NADO), Farmer Input Promotion Africa (FIPs – Africa), etc. In addition Njombe rural District works with Sokoine University of Agriculture (SUA), University of Dar-es-Salaam (UDSM), National Environmental Management Council (NEMC), Vice President’s Office – Division of Environment, National Food Reserve Agency (NFRA), Ministry of Agriculture, Food Security and Cooperatives (MAFC), ESRF, Ministry of Industries and Trade (MoIT), and other Agricultural Sector Lead Ministries (ASLMs). Note that, all collaborations under this window are formalised through agreements such as contracts, Memorandums of Understanding (MoUs), etc. It was understood that, unlike in the past, in the Njombe Rural District, NSAs, mainly private sector players as well as CSOs, are now involved in the council in the preparation

of DDPs, budgeting and other district programmes and policies, despite the fact that the response of NSAs is still low and that the two parties still do not trust each other. This is quite contrary to Masasi district council, below, where NSAs are only consulted during implementation of the district programmes and policies.

2.4.2 Masasi District

Masasi district council’s institutions, which are working closely in agriculture, climate change and trade according to the Masasi DPLO, are the same as Njombe rural institutions. As pointed out earlier, this similarity is not an accident. All District Councils in Tanzania use the same guidelines issued by the central government through the National Policy Frameworks, such as the Village Land Policy, National Adaptation Programme of Action (NAPA), National Strategy for Reduced Emissions from Deforestation and Forest Degradation (REDD), National Agricultural Policy, National Food Security Policy, National Climate Change Strategy, National Trade Policy, and National Environmental Policy (NEP).

The officers in respective departments and administrative levels are well aware of the coordinated efforts needed in the implementation of ACT related activities. When asked on the matter, these officers confirmed that good working relations between these officers exist, and they often assist each other when need be. In order to coordinate effective and efficient implementation of activities in these departments, it was observed that the Department of Planning at the district level has a sole purpose and mandate to make sure that all these departments receive funds according to the allocated budgets.

In case there are any initiatives, the district council collaborates with projects and programmes from the private sector, CSOs and NGOs, to ensure effective delivery of these projects. The DLNRO said it all:

Box 2.3: Transparency of NSAs Projects

To avoid duplication of efforts, the district council ensures that all new projects and programmes designed and implemented by different stakeholders in the district must go through the council and particularly the respective and mandated departments must be involved for transparency and easy monitoring.

Head of the DLNR: 20th December 2014

The study further realised that there is a great acknowledgement and appreciation from the local government on various initiatives being undertaken by NSAs in their respective districts. NSAs are working in various areas such as education, agriculture, trade and the environment. For example, Participatory Forest Management (PFM) is among the projects in Masasi District funded by Tanzania Social Action Fund (TASAF). Due to different challenges that exist at the local government authority level, the participation of different players in development initiatives is very much welcomed.

Other NSAs working in Masasi District in the area of ACT include, Lindi and Mtwara Agribusiness Support funded by Tanzanian government in collaboration with Finnish Government. There is also CONCERN Worldwide, who provides support for growing nutritious food crops and other community based activities; CARE Tanzania, who have been implementing a five year project on women's empowerment: improving resilience, income and food security, WE-RISE is aimed at increasing food security for over 20,000 direct beneficiaries; and Cassava Adding Value for Africa (CAVA) who work with micro-processor groups by providing farm implements and capacity building through training.

The interplay between farmers, CSOs, private sector and the local government co-exist together in development. With the local government lacking sufficient human and financial resources,

projects from CSOs and the private sector tend to assist implementation of different development activities in these districts. Since one of the challenges facing implementation of the District Plans is resource gaps or limited budgets, NSA projects are critical windows for mobilising additional resources, which can be used to bridge the existing resource gap and subsequently be able to finance and implement the District Development Plans.

2.5 Formal and Informal Linkages between District Councils and the Central Government

As noted earlier, with exception of the privately owned institutions, the public institutional interplay in Tanzania is guided and governed by the same framework issued by the central government. The guidelines from the central government are issued through different windows, including policy directives, national policy, and strategy frameworks, which are all drawn from the National Vision 2025. Thus, institutional structure and interplay for all the district councils in Tanzania are uniform. The difference between one district council and another is mainly due to the type of NSAs' projects implemented in the respective district.

The linkages between the Rural District Councils and the national policy making and implementation processes related to ACT linkage is therefore clearly defined, despite the fact that amendments need to be made to make the system more robust. This linkage therefore makes it easy to understand the flow of information and inputs from the district level to the national level, and the flow of policy directives from the national to district level (vertical institutional interplay).

The institutional and legal framework (processes and mechanisms for coordination of development planning and implementation) in Njombe Rural and Masasi is not unique. The two district councils use the same frameworks, which other district councils in the country use. To some extent the institutional and frameworks used by Njombe Rural and Masasi District Councils are

said to be supportive and enable the implementation of the DDPs and objectives at district levels, including wards and village levels. However, implementation challenges exist, the main ones being inadequate financial and human resources and working tools, e.g. the lack of appropriate and reliable software and data management facilities for management, coordination, performance review, monitoring and evaluation (M&E), quality assurance, and impact evaluation, lack of access to fast internet connections, and limited transportation facilities. Other factors constraining smooth institutional interplay include the double reporting system, where individual sectors at district level are forced to report to the respective parent ministries, yet all the sectors must also report to the PMO-RALG, which is the LGAs' custodian and umbrella ministry. In addition, the district councils are not autonomous, despite a long time implementation of the Local Government Reform Programme and the Decentralisation by Devolution (D by D) programme. This has affected the district ACT execution and performance. For example, district councils are not free to assess the local ACT linkage status and take measures, such as adopt by-laws, to improve the situation without the concert from the central government. The following sections present the different forms of both formal and informal institutional interplay in Njombe rural and Masasi districts.

2.5.1 Njombe Rural District

Involvement of Non State Actors in Njombe Rural

Examples of NSAs working in Njombe rural district have been presented earlier in section 2.4.1. In Njombe rural District Council the NSAs are encouraged and involved in all of the district development processes, such as formulation of the district strategic plans, district social economic profiles, district investment profiles and plans, DDPs and budgeting. For example, during the district planning and budgeting process, NSAs are involved fully during the District Stakeholders' Assembly (or meeting) to discuss and give their views on the DDPs and budgeting. All NSAs operating in Njombe Rural

District are required, not only to register with the District Council, but also submit their annual work plans and progress reports to the Council, etc. This initiative is intended to encourage collaboration and boost involvement of private sector in the implementation of the DDPs. In addition, it enables the district to internalise the outputs by NSAs, thus enabling the council to capture it or include it in the district Gross Domestic Product (GDP).

The main challenge related to this collaboration is that very few NSAs abide by these regulations. According to the DPLO in Njombe Rural district, some of the NSAs do not trust the Council. The interviewed NSAs, for example, claim that although they interact with the District Council, they have the feeling that the District Council is not supportive enough to make NSAs confident with the Council. Others still fear the district council because they associate such collaborations with taxes, i.e. more transparency means more taxes charged by district councils to NSAs.

It is also important to note that, in Njombe district, not many of the NSAs, namely private sector players, civil society organisations (CSOs), non governmental organisations (NGOs), etc., are aware and conversant of the system under which the district council operates, which, in essence, hampers smooth institutional interplay and therefore implementation of the development programmes, including the ACT activities in the district.

2.5.2 Masasi District

Involvement of Non State Actors in Masasi

Judging from the responses collected during the survey in Masasi, the district council is making efforts to enable NSA participation in district development planning, budgeting and implementation. Apart from inviting them during the district stakeholders planning and budgeting meeting, Masasi district has been dedicated to ensuring that all private investors in the district are registered with the district council. This is necessary to enable the council to monitor the operations and progress made by NSAs.

Masasi district council has also been supporting NSAs in areas of agricultural extension services, environmental as well as trade regulations. All the districts in the region meet annually during the agricultural exhibition, where individual districts display their products and the achievement they have made during the year, promoting both agriculture and trade. Like Njombe rural district, it should be noted that the horizontal institutional interplay is not as strong and common as the vertical linkage. In Masasi, the horizontal linkage involves mainly collaboration or association with other districts such as Tandahimba and Newala districts on information such as agricultural performance, pests and diseases, and trade opportunities. It is also a tradition to organise meetings or workshops that draw members from all the districts in the region.

2.6 Existing Gaps and Challenge

Institutional interplay and linkages between the Rural District Councils and national policy-making and implementation related to ACT has not been without some gaps and challenges that need to be addressed. Among the challenges and gaps that have tended to disrupt implementation of the DDPs and affect the smooth and meaningful institutional linkage related to ACT are presented below:

2.6.1 Njombe District Council

(a) The resource gap: The district experiences a huge gap between the budget requests and approved budget as well as approved budgets and disbursement. Most of the planned activities are abandoned (not implemented) due to the resource gaps. To a large extent this has raised questions at lower levels on the relevance of the processes since only few (sometimes none) of their priorities have been considered. Members of the communities who are the implementers of most National Policies, Plans and Strategies (and therefore the National Vision 2025) are therefore demoralised;

- (b) The budget ceiling usually comes very late (when Njombe Rural District Councils have already completed their budget preparations) which makes its re-budgeting extremely laborious and therefore not carefully done because of rushing to beat the deadline, etc;
- (c) Inadequate internal revenue sources and therefore revenue from own sources, as well as the re-direction of the local sourced revenues from recurrent to development expenditure. Revenue sources were previously used to cover internal expenditures (which were mostly recurrent). It was instructed that from the current budget (2014-15) 60 percent of the internal revenue should cover for development projects. The challenge here is how to fill the left gap as far as internal expenditure is concerned;
- (d) Inefficient approval process of the village and district by-laws because these by-laws take very long to be approved by PMO-RALG;
- (e) Poor and weak participation of the NSAs in the implementation of DDPs in Njombe Rural District, and shortage of budgets for monitoring and evaluation of the NSAs' activities in the district. As shown earlier, the NSAs play a great role in assisting farmers to sell their agriculture produce to local and international markets, hence the government's withdrawal from direct participation in the productive activities (leaving it to the NSAs) makes it very difficult for these actors to effectively perform their roles. Note that, to some extent, private players have already responded positively, and they are currently all over the country operating and/or working in different areas. In other words, NSAs will be able to play a major and significant role in not only financing, but also implementing the district plans if the relationship between local governments and NSAs is improved.

- (f) Njombe rural district council has experienced shortages of staff at district council headquarters, ward level and village level due to these budget constraints. Without an innovative staff, it is difficult for the district council to appreciate the efficacy of horizontal institutional interplay, e.g. initiate study-visits or learn from best practices in other districts.

2.6.2 Masasi District Council

- (a) Resource Gap: With the existing institutional framework, most of the respondents emphasised that one of the main challenges that the local government authorities face is insufficient financial and human resources. Masasi town Economist stated that:

Box 2.4: Resource Gap
The district council is not independent. 90 percent of its finances come from other sources such as the central government (60 percent) and development partners (30 percent), while only 10 percent is from own source collection... this means that the local government authorities are totally dependent.
<i>Masasi Economist, 19th December 2014</i>

Although the government reports to have taken a lot of efforts and measures in empowering the local government authorities through promotion of fiscal decentralisation, legal harmonisation, and human resources autonomy, in practice, this seems to be impractical. These authorities depend to a large extent on financial support from the central government, and apparently, in many cases, not all that is budgeted is usually disbursed, and what is disbursed does not often come on time.

With late financial disbursement, the agriculture sector is always affected. As the sector always depend on the calendar year to determine the agriculture season, late disbursement of financial

resources to support agriculture activities makes it very difficult to promote growth of the sector.

- (b) Uncoordinated reporting mechanism: It was also revealed that there is contradiction in terms of whom to report to.

“For example, when it comes to status of food security, you may find the PMO-RALG office, Ministry of Agriculture and Vice President’s office may all demand the status report at different times. Due to this, you may find that depending on who needs the report, the information may be different.”

0 With such lack of specific reporting authority, it is viewed that this often leads to misreporting and misinforming relevant authorities. With better coordination from the central government authority level to the local government level, information sharing systems can be improved. With the district council departments all channeling their issues to the PMO-RALG rather than to the specific ministries responsible for their sectors, these delays to great extent block the flow of information and decision-making processes.

Masasi District has experienced a number of hiccups in relation to information and decision making mechanism, with the Masasi DAICO acknowledging that the current mechanism is quite ineffective in ensuring effective and immediate transfer of information from local authority departments to respective ministries.

“The mechanism doesn’t allow our department to meet with ministry dealing with agriculture issues direct, therefore many technical issues are not solved immediately as there is long chain in sending and receiving information from district level to national level”

With respect to working with the private sector, small coverage of their activities has been viewed as a challenge.

- (c) Shortage of adequate staff in agriculture, trade and environment departments from the district level, ward and village level has been explained to be among the biggest challenges facing the local government authorities, not only in Masasi districts, but also other neighbouring districts in Mtwara region. In many cases, the respondents revealed that they were forced to undertake activities that were not under their jurisdiction and mandate but had to do so due to a shortage of staff. A good example was from the DLNRO of Masasi, who clearly elaborated that he heads the department at the district level, but is also forced to multitask and work in three to four other localities in the district. The DLNRO stressed a point that handling different projects brought by NSAs and other government institutions, such as the Tanzania Forest Service (TFS), makes it very difficult to be efficient and reliable to meet their set objectives.

Chapter 3

Conclusions and Recommendations

3.1 Conclusions

This study was undertaken as part of the project intended to investigate the relationship between agriculture (food security), climate change and trade (ACT) in Tanzania. This survey was therefore meant to identify, understand, and improve the institutional interplay from the local to the national level for the holistic tackling of the three issues. This inquiry focused mainly on institutional, legal, financial bottlenecks and skills gaps in planning, budgeting and implementation of the climate change (natural environment), food security and trade related plans. Evidence shows that the institutional and legal frameworks are supportive and enabling for the implementation of the DDPs and objectives at district level, including wards and village level. However, the District Councils are facing a number of challenges that undermine institutional interplay and linkages between them and the national policy-making and implementation of the ACT activities.

The challenges common in most district councils in Tanzania, including Njombe and Masasi District Councils, need to be addressed if the institutional interplay and linkages are to make a meaningful outcome (through the DDPs, district budgeting processes etc). The most serious challenges include inadequate resources for execution of the DDPs, lack of district autonomy, lack of the requisite skills and competencies, shortage of staff, and the poor involvement of NSAs. There is an urgent need therefore to take appropriate measures to address these challenges to build capacity of the District Councils to undertake the District

Development Plans related to ACT linkages successfully.

3.2 Recommendations

A number of recommendations have been made based on the above discussions and conclusions.

(a) Integration of the agriculture-climate change-trade (ACT) components into district planning and budgeting

It is evident that, in the past, some of the components of the ACT linkage were not identified by villages and wards as priorities due to limited knowledge of its respective components. This is a calamity that threatens efforts to attain ACT objectives in Tanzania. The District Council, through the bottom-up planning, can easily handle this intervention and budgeting process largely managed by the council.

During the Opportunities and Obstacles for Development (O&OD) process, the lower level communities, where planning and budgeting process begin (ward and village levels), therefore, need to be guided by technical experts from the District Council to enable them to understand and consider ACT related priorities. In addition, members of the communities must be educated through training and awareness creation programmes.

(b) Resource Mobilisation

Njombe and Masasi District Councils have proven to be highly dependent on the Central Government budget allocations, just like many

other district councils in Tanzania, depending on more than 90 percent from central government budget allocations. It has also been proven that with such extreme dependency and lacking other sources of funding affects the agriculture, climate and trade related activities since budgetary allocation from central government are never sufficient and often target other priorities such as health, education, etc. It is also specifically why the planned district activities are often not implemented, as was pointed out by the respondents.

Furthermore, the current institutional and legal frameworks governing the operations of District Councils in Tanzania do not provide space for the district executives to become proactive and mobilise resources for their districts. Existing opportunities for additional resources have virtually not been utilised. There is, therefore, a need for the councils to change this attitude so that the council considers itself as a resource mobiliser. They must mobilise resources to complement and bridge the resource gap so as to be able to effectively manage and conserve the environment, deploy enough extension officers to assist farmers, as well as facilitate smooth trade of the agriculture commodities produced.

Therefore, this study further recommends that, in order to bridge the financial resource gap that exists within the districts so as to further finance other activities such as those related to ACT, these districts should mobilise resources by developing bankable or fundable projects, especially focusing in ACT; attracting local and foreign investors to invest in their districts; improve financial and resource management so as to be able to prudently allocate and manage the resources accordingly.

(c) By-laws

The two District Councils are mandated to formulate by-laws and pass them through PMO-RALG for approval before its use. This is an untapped opportunity for District Councils. More by-laws should therefore be formulated and pass them through for approval. Specifically, these by-laws should target the ACT components, such

as the restriction of illegal harvesting of forest products that contribute to environmental degradation. By-laws that would direct reduction of excessive taxes charged to farmers would, to a great extent, promote agriculture production; farmers would earn more and be able to adopt good farm practices such as the use of improved seeds and fertilisers, and such trade in agriculture commodities would be enhanced.

(d) Political Will and Government Commitment

As noted earlier, the smooth institutional interplay and linkages between different levels requires sustainable funding. Resources must therefore be mobilised (from all possible sources) adequately and be timely allocated. In addition, the councils must have competent and skilled personnel working under a well-organised and competent management team.

(e) Monitoring and Evaluation

Monitoring and evaluation must be one of the components of the district implementation framework. This tool should be used regularly to follow up and evaluate implementation of projects as well proper allocation of financial resources. A commendable job is done by the National Audit Office of Tanzania, which conducts audits to public offices. The 2012-2013 report highlighted that the Cashew Board of Tanzania paid for inputs worth TZS 223.8 million, but were yet to supply to farmers in four years.⁴ With such practices, it is very difficult to see that agriculture, climate and trade is promoted as farmers fail to increase production as they do not use the required inputs consequently result to environmental degradation and low trade in agriculture commodities. The necessary steps should subsequently be taken whenever the M&E findings make such suggestions. The District Councils must therefore ensure that the DDPs are successfully implemented, i.e. the activities results are realised and are inclusive.

(f) The District Autonomy

District Councils in Tanzania are not autonomous, thus making it difficult for them to prudently plan and efficiently allocate and utilise their resources for the development of their

respective districts. District technical teams are not free to make key decisions on resource allocation and utilisation. Masasi and Njombe Districts are not exceptions to this problem. District plans, which are bottom-up, are designed and coordinated by technical personnel who are not only the architects, but are also skilled people who undertake the district planning and budgeting processes. However, key decisions and approval of these critical DDPs documents are made by councilors (politicians) who are not in many cases acquainted with such technical processes. As if this is not enough, there is no evidence that any of the technical personnel is mandated to vote or influence the final decisions made by councilors. This is a disquieting institutional system in need of reform. As in many cases, the councilors will put priority on things that would add credit to their names rather than solve the very pertinent issues that exist in agriculture, the environment and climate, as well as in trade. Therefore, by ensuring that district councils have the requisite capacity and autonomy to manage the DDP processes, we are more likely to see commendable improvements in ACT related issues. With greater concern being voiced about local government authorities not being independent, it is highly recommended that these authorities be enabled to plan their activities and become capacitated not only in resource mobilisation but as mentioned earlier in the planning processes. The central government should also let these authorities employ labourers in case of shortages in certain areas, especially those related with ACT.

(g) Political Interferences and Conflict of Interests

Implementation of some of the strategic plans in many District Councils are negatively affected by persistent conflict of interests, whereby political interests (individual and short term) undermine economic interests, and therefore economic gains, which are long term in nature. This claim is evidenced by the fact that unlike economic decisions, in many cases political decisions are primarily for personal interest and individual stature rather than the interests of the people. These decisions are often in conflict with

technical decisions. Such conflicts of interest present a serious drawback to the successful implementation of DDPs related to ACT components in the respective districts. Political disagreements affect some of the districts more than others because of these specific political interests.

There is, therefore, a need for the district councils to escape from this catastrophe by ensuring that politicians observe set boundaries. It is also important for the government to review and elevate the minimum education qualifications of both councillors and Members of Parliaments (MPs) in Tanzania.

(h) Timely Release of Budget Ceiling

One of the major challenges in the budget preparation cycle is that the budget ceiling usually comes very late (when District Councils have already completed their budgets), making repackaging and re-budgeting extremely laborious and therefore not carefully done because of the rush to beat deadlines, etc. In addition, the agriculture sector in Tanzania goes with seasons, hence funds are needed during ploughing and sowing time, and these funds get released afterwards then this becomes less useful during that time. Hence, the central government needs to ensure that the budget ceilings are released well in time in order to avoid repackaging and rushed budget preparations, as well as promote agriculture activities. Otherwise, it not only unnecessarily doubles the work of the District Councils, but is demoralising to farmers.

To squarely address the persistent problem of late disbursement of budgets (which is reportedly exacerbated by delayed government revenue collection), the government needs to use any viable and effective means and create a fund substantial enough to finance one-year LGA plans in Tanzania. During a one-year period, the government should guarantee revenue collection sufficient to finance LGA plans of the succeeding year, thus breaking the current vicious budget circle caused by delays in revenue collection (cash budget).

(i) Promote linkages and interaction between district council departments

Very few regional governments, district councils, wards or villages in Tanzania have been consistently interacting with each other. Although different institutions interact with each other within the district, it is also very important for instance one district visits any other best practice district to learn from best practices which have made the latter successful in attaining its objectives and targets. In many cases, this has not been taking place due to resource limitation, but also because of lack of innovations by staff of the district councils. There is a need to cultivate this culture, which has not been there for many years.

Tanzania has a number of best practice districts in ACT areas. They include Ikungi district in Singida, Peapea Village in Kilosa district, Morogoro region, and Chololo Village in Dodoma municipal, Dodoma Region. Njombe rural district has not taken any initiatives in the past to organise a study visit in such best practice

villages and districts, which is disquieting. Horizontal institutional interplay is therefore uncommon in Njombe rural district.

(j) Move from planning to implementation of set policies

It is clear that, on paper, the policy frameworks put in place are well articulated; the only problem is the proper and effective implementation of these set frameworks. Respondents were generally discontent, as they would see and read all of these policies, yet actual changes move slowly.

(k) Promote linkage between local government departments and respective ministries

It has been observed that, as most of the departments are not linked with ministries responsible for their activities, it becomes difficult to effectively implement the intended development activities. Indeed, this creates problems as plans set at the local level may impede those at the ministry level, and hence create confusion for the communities concerned.

Appendices

Appendix I: The Approach

Data Types and Data Sources

Data was collected through desktop research (literature review), field surveys and interviews with relevant stakeholders in the selected districts, and inputs and feedback from some members of the National Reference Group (NRG).⁵ Both Focus Group Discussions (FGDs) and individual interviews were used to collect relevant information. In both Njombe Rural and Masasi District Councils, six Heads of Departments were consulted. These are the DPLO, DLNRO, DAICO, District Trade Officer (DTO), District Community Development Officer (DCDO), and District Public Relations Officer (DPRO). At the community level, two villages were visited in each district, where in each village six farmers and traders were also interviewed, including community leaders. During the survey various data was collected. These data included particulars of the respondents, institutions and their interactions, linkages between the District Council and the central government, institutional gaps, weaknesses and challenges, as well as suggested remedial measures. In addition, various successful initiatives related to the environment and climate change, food security and trade experienced in the past in the two districts were also discussed.

Others were the current status (situation analysis) of selected indicators such as the existing institutional framework, legal framework, planning and budgeting processes, both vertical and horizontal linkage, strengths and the challenges facing District Council in the areas of regulations, human resources, and resource availability and mobilisation.

Sampling and Data Collection Methods

As pointed out earlier, to accomplish this survey, information was also collected from the official district reports, District Council Heads of Departments (Management of the District Councils), community members and leaders. With the exception of community members who were selected randomly, District Heads of Department and community leaders were sampled purposively because the survey targeted these respondents. The information was collected using interview checklists.

Sample Size

At District Headquarters and community levels, the following respondents were consulted (Heads of Departments; Community Leaders; and Community Members):

Sn	Respondents	Type of Information	Number
1	District Executive Director (DED)	Mainly Courtesy Call. But also discussion on the legal framework, Institutional Framework and District Development Plans (DDP) as well as budgeting	2
2	District Agricultural, Irrigation and Cooperatives Officer (DAICO)	Agriculture, Institutional Interplay, legal framework and District Development Plans (DDP) and budgeting	3
3	District Planning Officers (DESOs)	Institutional Interplay, legal framework, District Development Plans (DDP) and Budgeting Processes	2
4	District Land and Natural Resources Officer (DLNRO)	Land, Natural Resources, Environment, Institutional Interplay and District Development Plans (DDP) and budgeting	1
5	District Environment and Sanitation Officer (DESO)	Land, Natural Resources, Environment, Institutional Interplay and District Development Plans (DDP) and budgeting	1
6	District Trade Officer (DTO)	Trade, Institutional Interplay and District Development Plans (DDP)	4
7	District Community Development Officer (DCDO), including the District Public Relations Officer (DPRO)	Community Development, Institutional Interplay and District Development Plans (DDP) and budgeting	4
8	Community Leaders (e.g. Ward Councilors; Ward Executive Officers (WEO); Village Executive Officers (VEO); and Village Chairpersons)	Agriculture, Climate Change, Trade, Institutional Interplay, legal framework and District Development Plans (DDP) and budgeting	5
9	Community Members (Farmers, Traders, CSOs)	Agriculture, Climate Change, Trade, Institutional Interplay and District Development Plans (DDP) and budgeting	27
10	District Administrative Secretary	Institutional Framework and District Development Plans (DDP) and budgeting	1
11	Total		50

In total from each district, 50 respondents were consulted, as shown in Table 1.

Appendix II: Analytical Framework

Information collected during the survey was processed using Microsoft Excel computer programme and comparable responses summarised by category. For data analysis, Microsoft Excel (MS-Excel) computer software was used. Immediately after the successful survey, the data set was cleaned and organised for analysis. Data analysis entailed calculations of various statistical parameters such as frequencies and cross tabulation. These were subsequently used for comparative analysis, as well as to test the claim that institutional interplay in Tanzania is weak.

This data (mostly qualitative) gathered from respondents was carefully transcribed. These

transcriptions were afterwards read and re-read to interpret and identify the key messages. From these transcriptions, key themes or patterns of ideas, concepts, behaviour, interactions, facts, incidents, terminologies, or phrases were identified. Furthermore, as the way to gain more insights abbreviated codes such as few letters, words, or symbols were assigned to key themes and placed near them. This was meant to help researchers organise data into common themes emerging from the responses. Afterwards, these themes were organised into coherent categories that were also summarised to study and extract key messages in order to answer the study questions.

Appendix III: Data Collection Instruments

Focus Group Discussion Guide- Farmers

Introduction and background

Under the project “Promoting Agriculture, Climate, Trade Linkages in the East African Community (PACT EAC)”, CUTS International is conducting a study in Masasi and Njombe districts. The study, under the theme on “food-climate-trade linkages: understanding and improving institutional interplay” builds on the previous study examining the Climate, Food, Trade policy nexus in Tanzania. As such, this follow up study seeks to identify, understand and improve the institutional interplay from the local to the national level for the holistic tackling of the three issues of climate change, food security and trade. We would like to thank you for your time and clarify that this FGD is only for study purposes.

1. List all the County Ministries in charge of Agriculture, trade and climate change/environment.

2. Do you work with other Ministries in the County to address the issues of agriculture/trade/ environment or climate change? If so, please explain and give examples.

3. What challenges do you find in collaborating with the ministries?

4. How can inter-ministerial collaboration be improved at County level to; Promote Agriculture/ food security Promote Trade Address climate change?

5. Do you work with the private sector players to promote trade, agriculture and climate change responses? If yes, explain.

6. What challenges do you find in collaborating with the private sector?

7. How do you work with other farmers/farmer groups to promote trade, agriculture and climate change responses?

What challenges do you find in collaborating with other farmers/farmer groups?

8. Do you work with Civil Society Organisations to promote trade, agriculture and climate change responses? If yes, explain.

9. What challenges do you find in collaborating with Civil Society Organisations?

10. How can collaboration with the private sector, other farmers and civil society be promoted in order to address the agriculture, trade and climate change challenges?

11. At the administrative level, what is the link between your group and the County/National government?

12. What institutional mechanisms do you use to ensure that agriculture, climate and trade issues/ challenges you face are represented at the district/National Government policy level?

13. What other means do you use to provide/receive information from the district/National Government?

14. Do you feel the current mechanisms in place are effective in information sharing between farmers, the district and the National government? Explain.

15. How can the linkages between farmers, National government and the district government be improved to promote agriculture, trade and address climate change?

16. Please mention other recommendations you think can be helpful in promoting better policy and institutional coherence at both district and National levels?

Interview Guide (Government Departments-Ministries in charge of agriculture, trade and environment/climate change)

Personal information		
Name _____		
Sex Male <input type="checkbox"/> Female <input type="checkbox"/>		
Organisation _____		
Position _____		
Tel _____ Email _____		
County Masasi <input type="checkbox"/> Njombe <input type="checkbox"/>		
No.	Question	Response
Part one: institutions and their interaction at County level		
1.	List all the departments in charge of Agriculture, trade and climate change/environment	
2.	What is the responsibility of your department in regard to agriculture/trade/environment or climate change in your County?	
3.	Do you work with other departments in the districts to address the issues of agriculture/trade/environment or climate change? If so, please explain and give examples.	
4.	What challenges do you find in collaborating with other ministries?	
5.	Please choose the level of collaboration with other departments dealing with the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good <input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
6.	How can inter-ministerial collaboration be improved at district level to;	
	Promote Agriculture/food security Promote Trade	
	Address climate change	
7.	How do you work with the private sector players to promote trade, agriculture and climate change responses	
8.	What challenges do you find in collaborating with the private sector?	

9.	Please choose the level of collaboration with the private sector on the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good	<input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
10.	How do you work with the farmers/farmer groups to promote trade, agriculture and climate change responses?		
11.	What challenges do you find in collaborating with farmers/farmer groups?		
12.	Please choose the level of collaboration with the farmers/farmer groups on the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good	<input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
13.	How do you work with Civil Society Organisations to promote trade, agriculture and climate change responses?		
14.	What challenges do you find in collaborating with Civil Society Organisations?		
15.	Please choose the level of collaboration with Civil Society Organisations on the issues of agriculture/trade/environment or climate change? Excellent	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good	<input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
16.	How can collaboration with the private sector, farmers and civil society be promoted in order to address the agriculture, trade and climate change challenges?		
Part two: linkages between the County and National Government			
17.	What policy frameworks guide your operation at the County level?		
18.	At the administrative level, what is the link between your department and the National government?		
19.	What institutional mechanisms do you use to ensure that County issues are represented at the National Government policy level?		
20.	What other means do you use to provide/receive information from the National government?		
21.	Do you feel the current mechanisms in place are effective in information sharing between the County and the National government? Explain.		
22.	How can the linkages between National government and the County government be improved to promote agriculture, trade and address climate change?		
Part three: Recommendations			
23.	Please mention other recommendations you think can be helpful in promoting better policy and institutional coherence at both County and National levels?		

Interview Guide (Civil Society Organisations-CSOs involved in agriculture, trade and environment/climate change)

Personal information		
Name _____		
Sex Male <input type="checkbox"/> Female <input type="checkbox"/>		
Organisation _____		
Position _____		
Tel _____ Email _____		
County Masasi <input type="checkbox"/> Njombe <input type="checkbox"/>		
No.	Question	Response
Part one: institutions and their interaction at County level		
1.	List all the institutions in charge of Agriculture, trade and climate change/environment	
2.	What is the mandate of your organisation/institution in regard to agriculture/trade/environment or climate change in the County?	
3.	Do you work with other Ministries in the district to address the issues of agriculture/trade/environment or climate change? If so, please explain and give examples.	
4.	What challenges do you find in collaborating with the ministries?	
5.	Please choose the level of collaboration with the Ministries/departments in the district dealing with the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good <input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
6.	How can inter-ministerial collaboration be improved at district level to;	
	Promote Agriculture/food security	
	Promote Trade	
	Address climate change	
7.	Do you work with the private sector players to promote trade, agriculture and climate change responses? If yes, explain.	
8.	What challenges do you find in collaborating with the private sector?	

9.	Please choose the level of collaboration with the private sector on the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good	<input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
10.	How do you work with the farmers/farmer groups to promote trade, agriculture and climate change responses?		
11.	What challenges do you find in collaborating with farmers/farmer groups?		
12.	Please choose the level of collaboration with the farmers/farmer groups on the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good	<input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
13.	Do you work with other Civil Society Organisations to promote trade, agriculture and climate change responses? If yes, explain.		
14.	What challenges do you find in collaborating with other Civil Society Organisations?		
15.	Please choose the level of collaboration with other Civil Society Organisations on the issues of agriculture/trade/environment or climate change?	<input type="checkbox"/> Excellent <input type="checkbox"/> Very good <input type="checkbox"/> Good	<input type="checkbox"/> Poor <input type="checkbox"/> Very Poor <input type="checkbox"/> Not sure
16.	How can collaboration with the private sector, farmers and civil society be promoted in order to address the agriculture, trade and climate change challenges?		
Part two: linkages between the County and National Government			
17.	What policy frameworks guide your operation at the district level?		
18.	At the administrative level, what is the link between your organisation and the County/National government?		
19.	What institutional mechanisms do you use to ensure that agriculture, climate and trade issues are represented at the district/National Government policy level?		
20.	What other means do you use to provide/receive information from the district/National Government?		
21.	Do you feel the current mechanisms in place are effective in information sharing between the district and National Government? Explain.		
22.	How can the linkages between National government and the Local government be improved to promote agriculture, trade and address climate change?		
Part three: Recommendations			
23.	Please mention other recommendations you think can be helpful in promoting better policy and institutional coherence at both LGA and National levels?		

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Endnotes

- 1 This committee is formed by technical staffs of the council from different departments
- 2 This includes NSAs
- 3 Note that there are cases where farmers are allowed to undertake farming in less than 60 meters from water sources – especially in areas experiencing land shortages etc.
- 4 See http://nao.go.tz/?wpfb_dl=104
- 5 National Reference Group (NRG) is a national network of the Promoting Agriculture, Climate and Trade linkages in EAC project in Tanzania; which represents all relevant stakeholders from the government, business, farming communities, CSOs, media and think tanks. This team provides advisory role to the project in making East African policy making processes more inclusive in addressing climate-related hunger through trade.

About the Book

This study examines the institutional mechanisms in place in Tanzania for interaction between the government agencies responsible for climate change, agriculture and trade issues. Efficient communication between these institutions has become critical in light of the ever increasing challenges brought about by climate change on agricultural livelihoods, and the potential role of trade in mitigating the resulting food insecurity.

It analyses two types of linkages, namely, vertical and horizontal linkages. Vertical linkages refer to collaboration and interaction between county governments and the national government, in terms of policy and administrative frameworks as well as institutional mechanisms in place. In horizontal linkages, the study analysed how local government institutions responsible for agriculture, environment and trade collaborate with each other in order to execute their respective mandates, as well as how stakeholders collaborate with the respective ministries and among each other in Tanzania.

Evidence from the study shows that the institutional and legal frameworks in Tanzania are supportive and enabling for the implementation of the District Development Plans (DDPs) at district level, including wards and village level. However, the District Councils are facing a number of challenges that undermine institutional interplay and linkages between them and the national policy-making processes. Among the main challenges identified by the author are the inadequate resources for the execution of the DDPs, the lack of district autonomy, as well as the limited involvement of Non-State Actors.

This study builds on the recommendations from a previous research published under the title "Climate, Food, Trade: Where is the Policy Nexus?", which examined how climate change, food security, and trade issues interact in order to contribute to a more coherent and holistic response to climate-related challenges on food security, including through trade. Among the policy recommendations was the need for a common approach to ensure inter-institutional coordination and policy coherence on the three critical issues.

PACT EAC Project and CUTS International

In East Africa, where about 40 million people are undernourished, food security is further challenged by extreme weather conditions. In the next decades, the situation is expected to aggravate as climate change worsens in a region where as much as 80 percent of people rely on agriculture for their living. If sub-Saharan Africa is not to become the home of an additional 600 million hungry people, early action and adoption of sound and coherent policies, and harnessing the potential role of trade is a must. From October 2011 to June 2015, with funding support from the Swedish International Development Cooperation Agency (SIDA), CUTS International, Geneva and its partners in each East African Community (EAC) partner state will contribute to this process through a project entitled "Promoting Agriculture-Climate-Trade Linkages in the East African Community" (PACT EAC).

The PACT EAC project focuses on human and institutional capacity building of East African Community (EAC) stakeholders to take better advantage of trade for their food security, growth and development, particularly in the context of climate change. The two-tiered project focuses on issues related to trade-climate change-food security linkages in the EAC and on enhanced participation of the EAC WTO negotiators in the WTO discussions and negotiations in Geneva. Through research-based advocacy, training, networking and by linking grassroots with Geneva, the project is in a position to assist EAC stakeholders in better understanding and dealing with the critical challenges regarding the interlinking of the three issues.

CUTS International, Geneva, as part of the CUTS family of organisations, represents a pro-trade, pro-equity southern NGO voice in the multilateral, regional, and national processes on trade, development and related issues. It aims to contribute to the achievement of development and poverty reduction through trade in its economic, environmental, social and political dimensions. Prior to the PACT EAC project, and in collaboration with CUTS Nairobi and Lusaka offices, CUTS International, Geneva has implemented several projects in the East African Community.

<http://www.cuts-geneva.org/pacteac>



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