PLANNING OUR TOWNS

A TOOLKIT FOR INCLUSIVE URBAN DEVELOPMENT IN KENYA

P53

P16

P19

P6

Editorial Notes

Contents

INTRODUCTION

Hello

—

This toolkit offers guidelines for integrating an inclusive, participatory and holistic perspective into urban planning and development in Kenya.

01
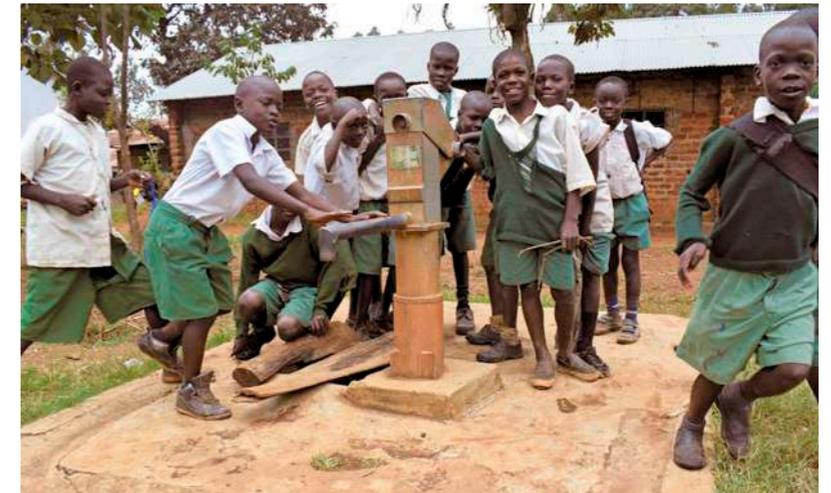
The toolkit provides practical tools, methods and examples that can be used in different stages of the planning process. If you are a county leader, administrator, physical or development planner, or work in urban planning in any way, this toolkit is for you.

Implementing the inclusive planning principles shared here will lead to:

» **Better plans and projects**, that are more relevant, better designed, and attend more meaningfully to the needs of the community.

» **Improved collaboration both within county government and with other stakeholders**, leveraging resources, harmonising activities, and leading to new urban solutions.

» **Empowered communities**, who take ownership and contribute to the results.

» **Smooth implementation**, through a well-designed planning and implementation process.

» **Inclusive urban areas**, which offer opportunities for all.

WHO CAN USE THIS TOOLKIT?

If you are a county leader, administrator, physical or development planner, or work in urban planning in any way, this toolkit is for you.

How to use this toolkit

The toolkit is divided into four sections:

SECTION 1

Provides a brief introduction to inclusive planning

SECTION 2

Introduces the key principles for inclusive planning

01 Planning for people

02 Planning with people

03 Integrated planning

SECTION 3

Describes how to integrate these principles into the planning process

Organising the process

Analysing the current situation

Planning for implementation

Inclusive Planning

Setting a vision, goals and objectives

Assesing benefits and impacts

Developing integrated solutions

SECTION 4

The last section of the toolkit provides hands-on tools, methods and templates for getting started.

When to use this toolkit

The toolkit can be used throughout the planning process – from start to finish – or in selected phases of the process. The principles and approach suggested is adaptable to the user's needs.

STRATEGIC SPATIAL PLANNING

For example when preparing a County Spatial Plan, County sectoral plans or an Integrated Strategic Urban Development Plan (ISUDP).

LOCAL PHYSICAL DEVELOPMENT PLANNING

For example when planning for a smaller geographical area, a sector like mobility or waste management, or a thematic area such as urban safety or local economic development.

PROJECT DEVELOPMENT

For example when planning for a new market, a housing project, or a water project.
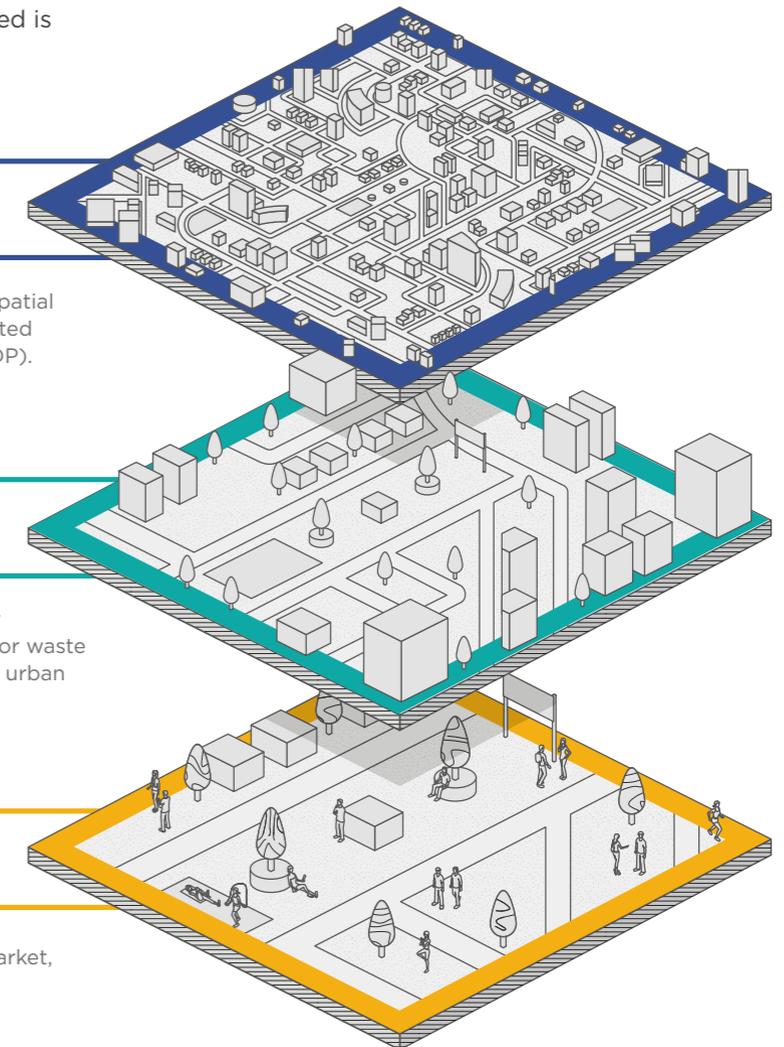
> "A county government shall plan for the county and no public funds shall be appropriated outside a planning framework developed by the county executive committee and approved by the county assembly."
>
> *County Governments Act of 2012*

Advice for a more liveable town

Want to contribute to a more liveable town? These points will be essential when planning for inclusive, participatory, and integrated urban development.

» **Leadership matters**. Inclusive development is facilitated by responsive and accountable leaders.

» **Development happens anyway** – so plan for it so it happens in a sustainable direction. Shared visions, strategies and plans build a sense of local ownership.

» **Don't plan alone**. Acknowledge the need to involve different stakeholders during the planning process.

» See the big picture – **think holistically**. Change is the outcome of many different sectors and stakeholders moving together in the same direction.

» **Invest in people-friendly infrastructure**. Sustainable towns are those that work for everyone. When women, children, the elderly, and people with disabilities and different incomes, are all comfortable in an urban space, it is clear that planning has worked.

» Communicate and be transparent. **Listen and consult**, at every stage of the process.

» Develop **integrated solutions**. When improvements cut across sectors and stakeholders, they are more likely to succeed.

» In the end, the only way to succeed is to **put the plan into action**. A plan on paper is only a piece of paper until it is acted upon.

» **Enforce plans and legislation,** even though enforcement requires diligence and political support.

» **Urban development is never 'done'**. Operations, maintenance, and management are what keeps towns going.

The leaders we need

Strong leadership is vital for sustainable, participatory and inclusive urban development processes. The leaders we need are those who sees a need for change, and takes a move to make it happen. Inclusive planning means getting on board a range of stakeholders, partners, and colleagues, and taking the urban development journey together.

WHAT MAKES A GOOD URBAN LEADER?

A good urban leader can:

» Think beyond election cycles and be above political interests.

» Put – and keep – sustainable development on the agenda.

» Make the case for sustainable urbanism and mobilise support.

» Share insights, knowledge, and information with others.

» Facilitate a vision shared by diverse stakeholders.

» Develop – and delegate – strategic programmes and plans.

» Involve communities, civil society, businesses, and the media.

» Recognise the strengths of team members and the importance of diverse perspectives.

» Extend influence across divisions.

» Balance immediate and long-term needs of a community.

» Act in the interests of current and future citizens.

» Make difficult decisions, and take responsibility for implementing them.

» Ask for, and value feedback for learning and improvement.

» Promote participation, share ownership, and give credit.

TIP **Read more on urban leadership in the UN-Habitat publication Urban Planning for City Leaders – A Handbook for Kenya (2018)**

Urban development requires leaders who have collaboration, partnerships, civic education, vision, passion and drive at the fore of their leadership strategy.

THE PRINCIPLES OF INCLUSIVE PLANNING
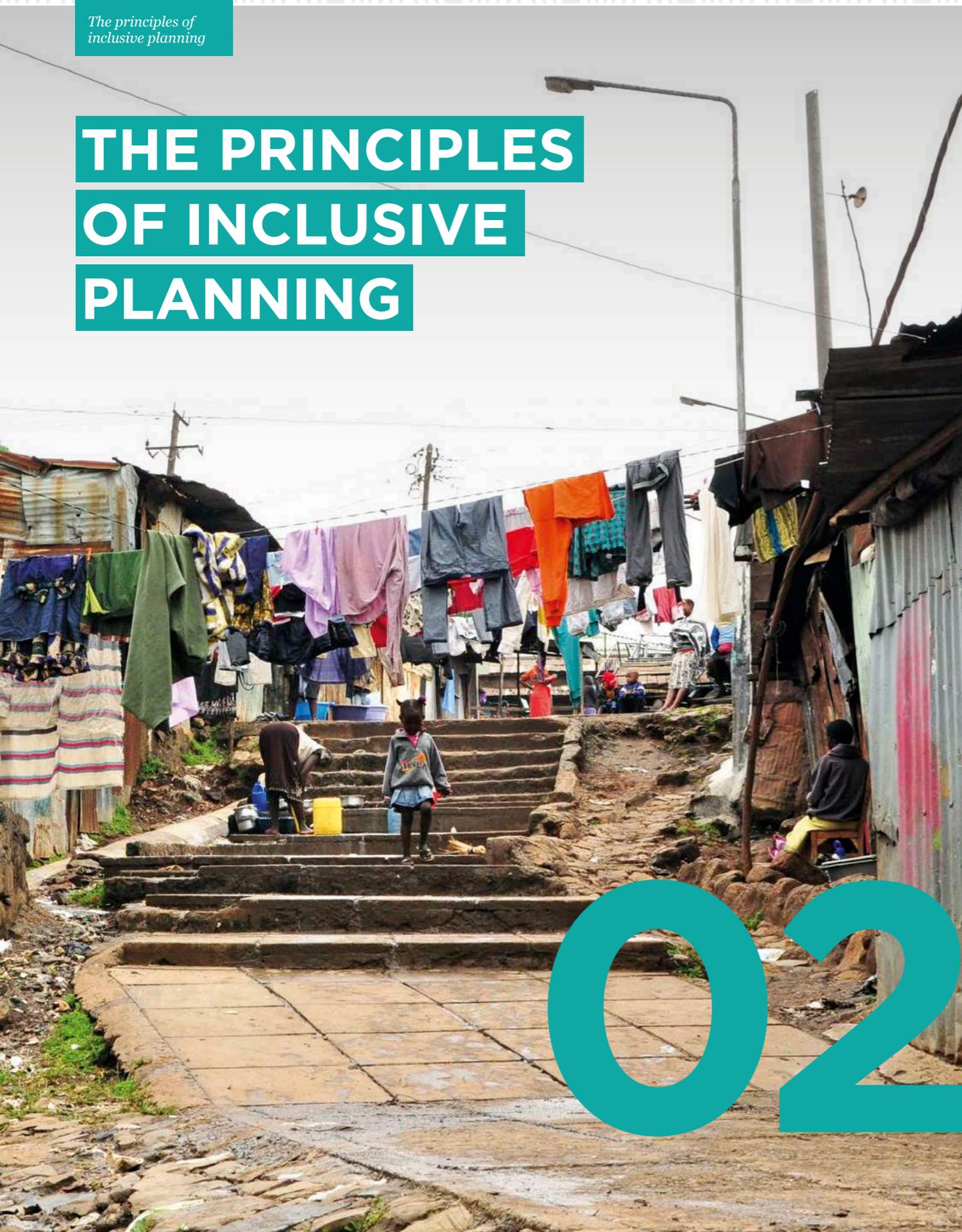
There are three key principles involved in creating inclusive urban areas: to plan for people; to plan with people; and to work together. This section introduces each principle, its relevance, and how it can be integrated into an urban planning process.

01 Planning for people

Planning for people means creating a town that serves the needs of everyone. People have different needs and priorities – the elderly, children, women, people living with disabilities, and people of different income and education levels, all use spaces and services differently. An inclusive town is one where services, spaces and solutions have been adapted to meet the needs of the entire urban population.

02 Planning with people

Planning with people is the most effective way of finding solutions that respond to the needs of different groups and build a sense of ownership among stakeholders. An inclusive town develops from this participatory process, where all stakeholders, particularly those from vulnerable sectors of the community, are included in the planning, development and management.

03 Integrated planning

Integrated planning is an approach that involves looking beyond an individual's perspective only, to include a broad range of stakeholders, sectors, and solutions. It means viewing the town from a holistic perspective, working across borders, and leveraging the joint resources of all urban stakeholders to move in a sustainable direction.

WHO ARE WE PLANNING FOR?

MODES OF TRANSPORT IN MOMBASA (ITDP 2019)

Only 3% of Mombasa's residents and visitors use private cars to travel in the city whereas almost half (45%) rely on walking as their primary form of transportation, and over a third (37%) rely on public transportation. To improve the conditions for the roughly 700 000 pedestrians in Mombasa, the Department of Transportation has completed 9 km of wide footpaths on five streets in Mombasa. By reclaiming space previously used for parking or driving, the city has been able to create wider spaces for walking and has included important features such as streetlights to improve security and extend the hours of economic activity.
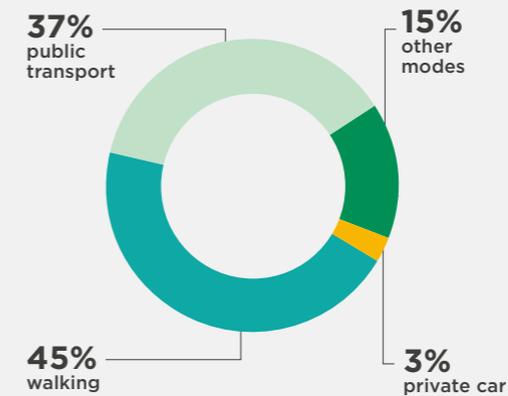
37% public transport

15% other modes

45% walking

3% private car

"The majority of Kenyans cannot afford private vehicles, yet infrastructure has been developed for cars while neglecting the convenience and safety of pedestrians. We forget that cities are for people. It is about time we created interactive spaces that can be used by the majority."

Everlyne Otieno, Urban Development Specialist.

Planning for people

Good urban planning does not leave out the needs of a large part of the population. People living in urban areas each have different needs and priorities, and all use the town in different ways. Planning for all means keeping the needs of different gender, age, income and disability groups in mind when designing spaces, services, or other solutions.

GENDER   AGE   INCOME   DISABILITY

Planning for inclusivity has several concrete benefits:

» **Increased relevance.** Inclusive planning addresses the needs and priorities of different groups. Spaces and services designed for the most vulnerable also work for everyone else. If a space or service is safe and comfortable for a young child, it will be safe for everyone.

» **Maximised project benefits,** through the removal of barriers to access and by designing appropriate solutions. Spaces and services that work for all get more support. People are more likely to pay for services when they serve their needs.

» **Poverty reduction and gender equity,** through the active targeting of special interest groups.

» **Higher levels of legitimacy**. When solutions have been planned with all stakeholders,

there is less need to enforce regulations**.**

» **Smooth implementation**, through the creation of buy-in and ownership among the community. Planning for all means that project risks and conflicts are managed and mitigated, as the needs of people are not ignored.

» **Meaningful empowerment**. Urban plans and projects can empower people by addressing social exclusion through inclusive design and involving key stakeholders as partners in the process.

» **Better urban governance.** Planning for inclusivity by its nature strengthens all the institutions involved in service delivery.

PEOPLES' RIGHTS

The Constitution of Kenya under the Bill of Rights provides for the application of rights and fundamental freedoms for children, persons with disabilities, youth, minorities and marginalised groups and older members of society and requires their mainstreaming in government policies, plans, budgets and programmes. It further states that every person has the right:

• to health-care services, including reproductive health care;

• to accessible and adequate housing, and to reasonable standards of sanitation;

• to be free from hunger, and to have adequate food of acceptable quality;

• to clean and safe water in adequate quantities;

• to social security; and

• to education.

Source: Kenya Constitution 2010: Bill of Right

PLANNING FOR WOMEN AND MEN

Women and men use cities differently. Yet historically, much planning has regarded the needs and experiences of men and women as the same, and developed solutions accordingly.

Girls and women often have reduced access to health, education, infrastructure, and other services. The lack of basic services and infrastructure affects women more than men, as women often are the primary collectors, transporters, and managers of domestic water, fuel, and waste, as well as the facilitators of home and community activities.

Women, for a variety of reasons, more often work in the home and travel outside the home during off-peak hours. They are more likely to make trips with multiple stops, going from home to take children to school or tend to the needs of relatives; and conduct household shopping chores and other home- or market-related activities. They may travel back home burdened with goods or baggage and need extra space in a matatu, or a bench to rest on the way. Women are more vulnerable to personal safety risks, and so have different priorities

to those of men when it comes to transport choices, when and where they walk, and how they use public spaces and services.

As women often constitute the minority in decision-making positions in county government, it is the perceptions and priorities of men that guide infrastructure and services planning. Mainstreaming gender equity ensures that planning and services are equitable, fairly distributed, and of the same quality for men, boys, women, and girls.

The lack of basic urban services and infrastructure affects women more than men.

Example: Different priorities in planning

SETTING PRIORITIES BASED ON THE NEEDS OF WOMEN

After public consultation, as part of the Kenya Informal Settlements Improvement Project (KISIP), the infrastructure menu was expanded to include streetlights, since it was then realised that lighting is of fundamental importance to women for security reasons. Lighting not only created safer places, but also extended their functioning hours beyond daylight, for trading, meetings, and play time for children.

PLANNING FOR THE POOR

Urban poverty is not only about income, but it is also about a lack of access to essential health, education and transport services, amenities, opportunities, goods, and decision-making. Insufficient and ineffective urban systems and functions both cause and reinforce poverty, while urban improvements can directly reduce poverty by improving access to services, resources, markets and employment.

What is urban poverty?

Limited income and assets

Inadequate access to basic services

Inadequate and insecure housing

Inadequate protection by law

Lack of voice and access to decision makers

Vulnerability to shocks

Poor health and poor access to health services

Lack of access to formal finance channels

By involving the poor in planning, prioritising and decision-making, and by placing their needs and rights at the centre of urban planning, it is possible to address these needs and reduce poverty at the same time.

URBAN POVERTY IN KENYA

The face of poverty in Kenya is changing. Urban poverty is set to be Kenya's defining crisis over the next decade if it is not urgently addressed. The country is urbanising at such a speed that it is projected to be 50 % urban by 2050, and half of all Kenya's poor will be living in urban areas. The increasingly severe inequalities in cities have negative implications for human security, stability and economic development. Meanwhile, gender inequities are deeply entrenched in the informal settlements, with women being most disadvantaged of all. Children living in informal settlements are the unhealthiest in the country according to a wide range of indicators.

Source: https://reliefweb.int/report/kenya/urban-poverty-and-vulnerability-kenya-urgent-need-co-ordinated-action-reduce-urban

PLANNING FOR CHILDREN

A town is inhabited and used by people of all ages, from the very young to the very old. The needs and capabilities of these groups vary widely. Yet towns are often planned to meet the needs and capabilities of adult, working men. Planners need to keep in mind that towns should work and provide for people of all ages, and offer place to grow up and to grow old in.

Urbanisation does not necessarily lead to sustainable urban environments for children. On the contrary, urban expansion often occurs in a fragmented way, with a lack of public space and a sprawling urban form. For children, this means unhealthy and unsafe environments, limited options for walking and playing, and limited connectivity to social networks, services and the local economy. This hinders children's' opportunities to move, play, be active and healthy.

Common features of urban poverty include:

» Poor access to basic services.

» Insecurity of tenure and vulnerability to eviction.

» Low income and limited assets.

» Increased health problems because of insufficient space, low-quality housing and unsanitary conditions in informal settlements.

» Poor health and exposure to environmental hazards and risks.

» Social fragmentation.

» Higher risk of crime and violence.

» Lower mobility. Being less mobile, the poor have reduced access to the opportunities available, including for education and employment.

» A reliance on informal services (e.g. informal transport, waste collection and housing). The informal sector is an important source of employment for the poor but is characterised by poor labour conditions and exploitation.

Planning towns that work for children offers an opportunity to improve towns for all, and benefit the health and well-being, safety, and sustainability of communities. Planning with the needs of children in mind means creating room for play, but also more secure streets, improved places (where children's eye level perspectives are considered), greener areas, and physical access to social services. Consider urban scales, proximity, walkability, mixed use, public space, independent mobility and connectivity.

REMEMBER

Children's needs vary, of course, depending on their age and developmental stage. Children are a heterogenous group including girls, boys, new-borns, toddlers, and teenagers, who are living and growing up with different livelihood conditions and socioeconomic situations.

THE STREETS OF KOROGOCHO, NAIROBI

Photo by Hope Raisers

CLAIM THE STREETS FOR DEMOCRATIC AND SAFE PUBLIC SPACE

HopeRaisers, a community-based organisation, occupies the streets for different events once a month. Their aim is to increase the level of street activation in order to reclaim public space for community empowerment and social engagement, showing that process and involvement can be as important or more important than the 'product' of a built-up place.

Although it began as a band, Hope Raisers Youth Initiative now organises events in the streets of Korogocho to create inspiring and safe places for the inhabitants of this informal settlement. The Street Upgrading

Project is part of a larger program called Korogocho Slum Upgrading Program (KSUP). To address the issues of poor access roads, bad drainage, inadequate streetlights, and poor water and sewage systems, the KSUP planning process aimed to use integrated participatory planning steps as a resilient slum upgrading approach. The project helped promote local economic activity, increase the number of jobs, and improve the perception of safety. The redesigned streets provided a greater number of public meeting places and improved connectivity to the larger urban fabric.

PEOPLE LIVING WITH DISABILITIES

Everyone living with a disability, regardless of their impairment, legal status or place of residence, has a right to participate in governance, legislative processes, policy making and urban life. They also have a right to services offered by county governments.

There are many types of disabilities. These may be physical or intellectual; permanent or temporary. Many people, at some point in their life, experience some type of disability which limits their possibility to participate in and fully access urban life and services.

The way urban areas are designed can impede or enable rights to the town for people living with disabilities, either perpetuating exclusion or fostering participation and inclusion of all members of society.

People living with disabilities face a widespread lack of accessibility to urban life, from roads and housing to public buildings and spaces, basic urban services such as sanitation and water, health, education, transportation, and emergency response and resilience programmes.

Planning with different types of abilities and disabilities in mind will make cities more inclusive and functional to more people. Universal design principles are concerned with designing urban infrastructure, facilities and services that work for a variety of people; no-one should be unable to use or access urban infrastructure and opportunities because of exclusive design.

County governments should consult closely and involve people living with disabilities and their representative organisations in all matters concerning the right to participate. Counties should also respect the principles of consultation with people living with disabilities; this includes choosing venues and means of engagement that pay attention to the unique needs of these groups.

DISABILITY IN KENYA

10% of the population is disabled, which is **4.44M** people

DISABILITY TYPES

- 24% Other
- 26% Mobility
- 19% Visual
- 8% Cognitive
- 12% Auditory
- 11% Speech

Source: https://www.globaldisabilityrightsnow.org/infographics/disability-kenya
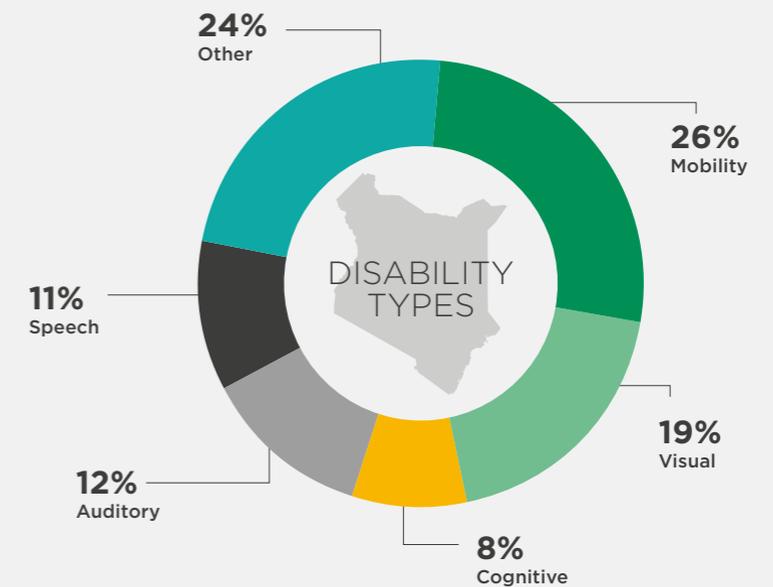
Planning with people

Participatory planning is one of the cornerstones in creating inclusive cities. Planners are experts in planning, but people are experts on their own needs. Involving people in planning leads to more relevant and effective investments and improves project design. It has a democratic impact as people are empowered and able to exercise their civil rights. And it fosters accountability by improving transparency.

Participation by stakeholders, transparency, and two-way communication on the part of government, are basic principles of democracy. Shared responsibility, inclusive and broad-based public engagement, and trust are the secrets to resilience and sustainability in plans.

The benefits of a well-designed participatory process include:

Effectiveness and responsiveness. When citizens and other stakeholders are actively engaged in urban development, plans and projects will be better and more responsive to their real needs.

Democracy. Transparency and clear communication are essential if people are to hold their representatives and leaders accountable for their decisions. Participation closes the gap between citizens and government institutions.

Human rights. People have the right to be consulted on decisions that affect their lives, and to be informed about the basis for decisions.

There are different levels of participation, depending on the purpose and step in the process:

» **Sharing information** in the initial stages, to establish contact and increase awareness;

» **Consultation** when proposals are presented, and stakeholders submit comments;

» **Participation**, when alternatives are considered, and active inputs are expected;

» **Collaboration**, when stakeholders contribute actively to the planning process, implementation and operations with time and/or other resources;

» **Mobilisation**, when stakeholders are encouraged to participate, e.g. during implementation, and operations and maintenance.

TIPS FOR COMMUNITY INVOLVEMENT

- Plan the ordinary workshops and meetings but plan other things too – involve people by for example by letting communities comment on photos, voting on priorities, playing urban future games, writing on a suggestion black board in the office or engaging in placemaking (see page 33).

- Citizen forums and barazas are also a good way of bringing together communities and/or their representatives to discuss and give opinions of how they would want to see their cities, etc.

- Local Urban Forums (LUFs) or Citizens Forums can be an entry point for engagement with county governments and the people being represented.

- Consider having stakeholder groups that oversee the implementation of plans and projects.

- Establish management committees to oversee operations and maintenance as well as manage the daily running of projects such as markets.

PARTICIPATION IN THE CONSTITUTION

The Constitution, (Article 174c), provides that one object of devolution is: "to give powers of self-governance to the people and enhance their participation in the exercise of the powers of the State and in making decisions affecting them". The Constitution assigns the responsibility to ensure, facilitate and build capacity of the public to participate in the governance to the county government through function 14 (Schedule 4 Part 2).

As such, county governments are required to: a. Create mechanisms of engagement by ensuring and coordinating the participation of communities and locations in governance; and b. Build capacity by assisting communities and locations to develop the administrative capacity for the effective exercise of the functions and powers.

Read more: Ministry of Devolution and Planning & Council of Governors (2016): County Public Participation Guidelines.

Example: Sharing responsibilities in urban management

ADOPT A TREE

In Kiminini, Trans Nzoia County, trees were planted in the central areas of town. Shop owners, families or business organisations in the vicinity were given the responsibility (and an adoption certificate) to take care of the trees. Many took up the responsibility and not only watered their tree regularly but also built additional protection to ensure roaming animals would not destroy it.

In this photo a shop owner is using the shade of her own adopted tree, which she has protected with a robust wood structure to avoid goats and donkeys eating it.

HOW TO BUILD TRUST DURING PARTICIPATION

» Develop common public interest.

» Do not raise the expectations of project benefits; be both realistic and visionary!

» Do not provide only partial information. Be transparent.

» Always be honest about what stakeholders can and cannot influence or change. Do not say it is possible to increase the budget, or extend the deadline, if it is impossible.

» Listen to concerns. Never dismiss them because it seems as if these concerns could add complexity to the project.

» Explain decisions and remind people of reasons and benefits of the project.

» Do not be afraid to say, 'I don't know, I'll find out' (then do not forget to share the answer).

» Give people a chance to communicate back, and not only at the end of the session. Also use break-out groups to ensure people who don't want to speak in front of all people can still make their voices heard.

"The county government follows up on every development, and the community's enthusiasm is overwhelming. Like a businessman in Katheri Market who has offered to maintain the floodlight outside his shop."

Jefferson Musyoka, Meru County

WITHOUT TRUST AND INCLUSIVE PLANNING

- Visions get diluted
- People resist change
- Feelings of exclusion can turn into destructive anger
- Beneficiaries don't take on project ownership
- Projects are less sustainable
- Projects risk ending after planning, budgetary, or election cycles
- Strategies are disrupted by political change

Integrated planning

Urban development is a complex process involving many different systems, sectors and stakeholders. Holistic planning views urban areas as multi-dimensional spaces. These spaces are made up of the actions of everyone living and working in the sphere, as well as the relationships between urban systems, such as land-use, architecture, public spaces, water, energy, housing, mobility, and information systems. All of these are strongly connected, and urban development is the result of everything that happens in an area.

A HOLISTIC PERSPECTIVE

A holistic perspective is necessary when planning and developing urban areas. In the realm of urban development, one thing rarely leads to another. Rather, a number of actions lead to a number of results. For urban areas to grow sustainably, there is a need for solutions that address a whole range of issues simultaneously. Therefore, a holistic perspective breeds integrated solutions.

In all planning, it is therefore important to consider the big picture, even when planning for something very specific. The relationships with and links to other sectors and systems must be explored to avoid conflicts and to leverage synergies. The solution to one issue might very well be found in a completely different sector or topic.

Every city and municipality established under the Urban Areas and Cities Act shall operate within the framework of integrated development planning.

Example: Synergies between urban systems

EXAMPLES OF INTEGRATED APPROACHES

Storm water channelled into streams and ponds is able to cool urban areas and make them more attractive, and can also be used for irrigation for parks and urban agriculture.

High-density, mixed-use neighbourhoods reduce the need to travel long distances to work and to access services. They also improve social cohesion, safety and security, and decrease carbon emissions.

Renewable energy solutions and other environmental or conservation projects can be developed using local research organisations, working with local businesses.

This contributes to local job creation, economic development, and to an improved environment.

Organic waste can be used to produce biogas for public transport. What is left can be composted and used for urban agriculture and greening. Composting plants serve as good destinations for educational visits to learn about green technology.

Foot paths and walking lanes will make it safer and more attractive for the majority of people who walk to get to their destinations. If non-motorised transport infrastructure is prioritised it will have positive effects on safety (e.g. not having to walk on the trafficked road), health (e.g. if it is safe and easy to walk or cycle more people will choose this instead of cars or boda bodas) and on the environment (less carbon emissions).

WORKING ACROSS DEPARTMENTS

County governments structure their operations in ministries according to sectors. The world outside of governments, of course, is not structured in this way. For an integrated approach to urban development, cross-sectoral communication and collaboration is necessary. This is also known as **horizontal coordination** between ministries and departments.

But **vertical coordination** can be equally important. This can be all the way from the national level, through county and sub-county, down to ward level, and ultimately to the community.

Coordination between counties/ towns is also useful, in coordinating issues of joint importance with neighbouring towns or neighbouring counties. The links between urban and rural areas are also of importance, specifically when planning in smaller towns and urban areas.

STAKEHOLDER COLLABORATION

Much of what happens in an urban area is the result of someone or an entity other than the county government. It might be a landowner, a property developer, a matatu operator, a businessperson, industries, individuals, etc. In an integrated approach to development, counties find ways of collaborating with these stakeholders to jointly reach the desired goals. This can be done through a combination of enabling development and controlling it (through e.g. enforcement).

Collaboration across stakeholder and government sectors has these benefits:

» It creates trust and joint accountability;

» It ensures an integrated and holistic approach;

» It makes it possible to share resources and skills, and find new perspectives on challenges and resolutions;

» It increases the chance of the project's success and the broad spread of beneficiaries.

"Given the diversity of actors and interests involved in managing urban futures, it becomes evident that planning is not just about formulating ideas, policies and programs, but also about implementing these through collective actions."

UN-Habitat: Global Report on Human Settlements 2009

COORDINATION BETWEEN COUNTIES/TOWNS

With Rural Areas

With neighbouring towns

Between Countries

Within a town
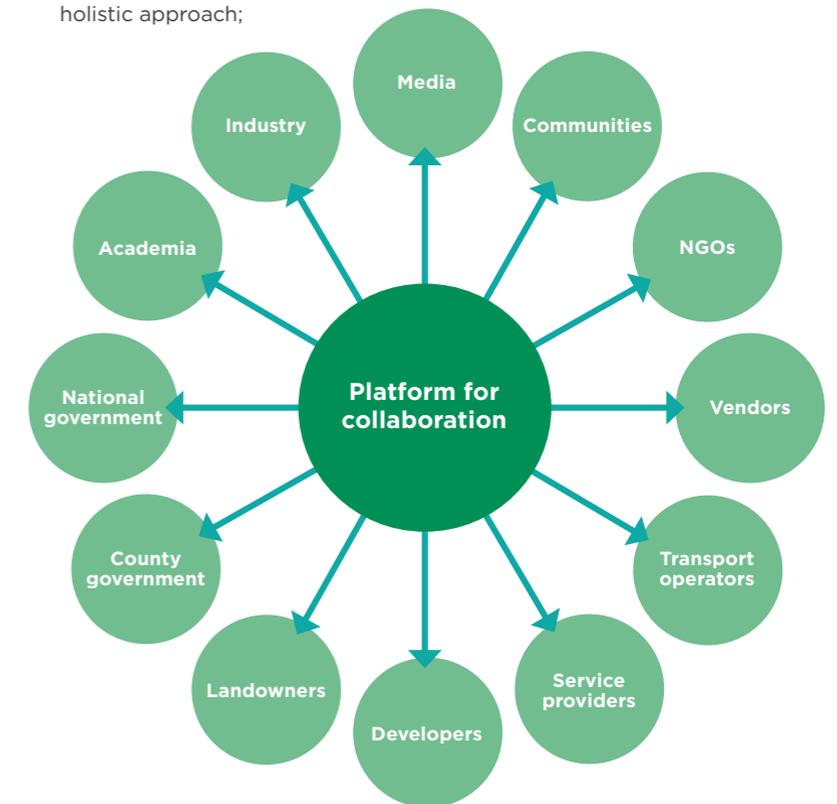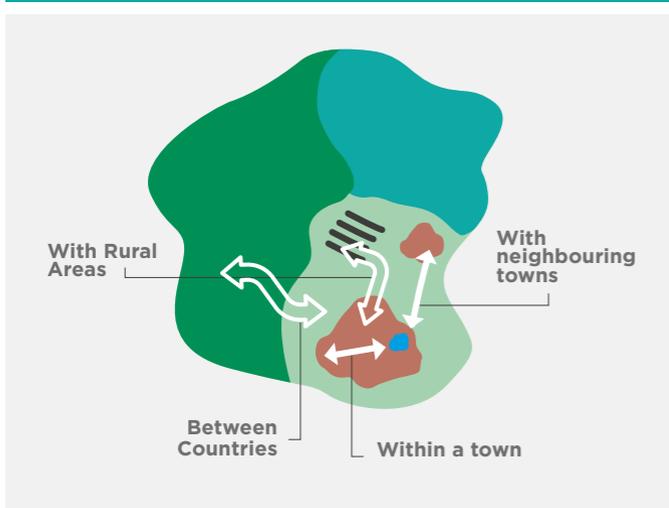
HORIZONTAL COORDINATION

VERTICAL COORDINATION

Media
Industry
Communities
Academia
NGOs
National government
Platform for collaboration
Vendors
County government
Transport operators
Landowners
Developers
Service providers
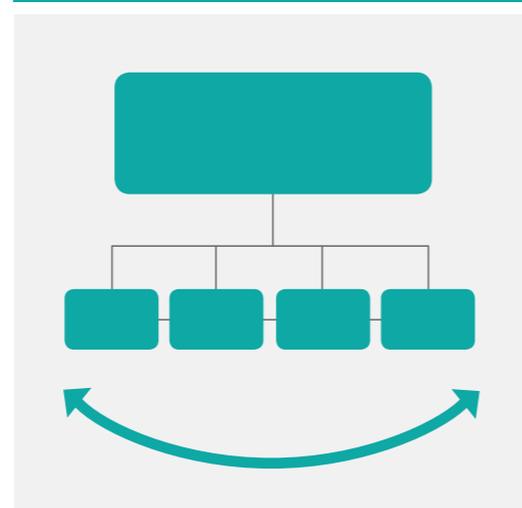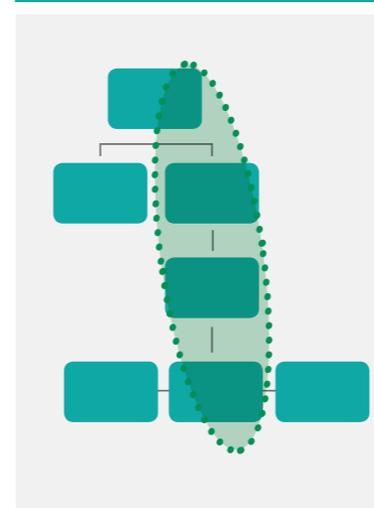
THE PLANNING PROCESS

There are six steps in any successful urban planning and development process. It is about understanding where you are (the analysis), where you want to go (setting goals), how to get there (developing solutions), assessing the impacts of proposed solutions (impact assessment) and making sure you get there (planning for implementation). And it is about how you plan, and who is invited to be part of planning (organising the process).

STEPS FOR SUCCESSFUL URBAN PLANNING & DEVELOPMENT

Organising the process

Analysing the current situation

Planning for implementation

Inclusive Planning

Assesing benefits and impacts

Setting a vision, goals and objectives

Developing integrated solutions

03

The planning process is not a linear one, going step by step, but an iterative cycle of going back and forth, re-thinking earlier conclusions, and revising them with insights gathered later in the process. Planning for implementation, for example, is not something done at the end, but something to be considered from the very beginning.

The three planning principles – **planning for people, planning with** **people, and integrated planning** – remain the backbone of every step in the planning process. It requires a continuous focus on inclusivity, all the way from analysing needs and making priorities, through setting visions and goals, to designing inclusive solutions, assessing impacts, implementing plans and projects and managing the town through operations and maintenance.

Organising the process

Before starting a planning project, it is important to organise the planning process as such. What is being planned, who should be involved, and how should it be done? In inclusive planning, the way the process is organised is critical in ensuring ownership and buy-in of different departments or stakeholders. A well-organised process saves time and money, is clear and transparent, and keeps everyone focused in the same direction.

Consider the following initial questions in organising the planning process:

» **What is the purpose of your planning?** > What *type* of plan is being produced?

» **How will this purpose be achieved, and by when should it be done?** > Producing a workplan

» **Who should be involved in the planning, and how?** > Setting up the planning organisation.

» **What resources are needed for the planning process?** > Making sure resources such as mandate, staff, equipment and budgets are available.

USEFUL TOOLS

Workplan Template **pg 70**
Stakeholder analysis **pg 71**
Communication Plan **pg 73**

TIP While this toolkit is applicable to different types of plans or projects, the legal requirements and mandatory processes for your specific plan must be clearly established at the start of the planning process. Also carefully consider the links between your plan and other types and levels of planning.

POLICY AND LEGISLATIVE FRAMEWORK FOR SPATIAL PLANNING IN KENYA

CONSTITUTION OF KENYA
CHAPTER 5: Land and Environment, Fourth Schedule: Functions of National and County Governments

Kenya Vision 2030 ◄► National Spatial Plan ◄► Other Relevant Policy ◄► National Urban Development Policy

Enviromental Management and Coordination Act ◄► Urban and Regional Planning Legislation ► Land Registration Act Lands Act Community Land Act

Environmental Management/ Policy Regulations

Building code

PHYSICAL PLANNING ACT (Under Review)

1. Regional Physical Development Plan
2. Local Physical Development Plans (LPDP) 3. Long-term, Short-term, renewal and redevelopment plans

Examples of short term LPDPs:
• Action Area Plans for comprehensive planning
• Subject Plans (Sectoral plans) e.g. Transportation, Water supply and Sewerge
• Advisory or Zoning Plans - subdivisions and density
• Part Development Plans

COUNTY GOVERNMENT ACT
County Government Act Part XI County Planning, County Integrated

1. County- Level Plans
A responsibility of County Planning Unit and Physical Planning Department, under oversight of County Executive Committee.
• Develoment Plan (CIDP) - 5 Year Plan
• County Sectoral Plans - 10 Year Plans based on CIDP
• County Spatial Plan - 10 Year Spatial Development Framework for the County

2. City Level/ Municipal-Level Plans
Responbility of City Board/ Town Committee, County Physical Planning Department.
• Integrated Urbam Development Plan
• City/Municipal Land Use Plans
• City/Municipal Building and Zoning Plans City/Urban Area Building and Zoning Plans
• Location of Recreational Areas and Public Facilities

URBAN AREAS AND CITIES ACT OF 2011

Part V - Integrated Development Planning

1. Integrated Urban or City Development Plan (IUDP)
• Plan is adopted by an urban board or committee & submitted to County Assembly (be executive) for approval
• The Plan is reviewed annually Term of office of a board member is 5 years

2. Spatial Plan [Spatial Development Framework]
• Long Term Plan (10 + Years)
• Basis for IUDP 3. Sector

3. Sector Plans

COUNTY BY-LAWS, DEVELOPMENT MANAGEMENT AND REGULATION

OTHER APPLICABLE POLICIES AND LEGISLATION

Source: Adapted from UN-Habitat 2018: Urban Planning for City Leaders - p. 21.

SETTING UP THE PLANNING TEAM

One of the questions you would have asked yourself, above, is 'Who should be involved in the planning, and how?' There will be different types and levels of engagement from different ministries, departments and stakeholders in a planning project. Depending on the type of plan being produced, the organisational structure will vary, but the planning team should always include the following:

1. **A political/decision-making body**, where key strategic decisions are taken. This body is the one that initiates planning and endorses the plan once it is finished. For larger county planning projects this would be the County Executive Committee, while smaller projects will have a different decision-making structure. The political level should give a clear mandate, instructions and support to develop the plan. The role of the role of the Members of the County Assembly (MCAs) is important for leadership at the town level.

2. **A coordination unit**, which is responsible for the substantive work of producing the plan. Setting up a cross-departmental Coordination Unit is a good way of ensuring an integrated way of working. Make sure there will be continuous two-way communication between the Coordination Unit and the County Executive Committee. A focal point, or Project Manager, from the lead department would typically be responsible for leading the work of the Coordination Unit.

3. **Stakeholder group(s)**, with representatives from the community, civil society, academia, the private sector etc. is a good way of ensuring a collaborative way of working. This is not a homogenous group, and the role and interaction with the members of this group would vary depending on their type. It is also not a static group; the composition of the stakeholder group will evolve over time as the project takes shape. Consider forming several stakeholder groups as not all stakeholder representatives are comfortable or able to express their views when others are in the same room.

TIP **Which perspectives does the project team represent? Be aware of what perspectives and knowledge are lacking. Consider gender, age, income and disabilities.**

REMEMBER

Leadership skills will be valuable when navigating the risk of marginalising and excluding any stakeholders and communities. Refer to page 20 - building trust is always the key to inclusive planning and sustainable projects.

An integrated and inclusive approach must be reflected in the way the planning team is set up, and which role is given to different stakeholders.

A CROSS-DEPARTMENTAL COORDINATION UNIT FOR PRODUCING AN INTEGRATED STRATEGIC URBAN DEVELOPMENT PLAN

ISUDP Task Team — Engineering, Trade & industry, Economic planning & finance, Physical planning, Education, Enviroment & public health, Sports culture & Social services, Tourism, Agriculture, Natural resources, mining & energy
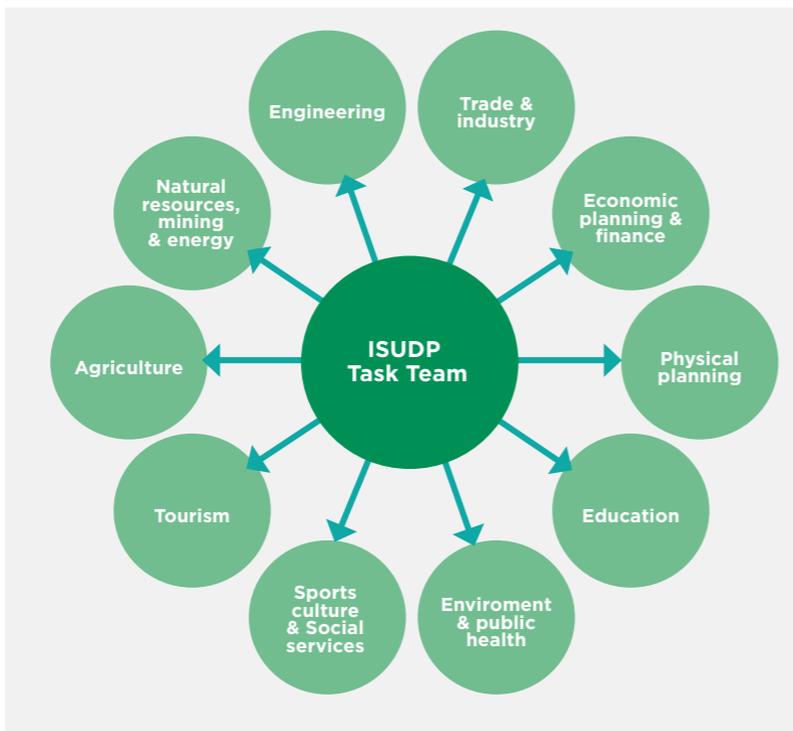
STAKEHOLDER MAPPING

Urban development is influenced by a great number of stakeholders, both inside and outside of government. Stakeholder mapping helps identify who these stakeholders are, and discusses which role they should have in the project. When mapping the broader range of stakeholders, ask:

» Who else influences, or is influenced by, urban development in the town?

» Who creates change?

» Who is affected by the changes proposed?

These are key stakeholders. With their involvement, it is possible to plan for people, and with people, and be more confident that the project will meet the needs of all. Stakeholder mapping is a useful exercise to carry out in the initial phase of the process, and can be added to continuously as more stakeholders are identified.

"A Stakeholder is any party who may have an interest in the project and will be affected by its outcomes. Stakeholders can be organisations, business units, departments, groups or individuals."

A STAKEHOLDER MAPPING COULD INCLUDE THE FOLLOWING:

Stakeholders	INFLUENCE How much influence do they have over SCK Project? – High, Low, Medium	MOTIVATION How much interest do they have in contributing? – High, Low, Medium	CAPACITY Do they have sufficient capacity to contribute? – High, Low, Medium	IMPACT How much does the project impact them? – High, Low, Medium

Example: Stakeholder mapping

WHO ARE THE STAKEHOLDERS?

STAKEHOLDER MAPPING IN KWA VONZA, KITUI COUNTY

POLITICAL REPRESENTATIVES
Member of County Assembly
Chairman / Members, Planning Committee, Kitui County Assembly
Member of Parliament

RESIDENTS, PLOT OWNERS, ETC.
Residents
Community Patrol
Plot owners

LOCAL (OPINION) LEADERS
Village Chiefs and Elders

PROJECTS AND PROGRAMMES
Meta Meta Research – Sponge Towns Programme
Sahelian Solutions (SASOL) - Sponge Towns Programme

PUBLIC (COUNTY GOVERNMENT)
Kitui Town Administrator
Sub-county (Kitui Rural) Administrator / Deputy Admin.
Ward Administrator (Kwa Vonza Yatta)
Sub-county Officers

NON-GOVERNMENT BODIES (NGOS, CBOS, FBOS)
Kitui Local Urban Forum (KLUF)
Churches
Masaa Self Help Group (SHG)
Molo Muni SHG
Makuyuni SHG
Wakasi SHG
Kaloleni Womens Group
Mbuvoni SHG
Oasis SHG
Wumeso SHG

PRIVATE
Market Committee
Shop owners (retail)
Private real estate developers
Chamber of Commerce
Industrialists
Landlords Association

SERVICE PROVIDERS
SAFARICOM
AIRTEL
MEWASS
Water Associations
Community water groups

TRANSPORT PROVIDERS
Chairman Matatu Association
Matatu owners
Bodaboda Association

EDUCATION
South Eastern University (SEKU)
Kenyatta University
Kenya Forestry Research
High schools / primary schools
Nyumbani Children's Home
Pre-schools EDDEs

A stakeholder *analysis* can be a useful way of mapping the interest and power of different stakeholders, in relation to the project.

While the community is also a stakeholder, it is useful to plan specifically for how and when members of the community should be involved. There are different levels of engagement, and the suitable approach may vary over time (see page 18).

TIP The 'community' is not a homogenous group. Plan so there is active engagement from women and men, different age groups and physical abilities, and income and education levels.

POWER (High / Low) vs INTEREST

- Politician (Resistent)
- Planner (Supportive)
- Local organisations (Supportive)
- Children/ Youths (Neutral)

Resistent · **Neutral** · **Supportive**
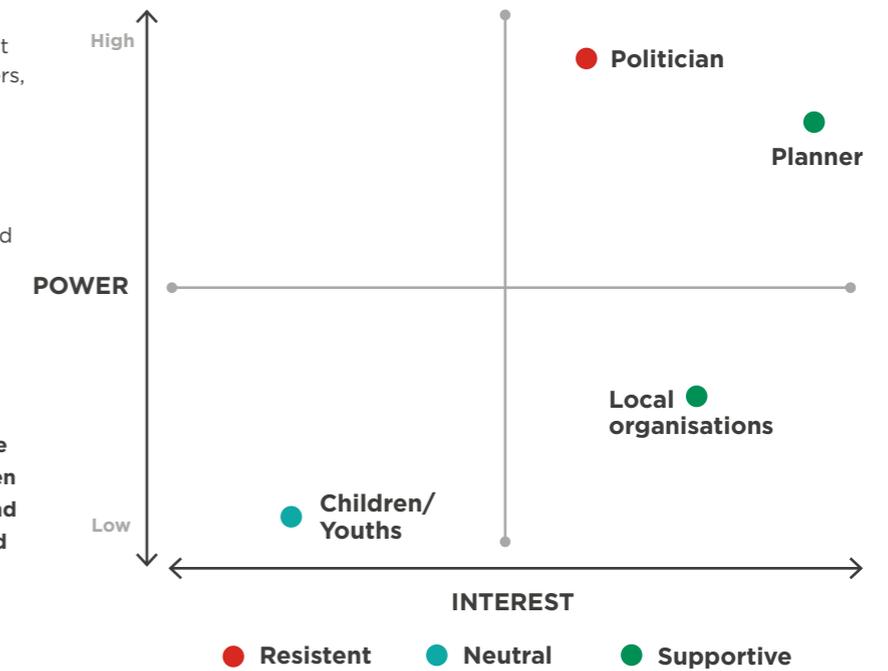
FIVE ELEMENTS OF STAKEHOLDER ENGAGEMENT

The process of planning is almost as important as the end result. So, invite diverse groups and people into the planning process in this way.

1. Identify key local, regional and national stakeholders (sometimes called 'change agents'). These could be businesses, individuals, organisations, the media, political groups or religious groups, or other government departments. Do not leave out marginalised or vulnerable groups.

2. Engage with stakeholders early on. Do not wait until there is a plan to be consulted upon. Try to find a common ground *before* a plan or project is developed.

3. Use a mixture of engagements. Not everyone feels able to speak at the same type of event: think about public meetings, exhibitions, workshops, street stalls, one-on-ones, focus groups, and site visits.

4. Interact informally with people and listen to people in public places. To walk around with a map (on paper or on a tablet) of the planning area and let people look and make comments is one way of breaking the ice and making people interested.

5. Communicate, share, and be open and transparent (see page 34). Give people a chance to communicate back. Engagement is a continuous process. There may be a need to organise and invite stakeholders to different fora's/spaces, for example through establishment of a Citizens Forum.

COMMUNITY PARTICIPATION

The community is one of your most important stakeholders, and a very diverse group. Finding the right level and means of engaging the community in different parts of the planning process requires careful consideration. Your approaches may vary depending on which group you are addressing. Participation is useful both in planning, implementing and managing urban areas.

REMEMBER

Are your stakeholder or participation activities at times and venues where women and men, different age groups and physical abilities, and income levels, can attend? Does your team enable all voices to speak at such activities, instead of paying attention only to the usual voices?

Example PARTICIPATORY APPROACHES

PUBLIC BILLBOARDS

Post information on public billboards to keep the community informed about the project.

COMMUNITY MEETINGS

Invite members of the community to share their views on their needs and priorities and discuss possible solutions.

A SPACE FOR THE PROJECT IN THE WARD ADMINISTRATORS OFFICE

Make the ward office or sub-county administration office the hot spot – with pictures and information on the wall for comment.

GENDER SPECIFIC MEETINGS

Invite a group of women representatives to share their views on issues facing them, thus giving women a safe space to discuss their concerns. The priorities of women often differ from those of men.

MOVIE NIGHTS FOR COMMUNITY ENGAGEMENT

Screen an interesting yet educational movie, preferably child friendly, before darkness to ensure women, children and youth are also able to attend. Introduce the project, any updates, or give other information before starting the movie.

Example: Co-creation with communities
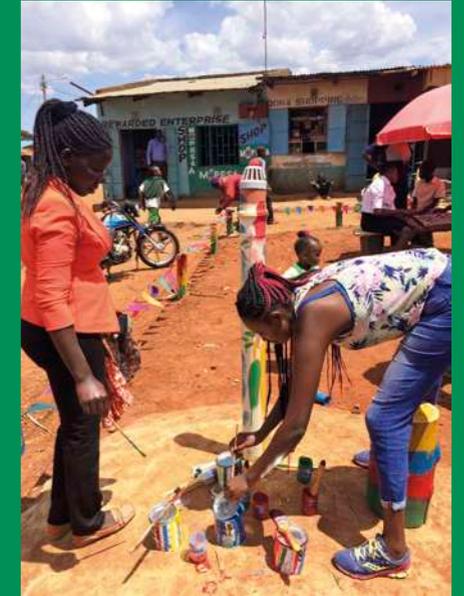
PLACEMAKING – CREATING PUBLIC SPACE TOGETHER

Placemaking is a bottom-up approach that empowers and engages people in ways that traditional planning processes do not. It draws on the assets and skills of a community, rather than on relying solely on professional "experts". When you create a space where the community are involved the place will have a new meaning for them.

To transform an ignored public space outside the ward-administrators office in Kiminini, Trans Nzoia, a mini-park was planned to create a place where residents can meet, relax and enjoy themselves.

"Placemaking" was used in order to create a place responding to the actual needs of the people in the town. In a first exercise, a small area was marked by chalk on the ground to show different possible usages, and existing fence posts were coloured bright by people passing by. The shaded areas that were provided with the help of umbrellas put on sticks showed clearly that people gather when they are protected from the sun, so a roof structure will be an important part of the design. The architect and landscape architect leading the placemaking talked to people to get their views and incorporated this in their sketches in real time. The resulting design was shared with the residents in the ward administrator's office and after views were taken into account the final design was made. During implementation, residents will be invited to contribute with their labour, and reusable materials will be sourced locally for the mini-park. By contributing to creating a place, people gain ownership and feel pride, and this assures sustainability.

"I already see Kiminini demonstrating to other towns that creating green spaces does not necessarily need large spaces."

Faith Muthoni, Environmental Planner

COMMUNICATION PLAN

Two-way communication and information sharing are fundamental to building trust, and informing, involving and motivating all stakeholders. Communication planning means drawing up a communication strategy that takes all channels into account. It's tempting to think of social media as the answer, but sometimes a community notice board is more popular. Sharing meeting minutes, holding public meetings, exhibitions, workshops, radio interviews, street stalls, one-on-ones, focus groups, and site visits are all forms of communication.

Think back to your stakeholder map on page 29. Consider how you would like to communicate with the various stakeholders, as the purpose and mode of communication may vary.

Develop a strategic and proactive approach to communication and participation, by asking:

» Who needs to be communicated with? The stakeholder mapping will be a useful basis for this.

» What is the purpose of communication with different stakeholders?

» What will be the best means of communicating internally and externally? Who should be contacted and what should be done in order to use different channels? How will the messages be distributed?

» How can two-way communication be enabled? Remember that communication is about talking as well as listening.

» When should different communication activities be carried out?

» Who should be responsible for what?

A template for a communication plan can be found on page 73.

> **TIP** 1. Invite a communication specialist to be part of the planning team.
> 2. The media is always an important external stakeholder.

USE DIFFERENT COMMUNICATION TOOLS FOR DIFFERENT GROUPS

Target group	Communications tools
County/project staff	Reports, presentations, memos, meetings, emails, phone calls, SMS, newsletters, WhatsApp groups
General public	Information boards, road shows, public barazas, social media, local radio, TV, newspapers, arts
Youth	Social media, radio, TV, newspapers, arts
Person with disabilities	Braille, sign language, radio, TV, newspapers, meetings
Women	Notices at health centres, markets, TV, radio, newspapers, meetings which cater for children
Elderly	Large print publications, radio, TV, notices at social fund offices

REMEMBER

Invite two-way communication – and be prepared for some negativity. Just keep building trust and being transparent.

PLANNING THE WORK AHEAD

The workplan is a road map for how to arrive at a well-formulated, implementable plan with strong local ownership. As the project evolves, it is important to revisit the workplan, so that it provides an up-to-date document for joint planning.

EXAMPLE: WORKPLAN. DOCUMENT 'WHO DOES WHAT AND WHEN' IN A SIMPLE WORKPLAN WHICH IS ACCESSIBLE TO THE WHOLE PLANNING TEAM

Task	What we need to do?	Who will do it?	When will it happen?	What will be delivered?	Notes	Status 🔴🟡🟢
1	Getting organised					
1.1	Set up the Coordination Unit (CU)	Project Manager (PM)	Week 1	List of members and Terms of Reference		🟢
1.2	Identify and map stakeholders	PM / CU	Week 2	Stakeholder mapping	Pending workshop	🟡
1.3	Develop a communications plan	PM / CU	Week 2	Communications Plan	Pending task 1.2	🟡
1.4	Brief the CEC, get endorsement for the workplan	PM / CU	Week 3	Letters of nomination	Presentation to be prepared	🔴
2	Assessing the situation					
2.1	Mobilise, brief and meet with stakeholders	CU	Week 4		Invitations to be sent	🟡
2.2	Collect and analyse secondary data and information	CU/ Stakeholders	Weeks 4-7	Matrix of available information, project library		🟡
2.3	Conduct site visits	CU	Week 6	Site visit report		🟡
2.4	Hold SWOT workshop	PM / CU	Week 7	SWOT Workshop report		🟡
...	...	...	...	...	...	...

READY TO START? – CHECKLIST

A clear project purpose drawn up	✓
A planning boundary and limitations agreed	✓
A project team established	✓
Internal stakeholders onboard (fellow professionals and government agencies across all sectors)	✓
External stakeholders onboard (planning for people)	✓
Invitations to all stakeholders to participate (remember to keep inviting people even if they couldn't make it for the first event)	✓
A workplan established and agreed upon	✓
Workshops and meetings planned ahead of time	
A communication plan drawn up	
A plan of how to manage documents, reports and decisions (e.g. minutes)	
A tentative budget for the planning process agreed	
An intention to plan has been announced	

USEFUL TOOLS
SWOT analysis **pg 74**
Transect walk **pg 75**
Focus group discussion **pg 78**

Analysing the current situation

Before proposing priorities and solutions, it's essential to understand the context in which planning is taking place. How did the town get to be where it is now, and what are the core sustainability issues? What are the opportunities, challenges and needs expressed by different groups?

The situational analysis is an opportunity for:

» Understanding the town's current opportunities, challenges, and their underlying causes.

» Establishing a joint, *collective* knowledge base.

» Stakeholder engagement (local businesses, community, civil society, and national level government and agencies).

» Open and transparent discussions.

» Community asset mapping, to build on what exists already.

» Making decisions and selecting priorities based on the relevant evidence and information you have gathered.

Analysis should always be approached holistically, although the scale of analysis might be different depending on its purpose. A strategic plan would need a broad an alysis, while a project plan could have a narrower focus. A sector project focusing on water would analyse the water sector, but also other issues and sectors which link to water, such as waste management, land use, housing etc.

Community participation and stakeholder consultations are methods of identifying which issues are important in the local context. Rather than trying to cover everything, an inclusive process will help identify the priority urban sustainability issues to discuss in detail.

COLLECTING AND COLLATING DATA

Fact-finding is an important step in understanding urban challenges and opportunities. Data about environmental, social, and economic conditions that have an impact on the town's sustainability and development is valuable information to collect.

This data can be from primary sources (interviews, observations, surveys) or secondary (desk-top studies of reports, policies, plans, maps, and academic literature). If possible, try to assess the reliability of the data through triangulation or spot checks.

QUESTIONS TO ASK BEFORE COLLECTING AND COLLATING DATA INCLUDE

- What data is needed *and how will it be used*?
- What data is *available?* And how *reliable* is it?
- What data needs to be collected? And what is the best way of doing so (considering budget and human resources available)?

TIP **Check in with stakeholder groups. They might know of different or less-well known data sources.**

A FRAMEWORK FOR UNDERSTANDING URBAN AREAS

A town can be analysed from many different perspectives. This conceptual model is useful for structuring the analysis and carrying out an urban analysis.

For each perspective, the analysis could consider the following:

» Current situation
» Key assets and opportunities
» Key challenges
» Key trends

Be selective! Only collect knowledge you actually need.
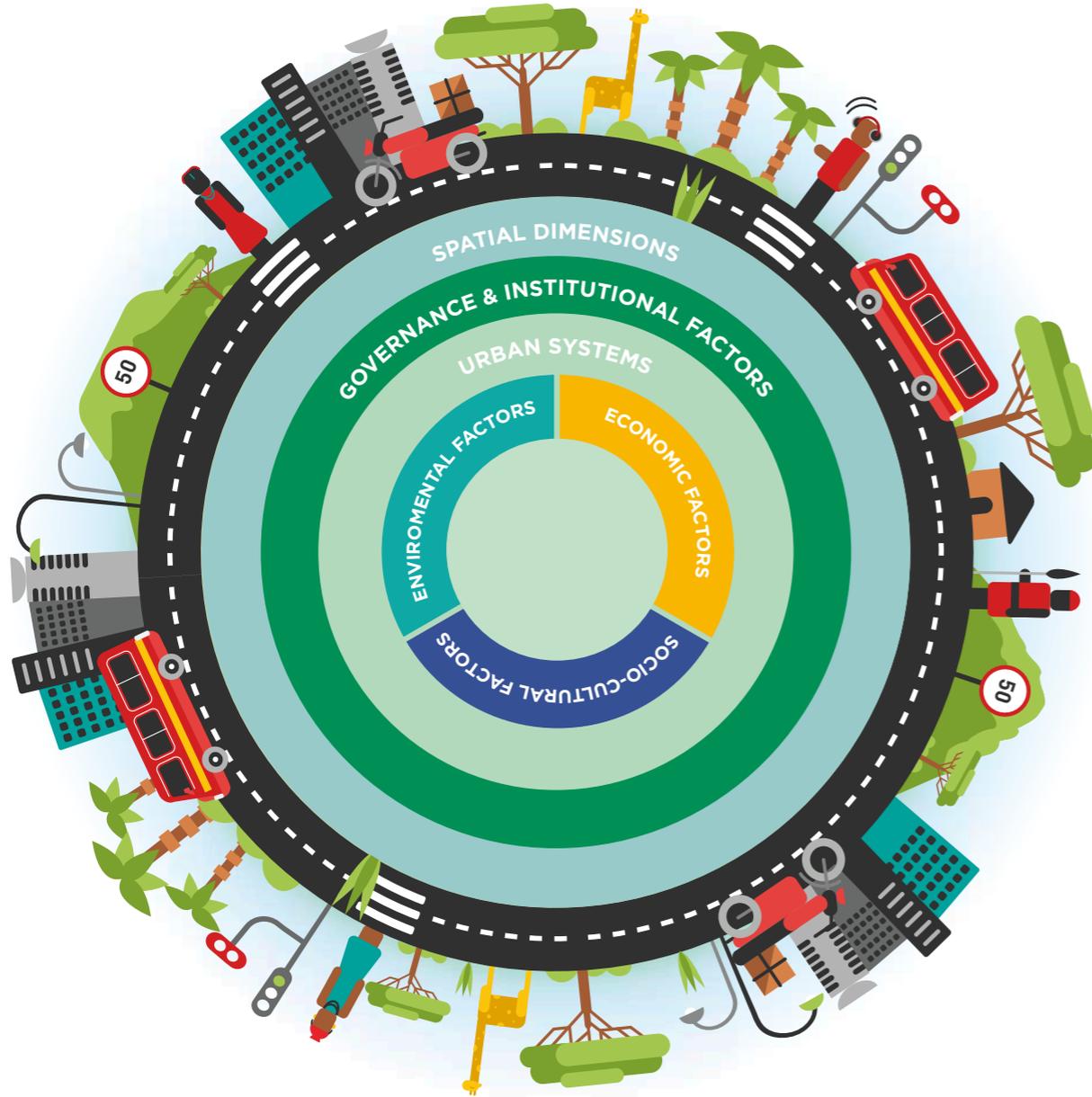
The pages which follow give details on topics which may be analysed in each perspective.

SOCIO-CULTURAL ASPECTS

Topics could include:

Population size & growth	Poverty	Education levels	Culture & Traditions	Gender Equality	Health	Urban Safety
Life Quality	Justice	Rights	Social Inclusion	Migration	Immigration	Urban-Rural Linkages

ENVIRONMENTAL FACTORS

Topics could include:

Water Resources	Air	Soil	Urban Greenery & Forests	Mountains	Natural Hazards & Risks	Emissions
Contamination & Pollution	Climate Change					

ECONOMIC FACTORS

Topics could include:

Key aspects/drivers of the urban economy	Local Economic Development	Consumption & Production	Economic Growth	Employment	Informality
Livelihood	Tourism	Local Government Budget & Expenditures		Sources of Revenue	

URBAN SYSTEMS

What's included

For each urban system, consider challenges and opportunities in terms of:

Environmental sustainability

Economic sustainability: both for users and service providers

Equity: inclusive access from perspective of geography, affordability, gender, social group, age etc.

Governance: how is the service managed?

URBAN STRUCTURE AND LAND USE

Topics could include:

Housing and Residential Development	Informal Settlements	Commercial Services	Industrial areas	Educational & Health Facilities

Sports Facilities	Cultural Facilities

URBAN FORM AND ARCHITECTURE

Topics could include:

Urban Form	Urban Design	Architectural Development	Green Area Ratio	Landmarks	Heritage	Street Lightning

PUBLIC SPACE

Topics could include:

Availability & Quality of Public Space	Safety	Placemaking	Recreational Opportunities	Parks	Public Facilities

Urban Greening	Urban Agriculture

HOUSING

Topics could include:

Types of Housing	Availability & Quality of Housing	Informal Settlements	Housing Market

WATER

Topics could include:

Water supply & distribution	Water Use	Rainwater Harvesting	Sanitation & Sewerage	Wastewater treatment	Flood Protection	Drainage

WASTE

Topics could include:

Waste Generation	Separation	Recycling	Collection	Disposal	Hazardous Waste

ENERGY

Topics could include:

Energy Production	Distribution & Access	Energy Use (and types)	Emissions	Health

MOBILITY

Topics could include:

Mobility Patterns & needs	Non-Motorized Transport	Public Transport	Informal Transport	Motorized Private Transport	Parking

Freight	Regional Transport

INFORMATION AND COMMUNICATIONS TECHNOLOGY

Topics could include:

Internet Access	Mobile Use	Online Services

GOVERNANCE & INSTITUTIONAL FACTORS

Topics could include:

Existing Visions & Strategies	Policies & Plans	Politics	Urban Governance	Roles & Mandates between different parts of government	Political Economy
Urban Management	Urban Planning	Polit Legislation & By-Laws	Transparency	Accountability & Public Participation	

SPATIAL DIMENSIONS

Topics could include:

Urban Topography	Density	Size	Configuration	Land Use Patterns	Land Tenure	Growth Patterns
Boundaries & Barriers	Nodes	Regional Connections	Regional Connections	Urban-Rural Linkages		

METHODS FOR KNOWLEDGE/ DATA COLLECTION

There are many different ways of collecting relevant knowledge and data, both through primary and secondary sources. Select a combination of methods, depending on what is needed and the available human resources.

MAPPING INFORMATION NEEDS

Create a simple overview of what information is needed what is *available*, and what is necessary to collect.

COLLECTING SECONDARY DATA

Collect and compile existing resources/studies and make these available for the project team. Relevant information may be found in many different departments, as well as outside of county government.

CROSS-DEPARTMENTAL MEETINGS

Gathering staff from all relevant departments throughout the planning process to share information between departments and discuss findings.

SWOT-ANALYSIS

Make a simple SWOT analysis (see page 74). By involving different groups in the exercise, it is possible to quickly synthesise the key strengths, weaknesses, opportunities, and threats for the town.

PRIMARY DATA COLLECTION

Collect qualitative and quantitative data on for example access to services, land use, or perceptions of safety.

EXPERT OPINIONS/STUDIES

Some knowledge gaps can be filled by expert opinions or commissioning small studies.

COMMUNITY/STAKEHOLDER CONSULTATIONS

There are many ways of involving stakeholders and communities in discussing challenges and opportunities. Public barazas, town hall meetings or meetings with special interest groups like the Boda Boda Association.

COMMUNITY MAPPING/SURVEYS

Involving the community in mapping and surveys is a good way of building ownership. Free online tools like Kobo Toolbox and Open Street Map makes it easy to create surveys and digitalise information.

TRANSECT WALK

This tool (page 75) can be used to get an overview of an area or to assess a specific issue and understand different perspectives. The walk should include informed community members and people with technical skills from the county government.

PHOTO SURVEYS

A picture says a thousand words. A photo survey creates a good basis for dialogue with the community on what they like and don't like, and what areas they see for improvement. Ask local youth groups to contribute by taking photos.

OBSERVATION/FIELD VISIT

Spending time on site is important. Reality is often different from maps and reports. Use field visits frequently to understand how a place is being used and by whom.

GIS MAPPING

Free GIS software, like QGIS, provides a good way of visualising knowledge spatially.

FOCUS GROUP DISCUSSIONS

Conversations (page 78) where a group of people are asked about opinions in relation to a specific topic. Can be used to generate detailed knowledge about a target groups needs and priorities, or to get input to the design of a project.

REMEMBER

Have special interest groups been invited to consultations or focus group discussion to share their views and priorities? Would separate groups make it easier for alternative insights to be heard?

Example	SWOT-ANALYSIS GIVES A GOOD INDICATION OF WHICH ISSUES ARE CONSIDERED IMPORTANT IN AN URBAN AREA

STRENGTHS

» Good road network with a major highway passing through the town

» Existence of a commercial hub

» Skilled and unskilled labour

» Hospitable people and peaceful and cohesive communities

» Existence of 2 universities

WEAKNESSES

» Poor infrastructure (water, drainage, waste, condition of some key roads)

» Lack of secondary schools

» Lack of adequate hostel facilities

» No spatial plan for town

» Public toilets not adequate

» Insecurity

OPPORTUNITIES

» Adequate land for expansion

» Good governance

» Build on universities presence

» An abundant ecosystem that can be tapped to support development in a sustainable way.

» Advantages presented by devolution

THREATS

» Unplanned upcoming buildings

» Accidents – boda-boda

» Charcoal burning resulting to desertification

» Low rate of employment amongst the youth

» Increased land prices

» Rising crime

USING KNOWLEDGE TO PLAN STRATEGICALLY

The purpose of the data collection phase was to understand the existing situation, to identify the key sustainability issues, to determine priorities, and to ensure that the proposed solutions speak specifically to these revealed issues. Take time discuss the results from the knowledge generation and analyse what they mean for urban planning. Consider cause and effect.

This understanding of the key issues will allow priorities to be set, based on the evidence gathered. The results will also be useful in developing a shared vision of the desired way forward.

Information, data and knowledge gathering and processing through surveys, interviews, workshops, maps, etc.

⬇

Analysis and discussion: Challenges and opportunities, trends, causes of problem, critical links between different sectos and systems

⬇

Conclusion: Key urban sustainability issues

⬇

Dissemination of result, feedback to stakeholders, communication

REMEMBER

Is the evidence/data disaggregated into gender, age, etc, so that specific rather than generic decisions can be taken?
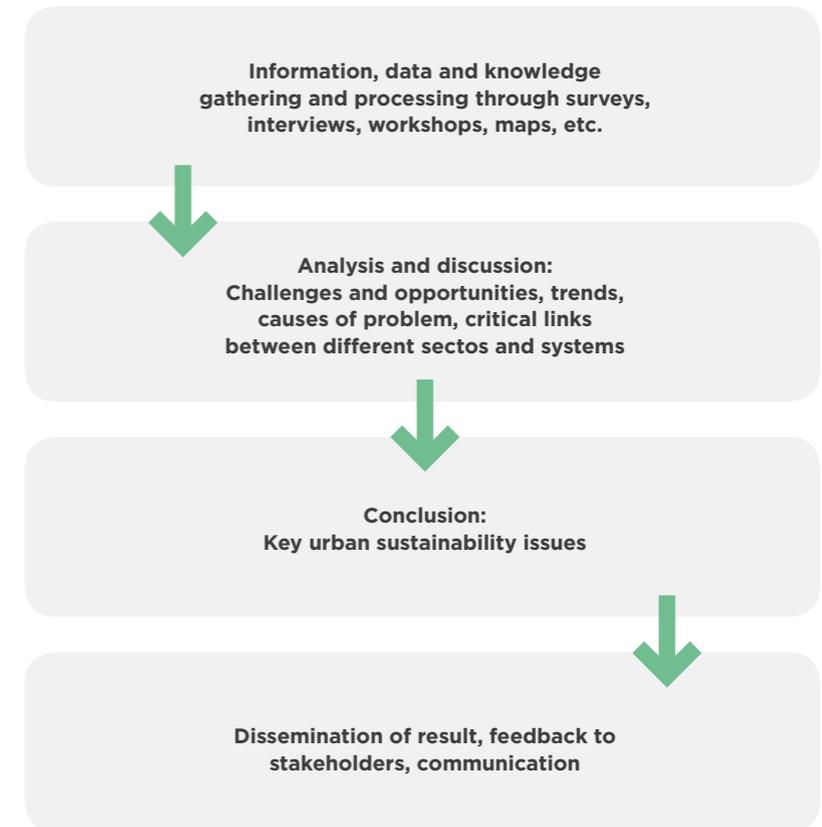
TIP Don't forget to communicate analysis findings to the stakeholders.

Setting a Vision, Goals and Objectives

Setting Visions, Goals and Objectives is a way of jointly agreeing, together with stakeholders, on a desired future. Well formulated goals will help steer planning and project development in an inclusive direction.


```
                    ┌─────────────┐
                    │   Vision    │
                    └─────────────┘
         ┌──────────────┼──────────────┐
    ┌─────────┐   ┌─────────┐   ┌─────────┐
    │  Goal   │   │  Goal   │   │  Goal   │
    └─────────┘   └─────────┘   └─────────┘
    ┌─────────┐   ┌─────────┐   ┌─────────┐
    │Objectives│  │Objectives│  │Objectives│
    └─────────┘   └─────────┘   └─────────┘
    ┌─────────┐   ┌─────────┐   ┌─────────┐
    │Objectives│  │Objectives│  │Objectives│
    └─────────┘   └─────────┘   └─────────┘
    ┌─────────┐   ┌─────────┐   ┌─────────┐
    │Objectives│  │Objectives│  │Objectives│
    └─────────┘   └─────────┘   └─────────┘
```
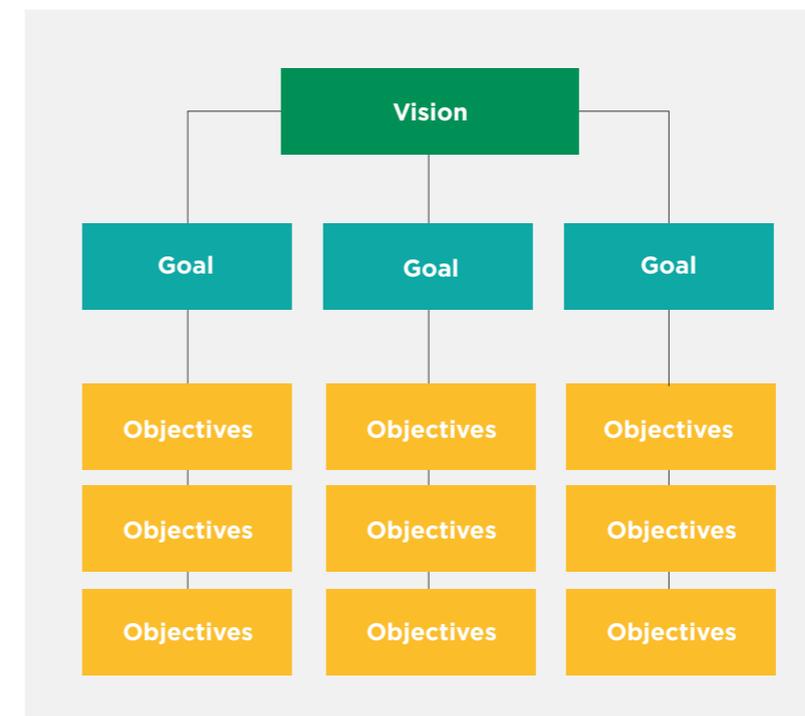
Setting this direction can be done at different levels

» A **Vision** provides an image of the desired future – where do you see your town in 25 years?

» The Vision is often operationalized through one or several **Goals** which set out the strategic areas of interventions for reaching the vision in the medium term (3-5 years).

» **Objectives** are concrete, measurable outcomes that operationalise the goals and turn the vision in to action in the short-term (-1 year).

DEVELOPING A SHARED VISION

New insights and understandings of the town's sustainability issues will have emerged from the data collection and analysis, above. This has provided a basis for a discussion on the possible development directions of the town. It is now time to develop a 'vision' statement, which encapsulates the 'big picture' of the desired future.

A vision is more than a dream of a better future. It is a guiding statement for long-term strategic planning, and a constant motivation for stakeholders, communities, and leaders.

The secret to an effective vision is that it is actually possible to achieve in the long-term, and that it is created from priorities developed during the stakeholder engagement and analysis phases (see page 71).

3 Formulation of the vision by the core working group

2 Analysis of the input, sorting into major areas of concern and pride, e.g. greener town, market town, reducing waste, social services for all. Prioritisation of areas and validation from stakeholders on this.

1 Input from stakeholders, mainly residents, including special interest groups, to understand the basics of what people want their town to be in the future.
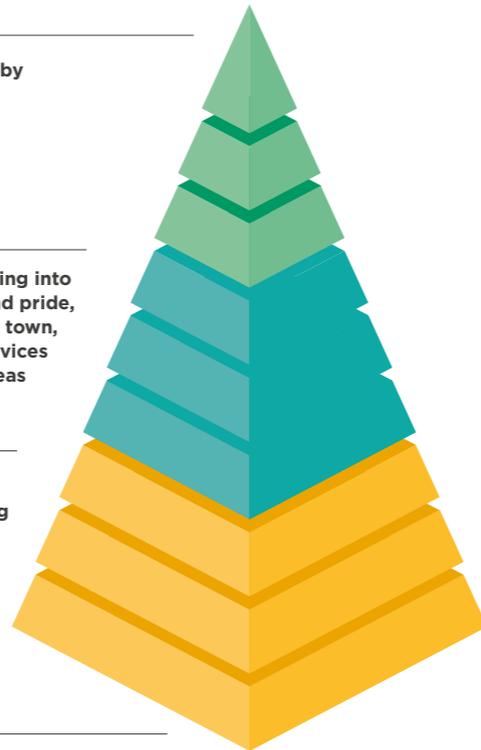
Example | DEVELOPING A VISION FOR KIMININI, TRANS NZOIA COUNTY

The visioning in Kiminini started with contacting and involving as many stakeholders as possible in different stages and with different types of input. Text messages were sent to identified representatives and people were also invited by team members walking around

and talking to people in the neighbourhood. Over a few months more than 300 people from all around Kiminini passed by the ward administrator's office to give their views on what town Kiminini should be, which values should be protected, and which needed to be created. Instead of only having workshops, the residents were also invited to give their views by marking different statements that were put up on the office wall, e.g. 'more trees', 'reduce waste', 'plan the town for the youths'. At another occasion residents were invited to comment on

pictures from their town – what did they see in the pictures that was working and what was not working. In this way areas of concern for the residents could be pinpointed and used in the visioning, which was conducted in several stages narrowing down towards the vision in each stage. The last stages of writing down the vision and deciding on the 'short slogan' were conducted within a smaller group, taking into account all the inputs from the larger stakeholder group and the different interest groups.

Example | KIMININI IMAGINED IN 2037

A GREEN VIBRANT TOWN WITH OPPORTUNITIES FOR ALL

KIMININI 2037

In twenty years', time, Kiminini will be a green town. There will be trees lining the roads and tree nurseries on the road reserves as a way of re-establishing a green belt through the town. There will be public green lawns where residents can relax on the benches or have a picnic directly on the grass. There will be no stagnant water and no rubbish on the street. Residents will have learned to care for their town and are careful not to litter but are on the contrary helping out in keeping Kiminini green and clean, e.g. through the quarterly clean up days that are organised by the town administration.

In 2037 Kiminini will be a town administratively, not only an urban area, as it will have been gazetted and certified as a town. A town administration will have been established and will be consolidated and able, with technical capacity, political will, financial resources and enough devolved power to plan and execute the development of their town.

Kiminini in twenty years' time will thus be more independent from Kitale and self-sustained. People will both work and live in Kiminini and only a minority will

still commute daily to Kitale. People's social life can also be satisfied in Kiminini as there are enough activities for young people, children, middle aged and old.

In two decades, Kiminini will have developed further on the commercial side, having harnessed all opportunities, e.g. the emerging agribusiness market. The open-air market is now famous all over the county and people travel from far to see what the market in Kiminini has to offer. The unemployment rate has decreased, thanks to new job opportunities in Kiminini brought about both by larger industries being attracted to the green town with a practical proximity to Kitale; and by SMEs that have been growing in number and size. The town administration has been able to collect revenue from new SMEs and informal traders, as well as from the larger industries that have been established in Kiminini, and the town is also profiting from the large waste management plant that serves five other towns in Trans Nzoia. This increased revenue has been used wisely in ensuring that all residents in Kiminini have access to at least the most basic infrastructure services such as roads, drainage, water and sanitation, street lighting and electricity. It has also been used towards providing affordable health care and education, and towards rehabilitating the sports ground and creating parks, so that the residents can enjoy outdoor activities which is beneficial both for physical and mental health.

In 2037, the residents are happy to live in Kiminini and proud over the progress of their town. They are positive about the future and are committed to continue to contribute to the development of Kiminini.

TIP Long term visions require political commitments across borders

SETTING GOALS AND OBJECTIVES

Once a vision has been formulated, it is time to move on to setting goals and objectives. The level of detail will depend on the type of plan being prepared; from goals for the overall development of the town in the case of an ISUDP, to objectives for specific interventions.

Goals and objectives should be formulated in a way that allows for multiple solutions to emerge, and that captures the needs of different groups. Each objective also needs to have:

» An indicator (how will you know if this objective has been achieved?); and

» A target (by when should this objective be achieved and to what level?).

» Consider also establishing baselines to measure the current situation.

TIP
1. **Write objectives in a way which allows you to find multiple solutions.**
2. **Do objectives reflect the needs of different groups? Remember to apply the three planning principles into your goals and objectives: planning for people, planning with people and integrated planning.**

KIMININI VISION: A GREEN VIBRANT TOWN WITH OPPORTUNITIES FOR ALL

Goal 1: An environmentally friendly town	Goal 2: A self-sustained and decentralised town	Goal 3: An agricultural market hub	Goal 4: A town with basic services for all
Objectives			
Functioning waste management system including recycling and reusing	Kiminini certified as a town	Creation of agricultural jobs (production, value addition, retail)	Basic functioning infrastructure in place (roads, drainage, W&S)
More people are using renewable energy sources	A functioning town administration	Increased scale of agricultural production	Good quality health and education services accessible and affordable
Reduced flooding	Establishment of town administration board	Zoning and planning for agroindustrial activities	Improved livelihoods for all people in Kiminini
Increased green public space	Controlled development	Creation of a community agricultural school	

Developing integrated solutions

In integrated planning, reaching the goals is done through a combination of actions. Rather than formulating *a project*, integrated solutions will include efforts in several sectors and by different stakeholders. This broader holistic approach will result in more innovative solutions, and leverage resources through collective action.

Remember these key ingredients of a truly integrated solution:

» Take a *programmatic approach* rather than a project approach. A good solution often consists of several different components.

» Take an *integrated approach* by finding solutions that cut across sectors (such as water, transport or waste) and time (by suggesting short, medium- and long-term responses).

» Consider *collaborative* approaches, where the various stakeholders involved in urban development can contribute and play an active role.

» Ensure that your solutions are *inclusive (*meeting the needs of different groups) and are developed in a participatory way, where end users and beneficiaries are involved in the design.

» Consider *different ways* of reaching the project goals. By comparing alternative scenarios or options, it is easier to find the right approach.

» Continuously *assess* the benefits and disadvantages of different options using the assessment tools in the next chapter. Is it appropriate, realistic, feasible, and sustainable?

» Be *realistic.* Plans are only useful if they can be implemented.

TAKING A PROGRAMMATIC APPROACH

To really contribute to sustainable development in an urban area requires efforts on many levels. The benefits of an integrated approach are that different sectors and stakeholders can contribute toward the same goals. There is also high potential for synergies between different systems. An integrated solution with multiple components is far more likely to result in change, and deliver multiple benefits. Rather than developing *a project* it is recommended to consider different actions across sectors, stakeholders and time to reach the agreed goals.

Example:	INTEGRATED SOLUTION IN BUTERE, KAKAMEGA COUNTY:

VISION
"A green, vibrant and friendly city."

GOAL	GOAL	GOAL	GOAL
Enhanced waste management & sanitation	Enhanced storm water management & Improved Environmental Conservation	Increased business opportunities and economic vibrancy	Enhanced community empowerment and cultural heritage

INTEGRATED SOLUTION

An Integrated solution for Butere was a proposed multi-purpose eco-park. The park would combine several components which contribute to the four broader goals:

» A public park
» A canal and water pan retaining runoff from nearby market and bus park. Some water will be harvested and retained in a water pan for maintenance of the flora within the park.

» A resource centre with a social hall and restaurant facility
» ncome generating activities such as kiosks for trading to be operated with the youth, tree nursery development and toilet user charge and maintenance
» A sports ground

» Composting and recycling activities of waste generated in the market
» Women will be engaged in cultural activities and women groups will be allocated the kiosks to operate and ensure cleanliness within the park

CONSIDERING ALTERNATIVE APPROACHES

Rather than quickly agreeing on one project, planning option, or a certain way of doing things, take some time to look at what the possible options are. There are almost always alternatives to high-cost, long-term, large-scale, government-led interventions. It's a good idea to consider alternatives early in the planning process. Some alternatives might be better suited to the immediate budget or timeframe and together can go a long way toward achieving holistic sustainable urban development.

This is not to say that incremental approaches or lower-cost solutions are necessarily better. All solutions should be evaluated in terms of their costs and benefits in the short, medium and long term. For example, weigh up the impact of easier, cheaper, short-term improvements in a particular area, with more expensive and long-term interventions that might ultimately be more sustainable.

DIFFERENT APPROACHES TO PLANNING CHALLENGES

Rainwater harvesting	Small scale	Large scale	Water plant
Matatu services	De-centralised	Centralised	Bus Rapid Transit
Compost	Low tech	High tech	Recycling facility
Pedestrian walkways	Low cost	High cost	Urban roads
Town cleaning day	Short term	Long term	Sanitary landfill
Community housing	Community led	Government led	Government housing
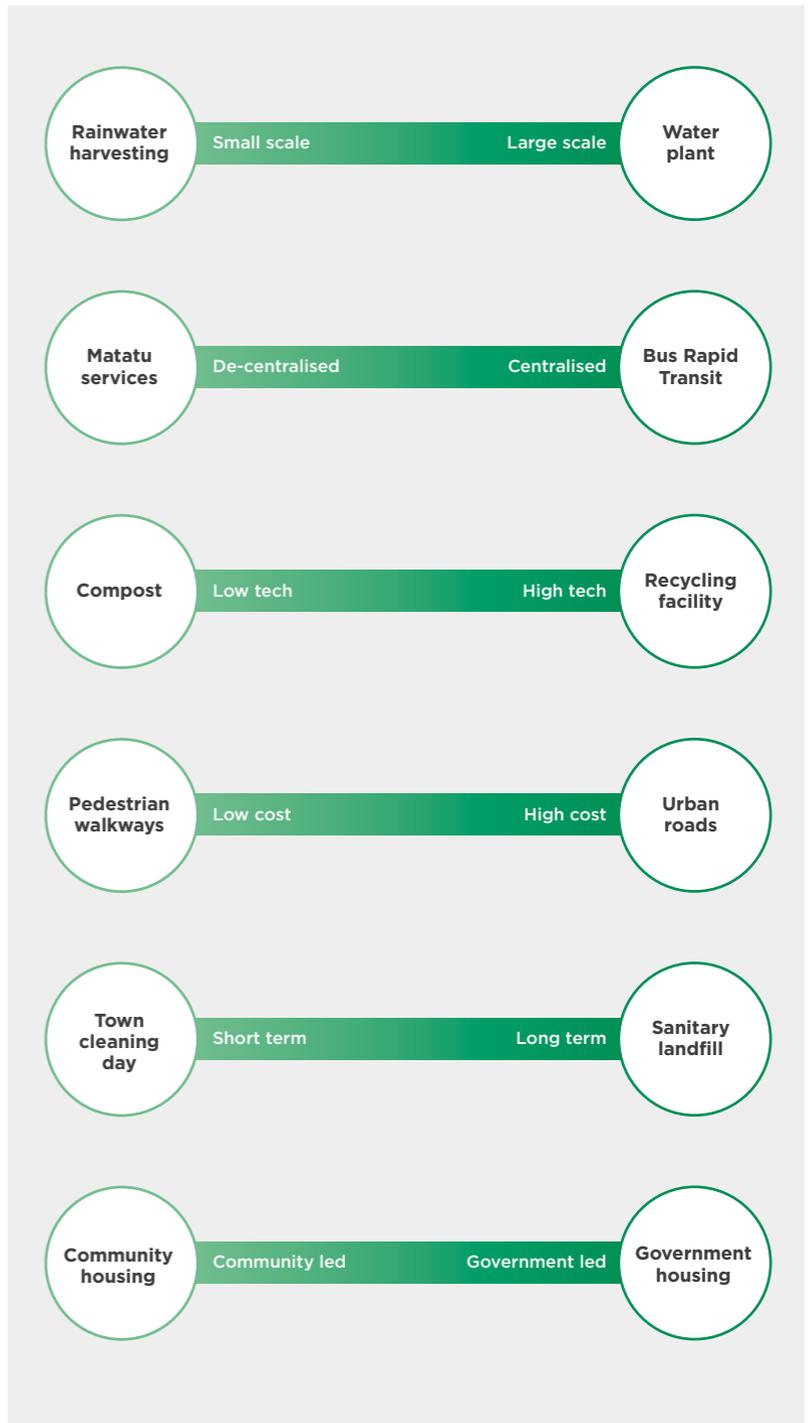
MAKING BETTER USE OF PLANNING TOOLS

Project development often tends to focus on preparing capital investment projects, i.e. 'what can we build?'. However, county and national government also have several other powerful tools for driving development. These are worth investigating and exploring during project design. Already available tools, such as land-use planning, permits, by-laws, or partnership opportunities may go a long way in achieving project or planning goals. An integrated solution is often using a combination of several of the tools below.

POLICY TOOLS

Adopting policies to guide development, such as a 3R (reduce, reuse, recycle) approach to waste management.

Implementing institutional and organisational changes to urban development, such as the establishment of County Planning Units, or the establishment of a town administration in a newly classified town.

PLANNING TOOLS

Using land-use planning to guide future developments, preserve natural habitat, or earmark land for upcoming infrastructure improvements.

Using detailed planning and building permits to guide upcoming developments.

Enforcing existing plans

PUBLIC INVESTMENTS

Making public investments in infrastructure and services. See page 55 on advice for finding alternative ways to conventional investments.

COLLABORATION

Collaborating with other urban development stakeholders, public-private partnerships, and public-community partnerships.

Co-production, with government partnering with communities and private sector to deliver projects, can be successful in contexts where there are scarce finances but good governance. For example, in planning for a school facility, the community may be able to provide land for government to build the facility and roll-out learning.

Leveraging public assets such as land or properties for development partnerships.

LEGISLATIVE TOOLS

Enforcing existing legislation

Adopting by-laws for creating area specific regulations

Providing licences and permits to service operators, vendors or transport operators.

ECONOMIC TOOLS

Collecting fees, tariffs and local taxes to finance operations and maintenance.

Structuring fees and tariffs in a way that ensures affordability for different groups and minimises unsustainable use of services.

Facilitating access to financial instruments (such as micro-credits) for vulnerable groups.

OPERATIONS & MAINTENANCE (O&M)

Improving operations and maintenance of urban services can reduce the need for new (costly) public facilities – take care of what you have to avoid new investments.

Plan how to source revenue that can ensure O&M. Consider cross-funding, for example by using the revenue from a public park to fund parts of waste collection.

Exploring new partnerships such as community O&M of e.g. public toilets or other public facilities.

INFORMATION & EDUCATION

Running public awareness and education campaigns on e.g. water, sanitation and hygiene, or sustainable waste management.

Improving access to ICT, e.g. by providing free Wi-Fi in the Ward Administrators office, or making information publicly available.

DESIGNING TOGETHER

Engage communities and stakeholders in jointly finding solutions. Co-design workshops (page 77) or a placemaking exercise (page 33) are effective ways of involving a wide range of stakeholders.

Example: Model building and simple sketches are effective ways of visualising plans and projects and providing a 'common language' for discussing project designs.

CONSIDERING INCREMENTAL APPROACHES

An incremental approach aims for smaller, immediate changes or steps that gradually add up. The idea is that the same outcome is possible in the end, but with reduced risk and without the high initial cost. Stakeholders and others will be able to see immediate action.

This approach enables decision-makers to address one smaller issue at a time. At the end of each step, the process and outcome is evaluated and adjusted or revised where necessary. Unintended negative impacts can be caught in time.

Town cleaning day in Ahero, Kisumu County: Volunteer residents dubbed waste champions take part in cleaning the market area weekly after the market day

REMEMBER

Have solutions been developed to meet the needs of all groups?

PUBLIC BENCHES IN KIMININI, TRANS NZOIA COUNTY:

Park benches were installed in the central areas of Kiminini, close to newly planted trees. They became popular meeting places immediately, and people began talking about what else the town might need. On the short-term wish list was temporary shade for the benches until the shade trees had grown, as well as a desire for a park, a playground for children, and benches at the matatu ranks.

| **Example** | ENGAGING STUDENTS IN DESIGNING AN ECO-PARK |

Kakamega County Government cooperated with Jomo Kenyatta University of Agriculture and Technology by engaging landscape architect students in the design of an eco-park in Butere. This participatory exercise produced alternative design proposals. The proposals were then presented to the community in an open site exhibition to encourage engagement and ownership. The final design of the park was developed by a registered and qualified landscape architectural firm.

CONSIDERING BUDGETS AND COSTS

Start thinking about budgets and costs sooner rather than later. While the detailed costing will only take place later in the process, it is best to already have a good idea of these issues at the beginning, so it's clear whether the project is feasible.

Think about what funding might be available, how easy it would be to access the funding, and the costs for project preparation as well as implementation, operations, and maintenance. Consider the county budget cycle and the necessary steps to harmonise the project with the budgeting process.

Divide the project into smaller components, and link each item to both a cost and a funding source. Visualising the cost of different project components, and discussing their contribution to the overall goals over the short, medium and long term, can be a good way of prioritising what to do now and what to save for later.

TIP Share the budget with all stakeholders to build trust and increase project transparency.

COMPARING BUDGET ITEMS

"IMPROVED ACCESS TO AND PROTECTION BY THE RIVER."

Cost

Eco-hotel & exhibition center by the river

Riverbank stabilization by tree planting

Stop cattle from destroying riverbanks

0 MKSh

Time
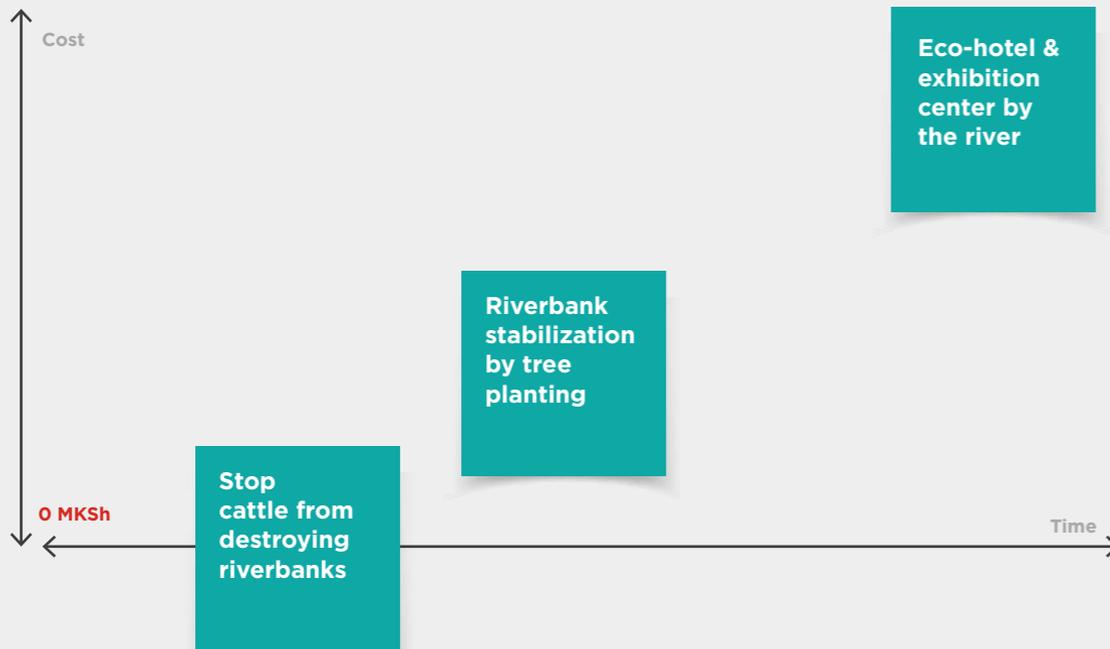
REMEMBER

Depending on scale and type of plan, an Environmental Impact Assessment (EIA), Strategic Environmental Assessment (SEA), and Social Impact Assessment (SIA) will be required.
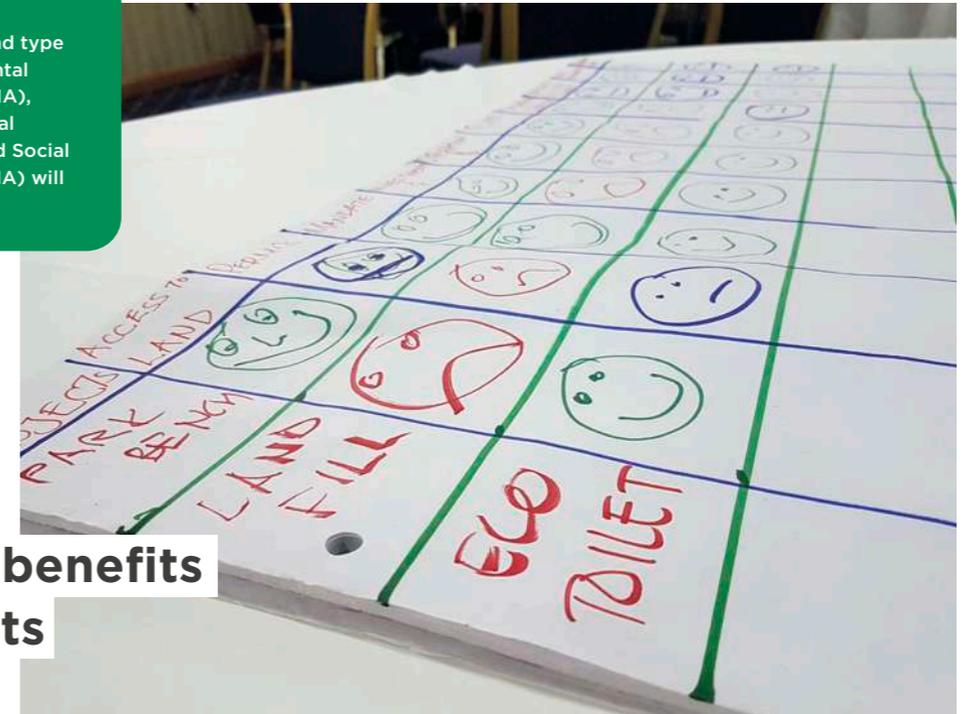
Assessing benefits and impacts

While considering different approaches and solutions, it is important to assess the positive and the negative impacts each option might have. By doing this continuously, potential negative impacts or risks are identified at an early stage, and it is more likely that the project design can be revised accordingly.

Different solutions will have varying social, environmental and economic impacts, which each need to be evaluated in order to maximise positive impacts and minimise negative impacts. Assess the benefits and impacts by considering whether your proposal:

» reaches the **set objectives;**

» is **inclusive,** in that it works for different groups of people;

» delivers the maximum **positive benefits;**

» has the least possible **negative impacts;**

» addresses the **root problems** identified in the analysis, rather than treating symptoms;

» is **feasible and realistic** in terms of risk, implementation, budget, political will, etc.

Assessing benefits and impacts is done as part of the project design. It is not something which happens after a plan or project has been agreed.

Once the preferred planning scenario or project option has been identified, a more detailed assessment will be necessary. This will include the potential environmental and social impact assessments, and economic benefits or impacts. Could the proposal lead to conflicts related to beneficiary selection, allocation of budgets and other resources, land-use or heritage rights, or national government priorities? Project stakeholders will be able to share valuable insights here.

COMPARING DIFFERENT SCENARIOS AND PROJECT COMPONENTS

There are several practical tools for comparing different scenarios and project components.

ROSE OF SUSTAINABILITY

The Rose of Sustainability (see page 80) is a way of comparing the sustainability impacts of different scenarios or project components

Discuss your results in order to find out what options are the most effective. Could changes in the project design increase sustainability? Could a combination of different options achieve your sustainability goals?

ROSE OF SUSTAINABILITY

COMPONENTS:
- Market upgrading
- Drainage improvements
- Public space improvements
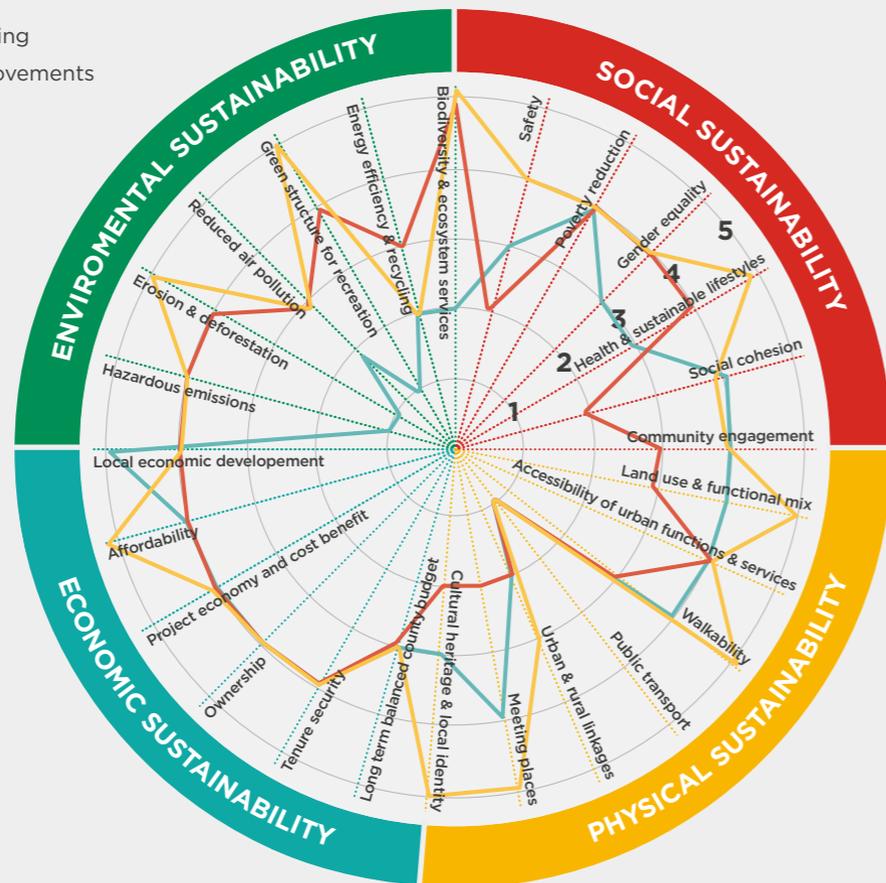
INCLUSIVE DESIGN

Remember to invite stakeholders and target groups for the proposed project to discuss the expected impacts. A useful framework for discussing whether the proposed project works for different groups is to consider:

1. **Affordability**. The cost of accessing the benefits must be affordable to users. What is affordable varies between different groups and within different groups.

2. **Accessibility**. Services must be accessible in the locations where the target groups live or work, and must be physically accessible for different user groups.

3. **Availability**. Services must be available in sufficient quantity and quality when they are needed. Different user groups have different needs regarding how and when to make use of services.

4. **Acceptability**. The solutions must be socially acceptable to different target groups, as the social acceptance of different solutions may prevent people from using the service. Urban safety and security are factors that critically determine the acceptability of different solutions, especially for women and youth.

TIP **Women, men, people of different age groups and physical abilities, and different income and education levels may have different needs.**

STRESS-TESTING A PROJECT (SEE PAGE 82)

To avoid planning and designing unrealistic projects, it is useful to stress-test the project at an early stage. This involves asking simple questions about each project component and ranking them in terms of feasibility. In this way, unrealistic components can be ruled out.

Subject	Access to Land	Permits	Mandate	Investment	Operations	Time	Tech capacity	Political support	Public acceptance	Necessary Partnership
Park bench	😐	🙂	🙂	🙂	🙂	🙂	🙂	😐	🙂	🙂
Landfill	☹️	😐	🙂	☹️	😐	☹️	☹️	🙂	🙂	🙂
Eco-toilet	😐	😐	😐	🙂	😐	🙂	🙂	😐	☹️	☹️

REMEMBER

Ensure that EIAs consider the way women and men, people of different age groups and physical abilities, and different income and education levels, are affected by the environment differently.

MANAGE RISKS

In the later stages of the process, when project design is becoming clearer, it is helpful to do a more detailed risk assessment to identify risks, their likelihood and their impact, and then to propose mitigation strategies.

MINIMISING NEGATIVE IMPACTS

Some projects will invariably result in negative impacts. These might be social, environmental, economic or other. Identify these negative impacts and, where necessary develop mitigation strategies. Depending on the scale and type of plan, an Environmental Impact Assessment (EIA), Strategic Environmental Assessment (SEA) or Social Impact Assessment (SIA) will be required.

What are the risks to your project?	Likelihood	Impact	How do you plan to respond to, and mitigate, the risks identified?
Political rejection	Low	High	Bringing politicians on board to understand the benefits.
Destruction of young trees by floods	High	Medium	Regular maintenance of and unclogging of the drainage systems.
Theft and Vandalism of project materials	Medium	High	Public awareness campaigns and advocacy. Engagement of security officers to enforce rules and regulations.
Rejection by the community	Low	High	Thorough stakeholder engagement and awareness creation
Economic inflation	Medium	High	Timely procurement

Planning for implementation

It is now time to turn the plan into action. Once a well-structured, inclusive plan or project has been developed, the next step is to plan for implementation. With a good strategy for implementation, the plan or project is more likely to be successfully implemented and result in tangible change.

There are several steps involved in turning a plan into reality. As this is an area where projects often fail, rather consider these at the beginning of the project instead of leaving them for later.

The details of the journey toward implementation will vary depending on the type of plan or project being prepared. Typically, these same aspects will need to be considered though:

1 Preparing the project document(s)

2 Political approval & key decisions

3 Securing Funding

4 Communicating with Stakeholders & the Public

5 Permits & Compliance with Legislation

6 Detailed Design & Costing

7 Procurement

8 Monitoring & Evaluation

9 Works & Commissioning

GOAL

10 Operations & Maintenance
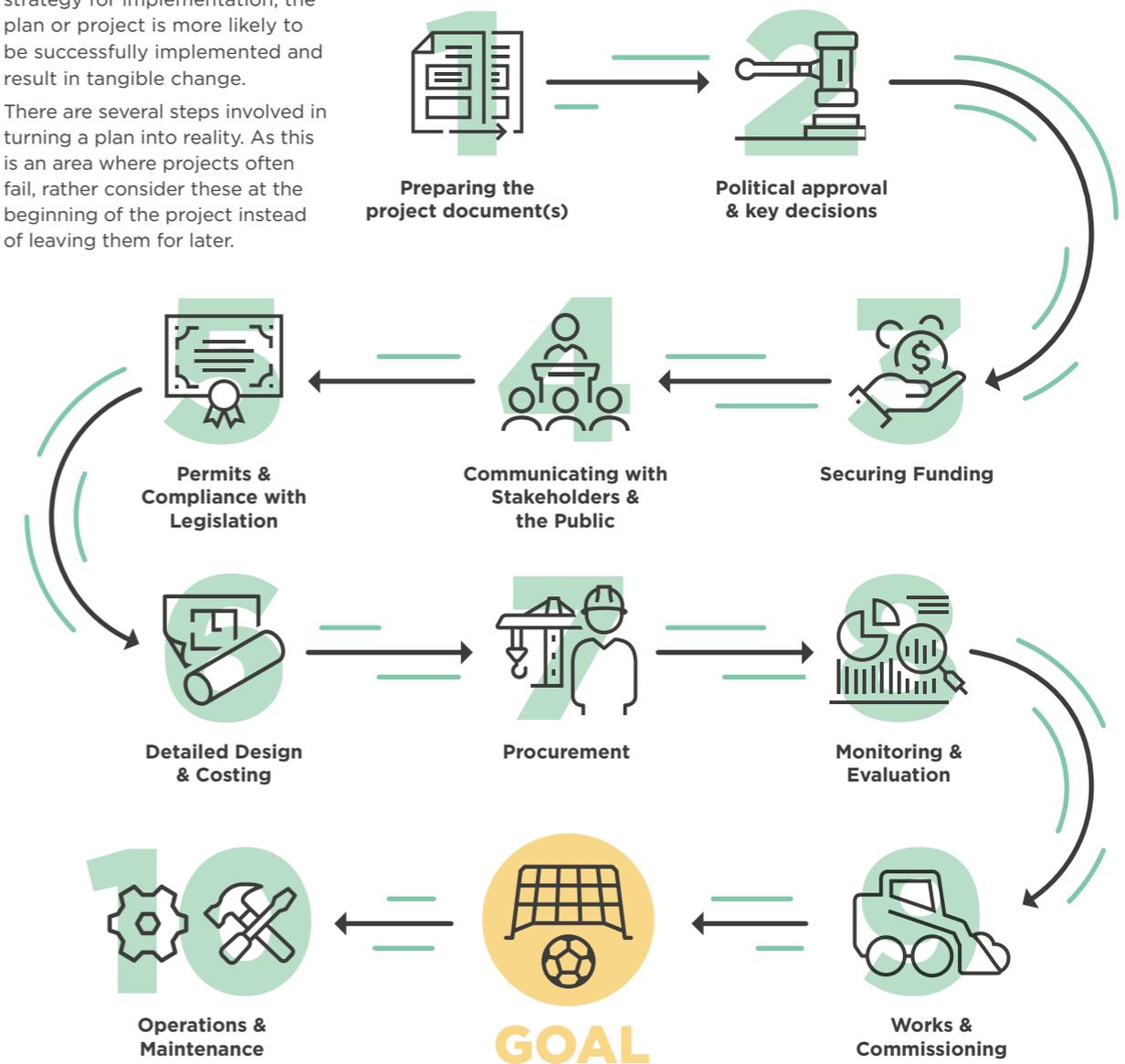
TOP TIPS FOR SUCCESSFUL IMPLEMENTATION

Moving into the implementation phase requires careful planning. Revisit the chapter on 'organising the process' (page 26) and consider the organisational set-up, stakeholders and communication for this specific purpose. To keep the project on track during implementation, the workplan can be updated to serve as an implementation plan.

1. Keep up the partnership approach
2. Write regular (simple and short) progress reports
3. Share progress with stakeholders
4. Keep reviewing, evaluating, revising (budgets, indicators, schedules, resources, and all aspects of the project)
5. Allow mistakes to become learning opportunities
6. Meet often as a team
7. Ensure that roles, responsibilities, and accountabilities, are clear
8. Manage communication challenges and conflicts early and often
9. Focus on results
10. Keep sharing the joint vision with all stakeholders

PREPARING THE PLANNING DOCUMENT(S)

The final plan or project document is the summary of all your planning work to date. This will serve as the guide during project implementation. Depending on the type of project being developed, there will already be agreed formats that should be used. The preparation of the planning document is made continuously throughout the planning process.

A PROJECT DOCUMENT TYPICALLY INCLUDES THE FOLLOWING:

0. Executive summary
1. Background and rationale
2. Goal and outcomes: results framework
3. Project description
4. Drivers of change and beneficiaries
5. Sustainability assessment
6. Anticipated risks and responses
7. Implementation arrangements
8. Expenditure plan
9. Monitoring and evaluation framework and plan
10. Budget
Annexes

APPROVALS AND KEY DECISIONS

For the project or plan to be formally approved, it will need to pass through one or several levels of political decisions. Integrated solutions typically require decisions from different political branches. This will be easier when politicians and decision-makers have been involved throughout the process and already take ownership of the project. Influential champions for the project can help move things along. Be prepared to present the project in a clear and convincing way.

SECURING FUNDING

Most projects and plans require funding for their implementation. A good funding strategy should consider:

» Costs for project preparation;
» Costs for project implementation;
» Costs for operations and maintenance.
» Sources of funding for the above
» Revenue which can be collected through the project

The timelines and the process of accessing funds will vary depending on the funding source. These issues, including the county budgeting process and timeline, should already have been considered during project design.

A well-structured project will also include a strategy for financial sustainability, including collection of fees and tariffs for sustaining operations (where relevant).

COMMUNICATING WITH STAKEHOLDERS AND THE PUBLIC

Maintaining the dialogue with stakeholders and the public is vitally important during project implementation. Revisit the stakeholder mapping and communication plan and update these for the implementation phase.

It may be necessary to develop a 'popular version' of the plan or project document, with format and language more adapted to local needs, as a way of communicating and engaging with stakeholders.

Lack of communication can result in mistrust and turning public opinion against the project.

SOURCES OF FUNDING FOR COUNTY GOVERNMENT INCLUDE

- **National government transfers**
- **County government local taxes**
  » Land rates
  » Market rent
  » Plot rent
  » Licence fees
  » Parking fees
  » Building and construction permits
  » Advertising revenue
  » Abattoirs
  » Service provision etc
- **Ward Development Fund**
- **Constituencies Development Fund**

PERMITS AND COMPLIANCE WITH LEGISLATION

Consider what types of permits and approvals will be needed, apart from the political ones. Remember it may take a long time to secure some of the permits which are necessary to initiate the project. Consider if there are legal issues which will need to be addressed.

Depending on scale and type of plan, an Environmental Impact Assessment (EIA), Strategic Environmental Assessment (SEA) and Social Impact Assessment (SIA) will be required.

DETAILED DESIGN AND COSTING

Before implementation, there will typically be a need for detailed (engineering) design, detailed costing and a Bill of Quantities. In cases where this is developed externally from the county, services will need to be procured (see sample ToR on page 83). After the detailed design, it may be necessary to revise project design and re-consider budgets.

> **TIP** **Keep in mind that procurement of detailed design consultants can take time.**

MONITORING AND EVALUATION

To ensure that the project implementation stays on track and delivers quality results, monitoring and evaluation is critical.

» Monitoring ensures that project elements proceed according to plan

» It assists with decision-making, and enables everyone to learn from what worked, and where there is room for improvement

» It gives you the opportunity to account for how resources were used, and what results were obtained

PROCUREMENT

A well-written Terms of Reference and specifications, and a transparent tendering process are the cornerstones of successful procurement. Contact the procurement department in the county at an early stage to discuss the tendering process and necessary steps along the way. Consider whether to break up project components for separate

tenders or combine them in one. The implementation plan needs to take into consideration the timelines for advertising, evaluating bids and awarding contracts.

> **TIP** **Ensure that resources are allocated already in the beginning of a project so that necessary procurement can take place.**

A MONITORING AND EVALUATION FRAMEWORK CAN BE USEFUL GUIDE FOR STRUCTURING M&E:

Intervention Logic	Objectively verifiable indicators	Sources and Means of Verification
Vision/Goal The overall vision that your project contributes to		
Activities	The means, inputs and resources needed to carry out each task	Proof that each activity/task completed (what needs to be regularly monitored)

WORKS AND COMMISSIONING

During the implementation phase, close oversight of the consultants and contractors is critical. Consider appointing supervision staff (e.g. county engineers for engineering work, environmental officers for EIAs etc.) from the county who can supervise the implementation and manage unexpected situations. Before approving and commissioning the results, make sure the deliverables in the Terms of Reference have been met. A dialogue with the community and local stakeholders is important during the implementation phase as well. Involving the community to supervise construction and works can improve accountability of contractors.

> "City or municipal plans shall be the instrument for development facilitation and development control within the respective city or municipality."
> *County Governments Act; 111(2)*

OPERATIONS AND MAINTENANCE

Having successfully implemented the project, the planning and implementation phases have come to an end. Many projects, however, fail because insufficient attention was paid to operations and maintenance. Most project benefits can only be accessed if urban management is functioning, and

the results will only be sustained in the long term if investments are maintained.

» As the project is now 'handed over' from urban planning to urban management, make sure that:

» There is an organisation within the county responsible for operations and maintenance.

» They have sufficient funding for their operations.

» They have sufficient skills and capacity to carry out their tasks.

> **TIP** **Communication with local stakeholders is a continuous process. It does not end because the project does.**

> **REMEMBER**
> No waste management system will work without collection. No market is effective without management. No land-use plans are effective without enforcement.

ENGAGING STAKEHOLDERS IN O&M IN ONTULILI, MERU COUNTY. IN ESTABLISHING A MODERN MIXED-USE INTEGRATED MARKET, A MULTI-STAKEHOLDER MANAGEMENT PLAN WAS AGREED:

County Government of Meru	» Solid waste management by removal of waste from the site for disposal » Maintenance of roads and rainwater harvesting » Maintenance of security lighting » Collection of revenue: market stall rents, parking fees and bus park fee for matatu owners
Market committee	» Help in maintenance of market stalls » Cleanliness of the market » Awareness-raising
Youth groups	» Watering and maintenance of the recreation park » Running of the street art corner competitions in the recreation
Women groups	» Management of eco-toilet and bio-digester: ensure cleanliness of the toilets » Proper sanitation and awareness raising on the benefits of proper sanitation, benefits of bio-digesters

USEFUL TOOLS AND TEMPLATES

The following tools and templates are useful in an inclusive planning process:

1. Workplan
2. Stakeholder analysis
3. Communication plan
4. SWOT analysis
5. Transect walk
6. Vision workshop
7. Co-design workshop
8. Focus groups discussion
9. Rose of sustainability
10. Stress test template
11. Terms of Reference for planning services

04

Workplan template

Task	What we need to do?	Who will do it?	When will it happen?	What will be delivered?	Notes	Status ●●●

● = completed   ● = pending/underway   ● = not yet completed

Stakeholder analysis

WHAT?

Stakeholder analysis is the process of identifying and analysing the stakeholders that are likely to affect or be affected by the project (positively or negatively) in order to engage them appropriately and effectively.

WHY?

One of the goals of stakeholder analysis is to develop cooperation between the stakeholders and the planning team. It helps to identify the people to be informed during implementation, the key stakeholders to be involved and consulted, and the stakeholders who may have potential negative impact on the project.

WHEN?

Stakeholder analysis is suitable in the initial phase when you are defining and organising the project but should be updated continuously during the project as new stakeholders are identified.

HOW?

The stakeholder analysis normally covers the following steps:

1. Identifying: listing relevant groups, organisations, and people. Brainstorm with your team a list of individuals or groups who may have a stake in the project.

2. Analysing: understanding stakeholder perspective and interests. Sort them by the power they have and by their interest in the proposed action.

3. Mapping: Makes it possible to visualise the often complex interplay of issues. Through plotting each individual or group in a power/ interest matrix you visualise the relationship between objectives and stakeholders.

4. Prioritising: ranking stakeholder relevance and identifying issues. Being strategic and clear about whom you are engaging with and why.

5. Engaging: Agree on how you will engage different stakeholders in different stages of the project.

Power/interest matrix:
High / Low (POWER axis), Low / High (INTEREST axis)
- ● Politician (high power, high interest — red)
- ● Planner (high interest — green)
- ● Local organisations (low power, high interest — green)
- ● Children/ Youths (low power, low interest — teal)

● Resistent
● Neutral
● Supportive

Stakeholders	INFLUENCE (How much influence do they have over SCK Project? – High, Low, Medium)	MOTIVATION (How much interest do they have in contributing?) - High, Low, Medium	CAPACITY (Do they have sufficient capacity to contribute?) - High, Low, Medium	IMPACT (How much does the project impact them?) - High, Low, Medium
Political representatives				
Local (opinion) leaders				
Community groups				
Public (national government)				
Public (county government)				
Private (business, industry, developers, chambers of commerce etc.)				
Popular/non-government bodies (NGOs, CBOs, FBOs)				
Service providers (water, energy, ICT)				
Transport providers				
Education (universities, polytechnics, technical colleges, schools)				
Others (residents, plot owners, etc.)				
Media (radio stations, local newspapers, influencers etc.)				
Projects and programmes				

Communication plan

WHAT?

Developing a communication plan can help focus the message and reach the target audience. A plan can also influence the efficiency and simplicity of your communication methods. To communicate effectively, it helps to plan the purpose of the communication, and what is required in order to achieve it.

WHY?

A plan will make it possible to target communication accurately. It provides a structure to determine who needs to be reached, and how. A plan will make communication efforts more efficient, effective, and lasting. A good communication plan goes two ways – is also a plan for *listening*.

WHEN?

A communication plan is set up as a living document at the very beginning of the planning process. As soon as the organisation begins planning its activities, also begin planning ways to communicate them; successful communication is an ongoing process, not a one-time event.

HOW?

A communication plan needs to consider the following questions:

1. Who needs to be communicated with? Stakeholder mapping will be a useful basis for this.

2. What is the purpose of communication with different stakeholders?

3. What will be the best means of communicating internally and externally? Who needs to be contacted, and what has to be done do in order to use different channels? How will the message be distributed?

4. How can two-way communication be enabled? Remember that communication is both about talking and listening.

5. When should different communication activities be carried out?

6. Who should be responsible for what?

The answers of these questions constitute the communication plan; what needs to be done in order to communicate successfully.

WHO (are the stakeholders?)	WHY (does the stakeholder need to be involved?)	WHAT (needs to be communicated?)	WHEN (do we need to communicate?)	HOW (should we communicate?)

SWOT analysis

WHAT?

A SWOT analysis is an assessment tool which maps Strengths, Weaknesses, Opportunities and Threats. SWOT analysis are mostly used for overview assessments in the initial stages of a project as a rapid way of analysing the current situation. The tool can be used to assess a specific geographic area or issue/theme. Or it could take a more holistic approach and address the overall development of a town.

WHY?

A SWOT can be used as a quick and effective way of detecting and categorising internal and external factors (both positive and negative) which would influence the project. It is a useful tool for letting different stakeholder groups share their respective perspectives. The results provide a direct input into the planning process. The SWOT can provide a basis for a more detailed analysis of priority issues.

WHEN?

Mostly applicable in the initial planning stage of project planning.

HOW?

1. Gather participants with insight on the issue to be assessed, preferably with different perspectives and backgrounds. The number of participants is adapted to the scope of the assessment.

2. Fill in the grid individually or in groups. Start with Strengths and Weaknesses (internal factors) and thereafter continue with Opportunities and Threats (external factors).

3. Discuss findings and create a common SWOT grid with issues deemed most important and prioritise them if needed.

4. If time allows, discuss priorities and goals based on the SWOT analysis.

> **TIP** **A SWOT may be followed by the following exercises:**
> **1. Clustering of key issues and prioritisation.**
> **2 Vision workshop**
> **3. Co-design workshop.**

MATERIAL NEEDED

1. Flipchart or larger sheet with SWOT grid marked in four squares

2. Pens/post its to fill in each box accordingly

INTERNAL / EXTERNAL

S STRENGHTS
W WEAKNESS
O OPPORTUNITIES
T THREAT CONSTRAINTS
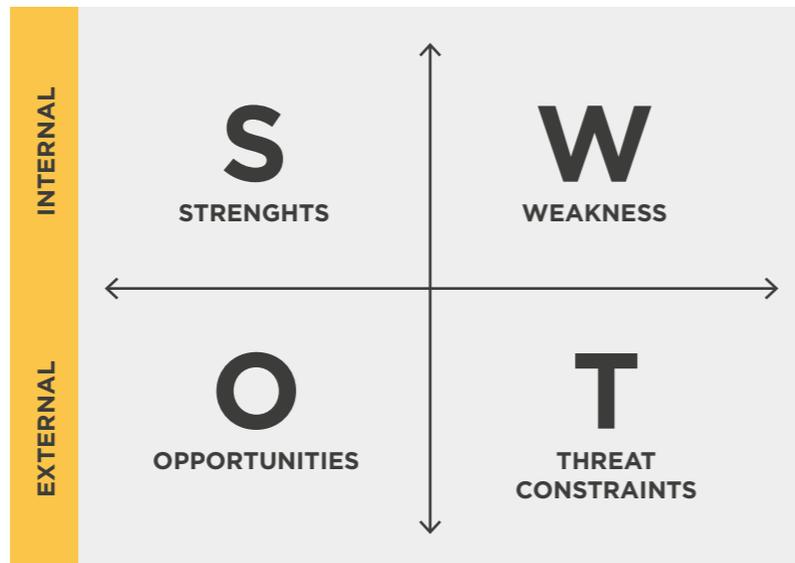
Transect walk

WHAT?

A transect walk is a method used to analyse an area through different perspectives by walking in the area and evaluating it based on what you see. The walk is done together with citizens and other urban stakeholders. All participants are experts on the environment from their own perspective.

WHY?

The tool can be used to get an overview and to assess a specific issue and understand different perspectives. The goal of the review is to get a nuanced picture of the participants' perceptions of an area or an issue. One does not strive for unity but rather to bring out the differences in views and interests.

WHEN?

As part of the analysis and knowledge generation phase, or to build more detailed knowledge on an issue during project preparation.

HOW?

1. The walk is planned in advance by deciding a suitable route marked out on a map and by formulating questions to the participants regarding the area (8-10 stops). The number of participants can vary, but generally it should not be more than 10 people and the walk should be limited to about an hour. Participants need to be comfortable with being able to talk about their experiences.

2. Carry out a transect walk where each participant writes down independently what they thought was good about the place, what was bad, and suggest improvements.

3. At the different stops, the participants should analyse the place from a specific perspective (for example gender) using a set of pre-formulated questions.

4. The participants' observations are collected and recorded. The planning team should jointly discuss the results, and how different members of the community experience the place/issue differently.

MATERIAL NEEDED

1. Map of the area

2. Camera

3. Pen and paper

Visioning workshop

WHAT?

A visioning process can generate a common goal, hope, and collective action. It offers a possibility for fundamental change, gives people a sense of control, and gives a group something to move toward. It also generates creative thinking and passion.

With this method it is possible to understand how the citizens perceive urban districts and public places and how they want to see it in the future.

WHY?

A vision is a positive visualisation of goals, and gives the group something to move toward. The vision is there to support and remind stakeholders of the bigger goal, particularly when common problems and challenges emerge

WHEN?

In the early stages of the process when you start analysing the needs of the town, and want to set a vision for the town.

HOW?

1. Prepare questions for participants in the visioning exercise. Examples of questions may be; What would your community be like if you had the power to make it any way you wanted? Where would people live? How would they get to their schools and workplaces? On their days off, where would they go and what would they do?

2. Divide participants into smaller groups, to brainstorm what their ideal society would look like in 10-20 years. Encourage them to be specific in their descriptions. Select some categories to discuss, e.g. schools, health, crime, transportation. In each group, a group leader is appointed to ensure that the categories are discussed, and the time is kept.

3. Return to the large group. Ask one member from each group to make one positive, declarative one-sentence statement about how the community will be in the future. Make the statement in the present tense. Examples: There are lots of bike trails. You can walk at night in safety. Transportation is fast and cheap.

4. Write these statements on a piece of paper that all can see and that can be saved for revision later. Continue around the room, and then repeat the sequence with another member of each group. Continue until time is short or ideas are being repeated. Then ask if there are any other interesting ideas.

5. Group parts of the vision into some common themes. Focus on the areas with some consensus. Create a new sheet that contains strong support from either the entire class or a subgroup. The joint vision statement can be presented in a graphic form. It may include photos, maps and other images. Or it could be a list of ideas.

As the visioning exercise is closely linked to the analysis phase, it can also be useful to start the session with a discussion on Challenges and Opportunities the community experiences in relation to urban development.

Co-design workshop

WHAT?

This method is an effective way to understand challenges and opportunities around a topic and co-create new solutions as a group. Co-design allows the creation of solutions and chose strategies together with colleagues and stakeholders. It is a way of letting the community be part of solving a problem, not just defining it.

WHY?

Co-design workshops provide a method for understanding a problem from different angles and creating innovative solutions. Since it involves multiple stakeholders, it often leads to new cooperation among the participants.

WHEN?

Co-design workshops are suitable for any stage of the planning or development process, as it involves steps to understand the challenges and find solutions to them.

HOW?

The workshop is led by a project leader who guides the team through the following steps:

1. Divide into groups: the participants are divided in groups of 3-4 people. If possible, make sure that participants who usually do not work together are given the opportunity to collaborate.

2. Warm-up: Answer the following questions as a group:
   » what is your favourite place in the town
   » what is your least favourite place?
   » why would one want to live here/visit this place?
   » and why not?

Let the participants briefly introduce themselves to each other.

3. Exploring challenges and solutions: Each group will now choose two challenges to focus on, and brainstorm solutions. All ideas are welcome at this stage. Deliver a quick presentation to the whole group and open up for more suggestions that might come up from the audience.

4. Address one challenge: The group picks one challenge and develops solutions to it by answering the questions: What is the challenge? Why is it a challenge? How can it be solved? For whom will it be better? Where will the solution take place? And when? Encourage the groups to make a poster and draw their solutions. Each group pitches their challenge and solution. Stick the posters to the walls.

5. Vote or prioritise: Each participant has two votes. Use pens or dot stickers to vote for two different posters, but not your own. Now – the group has democratically selected what strategies should become practical solutions.

Focus group discussion

WHAT?

A focus group is a qualitative data collection method where a group of people are asked about their perceptions, opinion, beliefs and attitudes in relation to a specific topic. Focus groups are an effective way of accommodating gender diversity and engaging vulnerable communities.

WHY?

The method could be used to generate detailed knowledge about a target group's needs and priorities, or to get input to the design of a project. At times cultural practices may necessitate the establishment of focus groups from a particular group in the community. It is a fast and simple method that fosters dialogue and encourages creates participation. A focus group is a useful alternative to a written survey, for example in asking questions which cannot be easily answered in a survey format.

WHEN?

Focus group discussions can be used throughout the planning process: from identifying challenges and needs, to project design, or getting feedback on a proposed project.

HOW?

1. Carefully think about the purpose and key questions for the focus group.

2. Invite participants to the discussion, preferably between 4-8 people. Several focus groups can be organised with different parts of the community, such as women, the urban poor, children or people living with disabilities.

3. The discussion should be led by a discussion leader who is not part of the group. The leader's main task is to lead the discussion – not control it or make their own statements. One person should be responsible for documenting the discussion.

4. The structure of the discussion could vary, but typically includes:

   » Introduction - presentation of the theme
   » Opening questions- warm up
   » Core issues - based on purpose with the focus group
   » Concluding comments – has something been missed? What is the most important?
   » Summarise the discussion questions.

5. Analyse the material within the project team. Things to think about:

   » What words are used?
   » In what context?
   » If a participant changed their opinion, why?
   » How often and how intensively are different topics discussed?
   » What are the big ideas? Do not get stuck in details.

Rose of sustainability

——

WHAT?

A sustainability rose is a method for assessing the sustainability impacts of a project, and for comparing different project options against each other. It helps to visualise in which ways different approaches contribute to sustainability goals.

WHY?

The method provides a way of visualising the impacts (both positive and negative) of different project options. Based on this, a decision can be made on which options should be prioritised, and on how the sustainability impacts could be improved.

WHEN?

The method is used once goals and sustainability indicators have been agreed on, and preliminary project components have been identified.

HOW?

The exercise should be carried out jointly by the project group, as its purpose partly is to facilitate a discussion about design and prioritisation of project options.

1. Add sustainability indicators to the spokes of the wheel. Indicators must be specific and should be based on the Vision, Goal or Objectives agreed for the project. Indicators should cover both ecological, social, economic and physical sustainability.

2. How sustainable are we now? For each of the indicators, the group discusses and make a joint assessment of the current situation on a 1-5 scale, where 5 is very sustainable and 1 is highly unsustainable.

3. Grade the project options: Score how different project scenarios will affect sustainability by placing them on the 1-5 scale. Use different colour pens for each option and remember to name them.

4. Final evaluation and prioritisation of actions: Discuss the results in order to find out what options are the most effective. Could changes in the project design increase sustainability? Could a combination of different options achieve our sustainability goals?

ROSE OF SUSTAINABILITY
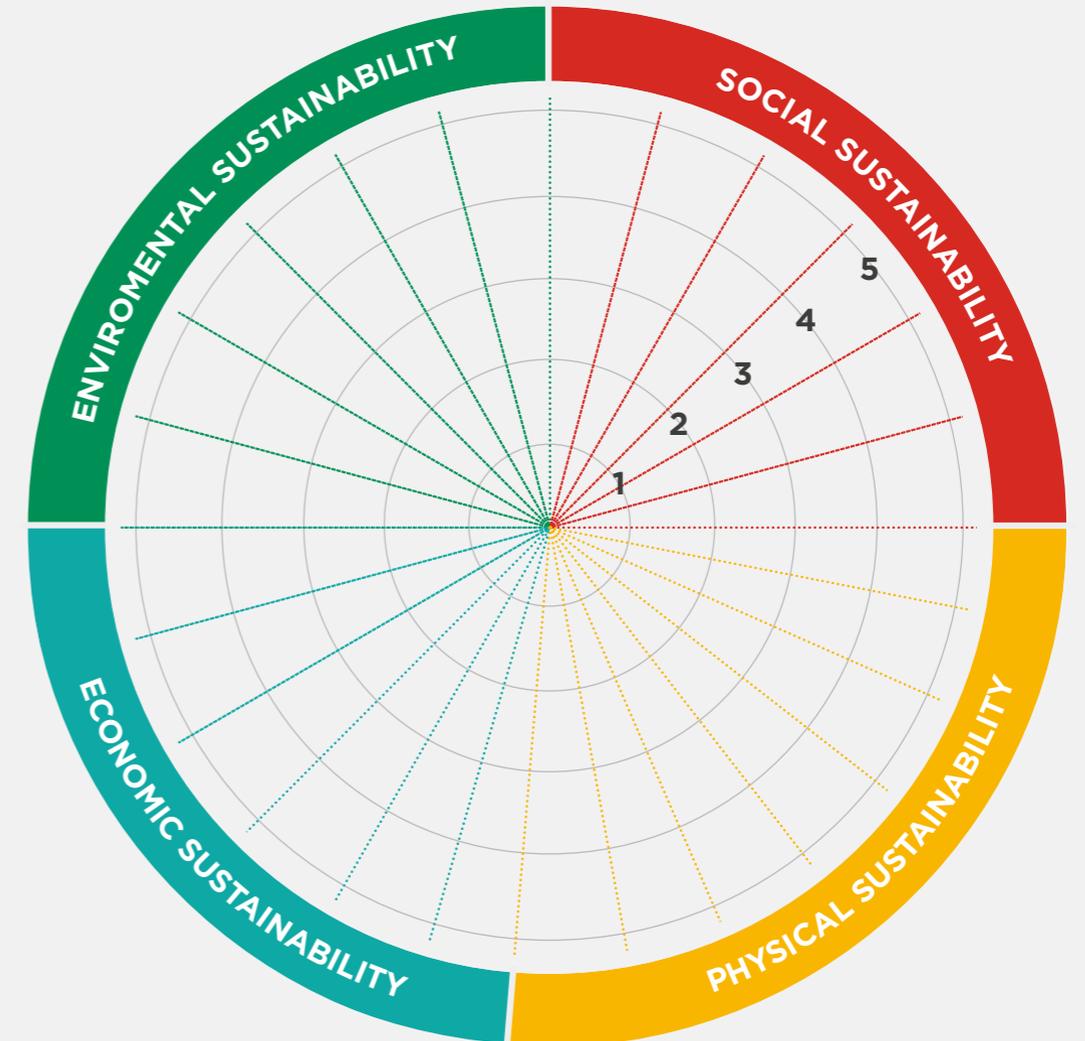
Stress-test

WHAT?

A stress-test asks critical questions about different project options to see whether the options are feasible, realistic and appropriate.

WHY?

Stress-testing a project quickly identifies the risks and weaknesses of project options. Based on this analysis, the preferred options can be prioritised, and project design can be revised to respond to weaknesses.

WHEN?

The method is used once preliminary project components have been identified, but before they have been developed in detail.

HOW

The stress-test would be conducted within the planning team, as different perspectives will be an asset in this process. Selected stakeholders can also be invited to be part of the exercise.

1. The assessment criteria are discussed and added to the template (suggested criteria below). Make sure everyone agrees on what they mean.

2. Project components are discussed one by one and marked 😊 😐 ☹️ depending on how well they would pass the test.

3. Components with several 😊 😐 ☹️ are discussed in depth to see whether the risks or weaknesses could be managed through changes in project design, or whether the component should be replaced by another option.

SUGGESTED CRITERIA ARE

» **Access to Land:** Is the necessary land for the project available and accessible?

» **Permits:** Does the project require permits, and are these easy to acquire?

» **Mandate:** Is this project within the mandate of the planning/ implementing agencies?

» **Investment $:** Can funds for investments be accessed?

» **Operation $:** Can funds for operations be accessed?

» **Time:** Can the project be implemented in the available time?

» **Technical capacity:** Is there the necessary technical capacity to implement and manage the project?

» **Continuous political support:** Will there be political support regardless of who is in office?

» **Public acceptance:** Will the project meet public acceptance?

» **Necessary Partnerships:** Are the necessary partnerships in place?

Sub-projects	Access to Land	Permits	Mandate	Investment $	Operation $	Time	Technical capacity	Continuous Political Support	Public acceptance	Necessary Partnerships
Name of project	😊	😐	☹️							

Terms of reference for planning services[1]

Where all or parts of the planning process is outsourced to consultants, the quality of the Terms of Reference (ToR) is a key factor in ensuring a successful planning outcome. A good ToR should be specific, detailed and manageable, taking into account the available resources, timeframe and institutional capacity. The county must be sure it has the capacity to supervise the execution of the ToR and assure the quality of the deliverables.

Formulating a ToR can be a useful exercise also for internal planning teams, to clarify expectations, outputs, deliverables and methods.

How to draft a basic ToR document for a planning process:

Introduction. Specify the nature of the planning services required.

Purpose and objectives. Note the objectives of the planning process.

Background and context. Provide an overview of the planning process, the development issues unfolding in the area, the institutional context, and a brief history of planning in the area.

Planning area/study area. Describe the area to be covered in the plan, including clarifying the planning scale.

Scope of the services and detailed work items. Provide a detailed outline of the scope of the service required, and describes the specific work items (including baseline survey and analysis, mapping, stakeholder consultations, specialised fields of analysis, integrated planning and design, capital investment planning etc.).

Expected deliverables. Always link these to the scope of services and work items. In this section, outline what services and products will be delivered, including the expected quality, standards and the relevant specifications of certain deliverables (including the format for presenting data, mapping outputs, planning outputs etc.).

Constitution of the team and expertise required. Describe the team composition in terms of disciplines and training, practical experience, and specialisations.

Method. Describe the structure of the planning process that is to be followed. Inclusive, participatory and integrated approaches must be specifically formulated.

Project timeline and reporting. Provide an outline of the implementation schedule, and the

format of reporting expected.

Contract/project value and mode of payment. This will vary depending on the type of procurement process.

Plan approval. Outline how the plan will be approved by the planning authority, and the role of the planning team.

General terms and conditions, and government indemnity. Define the contractual relations between the consultant and client, the ownership of data, reports and maps produced during the process, revisions and alternations of agreements, termination and handover, disposition of facilities, audit and taxation.

1   Adapted from UN-Habitat: Urban Planning for City Leaders – A Handbook for Kenya.

About this publication

This toolkit has been produced as a part of the SymbioCity Kenya Programme – a partnership between the Council of Governors and the Swedish Association for Local Authorities and Regions, with funding from the Embassy of Sweden to Kenya.

As part of the programme, inclusive, participatory and holistic approaches to sustainable urban development has been piloted in seven pilot towns across the country;

» **Mbita, Homa Bay County**

» **Butere, Kakamega County**

» **Ahero, Kisumu County**

» **Kwa Vonza, Kitui County**

» **Ontulili, Meru County**

» **Njoro, Nakuru County**

» **Kiminini, Trans Nzoia County**

We wish to acknowledge and thank everyone who has contributed to finding new solutions for a more sustainable urban future.

The counties have jointly gone through the SymbioCity Process, from planning to implementation of urban improvements.

The toolkit largely draws its inspiration from the work carried out by all the committed leaders, staff, communities, stakeholders and experts engaged in the County projects.

Kenya's future is urban. Properly planned and managed cities and towns offer enhanced opportunities for people to live, meet, work, access public services and fulfil their life dreams.

To create the towns we want our children to grow up in, we need to plan for and with people. And we need to collaborate in turning planning into action.

Planning Our Towns is a toolkit for integrating inclusive, participatory and holistic approaches into urban planning and development in Kenya.

It provides hands-on advice, examples and tools to be used by anyone who wishes to contribute to a more sustainable urban future.

Be the change you want to see!

SymbioCity Kenya | Miji Endelevu

SWEDEN

Swedish Association of Local Authorities and Regions

COUNCIL OF GOVERNORS