

**IMPLEMENTATION OF URBAN DEVELOPMENT PLANS IN KENYA: GAPS AND
NEEDS OF IMPLEMENTING THE NAIROBI INTEGRATED URBAN MASTER PLAN
(NIUPLAN)**

BY: SOLOMON MUNENE NJERU

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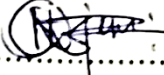
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DECLARATION

Student's Declaration

This research project is my original work and has not been submitted to any other University or institution of higher learning for any academic award.

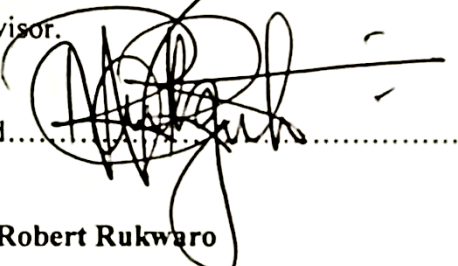
Signed.......... Date 12/8/2024

Solomon Munene Njeru

W50/12152/2018

Supervisors' Declaration


This research project has been submitted for examination with my approval as the University Supervisor.

Signed.......... Date 12th, 08, 2024

Prof. Robert Rukwaro

Department of Architecture

Faculty of Built Environment and Design, University of Nairobi

Signed.......... Date 12th August 2024

Dr. Linda Nkatha

Department of Architecture

Faculty of Built Environment and Design, University of Nairobi

DEDICATION

This research project is dedicated first and foremost to the Lord God Almighty without whose strength I could neither begin nor finish this research. I also dedicate it to my parents, Michael and Teresa, who have supported me throughout the time I developed this paper; and to my siblings Benedict, Catherine and Romano for being there every step of the way.

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TABLE OF CONTENTS

DECLARATION	ii
DEDICATION	iii
ACKNOWLEDGEMENTS	iv
TABLE OF CONTENTS	v
LIST OF TABLES	viii
LIST OF FIGURES	ix
ABBREVIATIONS AND ACRONYMS	x
ABSTRACT.....	xii
CHAPTER 1: INTRODUCTION	1
1.1 Background of the Study.....	1
1.2 Problem Statement	5
1.3 Research Questions.....	6
1.4 Research Objectives.....	6
1.5 Justification of the Study.....	7
1.6 Significance of the Study	8
1.7 Scope of the Study	8
1.8 Limitations of the Study.....	10
1.9 Definition of Terms.....	10
1.10 Organization of the Study	11
CHAPTER 2: LITERATURE REVIEW	13
2.1 Urban Planning, Urban Development and Urban Management	13
2.2 Historical Overview	14
2.2.1 First Stage (1900s to 1950s).....	14
2.2.2 Second Stage (1960s to Early 1980s).....	15
2.2.3 Third Stage (Late 1980s Onwards)	16
2.3 Current Status of African Cities.....	17
2.4 Urban Planning and Management: Principles and Best Practices.....	18
2.5 Urban Planning and Management: A Kenyan Overview	20
2.6 Case Studies on the Best Practices in Plan/Policy Implementation	23

2.6.1	The London Plan.....	23
2.6.2	Metropolitan Strategy for Sydney.....	24
2.6.3	TATU City Plan.....	25
2.6.4	Kenya Health Policy	25
2.7	Parameters for Implementing Urban Development Plans.....	26
2.7.1	Policy Based Factors.....	28
2.7.2	Agency Based Factors.....	30
2.7.3	Environment Based Factors	31
2.8	Conceptual Framework.....	32
CHAPTER 3: RESEARCH METHODS		36
3.1	Research Design.....	36
3.2	Data Sources	37
3.3	Sampling Design.....	37
3.3.1	Location of the Study.....	38
3.3.2	Unit of Analysis	38
3.3.3	Sampling Techniques.....	38
3.4	Data Collection Tools and Techniques	39
3.5	Data Analysis and Presentation.....	40
3.5.1	Qualitative and Quantitative Data Analysis Techniques.....	40
3.5.2	Data Presentation Techniques.....	40
3.6	Research Validity and Reliability	41
CHAPTER 4: FINDINGS AND DISCUSSION		42
4.1	Introduction.....	42
4.2	Presentation of Findings.....	42
4.2.1	Performance in Policy Based Factors	43
4.2.2	Performance in Agency Based Factors	57
4.2.3	Performance in Environment Based Factors.....	68
4.3	Preliminary Conclusion.....	74
CHAPTER 5: CONCLUSION AND RECOMMENDATIONS		76
5.1	Introduction.....	76
5.2	Summary of Findings.....	76
5.2.1	Objective 1	76
5.2.2	Objective 2.....	77

5.3	Conclusions.....	81
5.4	Recommendations.....	82
5.5	Limitations of the Findings.....	86
5.6	Suggestions for Further Research.....	87
	REFERENCES.....	88
	APPENDICES.....	92
	Appendix 1: Key Informant Interview Schedule.....	92
	Appendix 2: University Introduction Letter.....	96
	Appendix 3: Research License.....	97
	Appendix 4: Nairobi City County Authorization Letter.....	98
	Appendix 5: CIDP 2023-2027 and the Governor’s Manifesto.....	99

LIST OF TABLES

Table 1: Independent Variables	32
Table 2: Sector Based Vision.....	43
Table 3: Areas of Interest for Data Collected	44
Table 4: Emerging Issues.....	45
Table 5: Priorities of the NIUPLAN Structure Plan	46
Table 6: Priority Projects of the NIUPLAN.....	51
Table 7: Non-Priority Projects	52
Table 8: Implementation Status of Priority Projects (2018-2022)	55
Table 9: Implementation Status of Projects	57
Table 10: Institutional Responsibility for Plan Implementation	58
Table 11: Legal Provisions for Plan Implementation	71

LIST OF FIGURES

Figure 1: Conceptual Framework	35
Figure 2: NCC Revenue Trends.....	61
Figure 3: Trend in Budgeted & Actual Expenditure.....	62
Figure 4: Trend in Budget Absorption Rate.....	63
Figure 5: Trends in Recurrent & Development Expenditure.....	64
Figure 6: Trends in Recurrent & Development Budget Absorption	65
Figure 7: Proposed Implementation Framework	85

ABBREVIATIONS AND ACRONYMS

AWSB	Athi Water Services Board
CBD	Central Business District
CBO	Community Based Organization
CEC	County Executive Committee
CFSP	County Fiscal Strategy Paper
CIDP	County Integrated Development Plan
CIP	Capital Investment Plan
CSP	County Spatial Plan
DC	District Commissioner
DCC	Development Control Company
DFRD	District Focus for Rural Development
DMU	Diesel Multiple Unit
DRC	Democratic Republic of Congo
ERC	Energy Regulatory Commission
FY	Financial Year
GDP	Gross Domestic Product
GHG	Greenhouse Gas
GIS	Geographic Information System
ICT	Information and Communication Technology
ITS	Intelligent Transport System
JICA	Japan International Cooperation Agency
KENHA	Kenya National Highways Authority
KIE	Kenya Industrial Estates
KISIP	Kenya Informal Settlements Improvement Project
KPI	Key Performance Indicators
KRC	Kenya Railway Commission
KURA	Kenya Urban Roads Authority
LCPDP	Least Cost Power Development Plan
LPDP	Local Physical Development Plan
M&E	Monitoring and Evaluation
MoDP	Ministry of Development and Planning
MoLHUD	Ministry of Lands Housing and Urban Development
MoTI	Ministry of Transport and Infrastructure
MRF	Material Recovery Facility
MRT	Mass Rapid Transit
MSEA	Micro and Small Enterprise Authority
NCC	Nairobi City County
NEMA	National Environmental Management Authority
NGO	Non-Governmental Organization
NIUPLAN	Nairobi Integrated Urban Master Plan
NLC	National Land Commission
NMR	Nairobi Metropolitan Region
OSR	Own Source Revenue
PC	Provincial Commissioner

PDP	Part Development Plan
PLUPA	Physical and Land Use Planning Act
PPA	Physical Planning Act
RTPC	Rural Trade Production Centre
SAP	Survey Analysis Plan
SBP	Single Business Permit
SDG	Sustainable Development Goals
SEA	Strategic Environmental Assessment
SEZ	Special Economic Zone
UN	United Nations
UNDP	United Nations Development Programme
UN-Habitat	United Nations Human Settlements Programme
WRMA	Water Resources Management Authority

ABSTRACT

Although urbanization can be a huge catalyst of urban development, it is oftentimes associated with various challenges such as informal settlements, inadequate services, unemployment, congestion and environmental degradation.

Urban planning, alongside other disciplines, is a vital tool in any real attempt at effective urban management, as it essentially provides a framework for decision making as far as urban development is concerned whilst using space as a key resource.

Plan implementation justifies planning efforts without which they remain void and unfruitful. If understood from a dynamic perspective, implementation is unpredictable; it is cyclical rather than linear; and involves a process of constant interaction between plan/policy formulators and executors as opposed to being a final outcome.

As a result changing one thing may lead to changing many others and thus implementation success is not measured by the conformance of outcomes to objectives, but rather by the performance of the plan in directing development decisions on a day to day basis.

By means of a case study strategy, this study endeavored to establish the gaps and needs of implementing urban development plans in Kenya. The Nairobi Integrated Urban Master Plan (NIUPLAN) was used as the case study.

The study found that a framework for successful plan implementation hinges on policy, agency and environment based factors. It further established that the issues of implementing plans in Kenya cut across the board. Policy issues included internal inconsistency, ineffective public participation and inadequate linkage with budgeting tools namely CIDPs.

Agency based issues included the lack of institutions charged by law with implementation responsibilities. Inadequacy of funds, inadequate staff, low technical competence and motivation as well as the absence of M&E mechanisms were also identified.

Environmental based issues included land disputes and incomplete land registry. Furthermore, the legally-binding status of urban plans is not enforced which leads to the relegation of plan provisions to political priorities in guiding urban development. Political interference in revenue collection and land grabbing were other notable issues.

In line with this, recommendations were made as it emerged that the better the plan making process, institutional frameworks and implementation contexts, the better chances there are of successful plan implementation and performance.

CHAPTER 1: INTRODUCTION

1.1 Background of the Study

Urban planning is a technical and socio-political process concerned with people's welfare, land use control, urban environmental design and protecting and enhancing the natural environment (Milojevic, 2018). It aims at outcomes such as affordable housing and settlements, user-friendly transport and mobility, accessible infrastructure and services, towards economic growth and social cohesion.

Urban planning is essential since it harnesses the development potential of cities which should be centres for wealth creation and socioeconomic advancement; and are increasingly being recognized as catalysts of economic growth, innovation and investment (UN-Habitat, 2016).

For instance, 80 percent of global gross domestic product (GDP) is accounted for by cities and this is estimated to rise to about 88 percent by 2025. Moreover, from 2006 to 2012, 750 of the largest cities in the world created 87.7 million jobs in the private sector (UN-Habitat, 2016; UNDP, 2016).

Furthermore, urban planning hinders the negative effects that come with unplanned urbanization such as inadequacy of housing, infrastructure and services, poverty and unemployment, traffic congestion, disaster prevalence as well as environmental pollution and degradation.

It is a tool for sustainable development and its goals which include: safe and resilient cities; promoting sustained economic growth and employment for all; the end of poverty in all its forms; ensuring health and well-being for all (UN, 2015). With good planning, urban areas can be turned into drivers of sustainable development.

It is also noteworthy that urban planning and design is amongst the pillars of the New Urban Agenda which outlines the principles for planning, constructing, managing and improving urban areas. This is because cities have a chief role in the global economy and in the efforts to adapt to climate change (UN, 2017).

The effects of good urban planning practices are clearly evident in many of the world's developed cities e.g. Copenhagen, Amsterdam, Stockholm, London, Singapore, Washington DC etc. They are characterized by a focus on connectivity and urban mobility especially through functional public transport and multi-modal transport systems, good linkages between home and work and prioritizing open spaces, parks and public recreational facilities.

Similar attributes might be observed in the most developed African cities of Cape Town, Port Louis, Abidjan, Lagos and Addis Ababa among others, which include efficiency in transportation, high density urban development, economic productivity, tourism and cultural heritage conservation.

Nevertheless, The UN-Habitat (2015) has stated that the challenges of urbanization often outpace its associated development gains because policies that can direct it towards increased development gains and sustainable patterns such as good urban planning and management practices are lacking.

Some of these challenges include inadequate housing and informal settlements, inadequate services and facilities, informal economic activities and unemployment, environmental degradation, crime and delinquency among others.

In line with this, cities worldwide account for 70% of the total global greenhouse gas (GHG) emissions and consume 80% of the energy in the world (UNDP, 2016). Moreover, 75% of the cities in the world have greater inequality compared to two decades ago (UN-Habitat, 2016).

In Africa, the situation is more or less similar where access to housing and amenities in most cities is inadequate. For instance, in Accra and Kumasi in Ghana, Maputo in Mozambique and Kinshasa in the DRC, access to basic amenities such as piped water, waste disposal and toilets decreases rapidly with increasing distance to the city center (Lall et al., 2017).

In Dar-es-Salaam Tanzania, two thirds of the households share toilet facilities with pit latrines being the most common form of sanitation. Moreover, only 11% of households in the city have piped water inside the dwelling. These too experience service challenges since water is only available just about 14 hours a day (Lall et al., 2017).

African cities and urban areas have comparatively few formal housing and settlement establishments leading to people settling in densely populated informal settlements. Notably, above 60% of people in Sub-Saharan cities live in slums with only about 16% of African urban households having permanent roofs (Lall et al., 2017).

Lack of transportation infrastructure is another challenge facing Africa's cities with less than 16% of their land being covered by roads. Additionally, they are largely fragmented with lots of empty space between built-up areas; a phenomenon referred to as leap-frog development. This attribute largely hampers the provision of services e.g. roads, water supply and sewerage due to increased cost implications (Lall et al., 2017).

In Kenya, the conditions of urban living indicate that urban planning objectives have largely not been achieved. For example, informal employment is on the rise in Kenya's cities where the labor force is increasing by 800,000 per annum but with only about 50,000 new wage jobs annually (World Bank, 2016). The country has an urban unemployment rate of 23% (Government of Kenya, 2019).

Additionally roughly 60% of urban households in Kenya live in slums and only 18% of Kenya's urban population is encompassed by a sewer system, with 70% using septic tanks or pit latrines. Also, there is no sanitary landfill in any of the urban areas with most either burning or dumping their solid waste in open disposal sites (World Bank, 2016).

Going by the population census carried out in 2019, only 9.7% of all households and just 24.6% of urban households in Kenya are connected to a sewer line with more than half of all Kenyan households using pit latrines for sanitation. Only 18.1% of urban households in Kenya have piped water (Government of Kenya, 2019).

Traffic congestion is another problem which ails urban areas in Kenya. This is due to poor infrastructure and road networks compounded by increasing private vehicle ownership. As a result Kenya loses nearly 434 million USD annually through lost productivity, fuel consumption and environmental degradation (Ministry of Nairobi Metropolitan Development, 2012).

Kenya is also yet to leverage urbanization for economic transformation. Remarkably, urbanization in Kenya is driven more by rural push than industrial pull. This means that the

people migrating from rural areas lack employment in the cities they relocate to; this is referred to as the urbanization of poverty, and it has led to Kenya's cities becoming centres of consumption rather than production as they ought to be (World Bank, 2016).

The failure to achieve urban planning objectives is to fail in implementing urban plans. The National Land Commission (2017) indicated that international competitiveness, livability, economic vibrancy, environmental resilience and social inclusiveness are some of the objects of preparing and implementing urban area plans.

Going by the statistics above, the country's urban areas significantly fall short of these outcomes. This is an indication that the country's planning efforts have neither been successful in mitigating the challenges of urbanization nor have they been able to transform urban areas into the economic growth/innovation hubs that they should be; promoting convenient, comfortable and healthy living in clean and safe environments.

Moreover, the Commission has cited inadequate urban planning and poor environmental management as some of the current urban planning realities in Kenya; and that planning is not prioritized in counties where planning resources are inadequate, an additional proof of the failing implementation of urban plans in Kenya.

The Nairobi Integrated Urban Master Plan (NIUPLAN) was prepared by the Nairobi City County (NCC) to guide Nairobi's future development up to 2030. It aimed to position Nairobi as a modern and globally competitive center and also combat the challenges of traffic congestion, inadequate housing and slum settlements, environmental degradation, unemployment and inadequate/worn infrastructure.

The NIUPLAN is supposed to be in its tenth year of implementation since its approval in 2014. It was therefore chosen for this study on account of its potential to bring to light the issues and gaps of implementing urban plans in Kenya especially because Nairobi being the capital and the largest city, it can help also discern implementation challenges of other urban areas/cities in the country which are comparably smaller and much less complex.

1.2 Problem Statement

At face value, there are some attributes of the NIUPLAN that indicate challenges in its implementation. They include inadequacy of funds, poor linkage of the plan to budgeting instruments, lack of a monitoring and evaluation mechanism and poor institutional coordination among others. These are discussed in further detail below.

The National Land Commission (2017) indicated that planning at county level is not prioritized with resource allocation for planning being inadequate. Moreover, trends in county budget and expenditure over the years indicate that recurrent expenditure in Nairobi by far exceeds development expenditure which shows that funds for plan implementation are likely insufficient.

There is also poor linkage of the NIUPLAN to budgeting instruments namely the County Integrated Development Plans (CIDPs). In a report on urban planning in Kenya, the UN-Habitat (2019) indicates that previous plans were largely formulated without a financing strategy and those plans that include a Capital Investment Plan (CIP) such as the NIUPLAN; still encounter difficulties in its operationalization.

It is notable that the first CIDP prepared for the NCC (2013-2017) was already published before the approval of the NIUPLAN in 2014. By law a CIDP should identify the investment and development initiatives in a county including all plans, projects and programs, and therefore it should ideally be prepared with reference to an approved urban development plan. The fact that the first CIDP preceded the NIUPLAN points to another potential challenge to its implementation.

There is no monitoring and evaluation mechanism in place in the NCC to track the implementation of the NIUPLAN. Importantly, many of the projects proposed by the plan are to be implemented by other government agencies independent of the NCC, but the county is not in a place to establish whether they are implemented or not. The National Land Commission is supposed to monitor and oversee plan implementation countrywide through periodic reports from city/municipal boards which are absent in Nairobi.

Another imminent challenge to implementation is the changing priorities of governance regimes. In line with this the UN-Habitat (2019) stated that a common problem with urban plans in Kenya

is that they cannot transit electoral cycles. Since approval of the NIUPLAN, the NCC has had three governors each with his own development agenda and manifesto. This has led to the plan taking a backseat role in guiding development decisions within the NCC.

There is some overlap in the assignment of duties and responsibilities for plan implementation in Kenya. This leads to low accountability for the success or failure of plan implementation. Furthermore, the institutions that are charged with implementing plans in their various capacities are not quite coordinated but rather operate more or less independently. This causes redundancy which ultimately hinders successful plan implementation.

Technical capacity for plan implementation is another glaring challenge to implementing the NIUPLAN. The national government Ministry of Lands, Public Works, Housing and Urban Development is supposed to help build technical capacity in the counties but it remains to be established to what standard this is carried out particularly within NCC.

The issues above are quite limiting to the successful implementation of the NIUPLAN and thus warranted a deeper examination as this research proposed to do.

1.3 Research Questions

The main research question of this study is: What are the gaps and needs of implementing urban development plans in Kenya?

In order to answer this question, answering the following questions was necessary:

1. What are the aspects of successfully implemented urban development plans globally?
2. Which are the current urban plan implementation practices in Kenya?
3. What are the gaps in the current practices of implementing urban development plans in Kenya?

1.4 Research Objectives

The main objective of this research was to establish gaps and needs in implementing urban development plans in Kenya. This was done through a case study of the Nairobi Integrated Urban Master Plan (NIUPLAN).

The sub-objectives of the research were:

1. To establish aspects of successfully implemented urban development plans globally.
2. To establish gaps in the current practices of urban plan implementation in Kenya.
3. To propose a framework for improving the implementation of urban development plans in Kenya.

1.5 Justification of the Study

The reason as to why a research on plan implementation is needed in Kenya at the moment has its foundation in the relationship between urbanization and urban development. Urbanization is quite desirable in so far as it is associated with economic productivity, higher employment and innovation and there are studies to show that hardly has any country developed without urbanizing.

Nevertheless, there are several significant challenges associated with urbanization especially if it is unplanned. Some of these which include slums and informal settlements, poverty and unemployment, and inadequate services among others as has been indicated in the background section, are quite widespread in Kenya's cities/urban areas.

Urban management as a discipline basically rallies governments/politicians, various areas of professional practice, and private sector entities to maximize the benefits and minimize the costs/demerits of urbanization and thus bring about sustainable urban development. Urban planning is one of the disciplines playing a pivotal role in the success of urban management efforts alongside architecture, engineering, sociology, environmental studies etc.

Without the implementation of plans, attainment of the objectives of urban management and in turn sustainable urban development are frustrated. This creates the impetus for a study in the gaps and needs relating to plan implementation in Kenya.

Several scholars have supported this indicating that plan implementation is a major challenge. Berke et al (2006) says that failure to implement plans has long been considered a significant barrier to effective planning while Slaev and Nedovic-Budic (2017) suggest that converting the objectives of plans into actual spatial development has been particularly difficult.

1.6 Significance of the Study

This study aims at establishing the gaps and needs of implementing urban development plans and proposing counter measures to these challenges. The research findings will therefore be of great significance particularly in driving the goals of sustainable urban development in Kenya.

Some of the expected outcomes include harmony in land uses, increased production and economic growth, reduced poverty and unemployment, adequacy of infrastructure and facilities, efficiency of transportation and mobility as well as environmental conservation. Better plan implementation is also expected to improve access to affordable housing and curtail the proliferation of slums and informal settlements.

Thus it will aid the achievement of sustainable development goal (SDG) number 11 which aims to make cities and human settlements inclusive, safe, resilient and sustainable.

Also according to the UNDP (2016), studies have shown that to attain most of the SDGs, action in cities will be essential. These include goal 1 on ending poverty in all its forms, goal 8 on promoting sustainable growth and productive employment, goal 10 on reducing inequality and goal 13 on taking action to combat climate change and its impacts. These are virtually unattainable without proper urban planning and implementation.

Importantly, the findings of this study will be significant to both academics and policymakers in the following way; first, it will add to the knowledge base in this field of study and secondly, it will serve as a guide to policy makers in establishing the best practices for effective implementation of integrated urban plans.

1.7 Scope of the Study

This study proposes to investigate the implementation and management of integrated urban plans in Kenya, with particular focus on the gaps and needs of implementing the Nairobi Integrated Urban Master Plan (NIUPLAN). The project area is the entire City County of Nairobi which measures about 700 km² with a population of about 3.8 million persons (Government of Kenya, 2019).

The location of the study, Nairobi, was selected firstly due to the ease of accessibility of the city, given the limitation of financial resources and time. Moreover, considering that there are

numerous reports and past studies conducted on various topics in respect of Nairobi on account of its not only being the capital city but also a historic city in Kenya, data on the capital is readily available for use in this research.

Focus was placed on the NIUPLAN primarily because it is the first integrated development plan prepared in respect to Nairobi after enactment of the Urban Areas and Cities Act (2011) which requires that all urban areas function within a framework of integrated development planning.

As a result, it would facilitate proper illumination of the dynamics involved in implementing an integrated urban plan. It is noteworthy that prior to the preparation of this plan, past plans for Nairobi (and other towns in Kenya) focused on the physical, social, and economic aspects of a city but neglected the political side of planning and the necessity of harmonizing conflicting interests in plan preparation.

The study further limited itself to the implementation aspect of planning for three main reasons: relevance to the discipline of urban management, the glaring challenges of plan implementation in Kenya and lastly, the research gaps left by past studies on the issue of implementing integrated urban plans.

Although urban planning is essentially about ordering land uses as manifestations of sectoral activities, plan implementation transcends the role of a planner and more properly falls within that of a manager. This is because it incorporates governance and politics, financing and cross-sectoral activity.

Implementation is the realization of a plan's objectives which in regard to cities, all revolve around sustainable urbanization and development. Thus they usually include clean and healthy environments, economic growth, equitable and cohesive societies as well as adequacy of housing and infrastructure. Kenya's urban areas, including Nairobi, are further from attaining to these attributes than they are closer despite having many sound plans which points to a problem in implementation.

Finally, research on the implementation of urban plans in Kenya has not conclusively settled what requires to be done for it to be successful, especially when it comes to integrated plans. It has either focused on urban planning in past legal frameworks, not in the current one which

requires planning to be integrated, or only tackled the managerial dimension of implementation exclusively, leaving out the technical and political.

1.8 Limitations of the Study

The main limitation of this study pertained to limited access to information. For example, it was difficult to find data on employee qualifications in order to gauge technical competence in a quantitative way on account of the sensitive nature of the information. Time, resources and the researcher's bias were other notable limitations of the study although only secondary.

1.9 Definition of Terms

Urbanization:

- A rise in the percentage of the national population living in urban areas (Onjala & K'Akumu, 2016).

Sustainable Urban Development:

- Development that meets everyone's needs without going beyond the limitations of the natural environment (UN-Habitat, 2016).
- Development that combines increased production and innovation with lesser costs while reducing environmental impact. It aims at being competitive, protecting and conserving ecosystems, mitigating GHG emissions and facilitating general city resilience, inclusiveness and livability (World Bank, 2016).
- Development that allows urban residents to be happy, comfortable, and healthy in a clean and aesthetically pleasing environment. It is characterized by sustainable energy and transport, quality of life, health, proper waste management, environmental conscience, green spaces and biodiversity among others (Shmelev & Shmeleva, 2009).

Urban Management:

- Integrating inputs from different fields and professions, administration and politics to bring about sustainable urban development. To achieve this it uses instruments such as policies, laws and regulations, budgeting and expenditure, institutional frameworks, leadership and advocacy as well as information sharing (Neilson, 2012).

Urban Planning:

- A technical and socio-political process concerned with people's welfare, land use control, urban environmental design and protecting and enhancing the natural environment (Milojevic, 2018).
- A structure that helps leaders to change a vision into reality with space as a key development resource with stakeholder engagement along the way (UN-Habitat, 2013).
- Deliberately guiding social progress and transformation with the aid of governments and institutions to design and implement social and economic projects and programmes (Tinbergen, 1967 as cited in Mwangi, 1994).

Implementation:

- Undertaking to put something into practical effect (Calbick, Day & Gunton, 2003).
- To carry out, fulfill, to give practical effect to or ensure actual fulfillment by concrete measures as well as to provide instruments of practical expression for (Lane, 1982).
- A process where various stakeholders work together with the use of procedures and techniques to put policies into effect (Khan & Khandaker, 2016).
- A particular set of activities intended to put into practice an activity or program of known dimensions (Fixsen et al., 2005).

1.10 Organization of the Study

This study is organized into five chapters. The first chapter indicates the basis of the study beginning with the essence/importance of urban planning and therefore plan implementation. This chapter also outlines the research problem, the objectives as well as the study scope and significance. A definition of the major themes recurrent in this research is also included.

The second chapter covers literature review whereby the aspects of successfully implemented urban plans are established. This is done with reference to best practices, case studies and theories on implementation. This chapter concludes with a conceptual framework of the parameters to be used in evaluating the NIUPLAN.

The third chapter outlines the research design and methodology. Based on the type of research, it indicates the data sources and data collection tools and techniques. Furthermore it shows how the data was analyzed, interpreted and presented.

The fourth chapter combines the findings/results and the discussion. The findings are presented objectively; purely as they were brought out by the analysis. The discussion on the other hand is interpretation of the findings from the researcher's understanding and perspective.

The fifth chapter gives the summary of the research findings. It is organized according to the objectives of the research thus showing how these were satisfied and at what stage of the research.

CHAPTER 2: LITERATURE REVIEW

2.1 Urban Planning, Urban Development and Urban Management

Urban development is a factor of several things including urbanization, urban management and good urban planning practices; which incorporate effective plan implementation. It has different dimensions e.g. physical/spatial, economic, socio-cultural and environmental.

Urbanization leads to urban development through the division of labour and specialization which causes higher productivity and lower production costs; and through economies of scale i.e. cost reductions which result from larger units of production (Onjala & K'Akumu, 2016).

Nevertheless, urbanization may happen without concomitant economic growth leading to various challenges such as slums and informal settlements, inadequate infrastructure and services, environmental degradation, poverty and unemployment among others. Urbanization is therefore only desirable in so far as it furthers urban development and the general well-being of urban/city residents.

In order to ensure that urbanization occurs within the context of economic growth, sound urban management and urban policies are necessary and if cities are neglected, even in countries where the urbanization level is low, they can impose heavy costs (Onjala & K'Akumu, 2016).

Urban management employs instruments such as policies, legislation and regulations, fiscal/financial measures, institutional arrangements, leadership and advocacy and information sharing to bring about urban development (Neilson, 2012).

Urban planning is in its turn a tool of urban management. According to Neilson (2012) urban planning and other urban disciplines e.g. urban design, architecture, engineering, urban economics, sociology and environmental science provide necessary inputs for urban management. Moreover, the tools of urban planning are quite necessary for modern city building and management but are nonetheless not enough on their own.

Urban planning needs implementation in order to be effective and thus contribute to the ends of urban management i.e. housing affordability, accessible infrastructure, functional public transportation, clean and healthy environments etc. Plan implementation is therefore vital for effective urban management since it is vital for effective urban planning.

It is in this context that this research proposes to look into the gaps and challenges of implementing urban development plans in Kenya through a case study of the Nairobi Integrated Urban Master Plan (NIUPLAN).

2.2 Historical Overview

The development of urban planning has happened in three main stages. Stage one began in the early 1900s where planning was known to be about designing urban space. Plans, therefore, depicted an ideal future urban form. Stage two which started in the 1960s involved a rational plan-making process. Stage three in turn began towards the end of the 1980s and was characterized by focus on mediating conflicting interests and coordinating various stakeholders (He, 2015). These stages are discussed in further detail below.

2.2.1 First Stage (1900s to 1950s)

As noted above, planning during this stage consisted in designing cities and towns in the physical sense. Apart from dealing with land/space, it was also design heavy with a focus on aesthetics and it culminated in the production of a blueprint plan.

Notably, planning was here largely influenced by architectural thinking and was essentially an exercise of large scale town design. Examples from this period include the Linear City (Mata), Radiant City (Le Corbusier) and the Garden City attributed to Ebenezer Howard (He, 2015). In this stage, the implementation of plans was complete when the urban land use structure aligned with the plan's vision.

The first stage however faced criticism because it focused more on the urban environment and was rarely concerned with the social and economic dimensions; seemingly ignoring the complexity and diversity of the urban system. This proved to be a hindrance to the implementation of plans because they were very prescriptive and thus quite rigid in the face of changing circumstances (He, 2015).

2.2.2 Second Stage (1960s to Early 1980s)

Unlike the first stage, this stage witnessed a shift in the focus of planning from the design of physical space to rational decision making with planning being promoted as a scientific/technical rather than a design process (He, 2015). It was characterized by two views of planning: the systems view and the rational view.

Systems View

Here, cities and the built environment were observed as systems of interconnected parts/activities. Since changing one part would result in the change of the others, planning ceased to be about producing blueprints of an ideal future state and became about a flexible process of monitoring and intervening in fluid situations. It became an on-going process rather than an end product (Taylor, 1998, as cited in He, 2015).

Furthermore, there was a departure from the purely spatial perspective of planning to incorporate economic and social perspectives (McLoughlin, 1969, as cited in He, 2015).

Rational View

Prior to the rational school of thought, the viewpoints of planning revolved around the substantive elements i.e. the content of planning as opposed to the procedural elements i.e. those to do with the planning process. The rational view was revolutionary in that it conceptualized planning as a process.

A remarkable example of the rational view of planning was the survey-analysis-plan (SAP) model proposed by Patrick Geddes (He, 2015). The SAP model was about collecting data of the study area, analyzing it and building different development scenarios from which one was picked for implementation.

Importantly, neither the systems nor the rational view of planning did entirely away with the former blueprint plan but rather incorporated the new ideas making planning a composite of both spatial design and the scientific processes. The system thus changed to allow for both a blueprint as well as strategic content (Cullingworth & Nadin, 2006 as cited in He, 2015).

There was nonetheless criticism for the second stage. The systems view was criticized for taking a top-down approach to planning which was somewhat coercive as opposed to collaborative. Additionally, it continued to assume a linear/serial process of planning even though it admitted that urban systems were quite complex. Alternatively, the rational view whose main focus was the planning process was criticized for being too abstract since it neglected the physical/spatial side of planning (He, 2015).

In conclusion, both views in the second stage, the systems and the rational, omitted the effect or action-end of planning i.e. implementation. They seemed to operate on the notion that the planning process ended with the production of the plan (Friedman & Hudson, 1974, as cited in He, 2015).

2.2.3 Third Stage (Late 1980s Onwards)

This stage took place in the latter end of the twentieth century and involved some significant changes from the previous stages. First it incorporated politics into planning, it was more collaborative, it took into consideration market forces and more importantly, it was action/implementation oriented (He, 2015).

The political aspect came about as it became apparent that people's ideas of what was desirable were quite different and that it was necessary to consider all of them in order to reflect their different values. As a result, planning became more concerned with managing the competition between different objectives (He, 2015).

On the other hand, the communicative aspect came about when the perspective of planners as experts with a comprehensive knowledge of development needs (as was the case in stage two) began to be challenged making them more facilitators of a range of stakeholders rather than expert designers or decision makers.

Another result of the idea of planners as unilateral agents guiding the urban development process being rejected was the consideration of market forces. It became evident that the powers of urban planners and government agencies in influencing urban development were heavily constrained by the market and that public authorities instead of facilitating development based on a blueprint, were regulators of market forces and other actors in urban development (He, 2015).

Lastly, implementation which was formerly taken for granted was now more actively pursued and the linear process of planning i.e. identifying problems, finding solutions and applying solutions to the problems changed so that plan making and implementation became concurrent. Accordingly, Taylor (as cited in He, 2015) says that implementation should be considered together with policy formulation and not after.

As a result of the dynamics of politics, stakeholder inputs and market forces, implementation became about plans being able to influence the actions of others as opposed to modeling the physical space to resemble plan proposals. This marked the beginning of strategic planning.

2.3 Current Status of African Cities

As noted earlier in the discussion, Africa's cities are experiencing several challenges the most common being inadequate housing and informal settlements, inadequate services and facilities, poverty and unemployment and environmental degradation.

Many urban households in Africa do not have basic facilities including piped water, waste disposal and sanitation. Moreover, slums and informal settlements characterize the cities in Africa whereas transport infrastructure is often dilapidated. This is worsened by leap-frog development which makes the provision of trunk infrastructure difficult due to the cost implications.

According to Lall et al. (2017) urban residents in Africa pay 55% more for housing in relation to their incomes than people in other regions. Additionally, 60% lives in slums (62% in sub-Saharan Africa). In the cities of Nairobi, Addis Ababa and Kinshasa the proportion of urban residents living in slums as at 2014 was 56%, 73% and 75% respectively.

The formal housing shortage in Africa's cities, particularly in the urban core, means that urban workers live in crowded quarters. They often have to live near downtown districts or industrial zones in order to find work. In Dar-es-Salaam Tanzania for instance, 28% of the residents live three per room and in Abidjan (Ivory Coast) the situation is worse where it lies at 50%.

In its World Cities Report, the UN-Habitat (2016) found that Africa shows the highest levels of persisting urban inequality and that there are rising levels of crime in the major African cities of

Johannesburg, Lagos and Nairobi. Moreover, there is an upsurge in involuntary migration whereby many migrants who enter Europe illegally are from African countries.

This was attributed to high unemployment particularly among the youth, inequality, poverty and an overall lack of opportunities. Notably, the report stated that the extremely poor people in sub-Saharan Africa increased from 205 million to 414 million between 1981 and 2010.

According to Lall et al. (2017) another characteristic of cities in sub-Saharan Africa is that their economic growth has been unable to keep up with the rapid rise in population. This is mostly because relative to other cities in the developing world; the cities in Africa produce less goods and services for regional and global markets.

The challenges of unlivable cities which lack decent housing and amenities compounded with unaffordable transportation and high labour costs make Africa's cities unattractive for business and investment (Lall et al., 2017).

2.4 Urban Planning and Management: Principles and Best Practices

As defined above, urban management means integrating inputs from different fields and professions, administration and politics to bring about sustainable urban development or development which meets specific societal goals.

These objectives are encompassed in sustainable urban development and include secure and healthy urban environments, affordable housing to residents, access to healthcare and education, protecting the ecosystem and preserving physical/environmental assets for future generations among others (World Bank, 2018).

In turn urban planning has been described as a structure that helps leaders to change a vision into reality with space as a key development resource with stakeholder engagement along the way. It is one of the fields that comprise urban management and as such it aims at the same objectives of sustainable urban development.

According to the World Bank (2018) sustainable urban development incorporates principles such as strong and competitive economies, protecting/conserving ecosystems and natural resources, inclusive and livable cities as well as reducing GHG emissions.

In its New Urban Agenda the United Nations (2017) reiterates this and indicates the following as the principles of urban sustainability: equal rights and opportunities for all and integrating people in urban areas; public participation; equal access to affordable housing, physical and social infrastructure and amenities; making cities safe, livable, culturally diverse, food secure, healthy and without discrimination; making them highly productive, competitive and innovative through employment opportunities; clean energy, sustainable use of land and resources, protecting ecosystems; sustainable production and consumption, mitigating and adapting to climate change.

These principles cut across the tasks of urban planning and urban management but each as a discipline incorporates certain principles in order to be successful. Neilson (2012) outlines the following as the principles of urban management: clear statements of policy which promote effectiveness and accountability; legislation/regulations; sound institutional arrangements and assignment of responsibilities; proper fiscal and financial strategies; advocacy to influence behaviour of urban residents e.g. road safety or anti-littering campaigns; knowledge management and information sharing.

A publication prepared by the UN-Habitat (2008) compared urban planning experiences from various cities across the globe including Bangalore (India), Barbados, Johannesburg (South Africa), Nanjing (China) and Tel-Aviv (Israel) among others.

It pointed out that planning should go along with implementation where action planning accompanies strategic planning and that there is need for quick solutions to retain the credibility of planning. Moreover, planning must incorporate public participation, technical skills and political goodwill and that participation should be driven by the implementers.

Another best practice was alignment to public policies and building on the existing frameworks; as well as building on local identity and promoting cultural diversity. Also, urban planning solutions should incorporate both public and private sector interests and should be less regulatory and more visionary, focusing on actions that will be agents of change.

Plans should be dynamic and flexible being adaptable to changing situations. This can be achieved through monitoring and evaluation and by balancing short term interventions with long term goals. They should furthermore be affordable and within financial capacity of implementing agencies.

They must be responsive to ground realities by applying an overall planning framework to a local context, based on robust research and analysis and should be linked to the local governance structure.

2.5 Urban Planning and Management: A Kenyan Overview

According to Mwangi (1994) urban policies in Kenya were developed within administrative and economic policy frameworks. In the early 1900s colonial Kenya, planning was the responsibility of central government representatives i.e. Provincial Commissioners (PCs) and District Commissioners (DCs).

Local authorities did not participate in planning and moreover, planning law was dispersed in various legal documents usually ordinances and legal orders. These statutes only applied to public land i.e. government and trust land leaving private land owners without clear policies and guidelines to guide their operations (Mwangi, 1994).

The urban policies overseen by the provincial and district administration emphasized the regulation and control of land development outside established municipalities and townships and did not focus on future socio-economic transformation to create employment and develop infrastructure in urban areas (Mwangi, 1994).

By the 1950s plans evolved to be economic rather than regulatory in nature and focused agricultural productivity. They were prepared as sector-based priority projects/programmes which were implemented independently following the release of funds from the treasury, which caused duplication of efforts and conflicts between departments (Leo, 1984, as cited in Mwangi, 1994).

Soon after independence, planning adopted African Socialism as a way of integrating the African social and cultural experience into planning processes. It was a way to 'Africanize' the economy/public service and re-direct the African way of life into formal government institutions (Kenya, 1965; Mwangi, 1994).

African Socialism was underpinned by two ideologies: African political democracy and social responsibility. Under African political democracy, all individuals in society had equal rights and no one had undue influence on state policies while in the case of social responsibility, the

members of society were required to do their best to promote the common good such that general societal prosperity would trickle down to the individual (Mwangi, 1994).

In its practical application to planning, it was to drive socially acceptable ways of resource allocation; legitimize allocation of land to the landless as well to enable the government to control private sector development (Government of Kenya, 1965, as cited in Mwangi, 1994). It prioritized political equality, social justice and human dignity (Government of Kenya, 1965).

The uptake of African socialism in planning was nonetheless challenged because officers in government institutions applied rational planning which apart from being conventional, was held as the most effective at the time by researchers worldwide (Alexander, 1988, as cited in Mwangi, 1994). African Socialism at this time was only practiced in informal planning organizations.

However, the rational approach also faced challenges due to poor institutional set-up. Furthermore, it prioritized central decision making and emphasized technical/administrative expertise, undermining democratic participation (Mwangi, 1994).

From the 1970s, the government began to promote decentralization of both administration and planning functions. During this period, planning aimed at redistributing economic activities across settlements to curb the primacy of Nairobi. Thus decentralization became the predominant factor in the development plans (5 year plans) prepared from 1970 up until the early 1990s.

In line with this the 1970-1974 Plan introduced growth and service centres, which was however difficult to implement due to the inadequacy of funds. The 1974-1978 Plan proposed agricultural projects in rural areas e.g. water supply in homes, afforestation and irrigation but was ultimately ineffective (Mwangi, 1994).

The publication 'Human Settlements in Kenya: A Strategy for Urban and Rural Development' retained the growth and service centres. It outlined a general framework to manage future urban development and moreover aimed to bring about improved quality of life by providing basic facilities through service centres and encourage growth in specific urban areas referred to as growth centres (Kitur, 2019).

However, the subsequent plans avoided the growth and service centre strategy. For instance, the 1978-1983 Plan adopted the District Focus for Rural Development (DFRD) because most people

(roughly 80%) lived and made a living in the rural areas. Furthermore the Rural Trading and Production Centres (RTPCs) adopted by the 1984-1988 Plan were intended to promote the development of particular urban areas but nevertheless failed to use those that were proposed in the Human Settlements Strategy (Mwangi, 1994).

According to Kitur (2019) the planning of urban areas in the 1980s and 1990s Kenya was characterized by poor implementation due to inadequate finances and rising pressure to apply Part Development Plans (PDPs) in urban areas; which were mostly used to appropriate public land to individuals for private use and most of the time contravened the sites' planning requirements.

In 1996, the Physical Planning Act (PPA) was established which expanded the scope and philosophy of planning policies in Kenya. It outlined planning institutions and their roles, the purpose and content of various types of plans from regional to local level and gave legal mandate to Local Authorities, particularly in the enforcement of development plans through development control.

It is noted that the PPA was a pioneer in stabilizing the frameworks of strategic planning in Kenya. Specifically, it pointed out that plans, long-term plans in particular, were meant to provide a framework upon which various agencies/actors can develop their individual work programmes as per their mandate e.g. transportation, housing, electricity, water supply, sewerage etc. (Government of Kenya, 1996).

The promulgation of the Constitution in 2010 was another event which revolutionized planning in Kenya. Firstly the Constitution introduced devolution whose object among others was to give the people powers of self-determination, and enhance their participation in decisions which affected them and to give them the right to not only manage their affairs but also heighten their development (Government of Kenya, 2010).

Accordingly, Kitur (2019) indicates that devolution was intended to bring about change in urban planning and land management institutions which before were highly centralized, technocratic and largely non-participatory which made urban planning ineffective.

Some key provisions of the Constitution in respect to planning include the right of the state to regulate land use for the sake of physical planning, the functions of national and county governments as far as planning is concerned, and the people's right to a clean and healthy environment and adequate housing. It also established the National Land Commission which is required to monitor and oversee physical planning countrywide.

Currently, planning in Kenya is principally guided by the Physical and Land Use Planning Act of 2019 which is a repealed version of the PPA, the County Governments Act of 2012 which outlines the various types of county plans including urban area plans, and the Urban Areas and Cities Act of 2011 which indicates that all urban areas must operate within an integrated development planning framework.

2.6 Case Studies on the Best Practices in Plan/Policy Implementation

2.6.1 The London Plan

Prepared in 2021, the London Plan outlines an integrated framework for the development of London over the next 20-25 years focusing on the economy, environment, transport and social aspects.

The plan, as per statutory requirements, only covers general development matters pertaining to Greater London. It is prepared as one of the core mandates of the Greater London Authority which include promoting economic development and wealth creation, social development and improving the Greater London environment.

Lessons Learnt on Implementation

The plan has clearly stated objectives which form the undercurrent of the whole plan thus contributing to internal consistency. It takes a strategic approach and was intended as a framework for decision making and was also within the financial capacity of the implementing agency.

It outlined the potential options available to bridge the funding gap i.e. between currently committed and required funds and included cost estimates for proposed projects and programs.

Additionally, the plan indicates the institutions responsible for the delivery of expected outcomes and clearly outlines development control regulations.

Implementation of the plan at lower levels is provided for by law e.g. the issuance of development applications and neighbourhood level plans must follow provisions of the London Plan. Also, the plan was in line with the Mayor's political aspirations.

The plan is evidence-based and context-specific; responding to ground realities and includes a 'how to use' section outlining how various groups of actors should align their operations to the stipulations in the plan.

Furthermore, it allows autonomy to boroughs and neighbourhood forums to deviate from policy details in their own development efforts provided it is justified by circumstances or if it better meets the plan objectives.

Finally, it outlines a detailed monitoring and review framework through a set of KPIs. The Mayor is legally required to prepare an Annual Monitoring Report showing implementation performance against the KPIs. Tailored monitoring frameworks were also prepared for area-specific policy objectives.

2.6.2 Metropolitan Strategy for Sydney

Sydney's Metropolitan Strategy was prepared in 2013 with the vision to make Sydney a city that is strong globally and livable locally. It five major envisioned outcomes were balancing growth, city livability, productivity and prosperity, environmental health and resilience as well as an accessible and connected city.

Lessons Learnt on Implementation

A chief executive officers group was established to monitor progress of the strategy and oversee the production and publication of an Annual Update Report and sub-regional planning boards were put in place to oversee planning initiatives at sub-regional level. Local Plans were to be prepared by councils to deliver sub-regional plans.

Growth Infrastructure Plans were to be prepared to link growth centres/growth poles with the necessary supporting infrastructure and a cabinet taskforce on housing delivery formed to

develop and coordinate an initiative to improve housing supply. Urban renewal programs were to be carried out in constrained areas and areas designated as ‘urban activation precincts’.

The Metropolitan Strategy was also integrated with other government strategies and plans e.g. the Transport Master Plan, State Infrastructure Strategy, Port and Freight Strategy and the Metropolitan Water Plan among others.

2.6.3 TATU City Plan

Tatu City is located in Ruiru Sub County, Kiambu County. It is considered as one of the largest urban development projects in sub-Saharan Africa and Kenya’s first Special Economic Zone (SEZ). It is envisioned as a compact mixed-use city centered on the concept of live, work and play.

Lessons Learnt on Implementation

The Tatu City development guidelines and regulations are implemented and enforced by the Tatu City Development Control Company (DCC) whose members are appointed by Tatu City Limited. As the city is classed as a special planning area, all plans and designs must be submitted to the DCC for review and approval before submission to the Cabinet Secretary Lands and Physical Planning for final approval. Rendezvous, the developer, is responsible for infrastructural installations such as roads, power, water supply etc.

2.6.4 Kenya Health Policy

The Kenya Health Policy 2014-2030 outlines a means to improve the overall health status in Kenya in conformity to the Constitution and Vision 2030. It aims at ensuring that the country has high health standards and in a way that responds to the people’s needs.

The principles of the policy are equity, a participatory/people-centered approach, efficiency, multi-sectoral approach, and social accountability in healthcare service delivery.

Lessons Learnt on Implementation

The key attributes of the policy were: clearly stated objectives, clear distinction between national and county government functions, involvement of all the stakeholders, presence of a mechanism for inter-governmental coordination, a monitoring and evaluation (M&E) framework to be

carried out through a set of fiscal and non-fiscal indicators. It also had county-specific targets which were to be elaborated in County Sectoral Plans and a mid-term review of the policy carried out for tracking purposes.

2.7 Parameters for Implementing Urban Development Plans

As indicated earlier in the discussion, implementation may be taken to mean taking steps to realize the objectives of a particular undertaking. It involves various stakeholders who need to rally efforts in order to actualize a particular project/program.

Notably, implementation may be understood from a static or a dynamic perspective. From a static point of view, implementation is said to have been carried out when an objective leads to a particular outcome through a particular output.

For instance, if the objective of an environmental conservation project were to enhance a clean and healthy environment, some of the outputs of the project might be to enforce environmental laws and regulations or to provide solid waste management infrastructure. The outcome would then be less littering by residents due to penalties imposed and better solid waste management.

In the example above, implementation is said to have taken place because the outcomes satisfy the objective of enhancing a clean and healthy environment and also because the outcomes were arrived at through the outputs of enforcing regulations and providing infrastructure for solid waste management.

In this static view of implementation, there emerges an accomplishment function of implementation i.e. where the objective is satisfied by the outcome and a causality function of implementation i.e. where the outcome is brought about by the outputs of the project (Lane, 1982).

Here, the measurement of implementation success involves observing the extent to which objectives have been satisfied by outcomes which is referred to as the conformance approach of measuring implementation success.

In contrast, if implementation is understood from a dynamic perspective, it immediately becomes more complex because one outcome may satisfy more than one objective and in some instances, an outcome may satisfy one objective and yet contradict another (Lane, 1982).

For example, if an environmental conservation project had as one of its objectives to reduce air pollution, one of the outputs may be to increase parking fees. This would satisfy the objective of reducing air pollution due to lower use of private means of transport and might also satisfy another transportation objective to reduce traffic congestion.

However, if we take a transportation project with the first objective being to reduce traffic congestion and the other to improve accessibility; and a similar measure to reduce the use of private means of transport were adopted such as increasing parking fees, this might satisfy the first objective of reducing congestion on roads but it might hinder accessibility to places where public transport is inadequate.

In such a case, it is difficult to say whether implementation has been carried out or not. We therefore have to admit that implementation is highly relative and there is no absolute measure to indicate whether it has taken place or not, especially since the real world is not static but rather dynamic, and is therefore highly unpredictable.

In support of this, May (2013) states that implementation is a social process of collective action which takes place in a social system that is shaped over time and across space by both internal and external factors. Moreover, it takes place in an environment which is very difficult to control and it is thus erroneous to view implementation as a potentially controllable action (Lane, 1982).

Fixsen et al. (2005) have also supported this view saying that the implementation environment is characterized by multiple and often conflicting goals, unclear technologies for attaining them and the inconsistent attentiveness of principal actors.

Accordingly, implementation is a cyclical process where policies are not just made and carried out but rather it involves continuous interaction between those developing policies and those implementing them. It is a process and not a final outcome where changing one thing may lead to changing many others since it subsumes all related activities from initiation to incorporation (Alexander, 1986; May, 2013).

In this dynamic and changeable environment, it will not do to try and come up with a definite measure of implementation success; rather literature has focused on identifying various conditions and success factors, which the more the implementation process approaches the more likely it is to bring about success.

In this latter case, implementation success is not so much about the satisfaction of a particular objective by a particular outcome (since we have established that the world is dynamic and not static) but about the use of a plan in decision making. This in turn is referred to as the performance approach of measuring implementation success.

From the literature, success factors for implementation have been noted to appertain to three things: the policy making process; the agency involved in implementing them; and the environment in which they are implemented, all of which conspire to bring about successful implementation. These have been discussed in further detail below.

2.7.1 Policy Based Factors

Policy based factors refer to those success factors that hinge on the innate nature and quality of the policy document itself. The processes involved in policy preparation such as setting of objectives, data collection and analysis as well as proposal formulation all have a bearing on how implementable or executable the policy will be.

Specifically, the success factors under this category include clarity of objectives, internal consistency, linkages to sectoral plans, adequacy of data, proper analysis, and public participation.

Clear objectives make it easier to track progress towards implementation. Moreover, clearly stated objectives guide the process of data collection and analysis such that it facilitates the making of outputs and outcomes that satisfy the objective in question. Thus the internal consistency of a plan, from inception to completion, begins with clearly stated objectives.

In line with this Lane (1982) indicates that policy formulators are required to produce a realistic and executable policy by setting clear objectives whereas Khan and Khandaker (2016) have cited the clarity of objectives and consistency in the planning process as the main issues of concern respecting plan implementation.

Additionally Huang, Namangaya, Lugakingira, and Cantada (2018) have proposed that plan formulation should be based on adequate data and strong analysis while Stefanovic, Hristic and Milijic (2015) have stated that plans must possess internal consistency, with suitably structured objectives complying with the measures and instruments.

In Tanzania for instance, where the conformance of actual land use/land cover with master plans is estimated to only be about 35 to 45 percent, the lack of appropriate data or failure to use available data has been named as the main weakness inherent in the planning process (Huang et al., 2018).

Furthermore, inappropriate planning processes, where plans are made based on inadequate information which render the proposed solutions irrelevant to the ground realities, have been identified as a singular challenge (Eglin, 2018).

A study conducted in Lahore, Pakistan, revealed that the data used was outdated where a base-map made in the late 1930s was used as the basis for a master plan prepared in 1966. Moreover, the fact that the analysis of existing situation was almost exclusively carried out using secondary data was identified as a major cause of plan implementation failure (Hameed & Nadeem, 2006).

Interestingly, it is remarked that excessive delays in plan implementation contribute to this problem, because as circumstances change over time, the data on which plan proposals are based becomes outdated.

A plan should be linked to other plans prepared on a larger scale and sectoral plans as well. In Kenya for instance, a lower level plan such as an urban plan should conform not only with county and national planning goals, but also be in consonance with relevant global development policies such as the sustainable development goals, the new urban agenda etc.

A study conducted in the Tanzanian cities of Arusha, Dodoma and Kigoma indicates missing links between the towns' master plans and the five-year economic plans on which their implementation is dependent. This results in a mismatch between the master plans and the budgeting and investment decisions needed for their implementation (Huang et al., 2018).

Analysis is also critical for effective plan implementation. Sivaev (2015) remarks that a good city development strategy must include a strong analytical foundation anchored in data

availability and technical capacity. Huang et al. (2018) agree with this arguing that focus should be placed in collecting appropriate data and coming up with proposals based on robust analysis and considerations.

Another essential factor is public participation which grounds a strategy in the local context; because local knowledge is not always accessible to city/town governments and technical experts (UN-Habitat, 2008). Public participation and early stakeholder consultations especially during the situational analysis stage help minimize the disconnection between different levels of development planning (Huang et al., 2018).

2.7.2 Agency Based Factors

The agency based success factors revolve around the actors/institutions involved in the implementation of the policy/plan. They include: level of commitment of the agencies involved; capacity for implementation both in terms of human and financial resources; clear assignment of roles and responsibilities; proper monitoring; staff motivation; good leadership and decision making; team building; adequacy of personnel and its technical competence; and proper organizational structure.

It is to be noted that most, if not all the agency based success factors are about management and good organizational principles. Agencies with a good organizational structure, with proper planning, controlling, staffing, and directing as well as an operational chain of command, good leadership, order and teamwork are more likely to be successful in implementing a plan/policy.

To begin with, the clear designation of roles and responsibilities between institutions with implementation responsibilities is essential. This implies proper communication and coordination in order to ensure duties do not overlap. Gashi and Watkins (2015) suggest that gaining personal accountability of officials through clearly defined roles is a key success factor for effective implementation.

Monitoring has also been pointed out as a necessity for successful implementation. It involves keeping track of project activities to judge the level of their execution. It is done periodically by comparing the project with an implementation schedule and helps to generate feedback on a

project and make decisions. Importantly, the monitoring framework should be implementable within the capacity of the actors involved.

Motivation of staff, team building as well as good leadership and decision making within organizations is another factor for successful implementation. Moreover the staff involved in implementation should be adequate and properly qualified to do so.

Huang et al. (2018) highlight limited human resources and skills for enforcement as a major challenge of plan implementation. Similarly, Eglin (2018), Ahmad and Anjun (2012), and Hameed and Nadeem (2006) have singled out low human resource and technical capacity as a major impediment to successful plan implementation.

The factors noted above are intra-agency characteristics, yet the inter-agency relationships and interactions are also absolutely necessary for successful implementation; particularly the degree of coordination or conflict between them and how this conflict is managed.

Huang et al. (2018) states that regular coordination meetings between economic branches and urban planning units should be held, adding that internal consultation mechanisms during the formulation stages of urban, sector and economic plans is critical. Moreover, the establishment of core working groups consisting of planners, key sector experts and municipal finance officials is recommended to ensure success.

Also, a study carried out in Lahore, Pakistan, showed that the lack of inter-agency coordination seriously hindered plan implementation (Hameed & Nadeem, 2006) whereas Gashi and Watkins (2015) have attributed implementation failure to the poor coordination of roles and responsibilities within governments thus resulting in poor accountability.

2.7.3 Environment Based Factors

These factors are external to the policy document and the institutions which implement it. They pertain to the environment in which a policy/plan is being implemented which may be physical, political or legal. These environments affect the success or failure of implementation depending on how favourable or adverse they are.

Environment based factors include the availability of land to put up projects, legal and regulatory frameworks for implementation as well as the influence of persons submitting development permits and the professionals involved. Land tenure and land registration also plays a role in implementing urban development plans.

In keeping with this political interference, limited undeveloped land (green-field), poor alignment of the plan with government priorities, ineffective development controls and lack of legal support for plan implementation have been mentioned as constraints to plan implementation (Huang et al., 2018; Hameed & Nadeem, 2006).

The table below summarizes by category, the success factors (independent variables) for plan implementation against which the NIUPLAN was appraised.

Table 1: Independent Variables

Policy Based	Agency Based	Environment Based
<ul style="list-style-type: none"> ▪ Clarity of objectives ▪ Adequacy of data ▪ Proper analysis ▪ Internal consistency ▪ Public participation ▪ Linkages to sectoral plans 	<ul style="list-style-type: none"> ▪ Definition of roles ▪ Adequacy of staff (human resource capacity) ▪ Technical competence of staff ▪ Financial capacity ▪ Monitoring of projects ▪ Motivation of staff ▪ Team building ▪ Coordination between institutions 	<u>Physical Environment</u> <ul style="list-style-type: none"> ▪ Availability of land ▪ Land tenure and registration
		<u>Legal Environment</u> <ul style="list-style-type: none"> ▪ Legal and regulatory frameworks
		<u>Political Environment</u> <ul style="list-style-type: none"> ▪ Alignment of plan with government priorities ▪ Influence of persons submitting applications/professionals involved

Source: Compiled by Author

2.8 Conceptual Framework

The dependent variable, plan implementation, is affected by several independent variables all of which fall into three distinct categories namely policy based, agency based and environment based. Although the independent variables all affect the dependent variable, they don't all do so in the same way.

Some are mediating variables which affect implementation whilst being affected by other independent variables themselves, while others are moderating variables that change the effect that some of the independent variables have on the dependent variable.

In the case of the clarity of objectives as a policy based independent variable, it affects plan implementation (the dependent variable) by promoting internal consistency. Internal consistency is therefore a mediating variable. Similarly, adequacy of data affects plan implementation by leading to a thorough analysis, also a mediating variable.

Better institutional coordination (an agency based independent variable) will lead to better linkage of the plan to CIDPs (policy based independent variable) and thus improve the chances of plan implementation. Linkage to CIDPs therefore mediates between institutional coordination and plan implementation.

The definition of roles and responsibilities is a mediating variable for legal environment (environment based) such that good legislation makes for a clearer definition of institutional roles in reference to implementation. Adequacy of staff, monitoring of projects, technical competence, team building and motivation are also all mediating variables for financial capacity, as it affects plan implementation by facilitating these conditions.

Financial capacity in turn becomes a mediating variable for other independent variables such as land registration and the political environment. For instance land registration may affect plan implementation by helping to improve the collection of land rates (thus increasing financial capacity) whereas politics may affect how revenue is raised and utilized which makes financial capacity a mediating variable for both.

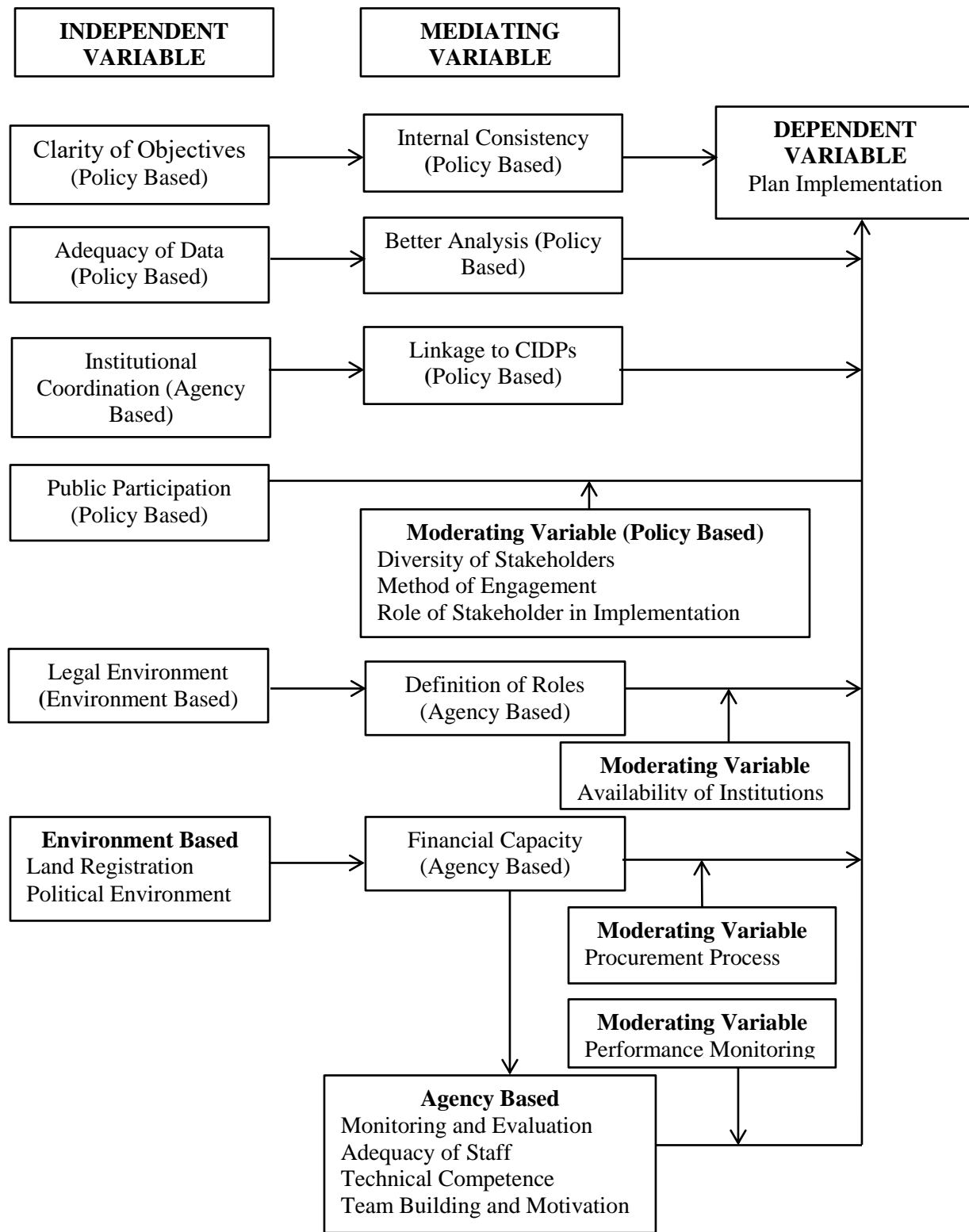
Some of the moderating variables include procurement processes, diversity of stakeholders; the method of public engagement and role of stakeholders in implementation. For example, procurement processes in the NCC moderate the effect of finances on implementation such that the more streamlined the procurement process, the more swiftly finances get to be used in the implementation of proposed projects.

Furthermore, public participation as an independent variable is moderated by other variables such as the diversity of stakeholders, the method of engagement used and also the role of the stakeholders in implementation.

Therefore, if the stakeholders involved had little or no direct role in implementation, the less likely it is for implementation to be successful. Similarly if the method of engagement used was ineffective or the pool of stakeholders was narrow, it would affect the chances of implementation negatively.

The conceptual framework is presented in figure 1 below.

Figure 1: Conceptual Framework



Source: Author

CHAPTER 3: RESEARCH METHODS

3.1 Research Design

In this research, implementation was studied from a dynamic perspective since it was observed that the real world is both changeable and unpredictable. Implementation as the dependent variable of the research was influenced by policy, agency and environment based factors which formed the independent variables of the study.

This research was decidedly qualitative since rather than seeking to measure or quantify items, it endeavored to elucidate the phenomenon of plan implementation in Kenya's urban areas. It was a detailed and thorough inquiry that wanted to establish causal relationships in the plan implementation landscape by focusing on the NIUPLAN.

The research therefore used a case study strategy. A case study refers to a detailed study of a specific subject e.g. a place, person, organization or phenomenon. It is an empirical inquiry that investigates a contemporary issue/subject within its real life context using various sources of evidence. It is usually interested in explaining how and why things happen (Tellis, 1997; Noor, 2008).

Quoting Yin (2009), Crowe et al. (2011) indicate that a case study can be used to expose or describe events or phenomena as they ordinarily occur, as opposed to experimental approaches which endeavor to test a particular hypothesis by controlling the environment. Accordingly, the NIUPLAN was used to gain an understanding of the gaps and needs of implementing urban development plans in Kenya.

Notably, the choice of this strategy was dependent on the nature of the research problem. The research is explanatory since it seeks to bring out answers as to why the implementation of urban development plans in Kenya is failing, particularly in respect to facilitating the attainment of sustainable urbanization.

According to Crowe et al. (2011), one should consider whether it is desirable or even possible to carry out a proper experimental research or whether the desire is to obtain a more naturalistic understanding of an issue when selecting the most suitable design.

The researcher therefore chose a case study strategy because plan implementation can hardly be studied experimentally since the issues of concern i.e. the policy based, agency based and environment based factors which affect plan implementation are not controllable.

For example, one cannot change the internal consistency of an urban plan or the clarity of its objectives, nor can one change the technical competence of the implementing agency's staff or its motivation then proceed to observe how this affects implementation success. Neither can the researcher alter the physical, political or legal environment where implementation is taking place and measure its effects on implementation.

The study therefore naturally lent itself to a case study approach where the factors affecting plan implementation were observed in their natural/real life context. It sought to carry out a holistic and in depth investigation and bring out the issues of plan implementation that are not immediately obvious to the observer.

3.2 Data Sources

The independent variables of this study determined the data sources. The policy based factors were mostly collected from review of the NIUPLAN itself and other existing documents such as the County Integrated Development Plans, County Fiscal Strategy Papers, and Sectoral Plans. Relevant legislation was another notable data source in establishing the legal environment for plan implementation. The study focused on the Physical and Land Use Planning Act, the County Governments Act and the Urban Areas and Cities Act.

The agency based factors were collected from county departments particularly those dealing with physical planning, finance and budgeting, as well as public service/human resources. The National Land Commission and the national government Ministry of Lands, Public Works, Housing and Urban Development, specifically the Directorate of Urban and Metropolitan Development were also key informants.

3.3 Sampling Design

According to van Thiel (2014) selection of cases is comparable to drawing a sample and figuring out the number of respondents and the method of their selection is a form of sampling. Therefore, selecting the case as well as the respondents to be interviewed constituted the

sampling in this study. A non-probability (purposive) sampling approach was used in the selection of both the case as well as the respondents.

3.3.1 Location of the Study

The NIUPLAN was prepared for the entire City County of Nairobi which thus constituted the project area. It measures about 700 km² with a population of about 3.8 million persons (Government of Kenya, 2019).

3.3.2 Unit of Analysis

In studying the intricacies of implementing urban development plans in Kenya, the research would need to look into one or several approved urban development plans in the country. The unit of analysis for the study was therefore an approved development plan prepared in respect to a particular city/town in Kenya.

3.3.3 Sampling Techniques

According to Crowe et al. (2011) the selected case study should allow access to the organization or processes that constitute the chosen unit of analysis for the study. There are numerous urban centres in Kenya with approved plans and any of them might have been selected for this study.

The particular case chosen was therefore of importance to the extent that it allowed the researcher to decipher the particulars of plan implementation in Kenya. In line with this, van Thiel (2014) notes that a researcher can consciously choose a specific case because it forms a notable/unique example of the subject of interest.

The Nairobi Integrated Urban Master Plan (NIUPLAN) was therefore selected for this case study based on its having the nature of information required and its potential to satisfy the research objectives. Importantly, Nairobi is Kenya's capital and therefore it is more or less typical of the urban areas in the country. As a result, the findings of this research will be more generalizable.

Nonetheless, there are slight differences between Nairobi and the other cities and towns in Kenya which might have an impact on plan implementation in the capital. For instance, Nairobi is a city county, and therefore its governance and management is not quite similar to that of other cities and towns.

This did not however prevent satisfaction of the research objectives but rather served to provide a more comprehensive understanding of the issues of plan implementation; encompassing issues that might be faced in urban areas in general whilst incorporating those that are unique to the capital city.

The selection of cases often needs a pragmatic approach and practical issues nearly always play a role (van Thiel, 2014). Selection of the case thus took into account the time available to conduct the research, resource constraints as well as the scope and geographical coverage. Ease of access and the availability of data were other considerations.

Alternatively, respondents were chosen mostly because they were able provide the information required to answer the main research question i.e. what are the gaps and needs in implementing urban development plans in Kenya?

The sampling of institutions/respondents was therefore biased where only institutions responsible for the implementation of plans as such were chosen. These were the Nairobi City County, the National Land Commission and the national government Ministry of Lands, Public Works, Housing and Urban Development, specifically the Directorate of Urban and Metropolitan Development. Also, only the officials with the requisite information in these institutions were targeted.

Other agencies such as KURA, Kenya Power, KRC, NEMA etc. which only implement the capital projects proposed by the NIUPLAN according as they fall within their mandate were not of particular interest to this study.

3.4 Data Collection Tools and Techniques

As noted above, the study looked at implementation from a dynamic perspective; as a cyclical process and not as a final outcome, as is the case in the static view of implementation. It was observed as involving various stakeholders who coordinate their efforts in an unpredictable environment.

The independent variables identified in the theory i.e. policy, agency or environment based determined the data collection tools and techniques that were applied in the study. The main data

collection techniques were review of existing documents and interviews whereas tools used were questionnaires and interview schedules.

Review of documents was useful in collecting data on the policy based factors (clarity of objectives, internal consistency, public participation, linkage to CIDPs etc.) and the physical and legal environments. Interviews and questionnaires almost exclusively pertained to collecting data on the agency based factors (institutional roles and responsibilities, monitoring and evaluation, staff motivation etc.) but also included data on the political environment. Data on financial capacity, an agency based factor, was mostly collected from the review of existing documents i.e. CFSPs and by administering a questionnaire.

3.5 Data Analysis and Presentation

3.5.1 Qualitative and Quantitative Data Analysis Techniques

The collected data was analyzed through both qualitative and quantitative techniques. The qualitative techniques included content analysis where existing documents were studied whereas quantitative techniques involved frequency and measures of dispersion such as range especially respecting county revenues and expenditures.

3.5.2 Data Presentation Techniques

Here, a detailed description was given of the extent to which the NIUPLAN either approached or departed from the ideals of successful plan implementation as measured in the data collection stage. This stage aimed to be as comprehensive as possible in order to more clearly establish the gaps and needs of implementing urban development plans in Kenya.

Data analysis software, especially Microsoft Excel was also used here to generate frequency tables, charts and graphs for particular items of analysis most notably the trends in county revenues and expenditure. The technical competence and qualifications of the implementing agency's staff would agree with this method but acquiring this data was difficult on account of its sensitivity.

3.6 Research Validity and Reliability

The case study strategy is often criticized because the results are usually not widely applicable in real life and that it lacks scientific rigor making generalization difficult (Tellis, 1997; Crowe et al., 2011). In keeping with this, the plan preparation processes and the institutional structure and capacity differ from county to county, not to mention the political and physical environments in each.

Consequently, the findings of this research might not necessarily be an exact reflection of the plan implementation challenges facing other towns in Kenya. Nonetheless, Tellis (1997) while quoting Yin (1984) indicates that there is a difference between statistical generalization and analytical generalization. In the latter, existing theory is used as a model against which to compare the case study results.

Therefore the findings of this study were compared with existing theory on plan implementation and can be used to apply a rapid diagnostic to other plans prepared in respect to other Kenyan towns and establish where implementation gaps exist. This is contrasted to quantitative methods which generalize the findings from a sample to a population (statistical generalization).

Also, the researcher proposed the use of diverse data sources in order to improve research validity and reliability such that the method would not only be appropriate to answer the research questions but also produce the same or similar results if applied by another researcher within the same conditions.

CHAPTER 4: FINDINGS AND DISCUSSION

4.1 Introduction

In this chapter are presented the findings of this research which meant to establish the gaps and needs in implementing urban development plans in Kenya. To accomplish this, the NIUPLAN was measured against the success factors for plan implementation identified in section 2.7. These factors were policy based, agency based and environment based.

As far as the policy/plan itself is concerned, the study set out to answer questions as to whether its objectives were clear, whether good analysis was carried out, whether adequate public participation was carried out etc.

Moreover, it endeavored to bring to light issues related to the implementing agencies such as the Nairobi City County, NLC and the Ministry of Lands and Physical Planning; specifically the issues regarding institutional capacity, adequacy of staff, technical competence, leadership, employee motivation and project monitoring as well as institutional coordination.

Additionally, the issues related to the plan implementation environment were illuminated. They included: the alignment of the plan to political priorities; issues of land tenure and availability; and how the current legal and regulatory framework either favored or hindered implementation.

4.2 Presentation of Findings

As might be inferred from the preceding discussion, the dynamic nature of urban development brought about the adoption of strategic planning (of which integration is part) to deal with it effectively. As a result, plan implementation ceased to be purely about conformance of the urban space to a land use model but rather performance in respect to the extent to which a plan is applied in decision making.

The success factors for plan implementation in a dynamic and changeable world were identified to pertain to: the policy or plan itself, the implementing agency and the environment in which implementation is taking place. The extent to which a plan aligns with or departs from these success factors determines how implementable/executable it will be. The performance of the NIUPLAN against these success factors is discussed in the sections below.

4.2.1 Performance in Policy Based Factors

As noted in the literature review, policy based factors are those that have to do with the plan itself and the plan making process. The following policy based factors were investigated in this study: clarity of objectives, adequacy of data, proper analysis, internal consistency, public participation and linkages to sectoral plans.

i. Clarity of Objectives

The objectives of the plan and therefore the focus of this study refer to those outcomes that the NIUPLAN project envisioned in Nairobi's future state. This is covered by the city vision which was to make Nairobi an iconic and globally attractive city aimed at regional integration and sustainability. The sectoral drivers/pillars of the vision were economy, environment, governance and social culture.

Each of these sectors had subsidiary objectives which were to contribute to achieving the overall vision. These are shown in the table below.

Table 2: Sector Based Vision

	Globally Attractive	Regional Integration	Sustainability
Economy	<ul style="list-style-type: none"> ▪ Balancing economic growth (geographically and by sector) and equal opportunities economically through planned and mixed use urban form 	<ul style="list-style-type: none"> ▪ Linking urban areas through transport, linking land uses and the economy with neighboring regions 	<ul style="list-style-type: none"> ▪ Job opportunities, balancing economy and environment
Environment	<ul style="list-style-type: none"> ▪ Promoting greenery, clean air, and efficient land use through planning 	<ul style="list-style-type: none"> ▪ functional transport, coordinating urban growth and sustainable use of resource 	<ul style="list-style-type: none"> ▪ Conserving green spaces, solid waste management and sustainable resource use
Governance	<ul style="list-style-type: none"> ▪ Enhancing participation, accountability and transparency in urban management 	<ul style="list-style-type: none"> ▪ Providing services efficiently and coordinating with surrounding counties 	<ul style="list-style-type: none"> ▪ Good urban management and urban policy
Social Culture	<ul style="list-style-type: none"> ▪ Accessible social services, proper 	<ul style="list-style-type: none"> ▪ Preserving heritage and historical urban 	<ul style="list-style-type: none"> ▪ Access to social amenities, tourism,

	urban management, safety in travel and tourism	artifacts	developing sub-centres and preserving cultural identity
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Source: Nairobi City County, 2014

From the above it is evident that the NIUPLAN had a clear objective/vision anchored in the four sectors of economy, environment, governance and social culture.

ii. Adequacy of Data

The standard of establishing the adequacy of data was not only the currency of data at the time of plan preparation but also the potential to accomplish the project objectives. Since the NIUPLAN vision of a globally attractive, integrated and sustainable city was anchored in the four sectors of economy, environment, governance and social culture, data on the current condition of these sectors in light of this vision was required.

In the NIUPLAN data was collected on the following: socioeconomic and urban conditions, institutions and regulatory conditions, infrastructure conditions and donor activities, all culminating in establishing the constraints and planning issues in Nairobi. The breakdown of the specific areas of interest covered under each of these topics/headers is shown in the table below.

Table 3: Areas of Interest for Data Collected

Topic	Areas of Interest
Socioeconomic and urban conditions	Natural conditions, population/demographics, socio-economy, environmental status, land use, urban services
Institutions and regulatory conditions	Reviewing legislations, institutional responsibility regarding urban planning, environment, economy and investment, infrastructure; review of existing plans, human resources development
Infrastructure conditions and donor activities	Review of current conditions and related projects in urban road, rail and air transport, water supply and sewerage, storm water drainage, electricity, solid waste management and telecoms

Source: Nairobi City County, 2014

The data collected was therefore both relevant to the objectives of the plan and as current as possible at the time of plan preparation in 2012-2014.

iii. Proper Analysis

In order for analysis to be successful in planning, the data available should be adequate to reflect accurately the current conditions of the planning area. This makes it possible to establish the development needs and gaps by comparing the current conditions to established standards or ideals. These gaps usually pertain to the areas of interest under study as identified in the previous section.

As indicated earlier, all analyses culminated in a list of emerging issues which would have to be provided for in the plan proposals stage. The table below shows in summary the issues identified by the analysis.

Table 4: Emerging Issues

Topic	Emerging Issues
Urban Planning	Inadequate infrastructure, urban sprawl, unplanned urban development, congestion in the CBD
Urban Transport	Passage of international route through Nairobi, rapid increase of private vehicles, inefficient public transportation system, delayed road development and intersection improvement
Socio-economy	Insecurity in various areas of Nairobi, shortage of housing for different income groups, insufficient public facilities, unemployment especially amongst the youth

Source: Nairobi City County, 2014

The analysis was able to bring out the major issues of concern in the city of Nairobi as far as development goes thus preparing a firm basis for the preparation of plan proposals. Nevertheless, the synthesis of emerging issues presents a problem with consistency when viewed from a different perspective as discussed below. Also, as shown under financial capacity in agency based factors, the costing of proposed projects was incomplete.

iv. Internal Consistency

Internal consistency is a function of the objectives, data collection and analysis, and plan proposals. The objectives are the center of the plan and must inform the subsequent stages until plan completion. From the preceding discourse, it emerges that the data collection and analysis stages were thoroughly informed by the vision/objective of the plan.

The plan proposals had two major components: a structure plan (land use plan) and development strategies/interventions respecting particular sectors/themes. The structure plan is a framework which guides the development or redevelopment of land in the planning area. It designates different parts of the city/region for particular uses accompanying them with the relevant policies to ensure that the proposed land uses are observed.

It is noteworthy that the structure plan is arrived at through a process referred to as land optimization. This is where the land use proposed and the attendant land management policies seek to ensure the attainment of the objective/vision of the plan while countering issues identified during analysis. In the case of the NIUPLAN, the structure plan should promote Nairobi as a globally attractive, regionally integrated and sustainable city.

The NIUPLAN structure plan focused on decongesting the central business district (CBD) through proposing a hierarchy of sub centres. These sub centres were meant to act either as growth poles which aim at redistributing the population and employment opportunities; or as service centres for lower or higher order services. This would reduce disparities in economic growth within Nairobi.

Apart from decentralizing business and administrative functions, the structure plan also proposed transit-oriented development to foster sustainable transportation. This is where high density urban development is encouraged along mass transit corridors to facilitate access to the main nodes of urban activity. The NIUPLAN proposed sub centres along the major terminal facilities/interchanges.

Other priorities of the structure plan were to supply appropriate housing for all, conserve the natural environment including forests and riparian reserves, and conserve agricultural areas. This is as shown in the table below.

Table 5: Priorities of the NIUPLAN Structure Plan

Priority	Land Use Policy
To decentralize business, administrative and commercial functions	<ul style="list-style-type: none"> ▪ Adopt a sub-centre system with new transportation network to redistribute economic activities ▪ Revise regulation of sub-centre land use to promote functionality and absorb rising population
To extend and renew the CBD	<ul style="list-style-type: none"> ▪ Develop KRC railway yard for new urban core
To provide adequate housing for all	<ul style="list-style-type: none"> ▪ Promoting medium and high density development

	<ul style="list-style-type: none"> ▪ Accessible housing and social amenities for low income cohorts
To preserve and restore green spaces	<ul style="list-style-type: none"> ▪ Preserve existing forests and woods ▪ Rivers and riparian reserves to be restored to open and recreational spaces
To preserve agriculture	<ul style="list-style-type: none"> ▪ Conserve agriculture to diversify land use
To restructure the industrial area	<ul style="list-style-type: none"> ▪ Allocation of new industrial areas in the southern part of the city ▪ Redevelop the current industrial area for new land use
To make the city beautiful and a source of pride for Kenyans	<ul style="list-style-type: none"> ▪ Urban regulation/renewal to retain historical beauty

Source: Nairobi City County, 2014

The NIUPLAN also had strategies to cater for the non-spatial dimensions of urban development. The strategies were on the following: urban transport development, urban infrastructure development including storm water and sewerage, electricity, solid waste management, and ICT.

Over and above these the NIUPLAN included a capacity development plan for governance institutions, an industrial development policy, urban facilities development policy and a proposal for managing Geographic Information Systems (GIS). The strategies were accompanied by priority projects/programs and an outline of the social and environmental considerations attendant on the implementation of these projects including Strategic Environmental Assessment (SEA).

The research concluded that there was thematic consistency in the plan from the objectives to the plan proposals, as well the structure plan as also the strategies all of which were calculated to make Nairobi a globally attractive, regionally integrated and sustainable city. The main thematic areas of economy, environment, governance and social culture upon which this vision was built were clearly recognizable both in the analysis and proposals stage.

However, there was a lack of consistency in the way the report presents the issues for analysis, to the synthesis of emerging issues all the way to plan proposals. Although essentially the issues dealt with in these different stages remain the same, they are presented in such a manner as to seem different because they are placed in ever-changing categories. This is quite undesirable because it presents challenges to implementers who interact with the plan post-approval; more so if their professional background is not in urban planning.

To illustrate this, the thematic areas indicated under data collection were: socio-economic and urban conditions; institutions and regulatory conditions; and infrastructure conditions and donor activities. Under the synthesis of emerging issues the categories changed to urban planning, urban transport and socio-economy. In the proposals they were altogether different i.e. urban development, urban transport, infrastructure, environment and urban development management.

This makes it quite difficult to keep track of different aspects of the plan and to establish how one stage leads to another.

v. *Public Participation*

Public participation was carried out in different stages of plan preparation. Stakeholder discussions were carried out in the formulation of development vision. These discussions were attended by the Nairobi City County (NCC) officials, national government officials, university experts and consultants.

During preparation of the Strategic Environmental Assessment (SEA) a website was created for the purposes of civic education and also to encourage comprehensive information disclosure. This was intended to make the master plan preparation process more participatory. Additionally, a more comprehensive public advertisement scheme was adopted which incorporated the use of posters, TV, radio, newspapers and the internet.

Apart from the website, focused group meetings were held in each sub county while preparing the SEA, with county representatives, local NGO representatives, community leaders and other stakeholders. Consultations were also conducted with several selected sector groups including women, youth, the disabled, residents associations, professional associations, business associations, implementing and regulatory agencies as well as universities. A validation meeting for the SEA was also carried out.

The alternative structure plans proposed by the consultant's technical working group were discussed at stakeholder meetings in order to select the preferred structure plan. Civic education was carried out for a period of three weeks to facilitate open discussion between Nairobi citizens and the NCC about the NIUPLAN and disseminate relevant information to the general public.

This was followed by public consultation meetings in the wards to incorporate public comments. The validity of proposed development options and selected priority programs was the main focus of these meetings. Thematic working groups were used which facilitated more interactive deliberations hence more insights. The themes were urban transport, urban infrastructure, land use/resettlement and social services, governance and institutional aspects and other cross-cutting issues.

The above discussion makes it quite clear that public participation was quite thorough and inclusive with significant diversity in the stakeholders involved. Nevertheless, it was not as effective for implementation as one might imagine; for instance some of the priority projects proposed under the power sub-sector were not implemented by the Kenya Power Company, the agency responsible for implementation.

These include the amendment of technical criteria for overhead line, development of an underground cable in Dandora and power supply in Dandora industrial area. The CIDP (2018-2022) indicated that the contents of these projects had not been shared with the Kenya Power Company since NIUPLAN formulation and approval in 2014.

vi. Linkages to Sectoral Plans

The executability of a plan begins with integrating higher level plans. This is a requirement of Kenyan Law where county plans (which include urban development plans) must be based on relevant national policies (Government of Kenya, 2012). Such policies include the Constitution of Kenya, Kenya Vision 2030, National Spatial Plan, National Urban Development Policy, National Solid Waste Management Strategy and National Environmental Action Plan among others.

Here however, the linkage of a plan to the budgeting instruments of the implementing agency is our concern. According to Gashi and Watkins (2015) a long term strategy lacks viability if not underpinned by a realistic financing envelope and operationalized through annual plans. Huang et al. (2018) have supported this saying that the poor connection of spatial plans with budgeting and investment processes is a critical reason for poor implementation.

In Kenya, county plans of which there are four categories are the basis for all budgeting and spending in a county. These are the County Integrated Development Plan (CIDP), County

Sectoral Plans, County Spatial Plans and city/municipal plans (Government of Kenya, 2012). Nairobi is a city county and therefore the city/municipal plan (NIUPLAN) covers the entire county.

The CIDP is a development plan spanning 5 years that is supposed to address the county's development needs. Particularly, it should identify any investment programs in the county and any development activities of an economic, social, physical or institutional nature. Furthermore it must include all plans, programs and projects to be implemented in the county by any government organization (Government of Kenya, 2012).

The CIDP should moreover include a resource mobilization and management framework including the financial resources available for capital project development as well as operational expenditure. It is therefore the main budgetary instrument of the county having a financial strategy for expenditure control and revenue enhancement.

In turn, county sectoral plans are 10 year plans prepared by each county department and form component parts of the CIDP. They are the basis for preparing budgets and managing performance and are reviewed every 5 years and updated annually. The research therefore focused on the linkages between the NIUPLAN and the CIDPs as the chief budgeting instrument.

The NIUPLAN has a set of projects and programs that were proposed as a means to actualize the vision of the plan. They were categorized into priority and non-priority projects. Priority projects were intended as flagship projects mostly to be implemented within the short-term (4-5 years); expected to be completed by 2018 while others, being expected to take longer than 5 years, were categorized as medium-term priority projects.

The priority projects were packaged into five sectors each comprising a program namely urban development, urban transport, infrastructure, environment, and urban development management. This is as shown in the table below.

Table 6: Priority Projects of the NIUPLAN

Program/ Sector	Project	Time Frame	Institutional Responsibility
Urban Development	Railway city development	Short	NCC, KRC
	Development east of Tom Mboya street	Medium	NCC, Developer
	Development of Dandora sub-centre	Short	NCC, Developer
	Urban renewal in Eastlands	Short	NCC, NHC
Urban Transport	CBD-Railway City viaduct	Short	NCC, KURA
	Widening of Enterprise Road	Short	NCC, KURA
	Construction of northern part of circumferential road C-2	Short	NCC, KURA
	New bus terminus in Railway City	Short	KURA, NCC
	Formulating a public transport policy	Short	Ministry of Transport and Infrastructure (MoTI), Ministry of Development and Planning (MoDP), NCC
	Revitalization of commuter train	Immediately	KRC
	Feasibility study for the east-west corridor Mass Rapid Transit (MRT) line	Short	KRC
	Feasibility study on Nairobi loop line	Short	NCC, KRC
	Formulating the Intelligent Transport System (ITS) city master plan	Immediately	NCC, Police
Infrastructure	Distribution network master plan	Short	NCC
	Rain water collection equipment	Short	NCC
	AWSB operated priority project	Short	NCC, AWSB
	Amending the technical criteria for overhead line	Immediately	Kenya Power
	Review the Least Cost Power Development Plan (LCPDP)	Short	Energy Regulatory Commission
	Developing an underground cable in Dandora area	Medium	NCC
	Power supply for Dandora industrial area	Medium	NCC
	Fiber optic trunk communication network in Nairobi city	Immediate	NCC, Government, Operator
	Common infrastructure for operators	Medium	NCC, Operator
	Introducing a dedicated network for government offices	Medium	NCC, Government
	Disaster information gathering and dissemination system	Medium	NCC
	Infrastructure sharing policy	Medium	NCC, Operator

Environment	River improvement project	Short	WRMA, NCC
	Sewerage improvement project	Short	AWSB, NCC
	Developing capacity for storm water drainage in Nairobi	Short	NCC
	Developing capacity for sewerage systems in Nairobi	Short	NCC
	Developing a new landfill site	Short	NCC
	Closing the current landfill site	Medium	NCC
	Nairobi solid waste management	Short	NCC
	Development of Material Recovery Facilities (MRFs)	Medium	NCC
	Improving waste collection and transportation system	Medium	NCC
	Establish and improve laws and regulations for effective solid waste management	Medium	NCC
	City-wide air quality management program	Short	NCC, MoTI, Ministry of Lands Housing and Urban Development (MoLHUD)
Urban Development Management	Installing an integrated GIS data management system for NCC	Medium	NCC
	strengthening institutional capacity for urban development management	Immediately	NCC
Key: Immediately: 2-3 years, Short: 4-5 years, Medium: over 5 years			

Source: Nairobi City County, 2014

The non-priority projects were those projects of lesser urgency which were to be implemented in the medium to long term but would nonetheless contribute to the achievement of the vision/objective of the plan. They are shown in the table below.

Table 7: Non-Priority Projects

Sector	Project
Sub Centre Development	<ul style="list-style-type: none"> ▪ Eastlands (including Makadara Station) ▪ Imara Daima station area ▪ Woodley station area ▪ Embakasi new railway station area ▪ Detailed Local Physical Development Plans (LPDPs) for zone 3 (Westlands and Parklands), zone 4 (Spring Valley, Kileleshwa and Kilimani) and zone 5 (upper Spring Valley and Lavington)
Urban Transport Development Plan	<ul style="list-style-type: none"> ▪ Introduction of DMU (Diesel Multiple Units) for the existing KRC lines

	<ul style="list-style-type: none"> ▪ Rehabilitation of existing KRC lines ▪ Introduction of signaling system for DMU operation
Urban Infrastructure	<ul style="list-style-type: none"> ▪ Capacity development for water environment management ▪ Developing the GIS system for map information sharing ▪ Local government data center and cyber security ▪ Upgrading the national addressing system ▪ ICT training for citizens ▪ Establishing a framework for supervising and maintaining construction works
Governance and Institutions	<ul style="list-style-type: none"> ▪ Organizational strengthening i.e. NCC, stakeholder engagement/public participation and inter-county coordination ▪ Human resources development
Industrial Development	<ul style="list-style-type: none"> ▪ The NCC to create an enabling environment to conducting business in Nairobi and raise Kenya’s rank in the ‘Ease of Doing Business’ International Finance Corporation list. ▪ Identification of potential public/private investment sites to realize the potential value. ▪ Facilitate business and investment together with other organizations such as Kenya Investment Authority (Ken-Invest), Kenya Industrial Estates Ltd. (KIE), Micro and Small Enterprise Authority (MSEA) and private sector companies. ▪ Redevelop and renew potential sites owned by NCC in partnership with the private sector to include land uses other than residential e.g. commercial/office units and light manufacturing industries. ▪ Sub contract the operation of social facilities to NGOs and/or CBOs including youth groups. ▪ Improve city markets for traders and neighborhoods. ▪ Increase transparency in the management of roadside parking. ▪ Create an industrial statistics archive.
Urban Facilities	<ul style="list-style-type: none"> ▪ Provide new ones sufficient for the population of Nairobi according to the projections: health facilities, education facilities at all levels i.e. primary, secondary and tertiary, markets and community centers
Geographic Information Systems (GIS)	<ul style="list-style-type: none"> ▪ Updating metadata i.e. the description of data attributes such as size of image, colour depth, date of creation, image resolution etc. to facilitate better data management. ▪ Establishing a central GIS repository at the Survey of Kenya where it can be made accessible to all. ▪ Public and private organizations engaged in GIS activities to have their data checked for accuracy and integrity at the Survey of Kenya offices. ▪ Establishing a standard model for GIS data to improve consistency. ▪ Regular updating of existing data. ▪ Adoption of an open policy on GIS data to enable better data sharing and improve communication, service delivery and administrative efficiency.

Source: Nairobi City County, 2014

Linkage of the NIUPLAN with CIDPs

The inclusion of both priority and non-priority projects in the CIDPs was tracked to establish whether they were implemented as intended. We must note, however, that not all the projects were to be implemented by the Nairobi City County (NCC).

There have been three CIDPs prepared in respect to Nairobi City County since the Constitution established the devolved government system. The first one covered the period from 2013-2017, the second 2018-2022 and the third covering 2023-2027.

The 2013-2017 CIDP included the following projects which were proposed by the NIUPLAN as priorities for implementation:

1. Finalization of integrated urban development master plan (the NIUPLAN was not complete at the time).
2. Carrying out the railway city study.
3. Carrying out the east of Tom Mboya street study.
4. Carrying out the sub-centre study.
5. Installing an integrated GIS data management system for NCC.
6. Urban development management strengthening.

The CIDP that followed i.e. for the period 2018-2022 acknowledged the completion of the NIUPLAN and indicated that implementation of some of the priority projects had commenced. These included the renewal of old county estates, planning of the railway city and feasibility study for a flyover connecting the industrial area to the CBD (viaduct).

This CIDP (2018-2022) also gave the implementation status of the priority projects as proposed in the NIUPLAN. Only the installation of a GIS system for NCC data management had been completed at the time. Seventeen of the priority projects were ongoing, nine had not started and the status of ten more was not clear. One of the projects, construction of the northern part of road C-2 was removed from the list of priority projects upon consulting the Kenya Urban Roads Authority (KURA).

This is as shown in the table below.

Table 8: Implementation Status of Priority Projects (2018-2022)

Sector	Project	Status
Urban Development	Railway city development	1
	Development east of Tom Mboya street	1
	Development of Dandora sub-centre	1
	Urban renewal in Eastlands	1
Urban Transport	CBD-Railway City viaduct	4
	Widening of Enterprise Rd	1
	Construction of northern part of circumferential road C-2	3
	New bus terminus in Railway City	1
	Formulating a public transport policy	1
	Revitalization of commuter train	1
	Feasibility study for the east-west corridor MRT line	4
	Feasibility study on Nairobi loop line	1
	Formulation of ITS city master plan	1
Infrastructure Development	Distribution network master plan	2
	Rain water collection equipment	2
	AWSB operated priority project	1
	Amending the technical criteria for overhead line	4
	Review the LCPDP	4
	Developing an underground cable in Dandora area	4
	Power supply for Dandora industrial area	4
	Fiber optic trunk communication network in Nairobi city	4
	Common infrastructure for operators	2
	Introducing a dedicated network for government offices	2
	Disaster information gathering and dissemination system	4
	Infrastructure sharing policy	2
	Environment	River improvement project
Sewerage improvement project		1
Developing capacity for storm water drainage in Nairobi		4
Developing capacity for sewerage systems in Nairobi		2
Developing a new landfill site		2
Closing the current landfill site		2
Nairobi solid waste management		1
Development of MRFs		1
Improvement of waste collection and transportation system		2
Establish and improve laws, regulations and guidelines for effective solid waste management		1
City-wide air quality management program		1

Urban Development Management	Installing an integrated GIS data management system for NCC	5
	strengthening institutional capacity for urban development management	1
Key: 1: Ongoing, 2: Not Started, 3: Removed, 4: Not Clear, 5: Complete		

Source: Nairobi City County, 2018

For those projects whose implementation status was unclear, this was either because it was not indicated in the CIDP or the applicability of the projects was yet to be determined and it remained to be established whether they were a priority or not (this was the case for some Kenya Power projects proposed in Dandora). Once again this points to the ineffectiveness of public participation because proper stakeholder engagement would have prevented this.

Furthermore, the status of implementation of priority projects should be indicated for each otherwise the monitoring of implementation progress becomes difficult in subsequent stages and especially when there is a regime change.

The continuity reflected in the first two CIDPs appears to have been lost in the third (2023-2027). This was mostly evident in the section on development priorities and strategies where there was no report on the progress of the priority projects proposed in the NIUPLAN as would be expected since only one of the thirty eight had been completed at the time of preparing the second CIDP i.e. 2018-2022. Without this progressive tracking the achievement of the plan's vision would be highly unlikely if even possible.

It is also worthy of note that the 2023-2027 CIDP was prepared following a general election in the country which came with a regime change in the governance of Nairobi City County and a possible change in development priorities. Nonetheless the recommendations of an urban development plan, such as the NIUPLAN, may not be relegated since they are legally binding once approved.

In practice, preparation of the CIDP references long term plans such as the NIUPLAN and national development roadmaps e.g. Vision 2030. Nevertheless, the research shows that this is done without the necessary fidelity to the provisions of the plan required to facilitate its incremental implementation especially if the CIDP is prepared a long time after plan approval.

Currently, this is the implementation status of proposed projects:

Table 9: Implementation Status of Projects

Priority	Non-Priority
<ul style="list-style-type: none"> ▪ Railway city plan has been undertaken under the Nairobi Metropolitan Services Improvement Project (NAMSIP) funded by the World Bank ▪ Dandora sub-center development: railway station, access roads and market renovation ▪ Plan for Eastlands urban renewal has been approved; Donholm and Makadara railway stations by KRC, affordable housing projects, growth centres around Gikomba and Makadara ▪ Widening of enterprise road is complete ▪ Preparation of public transport policy by the Ministry of Transport is ongoing ▪ Revitalization of commuter train operation is ongoing; the KRC has prepared the Commuter Rail Master Plan ▪ Mass Rapid Transit (MRT) line was found to be unfeasible after feasibility study ▪ River improvement project is ongoing i.e. Nairobi River ▪ Development of Material Recovery Facilities (MRFs) is ongoing ▪ Installation of GIS in NCC commenced but has stalled 	<ul style="list-style-type: none"> ▪ Embakasi sub-center plan ▪ Diesel Multiple Units (DMUs) are ongoing

Source: Key Informants

4.2.2 Performance in Agency Based Factors

Agency based factors have got to do with the institutions responsible for bringing the goals and objectives of a policy/plan to fruition. They include clear designation of roles and responsibilities, capacity, be it financial or human resources, organizational structure, monitoring, leadership and decision making among others. These are expounded below in respect to the NIUPLAN.

i. Definition of Roles and Responsibilities

The responsibilities for plan implementation in Kenya are distributed amongst several institutions/agencies and are outlined in the main legislations pertaining to planning in the country namely the Physical and Land Use Planning Act (2019), the Urban Areas and Cities Act (2011) and the County Governments Act (2012). The institutions and the responsibility assigned to each are summarized in the table below.

Table 10: Institutional Responsibility for Plan Implementation

Institution/Office	Duties and Responsibilities
County Executive Committee Member for Lands	<ul style="list-style-type: none"> ▪ Enforcing development control regulations ▪ Approving development permissions submitted to the County Director
County Director of Physical and Land Use Planning	<ul style="list-style-type: none"> ▪ Preparing urban plans ▪ Issuing development permissions with the approval of the CEC member
County Planning Unit	<ul style="list-style-type: none"> ▪ Ensuring integrated development planning in the county ▪ Ensuring connection between county planning and national planning ▪ Ensuring citizen participation in the planning process ▪ Establishment of a GIS based database system ▪ Ensure that planning in the county is done effectively
City Board	<ul style="list-style-type: none"> ▪ Managing the city ▪ Ensure implementation and compliance with the plan ▪ Monitoring how impactful/effective plans are ▪ Submit periodic reports to the NLC on plan implementation ▪ Controlling land use, subdivision, development and zoning as an agent of the county government ▪ Undertaking infrastructural development and service provision
City Manager	<ul style="list-style-type: none"> ▪ Implementing the decisions of the board
County Executive Committee	<ul style="list-style-type: none"> ▪ Assist/facilitate plan formulation, adoption and review ▪ Resolve disputes connected with plan formulation, adoption and review
National Land Commission	<ul style="list-style-type: none"> ▪ Monitor and oversee implementation ▪ Receive periodic reports on plan implementation from the City Board
County Physical and Land Use Planning Consultative Forum	<ul style="list-style-type: none"> ▪ Promoting coordination/integration of land use planning with sector planning ▪ Advise on how to mobilize resources for plan preparation and implementation
County Physical and Land Use Planning Liaison Committee	<ul style="list-style-type: none"> ▪ Hear appeals on planning and development control issues
Citizen Fora	<ul style="list-style-type: none"> ▪ Monitor activities of the City Board
State Department for Lands and Physical Planning	<ul style="list-style-type: none"> ▪ Coordinating county planning in the way of policies, standards and guidelines ▪ Building capacity and technical competence in counties for planning purposes
State Department for Housing and Urban Development (Directorate of Urban and Metropolitan	<ul style="list-style-type: none"> ▪ Coordinate and administer policy in NMR ▪ Development of Integrated roads, bus and rail infrastructure ▪ Development and investment in world-class infrastructure ▪ Identification and implementation of strategic projects/programs requiring national government support

Development)	<ul style="list-style-type: none"> ▪ Development of a sustainable funding framework for identified urban/metropolitan areas
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Source: Compiled by Author from Planning Law

The city board and the office of the city manager are not established within the NCC. This means that there is currently no formal mechanism to monitor the impact and effectiveness of the plan, which is one of the roles of a city board. The CEC is the ultimate planning authority in the NCC which implies that the monitoring of plan implementation is the role of that office but this is not formally expressed in law.

Moreover, the NLC ought to receive periodic reports from city boards on plan implementation progress. However, since this institution is not established within NCC, there is a loophole as to which office in the NCC is accountable to the NLC for implementing the NIUPLAN. This creates further difficulty in tracking plan implementation.

The County Physical and Land Use Planning Consultative Forum, which is tasked with the responsibility of coordinating land use development with sector planning is also non-existent. This creates difficulties for implementation as it has already been noted that the importance of integrating planning and sector planning, especially with finance and budgeting, is critical for successful implementation.

The law more or less indicates and assigns roles and responsibilities for plan preparation, approval and implementation quite clearly. Nevertheless, if the institutions charged with these responsibilities are absent, the implementation of urban plans will remain a challenge.

ii. Adequacy of Staff (Human Resource Capacity)

A large part of the staff in NCC was coopted from the defunct Nairobi City Council and a majority carries out support roles. This means there is redundancy since the wage bill is not proportionate to the level of productivity of the employees. Furthermore, the employees with relevant technical skills in the planning department are a minority, which negatively affects implementation of the NIUPLAN.

The Directorate of Urban and Metropolitan Development under the State Department of Housing and Urban Development offers technical support to the NCC but this can hardly solve the

problem in question. There is need for major restructuring of staffing protocols within the NCC moving forward in order to ensure technical competence for plan implementation.

iii. Financial Capacity

In order to estimate financial capacity, the revenue and expenditure patterns of the NCC have been studied. It is noted that revenue sources include both external and internal or own source revenue (OSR) whereas expenditure analysis included both recurrent and development expenditure.

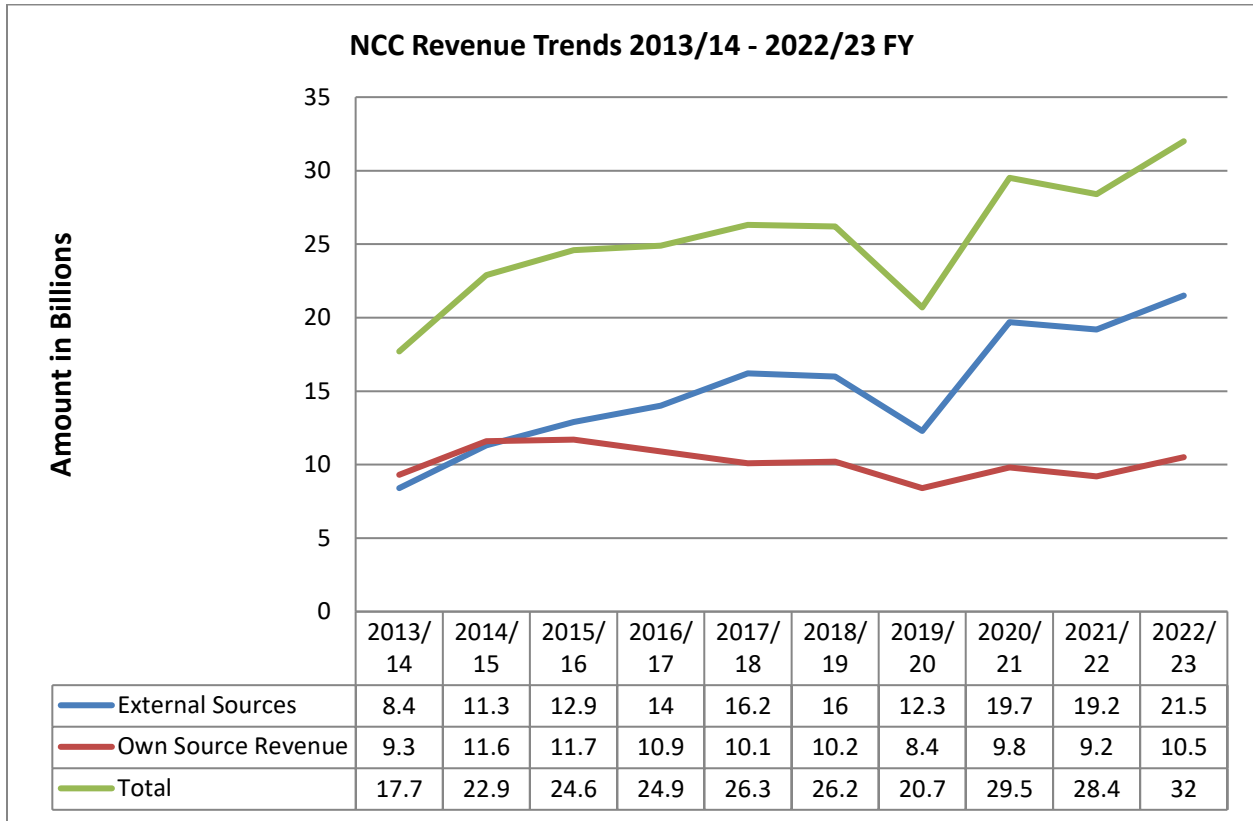
External sources of revenue have been the main revenue source for NCC. From 2013 to 2017, the equitable share from the national government was the only external revenue source for NCC. However, from 2017-2023, this expanded to include not only the equitable share but also conditional grants from the national government and other development partners.

From the 2014/15 financial year, external sources of revenue have consistently exceeded own source revenues. The main own source revenues for NCC are: parking fees, land rates, single business permits (SBPs), billboards and advertisements as well as building plans/permits. Land rates were the main contributor to OSR during the period of interest.

There was a steady rise in total revenue from 2013/14 FY but it dipped considerably in the 2019/20 FY due to the pandemic. The highest revenue collected was in 2022/23 FY at roughly Kshs. 32 Billion whereas the lowest revenue collected was recorded in the 2013/14 FY amounting to Kshs. 17.7 Billion.

In the 2022/23 FY, there were new external revenue sources from the World Bank for the Kenya Informal Settlements Improvement Project (KISIP) and the Swedish Agricultural Sector Development Support Programme. The NCC revenue trends, 2013/14-2022/23, are shown in the line graph below.

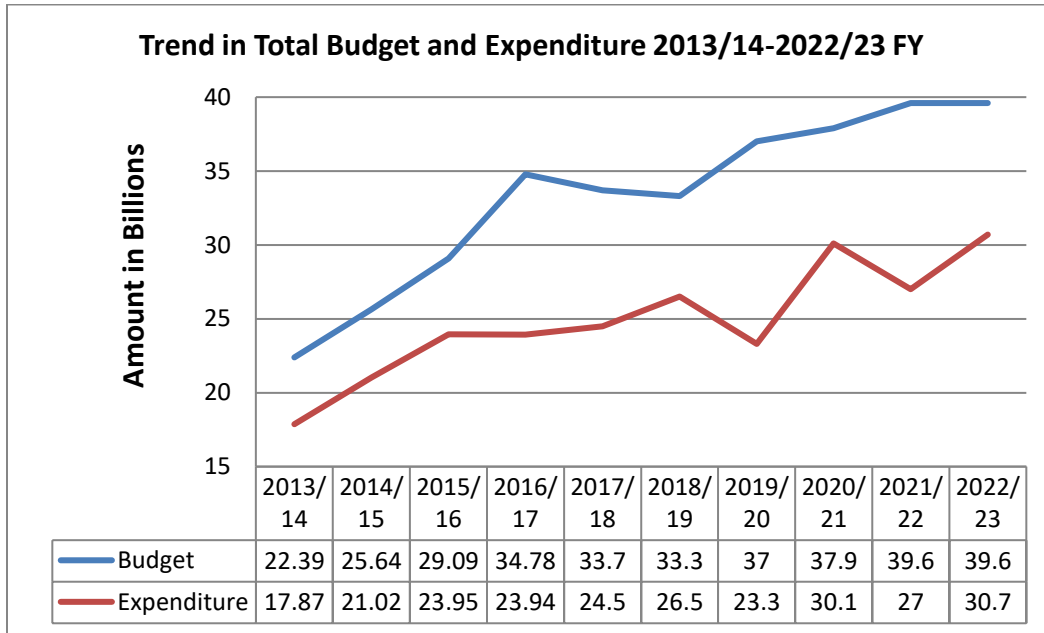
Figure 2: NCC Revenue Trends



Source: CIDP 2018-2022 & CFSP 2024

As far as expenditure goes, actual expenditure rose from Kshs. 17.87 Billion in 2013/14 FY to Kshs. 30.7 Billion in 2022/23 FY. Actual expenditure was always short of the budget, indicating that the anticipated revenue, from both internal and external sources, was higher than that which was actually generated. The trend in budgeted and actual expenditure during this period is shown in the graph below.

Figure 3: Trend in Budgeted & Actual Expenditure

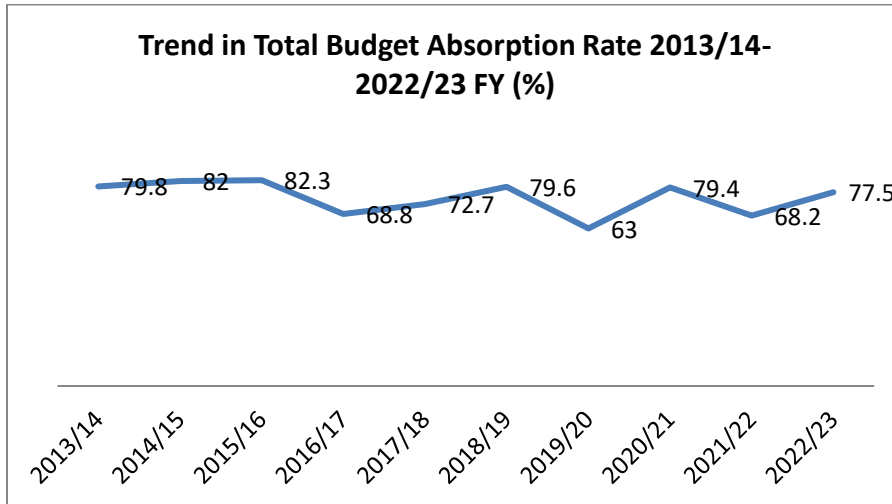


Source: NCC

Budget absorption rate refers to the actual expenditure expressed as a percentage/share of the budget. The higher the absorption rate i.e. how close the actual expenditure is to the budget, the better the budget formulation and execution process. For the period of interest, absorption rate was at an average of 75.3% and ranged from 63% in 2019/20 FY to 82.3% in 2015/16 FY.

The absorption rates for total budgeted expenditure from 2013-2023 are shown in the graph below.

Figure 4: Trend in Budget Absorption Rate

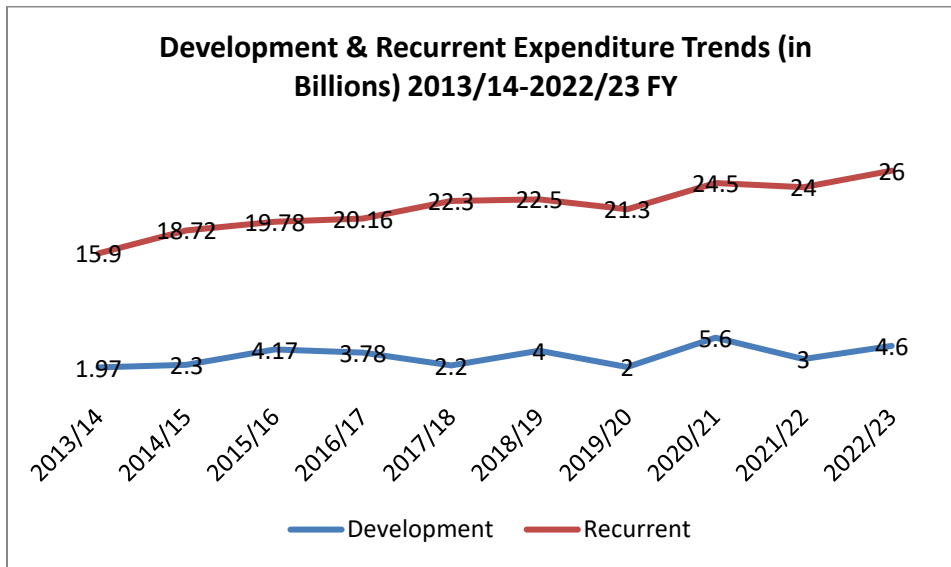


Source: NCC

Recurrent expenditure consistently outstripped development expenditure throughout the period i.e. 2013-2023. Recurrent expenditure rose from Kshs. 15.9 Billion in 2013/14 to Kshs. 26 Billion in 2022/23 FY whereas development expenditure rose from Kshs. 1.97 Billion to Kshs. 4.6 Billion during the same period.

A similar drop is observable in the expenditure for the 2019/20 FY due to Covid-19. The trends in recurrent and development expenditure are shown in the graph below.

Figure 5: Trends in Recurrent & Development Expenditure

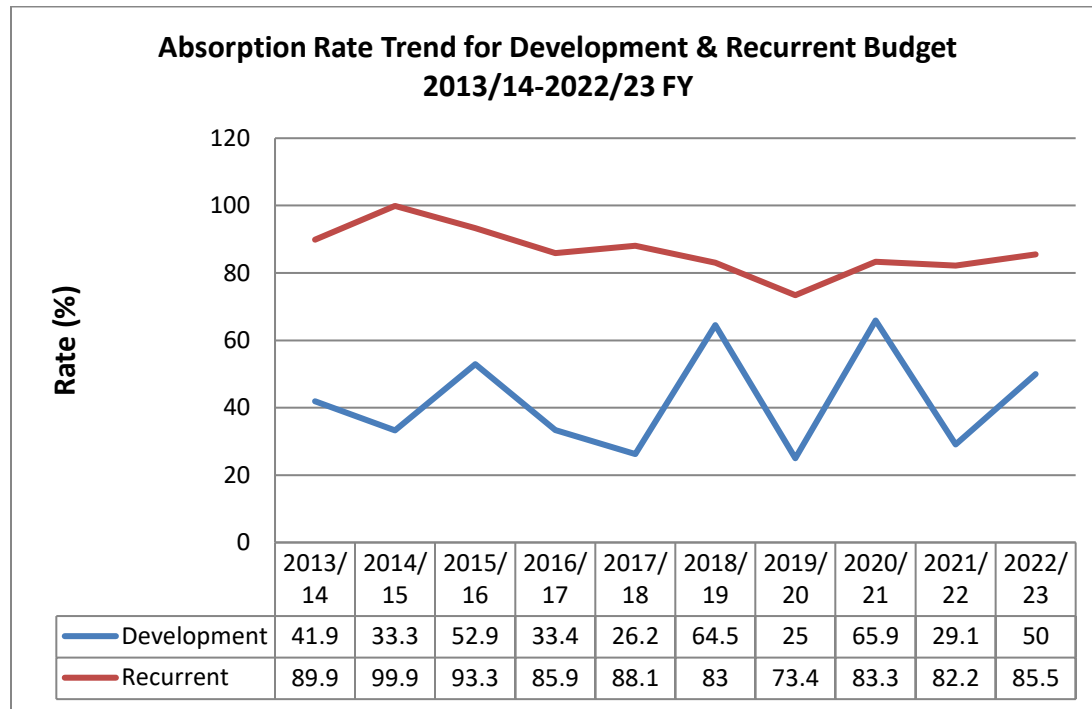


Source: NCC

A major reason as to why the recurrent budget by far exceeds the development budget is that at its inception, the NCC inherited the defunct Nairobi City Council employees, many of whom only have support roles. This has led to a huge wage bill on the part of the NCC without the concomitant productivity. It also means that county expenditure is not used optimally.

Absorption rate for recurrent budget was 86% on average; more than double that for development budget which was 42%. This was partly attributed to delays in the procurement process as well as litigation where development sites have disputed ownership. The absorption trends are shown in the graph below.

Figure 6: Trends in Recurrent & Development Budget Absorption



Source: NCC

The proposed projects in the NIUPLAN were categorized into priority and non-priority projects. The priority projects were further categorized as immediate, short-term and medium term in terms of the implementation time frames. Those that were categorized as immediate were to be implemented within 2-3 years; the short-term projects were to be implemented from 4-5 years whereas the medium term projects were to be implemented from 5 years and over.

The priority projects were 38 in total; 5 immediate, 21 short-term and 12 medium-term. Cost estimates were provided for all placed in the immediate category, 14 of the short term and just 1 of the medium term projects. A total of 15 of the 38 priority projects across all categories had no cost estimates. Also, there were no cost estimates for the non-priority projects, nor was there an indication of the proposed time frame for their implementation.

There was no clear indication of the financial implications of proposed projects to the NCC coffers because some projects were to be implemented exclusively by the NCC whereas others were to be joint ventures with the national government, parastatals and other agencies.

Furthermore, costing was not indicated for some of the projects, including those which were to involve the NCC.

As a result, budgeting for development/capital projects, both priority and non-priority, becomes difficult since there is no tentative target to work with as would be the case if the NIUPLAN showed clearly the financial burden of the proposed projects that lay with the NCC. This is part of the reason why absorption rate of development expenditure is quite low as shown in the discussion above.

The inadequacy of funds was cited as a major challenge to the implementation of the NIUPLAN projects. It is noted that the county is often forced to prioritize non-discretionary expenditures over development projects due to insufficient funds. Furthermore, there are long delays in the procurement process of up to four months which hinder the start and progress of development projects.

Loopholes in OSRs are another challenge contributing to the low financial capacity of the NCC to implement projects. For instance, it was noted that the NCC garners absolutely no revenue from garbage collection although residents pay monthly for garbage collection services to collectors who are also paid by the county.

Moreover, the last valuation roll for land and property in Nairobi was prepared in 1980 and therefore it is not only outdated but excludes new properties which have entered the land market (Ouna, 2017). This has got negative implications on the revenue collected by the NCC in land rates.

iv. Monitoring

As noted earlier, there is currently no formal mechanism within the NCC to monitor the implementation of the NIUPLAN. Among the proposed projects, some are to be implemented by the NCC alone; some are joint ventures of the NCC and other institutions while others do not involve the NCC at all. At the moment, in order to tell the progress in implementing these projects one would necessarily have to visit each organization with a role to play in implementing the proposed projects.

Moreover, the city board which is responsible for monitoring plan implementation and submitting periodic reports to the NLC on implementation progress has not been established in Nairobi. This is a handicap to the NCC because the implementation of plans such as the NIUPLAN is still centralized in a county of over 3.8 million residents.

The CEC being the supreme planning authority in the county is implicitly responsible for monitoring implementation of the plan but this is not really enforced at the moment. Review of the CIDPs corroborated this assessment showing a lack of continuity in tracking implementation progress of both priority and non-priority projects. Also, the NIUPLAN has never been reviewed since its approval.

v. *Staff Motivation and Team Building*

Motivation amongst the NCC staff towards achieving the vision of the NIUPLAN as an urban project is virtually non-existent. There was observed to be little commitment to the goals of the project, with staff motivation primarily tending towards personal goals. Furthermore, team building as a formal organizational practice is absent in the NCC. This has affected the implementation of the NIUPLAN adversely.

vi. *Institutional Coordination*

The literature noted that coordination between planners, key sector experts and finance officials is pivotal for successful implementation. The preparation of the NIUPLAN was multi-sectoral and thus all relevant stakeholders were involved.

However, there seems to be a breakdown in integration post plan approval as indicated by the divergence of the CIDPs from NIUPLAN provisions and the lack of implementation of projects which were not shared with the implementing agency as was the case with the Kenya Power Company projects proposed in Dandora.

Additionally, the County Physical and Land Use Planning Consultative Forum, which should facilitate the coordination of land use planning with sector planning has not yet been established in NCC further hindering institutional coordination for plan implementation.

4.2.3 Performance in Environment Based Factors

As indicated in the literature review, environment based factors are the success factors for implementation altogether outside the plan-making process and the implementing agencies. They pertain to the context in which plan implementation takes place which may be physical, legal or political. The environmental factors affecting the implementation of the NIUPLAN are discussed in further detail below.

i. Physical Environment

Land is the major factor affecting plan implementation in a physical sense. The research discovered that land for putting up projects is generally available as such proposals are made with due reference to current maps and GIS data. Nevertheless, disputes were identified as an issue affecting implementation, where lands with contested ownership have led to long litigation processes.

In a paper on land governance in Nairobi City County, Ouna (2017) highlighted several issues. Firstly, the Nairobi land registry is not complete not only as far as the totality of land parcels is concerned but also in respect to the information on the land parcels already in the registry e.g. on property description and value. Registry data is also not updated regularly and therefore insufficient.

Moreover, the costs implied by land registration such as the survey of boundaries are often unaffordable to many land owners who resort to informal land markets in order to transact in land. Lack of mapping and boundary demarcation, characteristic of informal land rights, makes it impossible to enforce property rights.

In addition, most of Nairobi's public land has been grabbed especially through illegal allocations of land through Part Development Plans (PDPs) in the 80s and 90s. This limits the liberty of the public sector to regulate development of land because the urban land market is almost entirely accounted for by the private sector.

It was also noted that the NLC which is responsible for the management of public land in Kenya lacks the resources to establish an inventory of all public land making it difficult to identify public land both on the ground and in maps, more so in Nairobi.

ii. Legal Environment

According to the Physical and Land Use Planning Act, the primary law for urban planning in Kenya, an urban development plan is prepared in respect to a city, municipality, town or urban settlement with a minimum population of 2,000 people. The local physical and land use development plan pointed out by the Physical and Land Use Planning Act, integrated cities/urban area plans pointed out by the Urban Areas and Cities Act, as well as cities/municipal plans indicated by the County Governments Act are all synonymous.

The local physical and land use development plan is prepared with reference to the county plan (referred to as the County Spatial Plan in the County Governments Act), inter-county as well as national physical and land use development plans. Furthermore it must be in line with the County Integrated Development Plan (CIDP), the principal budgeting and spending tool in the county, as outlined in the County Governments Act.

Urban development plans in Kenya are long-term plans reviewed every 5 years. They guide development and development control within the respective city or municipality. They are legally binding on all agencies (private or public) within the particular city/municipality (Government of Kenya, 2012).

As per the Urban Areas and Cities Act, they should contain the following: assessment of current situation pertaining to the socio-cultural aspects, economy and environment; determine and prioritize community needs; a city/urban area development vision; audit of available resources; strategies to achieve identified goals; specific programmes and projects to achieve intended goals; linkages with sector plans; and development control regulations.

PLUPA adds the following: analysis in respect to the physical environment, population, economy, housing and infrastructure, transportation etc.; a survey report in respect of the area to which the plan relates; GIS-based maps indicating the manner in which land in the area may be used; and a development model designating land use as well as connectivity/circulation.

The preparation of urban plans is vested in county governments. Notably, the county director of physical and land use planning is directly responsible for the preparation of urban plans as an agent of the county executive committee member-lands (Government of Kenya, 2019).

Implementing urban plans in Kenya is the responsibility of more than one institution. In line with this, the National Land Commission (2017) indicates that the implementation of an urban plan is a dynamic approach, led by a city/municipality board. The board is charged with ensuring implementation within its area of jurisdiction and that plans comply with national and county government policies.

Moreover it may promote/undertake infrastructural development and service provision; collect taxes and fees; as well as monitor how impactful or effective services, policies, programs or plans are as delegated by the county government (Government of Kenya, 2011).

City/municipal boards are also responsible for the control of land use, subdivision, development and zoning within the framework of spatial plans as agents of the county government. According to the NLC (2017) the board in question will work together with other stakeholders to implement the plan.

Importantly, the National Land Commission is mandated by the Constitution in Article 67 (2) (h) to monitor plan implementation in urban areas and in order to do so, the Commission is expected to receive periodic reports from the board as well as conduct visits to the particular urban area to verify implementation status (NLC, 2017).

The county director-planning is responsible for issuing development permissions and carry out development control with the approval of the CEC member and is required to maintain a land information system to guide planning in the county. Notably, one of the functions of development control is to ensure the effective execution/implementation of approved land use plans (Government of Kenya, 2019).

City/municipal plans are up for review every five years and the reviews approved by the county assembly (Government of Kenya, 2012). Moreover, the board of a city or municipality should review its integrated development plan yearly to measure its performance, in accordance with performance management tools it has set and may amend the plan according as it deems it necessary (Government of Kenya, 2011).

It is however noted here that the integrated development plan prepared by the city/municipality board is not the urban development plan. It is rather an operation plan to guide the board in the

execution of its duties which include implementing and monitoring the urban development (land use) plan that is the subject matter for this study.

Public participation is indicated as one of the policy-based factors required for effective plan implementation and according to the County Governments Act; the public must participate in the preparation of integrated urban plans. The county planning unit is responsible for ensuring effective citizen participation in the planning process.

Moreover, the county executive committee member is in charge of ensuring public participation in the review of urban development plans (Government of Kenya, 2019). In addition, cities/municipalities should create a suitable environment for participation by residents in preparing, implementing and reviewing plans.

Other legal provisions for plan formulation and implementation are summarized in the table below.

Table 11: Legal Provisions for Plan Implementation

Act of Parliament	Provisions
Physical and Land Use Planning Act (2019)	<ul style="list-style-type: none"> ▪ All plans formulated as per the Urban Areas and Cities Act, are to be prepared and approved in accordance with PLUPA. ▪ County governments are bound by approved physical and land use plans when considering submitted development applications. ▪ A CEC member is required to serve an enforcement notice if an owner, occupier or developer begins development on land without the requisite development permission or if he/she contravenes any conditions.
Urban Areas and Cities Act (2011)	<ul style="list-style-type: none"> ▪ Cities and municipalities are to operate within an integrated planning framework. ▪ Boards/committees must adopt a strategic plan for the development of the city/urban area in their first year of election. ▪ A plan is to be prepared for every city/urban area. ▪ Provisions must be made to link urban area/city plans with sector plans and tools put in place to measure their impact and performance. ▪ County governments are responsible for city/municipal management but may delegate this function to a board or manager. ▪ Every city or municipality must have a city/municipal manager who is answerable to the board and in charge of implementing its decisions. ▪ A board may constitute a committee for the performance of its duties if deemed necessary. ▪ City counties are to be governed and managed in the same way county governments are governed and managed.
County Governments Act (2012)	<ul style="list-style-type: none"> ▪ Development facilitation and control within cities or municipalities is to be carried out according to approved city/municipal plans. ▪ Indicates that cities and urban areas plans are provided for under the

	<p>Urban Areas and Cities Act (which in turn indicates that they are provided for by the PLUPA).</p> <ul style="list-style-type: none"> ▪ A county executive committee is required to monitor the formulation and adoption process of a city/municipality plan; ensure alignment of such plans with other cities/municipalities in the county and resolve disputes that may arise in the course of these processes.
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Source: Compiled by Author from Planning Law

As may be seen, the legal provisions for urban development planning in Kenya are quite comprehensive. They cover plan formulation, approval and review processes, the scope and content of urban development plans as well as their expected outputs and outcomes. Moreover, they cover public participation, institutional responsibility as well as checks and balances such as appeals and dispute resolution.

Nevertheless, some inadequacies in the law were noted by this research. Firstly, there is no city board in Nairobi and all planning matters are the responsibility of the CEC or the County Director as an agent of the CEC. There needs to be legal provision for how city counties like Nairobi are to be managed and particularly in regard to urban development.

In light of this, the Urban Areas and Cities Act states that city counties shall be managed like county governments but it is quite unclear how the concept of city boards/town committees is to be implemented in city counties which are entirely urbanized. The current practice where city management is centralized at county government level may prove ineffective as well due to the size of the city as also the high level of urbanization which presents greater challenges than in other counties which are not city counties.

Moreover, county physical and land use development plans (or county spatial plans), on which urban development plans are based; cover a time period of 10 years whereas urban development plans cover a longer period reaching 20 years. This poses practical challenges in the preparation and implementation of urban development plans since ideally, the lower level plan should cover a shorter period compared to the higher level plan.

Also, the legally binding status of urban development plans is not enforced in practice for instance where the Governor's Manifesto takes priority in guiding urban development. In order to ensure fidelity in implementing plans, there should be strict provision and enforcement of the

need to adhere to approved urban development plans as the principal guide to sustainable urban development.

The research also discovered that outsourced planning services do not entirely adhere to local legal provisions and planning methodologies. For example, the NIUPLAN which was prepared by the Japan International Cooperation Agency (JICA) is a master plan and essentially deviates from interior planning law which states that for a county (including a city county) a county spatial plan should be prepared.

Finally, in the Urban Areas and Cities Act there are two plans which are essentially different but bear the same name. Urban development plans and municipality strategic/operation plans are both referred to in the Act as 'integrated city and urban area development plans' which causes confusion and lack of clarity.

iii. Political Environment

The research found that political interference is a significant hindrance to the successful implementation of the NIUPLAN. Firstly, the respondents pointed out that the governor's manifesto takes priority in guiding development decisions within Nairobi, and that quick wins are often preferred over long term goals. This is reasonable if the manifesto and NIUPLAN are aligned, but looking at the CIDPs, particularly the latest which covers the period 2023-2027, this is not the case.

As reported under section 4.2.1, though the CIDPs do refer to other development frameworks e.g. the NIUPLAN, they nonetheless fail in the fidelity necessary for incremental plan implementation. The current CIDP (2023-2027) gives no report on the progress of the priority/non-priority projects proposed in the NIUPLAN.

Specifically, the CIDP 2023-2027 under the chapter on development priorities, strategies and programs, clearly states that it will focus on the three main aspirations of order, dignity and opportunity which are the pillars of the third Nairobi governor's manifesto (see appendix 5).

In addition, the CIDP flagship projects including equipping hospitals, establishing blood banks (under universal healthcare), feeding program for school going children, the '*biashara*' fund, NMT facilities and other commitments adopted from the manifesto though important, are not

priority projects as per the NIUPLAN. This suggests that political aspirations are preferred over the NIUPLAN in directing city development.

Moreover, political interference was cited as a major challenge to optimizing revenue collection in Nairobi. This in turn affects the budgeting process because revenue forecasts always end up being too high which in turn necessitates the preparation of supplementary budgets in order to cut down on expenses.

4.3 Preliminary Conclusion

This study endeavoured to establish the gaps and needs in implementing urban development plans in Kenya. In order to do this the Nairobi Integrated Urban Master Plan (NIUPLAN) was examined in a case study methodology against various parameters which fell into three categories: policy based, agency based and environment based.

Amongst the most glaring challenges was inadequacy of funds for implementing capital projects which was aggravated by poor linkage between planning and budgeting. It was also found that some of the institutions needed for implementation such as city boards and consultative forums have not been established.

In line with this the UN-Habitat (2019) found that planning has failed to integrate sector plans, strategies and budgets and that there is lack of an institutional development roadmap for making planning effective and efficient.

Additionally, inadequate technical competence, institutional coordination and monitoring of plan implementation also emerged as challenges; and that motivation of staff toward the achievement of NIUPLAN objectives and team building activities were particularly low thus presenting another difficulty to plan implementation.

In the environment based parameters, land disputes, an incomplete land registry, informal land markets and unenforceable land rights were notable constraints. Some gaps were also found in the legal and regulatory framework and moreover, political interference especially in overruling plan provisions as the major drivers of urban development was a significant issue.

Accordingly, Kitur (2019) found that implementation of plans involving privately held land was difficult and mediating all interests raised by private property owners either delayed or effectively prevented the implementation of certain proposed projects.

The same study showed that the prioritization of projects often changes to suit political aspirations because political offices are secured competitively through elections and nominations; therefore the holders of these offices endeavour to perform in popular and visible ways in order to earn public approval and thus secure votes.

CHAPTER 5: CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the summary of the findings of this research and discusses the broader implications of these findings on theory, practice, and policy. It outlines recommendations as to how the implementation of urban development plans in Kenya can be improved and suggests areas for further research.

Notably, the section is organized around the objectives of the research such that it is clearly seen how the research findings answered the objectives and also how they led to the recommendations, conclusions and suggestions for further research.

5.2 Summary of Findings

The objective of this study was to establish the gaps and needs in implementing urban development plans in Kenya. In order to do this the Nairobi Integrated Urban Master Plan (NIUPLAN) was examined in a case study methodology.

5.2.1 Objective 1

The first objective of the research was to establish aspects of successfully implemented urban development plans globally. In answer to this, reference was made to different theories of plan implementation. The research found that implementation may either be static or dynamic.

It is static when a particular objective, through a particular output, leads to a particular outcome and dynamic when an outcome satisfies more than one objective or satisfies one objective and contradicts another.

Static implementation is easier to measure and pertains to observing whether the outcomes satisfy the project objectives. Conversely, dynamic implementation is more difficult to measure because it takes place in an environment which is unpredictable and uncontrollable.

Since implementation in the real world context is dynamic rather than static, the research identified certain parameters or success factors which can help to estimate how executable/implementable a plan/policy is. These were policy, agency or environment based.

Moreover, the research looked at various publications on principles and recommended practices in respect to urban management and planning, all of which tended to the outcome dimensions of sustainable urban development e.g. secure and healthy urban environments, affordable housing, access to healthcare and education as well as protecting the ecosystem and preserving physical/environmental assets for future generations.

More specifically, the principles of good urban management included clear policy statements, secure legal basis, sound institutional arrangements, good revenue creation and budgeting strategies, advocacy and sharing of knowledge and experience.

In regard to urban planning, some of the best practices identified included: planning geared towards implementation, public participation, incorporation of technical skills, responsiveness to ground realities, flexibility/adaptability, planning based on robust research/analysis and alignment to public policies as well as the local governance structure.

Case studies of successfully implemented urban development plans in both the developed and developing world were also reviewed. Among the most outstanding practices to promote successful implementation were: clearly stated objectives; proposals made within the financial capacity of the implementing agency; a clear indication of institutional responsibility; alignment with political aspirations; a detailed monitoring and evaluation framework and a mechanism for intergovernmental coordination.

5.2.2 Objective 2

The second objective was to establish gaps in the current practices of urban plan implementation in Kenya. This first required a review of the current urban plan implementation practices in Kenya. This was carried out through a thorough appraisal of the Nairobi Integrated Urban Development Master Plan (NIUPLAN) in light of the findings of objective 1 above.

The research looked at the plan preparation process i.e. clarity of objectives, adequacy of data, quality of analysis, internal consistency, public participation and linkages to sectoral plans. Under the agency based (institutional factors) the study looked into issues of designation of roles and responsibilities, financial capacity, adequacy of staff, technical competence, leadership and motivation, plan monitoring as well as institutional coordination.

In the environment based issues the research looked at issues of land availability and tenure, the existing legal framework as well as the current political environment and how it affected the implementation of the NIUPLAN.

The objective/vision of the plan was to make Nairobi an iconic and globally attractive city aimed at regional integration and sustainability. This vision was pillared on economy, environment, governance and socio-culture. Data was in turn collected on socio-economic and urban conditions, institutions and regulatory conditions, infrastructure conditions and donor activities.

Public participation involved stakeholder discussions, focus group meetings and online engagement. Posters, TV, radio and newspapers were also used. The stakeholders included NCC officials, national government officials, university experts, consultants, NGO representatives and community leaders among others.

The office of the CEC (planning) is chiefly responsible for the implementation of urban plans in Nairobi. Other institutions with pivotal roles in implementation are the office of the County Director (planning) as an agent of the CEC, the NLC which should monitor and oversee plan implementation countrywide, and the consultative forum which is responsible for cross-sectoral coordination.

External revenue (equitable share) was the main revenue source for the NCC. The main OSRs are parking fees, land rates, SBPs, billboards/advertisements and building plans/permits. Land rates are the main OSR.

The law provides for plan formulation, approval and review, it outlines the scope and content of plans, as well as their expected outputs and outcomes. It also provides for public participation, institutional responsibility, and procedures for appeal and dispute resolution.

In order to establish the gaps in the current urban plan implementation practices, a comparison of the ideal policy, agency and environment based parameters and the real situation pertaining to the NIUPLAN as far as the same parameters were concerned was carried out. The research found that the plan conformed to some and departed from others.

Under the policy based parameters, the NIUPLAN had clear objectives and a well-articulated vision; it was based on adequate data and a thorough situational analysis.

However, the plan was inadequate regarding internal consistency in the arrangement of thematic areas. Public participation, although wide and consultative, was quite ineffective for implementation whereby some of the proposed projects were not shared with the implementing agencies even after plan approval. Linkage of the NIUPLAN to the CIDPs was also inadequate and lacked the fidelity necessary to ensure incremental plan implementation.

As far as agency based parameters are concerned, the NIUPLAN by varying degrees diverged from all and contravened the recommended practices. To begin with, roles and responsibilities for plan implementation are quite clear in the legal frameworks but some of the institutions required to carry them out have not been established in Nairobi.

For instance NCC lacks a city board that is tasked with monitoring plan implementation. If a city board is not practicable in a city county, a parallel framework is needed to manage urban development at a level lower than county level as it is currently under the CEC in charge of lands. The County Physical and Land Use Planning Consultative Forum, which should ensure integration of land use development with sector planning, has also not been formed.

Additionally, staff at the NCC planning department is inadequate with a large proportion consisting of former Nairobi City Council employees who more or less have support roles. This is financially inefficient and redirects much of the city funds to recurrent expenditure. Also, the staff members with adequate technical competence for plan implementation are a minority.

Insufficient finances were identified as a major challenge to the successful implementation of the NIUPLAN and this was attributed to various reasons which include redundancy in the staff as indicated above, as well as underperformance/loopholes in the collection of own source revenues (OSRs); the latter being partly referred to political interference and outdated land valuation rolls.

There were also secondary challenges related to financial issues which also proved a hindrance to plan implementation. Notably, cost estimates for many of the proposed projects in the NIUPLAN were not indicated thus making it difficult to budget for such projects. There are also significant delays in procurement processes of up to four months which in turn slow down the start and progress of development projects.

Furthermore, it was discovered that revenue estimates consistently exceed actual revenue occasioning the preparation of supplementary budgets to reduce expenditure; and that absorption rate for the development budget was particularly low at an average of 42% between the 2013/14 and 2022/23 financial years.

The NCC currently lacks a formal mechanism to monitor plan implementation. The county planning unit is responsible for implementing the planning function within the county and therefore for monitoring plan implementation under the CEC. However, there is no provision in law for how this is to be carried out particularly for a city county like Nairobi that does not have a city board. Plan review processes have also not been adhered to because the NIUPLAN has not been reviewed since approval.

The study found that there is little motivation of the NCC planning staff to project goals and objectives and moreover, team building activities are hardly carried out in the NCC. There was also poor institutional coordination indicated by the disparity between the NIUPLAN and CIDPs as well as due to the absence of the consultative forum noted above which is responsible for promoting integration between planning and other associated departments/institutions.

Environmental parameters were physical, legal and political. Land disputes, an incomplete land registry, informal land markets and unenforceable land rights were identified as factors hindering implementation of proposed projects in some places. There was also the issue of land grabbing as well as an incomplete inventory of public land by the NLC due to inadequate resources.

As far as the legal environment is concerned, there were several issues one being that there is no specific provision for how urban development is to be managed in city counties where the concept of a board/committee is difficult to implement as currently provided for in law.

Moreover, it was noted that the legally binding status of approved urban development plans is not strictly enforced and that plan provisions are disregarded to a certain point. Political priorities were identified to be a major cause for this pointing to a need to unify the technocratic and political interests relating to urban development.

In addition, the county spatial plan (county physical and land use development plan) which is a higher level plan covers a shorter time period of 10 years compared to urban development plans which are lower level and sometimes extend to periods of up to 20 years.

Finally, it was remarked that the wording used in legislation may be confusing especially as regards urban development plans and municipal operational/strategic plans which are both referred to as integrated city/urban area plans; and that outsourced planning services do not necessarily follow the local legal frameworks and methodologies resulting in implementation challenges further down the line.

Counties should have a County Spatial Plan but the NIUPLAN is a master plan and does not concur with the processes and outputs expected by Kenyan law in preparing the CSP; particularly the County Governments Act and the Physical and Land Use Planning Act (PLUPA). This was largely because it was prepared by JICA, a foreign (Japanese) company.

The political environment directly hindered plan implementation where political priorities sometimes overrule plan provisions and indirectly by reducing revenue collection potential and in turn the financial capacity for plan implementation.

5.3 Conclusions

This study tried to map out a way to move cities/urban areas in Kenya toward sustainable urbanization through the successful implementation of urban development plans. It endeavored to identify inadequacies in the current implementation framework and by overcoming them, help bring about outcomes such as increased access to affordable housing, better transportation/mobility, access to infrastructure and services, increased productivity, reduction in poverty and unemployment and environmental conservation.

Some of the gaps in the current framework include inconsistencies in the arrangement of thematic areas in plans, ineffective public participation with reference to implementation, poor linkage of plans to CIDPs, lack of some of the institutions tasked with implementation duties, inadequate finances, lack of plan implementation monitoring and review, incomplete land registration etc.

These are among others the hurdles that must be overcome if plans are to be successfully implemented in future and thus re-establish them as the primary basis of undertaking development decisions in urban spaces for all relevant actors such as governments, parastatals, professionals, private sector agencies and developers. As a result, development will increasingly tend toward the achievement of plan objectives.

5.4 Recommendations

Based on the findings and conclusions, the following recommendations were made to improve the implementation of urban development plans in Kenya.

- Plan preparation should ensure that there is thematic consistency across the data collection, analysis, emerging issues and proposals stage as well as consistency in presentation of these thematic areas. This makes interaction with the plan post-approval much easier.
- Public participation should focus more on those stakeholders with direct implementation responsibilities as far as the proposed projects and programmes are concerned. Moreover, urban development plans should be linked to the CIDPs in an incremental way based on the proposed time frames. County governments should observe this linkage faithfully and follow up in subsequent CIDPs those projects which are not scheduled for immediate/short term implementation.
- The County Physical and Land Use Planning Consultative Forums should be established in the counties and meet in the legally prescribed intervals (minimum of four times per annum) to ensure the effective coordination and integration of land use development with sector planning and budgeting.
- There should be established an institution to manage urban development in NCC and the establishment of city/municipality boards and town committees in the other counties. As a city county and thus fully urbanized, Nairobi might need a different framework for urban development management since a single board might not be enough for a city of close to four million residents.
- Review of the staffing protocols of the NCC is necessary. The former Nairobi City Council employees who only serve support roles should be let go with the necessary remuneration/compensation. Moreover, staff recruitment moving forward should ensure

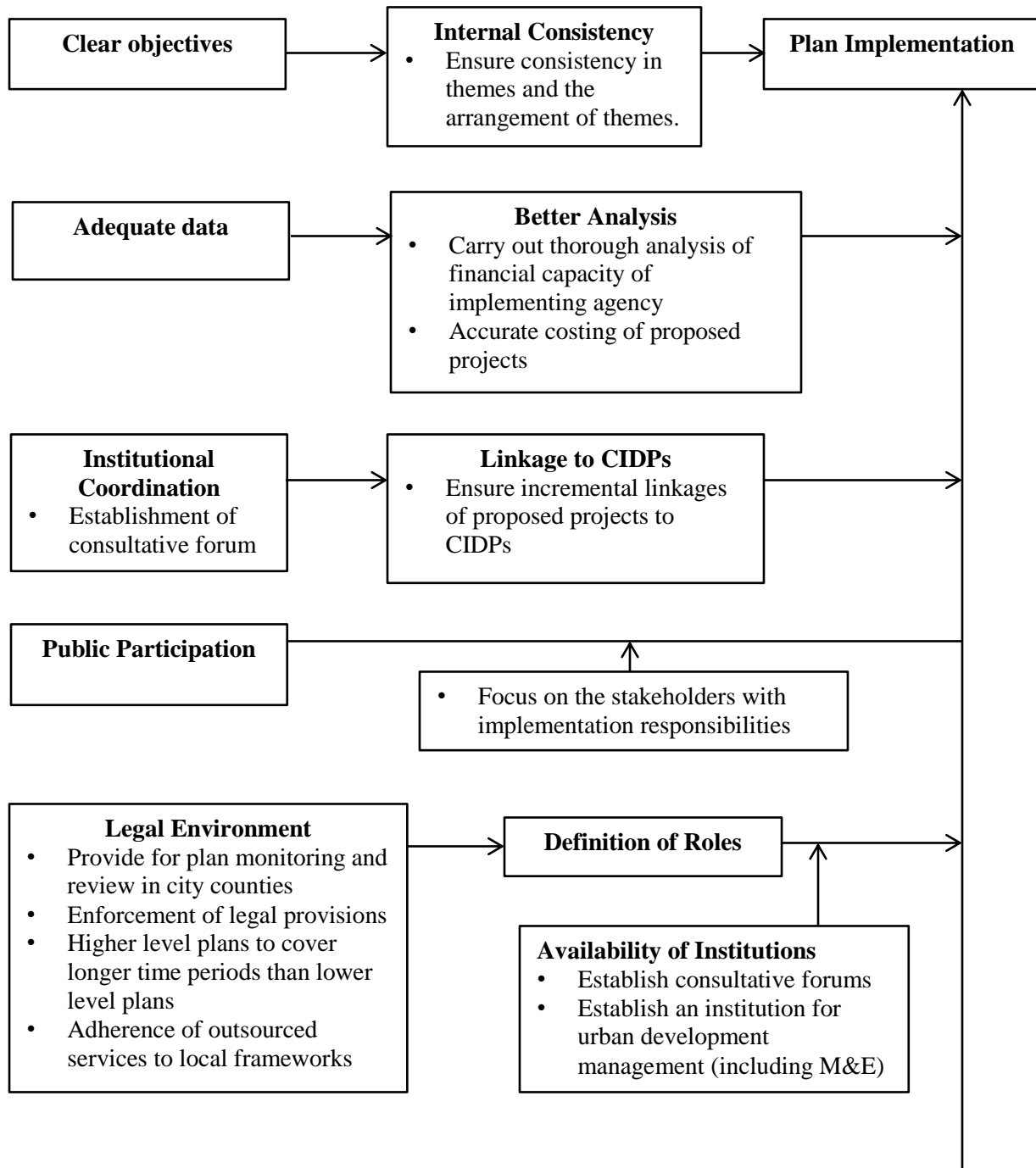
adequate qualifications for the applicants. This will make skills transfer from other agencies e.g. the national government more beneficial.

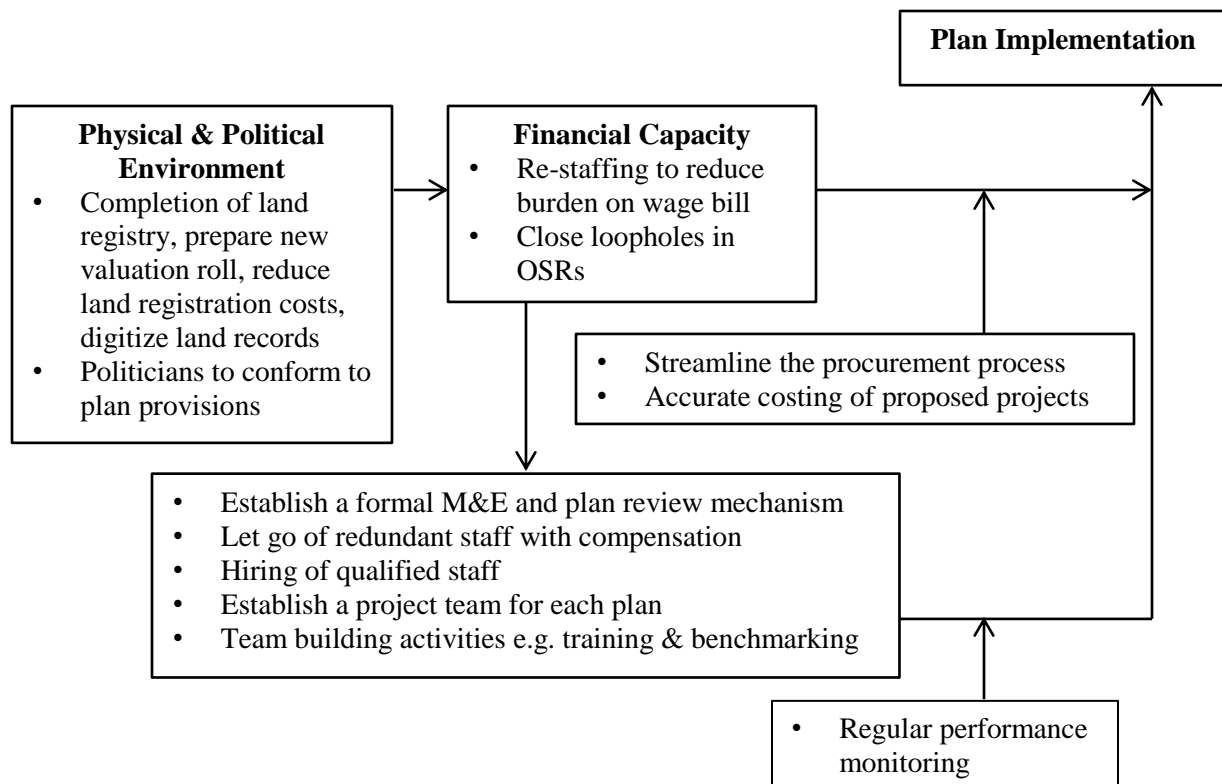
- The recruitment of more competent staff will also help reduce the current wage bill and thus possibly allow for more funds to be directed towards capital/development projects. The study also recommends the preparation of a new valuation roll for the city of Nairobi to boost land rates. Completion of the land registry by the ministry of lands and physical planning and reduction of land registration costs will help improve the collection of land rates.
- The NCC should moreover identify and close loopholes in own source revenues (OSRs) such as garbage collection in residential estates which is currently not one of the local revenue streams. Future plans should have accurate cost estimates of proposed projects and thorough analysis of implementing agencies' financial capacity to improve budgeting and implementation of development projects/programs. The NCC should furthermore focus on streamlining procurement processes to enhance quick implementation of projects.
- A formal plan implementation monitoring and evaluation mechanism with periodic review responsibilities should be put in place, as it was noted that the NIUPLAN has never been reviewed. This should if possible be enforced by law to increase accountability levels. City boards should carry out monitoring of plan implementation but as they may not fit a city county, the law should make provisions in this regard.
- As far as motivation and team work is concerned, each plan should have a project team within the implementing agency which should work closely with a consultancy firm if the planning services have been outsourced. This team should be involved right from the project planning stage so as to engender a greater ownership and acceptance of project efforts among the team members.
- There is need for recruitment and training of a competent staff to boost intrinsic motivation because workers will find fulfillment in the substantive work and identify with project goals. This should be balanced with regular monitoring of performance amongst the team members. Group activities e.g. training or benchmarking should be encouraged in order to nurture a team spirit.

- Resource allocation to agencies with implementation responsibilities should be increased. For instance, the NLC needs more resources in order to complete the inventory of public land in the country. This will aid the reclamation of grabbed public land and improve the regulation of land development with more land for development being vested in the public sector. More resources will also help the Commission in carrying out its mandate to oversee plan implementation countrywide.
- Land registration costs should be lowered; the land registry completed and all land records digitized. Not only will this formalize land rights and markets but it will also help to minimize the manipulation of land records; all of which makes for greater convenience and facility in the implementation of urban development plans.
- There should be greater enforcement of planning law as regards the legally binding nature of approved urban development plans and legal provisions to secure the adherence of lower level plans and development applications to the plan provisions. In addition, politicians must align their development agenda to the approved plans thus aiding in their implementation.
- The law should be revised such that higher level plans e.g. county spatial plans cover longer time periods than cities/urban area plans; and more clearly distinguish between different types of plans as in the case of urban development plans and municipal strategic plans.
- Outsourced planning services should adhere to local planning frameworks and methodologies. In such cases, foreign consultancy firms should work in tandem with local consultancy firms and with an internal project team constituted by the client/county government in question.

The figure below shows the proposed plan implementation framework.

Figure 7: Proposed Implementation Framework





Source: Author

5.5 Limitations of the Findings

This research took a comprehensive approach to the study of gaps and needs in implementing urban development plans in Kenya. While this made it possible to point out the major challenges across the board, the study compromised some level of detail in doing so.

For instance, the institutional framework for plan implementation goes way beyond the NCC, NLC and national government ministries. Many quasi-government authorities e.g. KURA, KENHA, NEMA, KRC, Kenya Power among others are responsible for implementing some of the projects proposed by the NIUPLAN.

Nevertheless, the study did not seek so much to track how the projects were implemented by such institutions but rather to identify cross-cutting issues which may help to formulate generic solutions applicable to some degree or other in all counties.

The study also focused on the capacity issues of the main implementing agency namely NCC but the capacity, both human and financial, in other institutions such as the NLC and national

government ministries and directorates may have a bearing on implementation of urban development plans though indirectly.

In the legal environment section, focus was placed on the three legislations pertaining to the preparation and implementation of urban development plans namely the Physical and Land Use Planning Act, the Urban Areas and Cities Act and the County Governments Act. However, there are myriad other policies and legislations that affect plan implementation such as the Environmental Management and Coordination Act, the Land Act, National Land Policy, National Urban Development Policy, Integrated National Transport Policy etc.

Other limitations were the bureaucratic processes attendant on collecting data in public institutions in Kenya and difficulty in obtaining sensitive information e.g. employee qualifications and performance management.

5.6 Suggestions for Further Research

Based on what has been indicated in the study limitations section, the study suggests further research to be done on institutional framework and capacity for plan implementation in Kenya, and the legal and policy framework for plan implementation in Kenya. Furthermore, the dynamics of implementing urban development plans in a city county such as Nairobi may be quite different from those in a non-city county. Future studies on implementing urban development plans should therefore focus on non-city counties to bring out these dynamics.

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APPENDICES

Appendix 1: Key Informant Interview Schedule

COUNTY DIRECTOR OF PHYSICAL AND LAND USE PLANNING

1. The county director is responsible for issuing development permissions and other development control instruments; what other role does the director play in implementing plans and the NIUPLAN in particular?
2. Does the issuance of development permits follow the NIUPLAN provisions strictly?
3. Comments on political interference in implementing the NIUPLAN as regards priority/non-priority projects and development control.
4. The director is a member of the County Physical and Land Use Planning Consultative Forum which is responsible for promoting effective coordination and integration of physical and land use development and sector planning. Which mechanisms are in place to facilitate cross-sectoral coordination in NCC; especially the planning and finance departments?
5. The County Physical and Land Use Planning Consultative Forum should meet at least four times annually. Is this the practice in NCC?
6. Comments on the linkages between the NIUPLAN and the CIDPs; the CIDP 2023-2027 does not indicate the progress of implementation of priority projects.
7. The CGA (2012) establishes a County Planning Unit which is responsible for effective implementation of the planning function within the county. Is this unit the same as the county planning department/directorate?
8. Given that Nairobi is a city county, how is urban development managed at the local level since it does not have a city board?
9. What is the role of boroughs in the implementation of the NIUPLAN?
10. Is there adequate land to put up proposed projects?
11. Cities/urban area plans should be reviewed every 5 years. Has the NIUPLAN been reviewed since approval?
12. How is the NIUPLAN aligned to government priorities especially in the face of changing regimes?
13. Most of the priority projects proposed in the NIUPLAN were not implemented within the specified timelines. Can this be attributed to inadequate data during plan preparation particularly on financial capacity? Is it an analysis issue on the consultant's side?
14. Are the lower-level (neighbourhood) plans in line with the NIUPLAN? Which are they?
15. Comments on the clarity of the document (NIUPLAN) as a framework for decision making; how clear is it to actors outside the NCC who have implementation responsibilities?
16. What is the current status of implementation of priority and non-priority projects?
17. Some of the priority projects proposed in the NIUPLAN are to be implemented by agencies/institutions outside the NCC. How is their implementation tracked?
18. Some of the priority projects proposed in the NIUPLAN were rejected by the implementing agencies e.g. KPLC and KURA. What would you recommend in stakeholder engagement and public participation in order to avoid this in future?
19. Does NCC have a County Spatial Plan (County Physical and Land Use Development Plan)?

20. Considering that ideally, higher level plans should cover longer periods than lower level plans, comment on the time frame of the county spatial plan (10 years) and the urban development plan (20 years).
21. Describe the effects of existing land tenure systems in Nairobi on the implementation of the NIUPLAN.
22. What is the status of land registration in Nairobi and what are its effects on the implementation of the NIUPLAN?
23. What are your views on the existing legal/regulatory provisions relating to plan formulation and implementation?
24. Which challenges do you face in carrying out your mandate as regards plan implementation?
25. What would you recommend to help improve the effectiveness of your office in plan implementation?
26. Nairobi City County organogram.

NATIONAL LAND COMMISSION

1. As part of its mandate to monitor and oversee plan implementation, the Commission is expected to receive periodic reports from city/municipality boards as well as conduct visits to the particular urban area to verify implementation status. How does the NLC monitor implementation in NCC which does not have a board?
2. How often does the commission conduct visits to various sites to monitor implementation of the NIUPLAN?
3. What is the current implementation status of the NIUPLAN according to the Commission's assessment?
4. Some of the priority projects proposed in the NIUPLAN are to be implemented by agencies/institutions outside the NCC. How does the NLC monitor/track their implementation? (Refer to attached table)
5. What are your views on the existing legal/regulatory provisions relating to plan formulation and implementation?
6. Lack of political goodwill often hinders plan implementation; how may the legally binding status of urban plans be enforced to reduce political interference?
7. Comment on the adequacy of staff at the NLC both in terms of number as well as technical competence/qualification.
8. Motivation of staff, team building as well as good leadership and decision making within organizations affects successful implementation. Kindly comment on the general state of leadership/decision-making and the motivation of staff in the NLC.
9. Are there regular team-building efforts in the NLC? If so, kindly expound.
10. Are seminars and on-job training carried out to improve the technical capacity of NLC staff for plan implementation?
11. How is performance management carried out in the NLC?
12. Which challenges do you face in carrying out your mandate as regards plan implementation?
13. What would you recommend to help improve the effectiveness of your office in plan implementation?
14. NLC organogram.

NCC BUDGET OFFICE

1. Every urban development plan is a legally binding document for development facilitation and appropriation of public funds. Is the NCC budget prepared with due reference to the NIUPLAN? Kindly expound on your answer.

2. Most of the priority projects proposed in the NIUPLAN were not implemented within the specified timelines. What can this be attributed to?
3. Equitable share and donor grants are the main external revenue sources for NCC. What other potential external revenue sources are there?
4. Conditional grants from the national government are another external revenue source. Kindly cite the conditions set for receiving such grants. How easy/difficult is it for the NCC to meet such conditions?
5. Own source revenue (OSR) in 2015/16 was Kshs. 11.7 Billion; why has it declined to Kshs. 10.5 Billion in 2022/23?
6. What can be done to increase OSR collection?
7. Why has the supplementary budget been consistently lower than the approved budget?
8. Absorption rate for the entire budget was at an average of 75.3% (from 2013/14-2022/23 FY). Why is this the case and how can it be increased?
9. Development expenditure is far much lower than recurrent expenditure from 2013-2023. Kindly explain this trend and give recommendations as to how this margin may be reduced.
10. Budget absorption rate for NCC development expenditure is quite low at an average of 42% between 2013 and 2023, compared to 86% for the recurrent expenditure. Why might this be the case?
11. Which challenges do you face in revenue collection, budgeting processes and in county development funding?
12. Kindly give recommendations as to how these challenges may be solved.

NCC PUBLIC SERVICE

1. How many professionals are employed in the NCC planning department? Kindly indicate their roles and responsibilities.
2. What is the level of qualification of staff in the planning department i.e. academic qualifications and professional certificates?
3. Is the department's staff adequate?
4. Motivation of staff, team building as well as good leadership and decision making within organizations affects successful implementation. Kindly comment on the general state of leadership/decision-making and the motivation of staff in the NCC planning department.
5. Are there regular team-building efforts in the NCC planning department? If so, kindly expound.
6. Are seminars and on-job training carried out to improve the technical capacity of staff for plan implementation?
7. The county executive is responsible for designing a performance management plan to evaluate performance of the county public service. How is this carried out in the physical planning department?

STATE DEPARTMENT FOR HOUSING AND URBAN DEVELOPMENT

Directorate of Urban and Metropolitan Development

1. The urban and metropolitan development directorate is responsible for developing and coordinating the implementation of integrated strategic urban development and capital investment plans (CIPs). How is this mandate carried out in respect to the NIUPLAN?
2. As part of its mandate to identify strategic projects that need the support of the national government, which priority projects proposed by the NIUPLAN is the directorate involved in implementing? (Refer to the attached table)
3. What is their current implementation status?

4. How does the directorate aid in funding of NIUPLAN priority projects as part of its mandate to develop a sustainable funding framework in NMR?
5. Some plans e.g. the NIUPLAN were prepared before formulation of the National Urban Development Policy, PLUPA and other policies/legislations. How does this affect their implementation?
6. How does the directorate coordinate the implementation of sustainable urban development policies such as the NUDP in the counties and NCC in particular?
7. In its mandate to coordinate and administer policy in the Nairobi Metropolitan Region (NMR), how does the directorate account for the provisions of the NIUPLAN?
8. The directorate is charged with developing and enforcing planning and zoning regulations in the NMR. How is this coordinated with the office of the county director (planning) in NCC?
9. Is the directorate particularly accountable for the implementation of the regulations cited in 5 above within NCC?
10. As city counties should be managed like any other county government, why does all Nairobi County have an urban master plan (NIUPLAN) as opposed to a County Spatial Plan?
11. In other counties, city/municipality boards and/or town committees are responsible for monitoring implementation of urban development plans. How is this carried out in city counties which are entirely urbanized and also don't have boards?
12. Has the directorate identified any gaps in the current legal framework for plan preparation and implementation? If so, kindly expound.
13. In your estimation, is the current institutional framework for urban plan implementation in Kenya adequate? Are the roles and responsibilities well designated?
14. Urban plans are legally binding once approved. In your experience, what prevents their being executed at least according to the financial capacity of implementing agencies?
15. How can plan preparation and review well incorporate the development agendas across political regimes? For instance Nairobi has had three governors since approval of the NIUPLAN.
16. How can boroughs improve implementation of plans and urban development management in NCC?

Appendix 2: University Introduction Letter



UNIVERSITY OF NAIROBI

Faculty of Built Environment and Design

DEPARTMENT OF ARCHITECTURE

E- mail: architecture@uonbi.ac.ke

P.O. BOX 30197,
Nairobi, Kenya
Telephone: 020-4913519
Telegrams: Varsity.

Our Ref: UON/FBED/Arch/12152/2018

Date: 21st February, 2024

TO WHOM IT MAY CONCERN

Dear Sir/Madam,

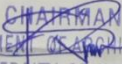
RE: NJERU SOLOMON MUNENE – REG. NO. W50/12152/2018

This is to confirm that the above named is a bona fide student of Department of Architecture, University of Nairobi, pursuing Master of Urban Management degree course. He is carrying out research for his final Thesis project titled “*Issues, Gaps and Needs of Implementing Urban Development in Kenya: A Case of Nairobi Integrated Urban Master Plan (NIUPLAN)*”.

This is to kindly request you to give him some of your valuable time by responding positively to his enquiries and provision of useful materials like drawings, photographs, etc. to enable him complete his project successfully. This is for academic purposes only.


Any assistance accorded to him will be highly appreciated.

Yours sincerely,


DEPARTMENT OF ARCHITECTURE
UNIVERSITY OF NAIROBI


Arch. Musau Kimeu
CHAIRMAN,
DEPT. OF ARCHITECTURE

Appendix 3: Research License



REPUBLIC OF KENYA


Ref No: **888898**



**NATIONAL COMMISSION FOR
SCIENCE, TECHNOLOGY & INNOVATION**

Date of Issue: **11/March/2024**

RESEARCH LICENSE




This is to Certify that Mr. Solomon-Munene Njeru of University of Nairobi, has been licensed to conduct research as per the provision of the Science, Technology and Innovation Act, 2013 (Rev.2014) in Nairobi on the topic: Implementation and Management of Urban Development Plans in Kenya: Issues, Gaps and Needs of Implementing the Nairobi Integrated Urban Master Plan (NIUPLAN) for the period ending : 11/March/2025.

License No: **NACOSTI/P/24/33761**


Applicant Identification Number: **888898**

Director General

**NATIONAL COMMISSION FOR
SCIENCE, TECHNOLOGY &
INNOVATION**




Verification QR Code



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See overleaf for conditions

Appendix 4: Nairobi City County Authorization Letter



NAIROBI CITY COUNTY
www.nairobi.go.ke

BOROUGHs, ADMINISTRATION AND PERSONNEL
PUBLIC SERVICE SUB-SECTOR – HUMAN RESOURCE DEVELOPMENT

INTERNAL MEMO

Ref: NCC/HRD/HRM/171/NAO/2024

DATE: 5th March 2024


Njeru Solomon Munene Reg No. W50/12152/2018
University Of Nairobi
P.O.Box 43844-00100
Nairobi

RE: AUTHORIZATION DATA COLLECTION

Reference is hereby made to your application letter dated **06th February 2024** on the above subject;
The Nairobi City County has approved your request subject to the following;

1. The period of research will be effective from **5th March 2024 to 28th March 2024**.
2. You will be attached to **Urban Planning, Public Service and Finance**.
3. You are expected to adhere to the rules and regulations pertaining to your research.
4. That during your data collection there will be no cost devolving on the County.
5. That you undertake to indemnify the County any claim that may arise from your research study.
6. You are required to submit a copy of the final research document to the Human Resource Development Department one week after completion.
7. Your research title is on **“A Case Study Of Nairobi Integrated Urban Master Plan (NIUPLAN)”**
8. You are required to pay research fees of **5000/=** only(Code provided Essential services)

Please report to the **Assistant Director Administration/Chief Administrative Officer Urban Planning , Public Service & Finance** to accord you the necessary assistance.



CHARLES CHOI
FOR: DIRECTOR HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT

LET'S MAKE **NAIROBI** WORK

TELEPHONE: +254 725 624 489; +254 738 041 292 | EMAIL: INFO@NAIROBI.GO.KE | CITY HALL, CITY HALL WAY, P.O. BOX 30075 00100, NAIROBI, KENYA

Appendix 5: CIDP 2023-2027 and the Governor’s Manifesto

Aspirations of the CIDP 2023-2027

This plan will provide a nexus for development in Nairobi County for five years. It is a tool to ensure harmonized development and also meet the expectations of Nairobians who expressed the priority areas where attention must be focused. This plan will therefore focus on the following three aspirations;

Aspiration I: A City of Order: This aspiration targets orderliness in the public transport system through provision of necessary infrastructure and control of Matatus and bodabodas; Transformation of service delivery and improved decentralization by creation of boroughs; Improved county governance by allowing Nairobians participate in decision making through effective public participation processes and expansive civic education

Aspiration II: A city of Dignity: This aspiration seeks to guarantee a dignified life to all Nairobians and also ensure a customer centric service to all clients. The life, livelihood, wellbeing, customer handling and access to services is the nexus of this aspiration.

Aspiration III: A City of Hope and Opportunities for all: The Covid menace that was succeeded by tough economic times rendered many people jobless, diminished the access to opportunities, and consequently heightened the level of hopelessness not only in the county but also nationally and regionally. This persistent situation is reigning havoc to people’s livelihoods hence dwindling further the self-hope and hope in institutions.

We are ready to write the next chapter in Nairobi City County’s history.

- To bring back **ORDER** to Nairobi City County service delivery
- To give citizens back their **DIGNITY**
- **HOPE** for better days ahead
- To create **OPPORTUNITIES** for all to pursue shared prosperity and inclusive growth.

LET’S MAKE NAIROBI WORK...