

REGIONAL DEVELOPMENT AUTHORITIES ENGAGEMENT FRAMEWORK FOR KENYA

Towards a New Regional Planning
Model in Kenya



REGIONAL DEVELOPMENT AUTHORITIES ENGAGEMENT FRAMEWORK FOR KENYA

Towards a New Regional Planning Model in Kenya

First published in Nairobi in 2016 by UN-Habitat
Copyright © United Nations Human Settlements Programme 2017

All rights reserved

United Nations Human Settlements Programme (UN-Habitat)
P. O. Box 30030, 00100 Nairobi GPO KENYA
Tel: 254-020-7623120 (Central Office)
www.unhabitat.org

HS Number (Series): **XXXXX-XXXX-XX**

Disclaimer

The designations employed and the presentation of the material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

Views expressed in this publication do not necessarily reflect those of the United Nations Human Settlements Programme, the United Nations, or its Member States.

Excerpts may be reproduced without authorization, on condition that the source is indicated.

Cover photo: Galana-Kulalu Irrigation Scheme © **The Standard/Standard Media Group (K)**
Ngong Hills Wind Power Station © **Iberdrola Ingenieria**
Nairobi Central Business District © **Flickr/momentarawe.com**
Lamu Harbour © **Flickr/Rachel O-K**

Acknowledgements

Supervisor: Remy Sietchiping (UN-Habitat)
Principal Author: Michael Kinyanjui
Design and Layout: Herbert Kimani

REGIONAL DEVELOPMENT AUTHORITIES ENGAGEMENT FRAMEWORK FOR KENYA

Towards a New Regional Planning Model in Kenya

Table of Contents

Executive Summary	1
1. Introduction	1
1.1 Overview of Regional Development in Kenya.....	2
1.2 Comparative Advantage in Engaging with UN-Habitat.....	2
1.3 Organization of the Document	3
2. Regions and Regional Planning in Kenya	4
2.1 Definition of Regions.....	4
2.2 Regional Planning.....	5
2.3 Regional Planning Policies in Kenya	6
2.3.1 Pre – Independence Period.....	6
2.3.2 Post-Independence Period	6
2.3.2.1 Sessional Papers, Special Policy Reports and Commissions	6
2.3.2.2 National Development Plans	7
2.3.2.3 Regional Physical Development Plans	7
2.3.2.4 Human Settlements in Kenya.....	8
2.3.2.5 District Focus for Rural Development.....	8
2.3.2.6 Rural Trade and Production Centers Strategy.....	8
2.3.2.7 County Governments	8
2.4 Importance of Planning at Regional Scale	8
2.5 Components of a Good Regional Plan.....	9
3. Regional Development Authorities (RDAs) in Kenya	10
3.1 Introduction.....	10
3.2 Regional Development Authorities (RDAs) and their Functions.....	10
3.3 Regional Development Planning under the new Constitutional Dispensation	12
3.4 RDAs Territorial Challenges and Potentials	13
3.5 Institutional and Integrated Plans Preparation Challenges	14
4. Governance and Institutions for Regional Planning	15
4.1 Introduction.....	15
4.2 Formal Institutions	15
4.2.1 Central Government Level	15
4.2.2 Regional Level	15
4.2.3 County Government Level	15
4.3.. Financing Institutions	15

4.4	Non-Governmental Organizations.....	15
4.5	Academic Institutions / Planning Schools.....	16
4.6	Professional Associations	16
4.7	Other Stakeholders.....	16
4.8	Institutional Support for Regional Planning and Development.....	16
5.	UN-Habitat Engagement with Regional Development Authorities.....	17
5.1	Introduction.....	17
5.2	Engagement Principles	17
5.3	UN-Habitat Engagement Strategies	18
5.3.1	Focus on Regional Priorities	18
5.3.2	Strategies at Regional Development Authority Level	18
5.3.2.1	Support Development of Integrated Regional Development Plans	18
5.3.2.2	Support in Development of Green Regional Economy and Climate Change Strategies.....	19
5.3.3	Ministry of Devolution and Planning	21
6.	Specific Services by UN-Habitat	22
6.1	Knowledge and experience sharing	22
6.2	Institutional analysis and engagement	22
6.3	Capacity development.....	22
6.4	Technical assistance and advisory services	22
6.5	Linkage to financing /funding institutions	22
6.6	Facilitate Integrated Plan's publicity and marketing	22
7.	Illustrative Tools for Engagement.....	23
7.1	Regional Development Planning Process.....	23
7.2	Institutional Assessment and Engagement Tool.....	24
7.3	Legal Instruments/tools for Engagement.....	24
7.3.1	Letter of Intent	24
7.3.2	Memorandum of Understanding (MoU).....	25
7.3.3	Agreement of Contribution	25
7.3.4	Roadmap for Engagement	25
	Conclusion	25
	References	26
	Annexes	27
	Annex 1. County Engagement Template.....	27
	Annex 2. Regional Issues for Validation Based on International Guidelines on Urban and Territorial Planning.....	29
	Annex 3. Illustrative Elements of Business Model for Formulation of an Integrated and Participatory Regional Development Plans in Kenya	31

Executive Summary

Since independence, Kenyan Government has designed different regional development policies and strategies aimed at achieving spatial balance in development amongst and within different regions in the country. Key among them is the 1974 regional development approach for national development planning that established six Regional Development Authorities (RDAs), which are based on rivers, and large water-body basins and covering the whole country. The six RDAs are charged with the mandate of spurring integrated regional development to address equitable and balanced socio-economic development in the country and have been involved in implementation of integrated programmes and interventions of strategic national importance and in ensuring that resources in these regions are utilized in the most optimal and sustainable manner with minimum duplication of efforts and resource use conflict.

The complexity of regional planning as a process necessitates RDAs to have a wide knowledge and experiences base if they have to harnessing existing

opportunities and address regional challenges. They need a handy reference guide to do a broader analysis of regional issues and trends that should be based on sound and comparable information if they have to develop sound regional development policies and plans toward sound economic development of the country.

This publication addresses fundamental issues in regional development giving emphasis on operational challenges of the RDAs and how they can effectively harness opportunities created by the new constitution to align their functions and mandates towards regional development. It further gives an analysis on the importance of RDAs engaging with UN-Habitat with a wide experience in regional and metropolitan planning issues towards addressing planning, social, economic, environmental and institutional challenges hindering their competitiveness. Strategies, mechanisms and tools of linking and working with national and sub-national governments as well as other relevant development sectors are referred.

1. Introduction

1.1 Overview of Regional Development in Kenya

Kenya has been grappling with the problem of unbalanced regional development even after decades of experimenting with different economic and social policies. Wide regional disparities still exist between and within urban and rural regions. The regional inequalities have not only constrained growth but have also been a source of political and social conflicts. Like in any other unequitable society, economic growth has been slower.

The concept of regional development has been used by many nations as a strategy to address problems of duality in economic development, poverty and environmental sustainability through enhancing equity in resource distribution and utilization. Regional development in Kenya has been done through the concept of a shared common natural resource “water catchment”. Demarcation of Regional Development Authorities (RDAs) has been done along drainage basins and across administrative boundaries with the premise that geographical subdivisions remove politics from the center of development. The authorities are charged with mandate of spurring integrated regional development and bring equitable and balanced socio-economic development in the country. Thus they have a big potential in complementing central and county government’s efforts in wealth and employment creation at regional and national levels. However, in their operations, RDAs are faced with key constraints including absence of regional development policy and plans, inadequate development funding, dependency on the exchequer for their recurrent and capital requirements, enactment of overlapping Acts of parliament such as Water Act, Irrigation Act, Power Act, Environmental Management and Coordination Act etc. diluting their mandates and diverting funds to other institutions for activities meant to be implemented by RDAs inhibit them from achieving their objectives.

Addressing regional disparities in Kenya calls for an approach that fosters a more balanced economic development through equity oriented policies, formulation and implementation of integrated and participatory regional development frameworks. This document proposes a framework, through which UN-Habitat can engage regional development authorities in Kenya in the formulation; implementation and monitoring of integrated and participatory regional development plans that seek to enhance equality within and between regions and that nurtures complementarity and synergy. The framework also seeks to help the RDAs effectively address challenges affecting their operations including development of regional plans and strategies. Effective regional planning in the country has the potential to contribute to achieving Sustainable Development Goals.

1.2 Comparative Advantage in Engaging with UN-Habitat

For over forty years, UN-Habitat has been supporting cities, regional and national authorities to address development challenges. To provide guidance on planning and policy at the metropolitan, regional and national scales, the agency’s Regional and Metropolitan Planning Unit (RMPU) conducts activities in knowledge management, tools development, capacity development, policy dialogue, partnership development, technical assistance and advisory services. The unit’s tested approaches, guidelines and tools, support management of growth and improve sustainability, efficiency and equity through planning and design at the different scales. A case example is the International Guidelines for Urban and Territorial Planning (IG-UTP) which provide national governments, local authorities, civil society organizations and planning professionals with a global reference framework that promotes more compact, socially inclusive, better integrated and connected cities and territories that foster sustainable urban development and are resilient to climate change.

International Guidelines for Urban and Territorial Planning (IG-UTP)



International Guidelines for Urban and Territorial Planning (IG-UTP) have been designed as a universal framework and a reference document integrating three dimensions of urban policy principles (why plan?), management processes (how to plan?) and technical products (what urban and territorial plans?). They are an instrument to promote sound urban and territorial planning around the world, based on universally agreed principles and national, regional and local experience, as well as a broad network to guide urban policy reforms, taking into account the specific approaches, visions, models and tools existing in each country.

Source: UN-Habitat 2015a

Created as a key strategy for decentralized economic development and effective natural resource and environmental management, Regional Development Authorities in Kenya have a mandate to implement decentralized development and reduce disparities, an obligation that is full of capacities and territorial challenges despite immense potential and opportunities in the regions. UN-Habitat could greatly enhance effectiveness of RDAs in Kenya in delivering on their key mandates including formulation Integrated Regional Development Plans, a strong foundation upon which implementation of all their other mandates is based. This could be based on key fundamental principles which could help not only improve coherence in spatial planning but also achieve social, economic and environmental outcomes.

In offering technical support towards formulation and implementation of regional plans as a key guiding tool, UN-Habitat could focus on broad regional priority areas including regional economic, social and environment development through harnessing of existing strategic resources, knowledge, skills and innovation towards increasing competitiveness; connectivity; promotion of sustainable urban development; environmental sustainability and regional governance and institutional development.

More specifically, UN-Habitat could be instrumental in helping RDAs develop strategies to address weak vertical and horizontal working relationships with county and national governments and sector ministries, dealing with diverse ethnic and socio economic challenge, climate change and enhancement of regional competitiveness.

UN-Habitat is a knowledgeable institution and understands cities, regions and their residents. The agency could share innovative experience and case studies on how regional development plans have been formulated and implemented in other countries. With a wide experience in initiating and working with multi stakeholder processes, UN-Habitat could be instrumental in supporting RDAs with comprehensive stakeholder's analysis among other institutional assessments. This will help promote integrated regional development and support implementation of Kenya's vision 2030 flagship projects as expected of the RDAs.

The regional plan preparation process will not only be undertaken as learning exercise to strengthen the capacity of RDAs planners but will also give them an opportunity to appreciate sector policies and enhance credibility of the process. With wide range of donor intelligence in areas of urban and regional economic and financial development, UN-Habitat could help RDAs mobilize resources and generate local revenue. This could be done through advisory and technical services, while linking them to institutions that can finance RDAs plan implementation among other development strategies.

1.3 Organization of the Document

This document is divided into five key sections. It starts by defining regions, regional planning process, policies and importance in Kenya. It further gives an evaluation of Regional Development Authorities and their territorial importance in ensuring balanced regional development before discussing the main governance and institutional frameworks for regional planning and development in the country. Towards the end, the document proposes some key strategies that UN-Habitat can employ to engage with Regional Development Authorities in Kenya, unique and specific services that the agency could offer to the authorities towards improving their regional planning and development process. The document concludes by proposing to UN-Habitat some engagement tools and a Business Model for formulation and implementation of Integrated and Participatory Regional Development Plans in Kenya.

2. Regions and Regional Planning in Kenya

2.1 Definition of Regions

Different theorists have defined regions differently. Some define regions as hierarchical systems of central places or cities, with their order determined by the diversity of goods offered and the relative size of market areas for the different goods¹, while more recent economic theorist such as Karl Fox define regions as “functional economic areas”. A region has also been defined as a spatially contiguous population (of human beings) that is bound either by historical necessity or by choice to a particular geographic location.² Dependence on location may arise from a shared attraction to local culture, employment centers, natural resources, or other location-specific amenities. Regions could also be units of political or administrative control designed for the purpose of implementing policies. Thus a region is a coherent spatial unit above local and below national level, delineated by homogeneity (ecologically, culturally) or through functional interrelations.

Regions exist in a framework of larger or smaller entities and in several categories or region types such as functional region, economic region, political, administrative regions and issue regions.

Recent scholars have situated new dynamics of economic agglomeration in regions and have emphasized the vital role of regions as a source of critical development assets.³ Increasingly, regions are seeking to promote economic development through support to local innovations.

In the context of this framework, a region is an area that is smaller than a country but large enough to require its own sub-national policies, strategies and programmes to address unique socio-economic development problems, issues and challenges. Several typologies of regions have existed in Kenya including;

Administrative Regions: Prior to 2010 Constitution of Kenya, the country had eight administrative regions or provinces, each divided into districts that were further divided into divisions. Under the arrangement, districts were the territorial units of analysis and planning. Under the new constitutional dispensation, Kenya has been divided into forty seven (47) counties, the new administrative regions charged with planning.

UN-Habitat has developed an engagement framework and tools in Kenya to facilitate county planning and development.⁴

UN-Habitat's County Engagement Framework for Kenya



The County Engagement Framework for Kenya discusses the existing legislation relating to Urban and Regional Planning in the country with a view to highlighting the opportunities and gaps that can be harnessed in respect to international, regional, national and county planning legal and regulatory framework, and planning processes. It aims at providing a nexus for engagement with the County governments of Kenya, to advance sustainable urban and rural settlements and promote the utilization of urban-rural linkages for eventual sustainable county development. It provides outline of viable entry points for collaboration with county governments in Kenya to develop integrated and sustainable county and urban development plans. This includes proposing a framework for planning, the levels of possible engagement, and the tools to use in approaching planning.

Source: UN-Habitat 2015b

Natural Resource (Multipurpose) Regions: These are regions created following natural resource boundaries. On this basis, Kenya has created six regions⁵ defined along drainage basins and water bodies. The regions cut across county administrative boundaries for resource analysis and economic development. This regional authorities engagement strategy addresses primarily this category of region and how planning and development at this level can be improved.

City /Urban /Metropolitan Region: Kenya's Urban Areas and Cities Act 2011, classify an area as urban or a city if it has at least five hundred thousand residents, demonstrable capacity to generate sufficient revenue to sustain its operation, capacity to deliver services, good systems and records of prudent management and institutionalised participation by its residents. This framework will address urban and metropolitan regions within the context of wider multipurpose region.

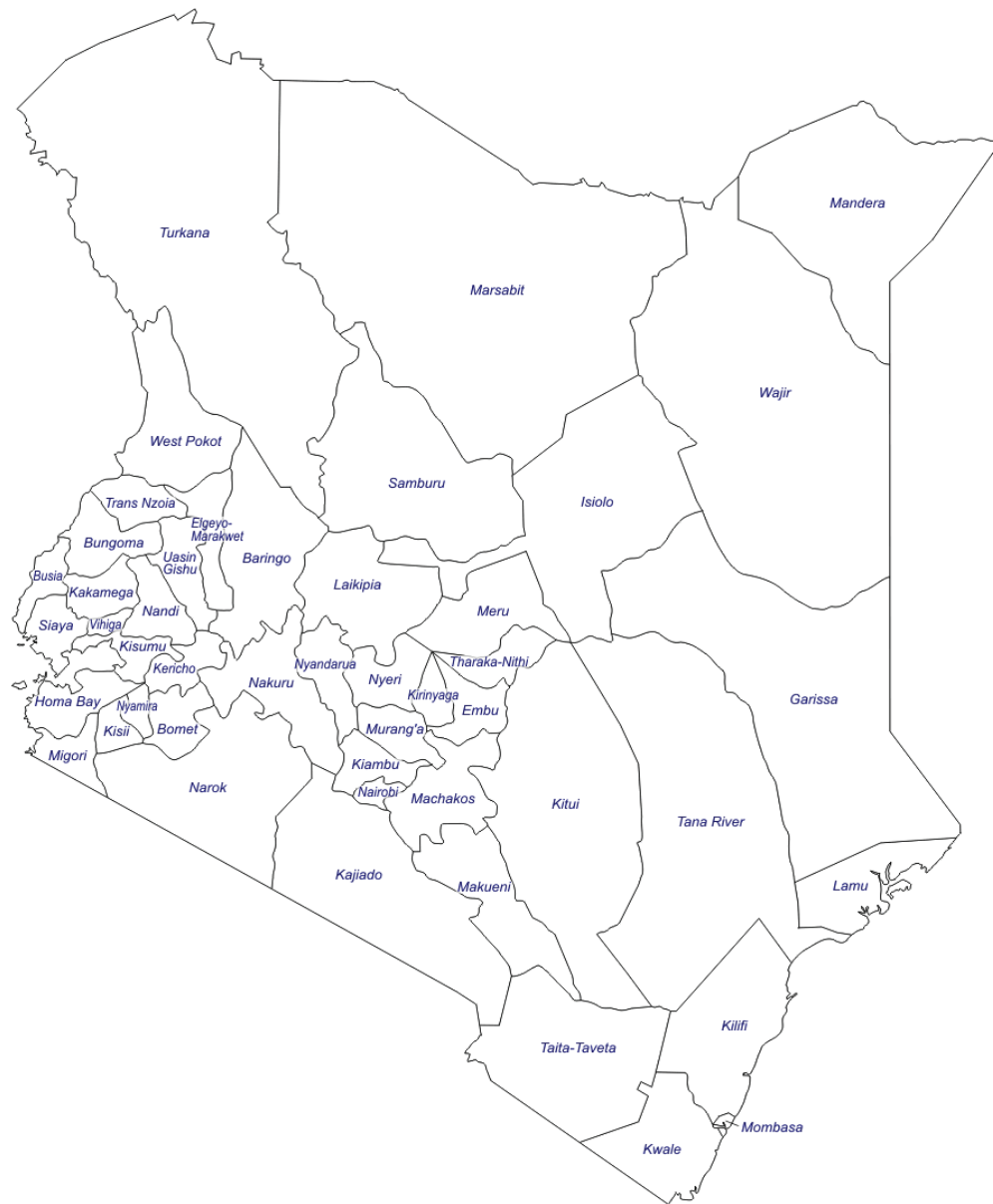
1 See definition by Christaller and Losch's central place theory

2 Dawkins, C.J. 2003. "Regional Development Theory: Conceptual Foundations, Classic Works, and Recent Developments" Journal of Planning Literature, Vol. 18, No. 2, pp131-171 November; Sage Publications

3 Karen chapple, Sergio Montero and Oscar Sosa (2012) Evolving Regionalismos: Latin American Regions in the Twenty first Century

4 See UN-Habitat County Engagement Framework for Kenya: Existing Planning Model, Gaps and Opportunities for Engagement

5 Tana and Athi Rivers Development Authority (TARDA); Kerio Valley Development Authority (KVDA); Lake Basin Development Authority (LBDA); Ewaso Ng'iro North Development Authority (ENNDA); Ewaso Ng'iro South Development Authority (ENSDA) and Coast Development Authority (CDA).



Administrative Boundaries Showing Kenya Counties © d-maps.com

2.2 Regional Planning

Recognition that the processes driving innovation and national economic growth are fundamentally spatial in nature has led to a growing interest in regional planning and development.

A Regional Plan is a 'living document' that incorporates a vast range of information from a wide variety of stakeholders. It's a way a community envisions future and takes steps to achieve it by identifying and analyzing strengths and weaknesses in a region, reaching consensus on goals, identifying resources, developing strategies to achieve the goals and agreeing on plans for implementation. Regional planning is directed towards anticipating growth, protecting natural resources and coordinating basic infrastructure.

Regional planning is critical for delivering economic, social and environmental benefits by creating more stable and predictable conditions for investment and development, by securing community benefits from development, and by promoting prudent use of land and natural resources for development.⁶ It deals with the efficient placement of land-use activities, infrastructure, and settlement growth across area, larger than an individual city or town for sustainable growth of a region.

Through partnerships and collaborative efforts regional planning help identify local development issues, needs, gaps and duplications and help develop innovative solutions to regional development issues.

6 UN (2008) Spatial Planning - Key Instrument for Development and Effective Governance

Key advantage of regional development planning approach is that it brings about efficiency and equity. Efficiency is the maximization of growth in the national economy including optimization of resource allocation over time. It is the most productive use of resources to satisfy competing material wants. In urban economics, it means finding the most efficient spatial arrangement or configuration.⁷ Equity is the reduction in inter and intraregional⁸ disparities. It's achieved through fairness in distribution of income or wealth within and between regions. Inequities may arise if infrastructure services and labour are not homogeneous across a region.

Efficiency and equity are two of the general criteria that can be applied in comparing alternative regional development planning policies.

2.3 Regional Planning Policies in Kenya

Kenya's experience with regional development can be traced from the colonial period where they were formulated in favour of colonial government, policies of which have impacts in the post-independence period.

2.3.1 Pre – Independence Period

- i. Land Alienation: This was the earliest regional policy that alienated high potential land 'White Highlands' for the European settlers and the rest of African were concentrated in the 'African Native Reserves'. Development in infrastructure and services were concentrated in the white highlands regions and urban settlements located in the regions.
- ii. The Swynnerton Plan, 1955: This was an agricultural policy plan for Central and Nyanza native reserves focusing on increasing agricultural productivity, environmental and resources conservation, owing to greater carrying capacity in the reserves. Affecting the small holder peasant farmers in the region, its impacts were limited, owing to poor involvement and hence was perceived as another oppressive colonial policy.
- iii. Resettlement Schemes Programme: Carried out in late 1950s and 1960s, it covered regions of the country bordering 'white highlands' and involved transfer of land from European settlers to millions of landless Kenyans in the 'native reserves' for permanent settlements. The programme provided land for productive use, infrastructure, social and economic services. Programme was highly integrated, was planned to be completed in 30 years from inception, but was never completed.

2.3.2 Post-Independence Period

At independence, Kenya was characterized by unbalanced development. Regions of modern commercial development 'White Highlands' existed side by side with regions of traditional production activities 'Native Reserves'. Duality in development also existed with distinct commercial and industrial sectors versus traditional farming sector and also small urban versus predominantly rural sector.

In response to these regional development issues, the Government of Kenya has consistently focussed on policies aimed at economic growth, alleviation of poverty, redistribution of resources and development of infrastructure, industries and social services and amenities, decentralization and devolution of decision-making and the planning process. Other policy themes and objectives include: comprehensive planning, integrated regional planning and development, rural-urban balance, regional balance and community participation in development and planning decision-making. The establishment of Ministry of Economic Planning and Development in 1964, charged with responsibility of organizing and promoting economic and social development marked the beginning of post-independence regional planning in Kenya.

2.3.2.1 Sessional Papers, Special Policy Reports and Commissions

A number of parliamentary Sessional Papers, Special Policy Reports and Commissions were formulated to articulate the regional policies and guide development including but not limited to;

- i. Sessional, Paper No. 10 of 1965 on "African socialism, and its application to Planning in Kenya": It articulated critical development issues, problems and challenges of independent Kenya and underlined the need to correct the development imbalances inherited from the colonial policies.
- ii. The Ndegwa Commission Report of 1971 on performance of civil service: Recommended strengthening of co-ordination of the planning and development implementation process at the District Level as a means of effecting decentralization in planning and administration and the participation of the local and regional communities in planning and development.
- iii. The Sessional Paper No. 1 of 1986 on "Economic Management for Renewed Growth" Gave greater emphasis on integrated development and efficiency of development management for economic growth.

⁷ Heilbrun, 1987

⁸ Intraregional inequities that may exist across class, race, gender, or other a spatial categories

- iv. The Sessional Paper No. 1 of 1994 on “Recovery and Sustainable Development to the year 2010”: Articulated the need for sustainable development emphasizing economic resources utilization, environmental and resource conservation, and strong community based development through decentralized action at the local and regional levels.
- v. Sessional Paper No. 2 of 1996 on “Industrial Transformation to the year 2020” Defined government’s role in industrialization process and support of the private enterprise to include establishing an enabling policy environment through sound macro-economic management, investment in physical infrastructure, human resource development and guarding against environmental degradation among other.

2.3.2.2 National Development Plans

Since independence and based on the policy papers and reports, Kenya has had eight National Development Plans prepared at the national level and addressing development needs of all sectors and all regions. The Development Plans covered five year period with exceptions in 1994 which covered three-year duration, mainly focusing on economic recovery and sustainable development with emphasis on relating project priorities to available resources.

2.3.2.3 Regional Physical Development Plans

Besides the National Development Plans, the following Provincial Regional Physical Development Plans were prepared and published: Central Province (1967), Eastern Province (1969), Nyanza Province (1970), Western Province (1970), Coast Province (1971) and Rift Valley Province (1971). Provincial Regional Physical Development Plans led to the establishment of the Growth Centres Policy in the 1970-74 National Development Planning periods.

National Development Plan	Highlights of Regional Development Issues
First Development Plan 1964 to 1969	Basic administrative structure for decentralized planning and development at the Provincial and District levels established i.e. Development Committees and technical personnel responsible for planning, co-ordination and development administration and extension at the Provincial and District levels. Efforts to address integrated rural development at the Divisional level and area based regional development planning at the Provincial level initiated
Second Development Plan 1970 to 1974	Introduction of frameworks for urbanization and spatial redistribution of infrastructure and other development facilities and services through introduction of the hierarchical “growth centres” policy. Preparation of District Development Plans on a comprehensive basis started.
Third Development Plan 1974 to 1979	Renamed ‘urbanization policy’ with emphasis on more equitable distribution of resources and income. Main emphasis was to slow down rural to urban migration by achieving maximum development in rural areas
Fourth Development Plan 1979 to 1983	Redefined the urbanization policy to emphasize on strategy of Rural/Urban Balance as a major focus of national development policy.
Fifth Development Plan 1984 to 1988	Introduced the recognition and establishment of district as the basic unit for planning at the local and regional level by adopting the District Focus Policy for Rural Development.
Sixth Development Plan 1989 to 1993	Strengthened the involvement of the private sector, the community and the informal sector in the process of economic development.
Seventh Development Plan 1994 to 1996	
Eighth Development Plan 1997 to 2001	Focused on promotion of industrialization in order to increase employment opportunities. Aimed at transforming Kenya from largely agricultural to industrialized economy.

Highlights of Regional Development Issues in different National Development Plans

2.3.2.4 Human Settlements in Kenya

In the late 1970s focus shifted to the national urbanization process and its effect on local, regional and national development. A study on human settlements in Kenya proposed a 'strategy for urban and rural development'. The Rural Urban Balance Strategy was eventually adopted and incorporated in the National Development Plans from 1979, and that has remained a main policy strategy for regional development in Kenya. It aims at balancing the process of development between rural and urban areas.

2.3.2.5 District Focus for Rural Development

Despite the regional planning efforts, local level development remained elusive. In 1983, a District Focus for Rural Development (DFRD) strategy, with the District as the basic unit for planning at the local level was developed. In the programme each District Development Committee, working with other stakeholders in the district was empowered to co-ordinate preparation of an integrated area plan and supervise its implementation. This included projects identification, prioritization, and supervision of their implementation. A key element of DFRD was community participation.

2.3.2.6 Rural Trade and Production Centers Strategy

As an outcome of the Sessional Paper No. 1 of 1986 on Economic Management for Renewed growth of the Kenyan economy up to the year 2000, the strategy aimed at promoting development of an urban system that supports growth of agriculture and development of rural area, and that generates productive employment opportunities in non-farm activities for rural workers close to where they live. The strategy introduced Rural Trade and Production Centres (RTPCs). Thus, during this period, the Government of Kenya pursued several regional development policies – including rural urban balance, growth with distribution linkages of physical and sectoral sectors and efficient manpower policies.⁹

2.3.2.7 County Governments

With the promulgation of the 2010 Constitution of Kenya, the Government of Kenya adopted a devolved system of government establishing 47 county governments, each decentralizing its functions and services delivery. Key among the elements of devolution is the right of communities within the counties to manage, promote and further socio economic development within their regions.

2.4 Importance of Planning at Regional Scale

Regional development planning is a holistic approach where different regional actors participate in definition, decision-making, implementation and monitoring of the most appropriate and sustainable regional development initiatives. It aims at stimulating socio-economic diversification and growth of regions, embracing large geographic areas transcending administrative boundaries but linked together by common resource systems, goals and aspirations.

Formulation and implementation of regional plans helps unleash territorial/ regional potential through development of strategies and programmes that are based on local and regional knowledge of needs. The programmes are also built on specific regional capital assets and factors to realize its potential, contributing to regional competitiveness. The approach is more situation specific when compared to national planning that is more top-down and sectoral, hence not always appropriate to the needs of individual areas. However, it seeks to strengthen and reinforce national development goals and make them address sub-national and local problems and challenges in a way that engages regional and local institutions in search for answers to their problems and guarantee ownership of development activities. Thus, regional plans create trust and legitimacy among stakeholders involved that their needs are being addressed by clearly indicating the regional development priorities.

Additionally, planning at regional /territorial scale

- Help in co-ordination of sectoral policies to optimize territorial impact, maximize coherence in development and reduce conflict in implementation;
- Help realize the optimal balance of sustainability, competitiveness, and social cohesion through integration and;
- Make use of synergetic effects and linkages through establishment of two-way working relationship between the regional authorities and other agencies

Effective regional planning need to move beyond proposing policies, strategic actions to address needs and identifying areas of intervention. It must integrate financing plan, including priority and sequencing. Such financing plans are a basis for budgetary allocation by the national governments but and also a tool to empower locally elected officials at the county government, urban and town authority levels to legislate new local financing sources and mechanisms. The financing mechanism should largely aim at turning local assets into economic drivers that can help unlock regional growth potentials.

⁹ See UNCHS (1997): Regional Development Planning and Management of Urbanization

Further, regional planning complements local planning in that local areas do not function in isolation but rather as systems of interactions within the region, manifested in the flow of goods and services and the mobility of people. Thus regional planning can be viewed as a means of providing a framework of reference for the local land use transportation planning process.

Good laws are basis of effective regional planning. Thus effective regional planning and its financing mechanisms need to be fully supported by an enabling legal and institutional frameworks provide the right environment its success. The responsible regional agencies need to take their structure from an enabling legislation.

The Physical Planning Act of 1996 (Cap 286, 1996) provides for the formulation of national regional and local physical planning guidelines, policies and strategies. It further provides for the preparation of regional and local physical development plans. The Act requires Director of Physical planning to formulate national, regional and local physical development policies, guidelines and strategies; and also be responsible for the approval of all regional and local physical development plans. However, no clear guidelines and or structure developed department to indicate what such regional plans should include.

In Kenya's RDAs context, the regional plans will be shop front for county and central government agencies, civil society and private investors for they will give portfolio of clear regional priorities as basis for investment. They will also guide growth and capacity development actions within the authorities.

2.5 Components of a Good Regional Plan

Significant advances have been made in development of regional plans providing a basis for extending and shaping development and identifying investment opportunities offered by regions. Regional plans should always start by setting out the overarching policy consideration under which they are being prepared, what the policy and or the regional planning guidelines mean for the regional plan and how the plan will move further the policy context. Thus they should always align with statewide planning goals, providing specific guidance for implementation that could help achieve the desired outcome.¹⁰

Key components of a good regional plan include;¹¹

- It should be embedded in its organizational, economic and social contexts - an understanding of the environment, risk and opportunities. Under the contexts, a clear assessment of the impacts that growth and development in the adjacent regions may have on the region and how the plan for growth and development may affect adjoining regions needs to be clearly spelt out;
- A clear statement of intention to plan: A clear vision that represent hopes and dreams of the region. The desired outcome of the planning processes should be well-articulated;
- Stakeholder's involvement: All the stakeholders need to be involved in the planning process in an open and productive manner; they need to buy in the plan; acceptance of the process;
- Clear implementation process: Plan implementation process or the mechanisms for delivery need to be clear, with specific actions or projects that could implement the policies, including priorities, timing, cost estimates, funding opportunities, lead agencies and potential partners;
- Effective monitoring framework: A simple but effective framework for monitoring with clear indicators need to be established;
- Review: Review process need to be identified.

¹⁰ PlaceSense (2013) Regional Plans Assessment: Report prepared for Vermont Association of Planning and Development Agencies: <http://www.vapda.org/Publications/RegionalPlanAssessments.pdf>

¹¹ Beer Andrew (2012) 'What Makes a Good Regional Plan? What Worked, What didn't and What to Do Differently' A presentation at the University of Adelaide, Australia.

3. Regional Development Authorities (RDAs) in Kenya

3.1 Introduction

Since 1974, Kenya embraced regional development approach for national development planning. This was done through establishment of six Regional Development Authorities (RDAs), based on rivers and large water-body basins, covering the whole country. The six RDAs are charged with the mandate of spurring integrated regional development to address

equitable and balanced socio-economic development in the country. The RDAs have been involved in implementation of integrated programmes and interventions of strategic national importance and in ensuring that resources in these regions are utilized in the most optimal and sustainable manner with minimum duplication of efforts and resource use conflict.

3.2 Regional Development Authorities (RDAs) and their Functions

The six RDAs and the Act of parliament that established them and the catchment and counties covered by includes;

Regional Development Authority	Area Coverage in Km ²	Act establishing the RDA	Catchment Area Covered	Counties ¹ Covered
Tana and Athi Rivers Development Authority (TARDA)	TARDA covers about 110,182 (138,000?) km ²	Cap 443 of 1974	Area bounded by and drained by Tana and Athi Rivers catchment	Embu, Garissa, Kajiado, Isiolo, Kiambu, Kilifi, Kirinyaga, Kitui, Lamu,, Machakos, Makueni, Meru, Murang'a, Nairobi, Nyandarua, Nyeri, Tana River, Taita-Taveta, Tharaka-Nithi
Kerio Valley Development Authority (KVDA)	KVDA covers about 107,759 km ²	Cap. 441 of 1979	Area bounded by watershed of Kerio, Turkwell, Aror, Pakera, Embobut, Waseges, Wei-wei, Muruny rivers and their tributaries	Turkana, West Pokot, Elgeiyo Marakwet, Baringo, Parts of Samburu and Nakuru
Lake Basin Development Authority (LBDA)	LBDA covers about 39,000 km ²	Cap 442 of 1979	Areas in the Lake Victoria catchments in Western, Rift Valley and Nyanza area	Bungoma, Busia, Homa Bay, Kakamega, Kisii, Kisumu, Migori, Nyamira, Siaya and Vihiga., Bomet, Nandi, Kericho Uasin Gishu,
Ewaso Ng'iro South Development Authority (ENSDA)	ENSDA covers about 47,000 km ²	Cap 447 of 1989	Area drained and bounded by Ewaso Ngiro South River Basin	Nyandarua , Kajiado, Nakuru and Narok
Ewaso Ng'iro North Development Authority (ENNDA)	ENNDA covers about 209,576 km ²	Cap 448 of 1989	Area drained and bounded by Ewaso Ngiro North river basin	Mandera, Wajir, Garissa, Isiolo,Marsabit, Samburu, Nyandarua, Nyeri, Laikipia and Meru
Coast Development Authority (CDA)	CDA covers about 83,681 km ²	Cap 449 of 1990	Exclusive Economic Zone (EEZ) of 200 nautical miles, the immediate coastal hinterland	Taita Taveta, Kwale, Mombasa, Kilifi Lamn and Tana River

Table 1: Regional Development Authorities and their Area of Coverage

Since inception, RDAs have been involved in implementation of integrated programmes and interventions of strategic national government interests, within their areas of jurisdiction. Through formulation of integrated regional development plans the RDAs have been mandated to identify resource based development priorities to enhance attainment of equitable exploitation and utilization of resources in the respective areas. However, formulation of plans has been a key challenge to most RDAs for only a few have been approved regional development plans.

Thus they have not been able to effectively discharge their primary roles of stimulation of socio-economic

development through sustainable utilization and management of basin based resources. The challenges have been evident in discharging their key mandated functions including;

- Formulation of Integrated Regional Development Plans and other Relevant Plans

Integrated Regional Development Plans are all inclusive multi-sectoral and long term plans for development of the regions. This will help improve economic performance and enhance the regions' competitiveness through identification of regional resources, investment opportunities and development priorities.

ii. Integrated Development Programmes and Projects

Initiate, plan, implement monitor and evaluate basin-based integrated development programmes and projects for sustainable utilization of natural resources.

iii. Regional Observatories Trends and Prospects

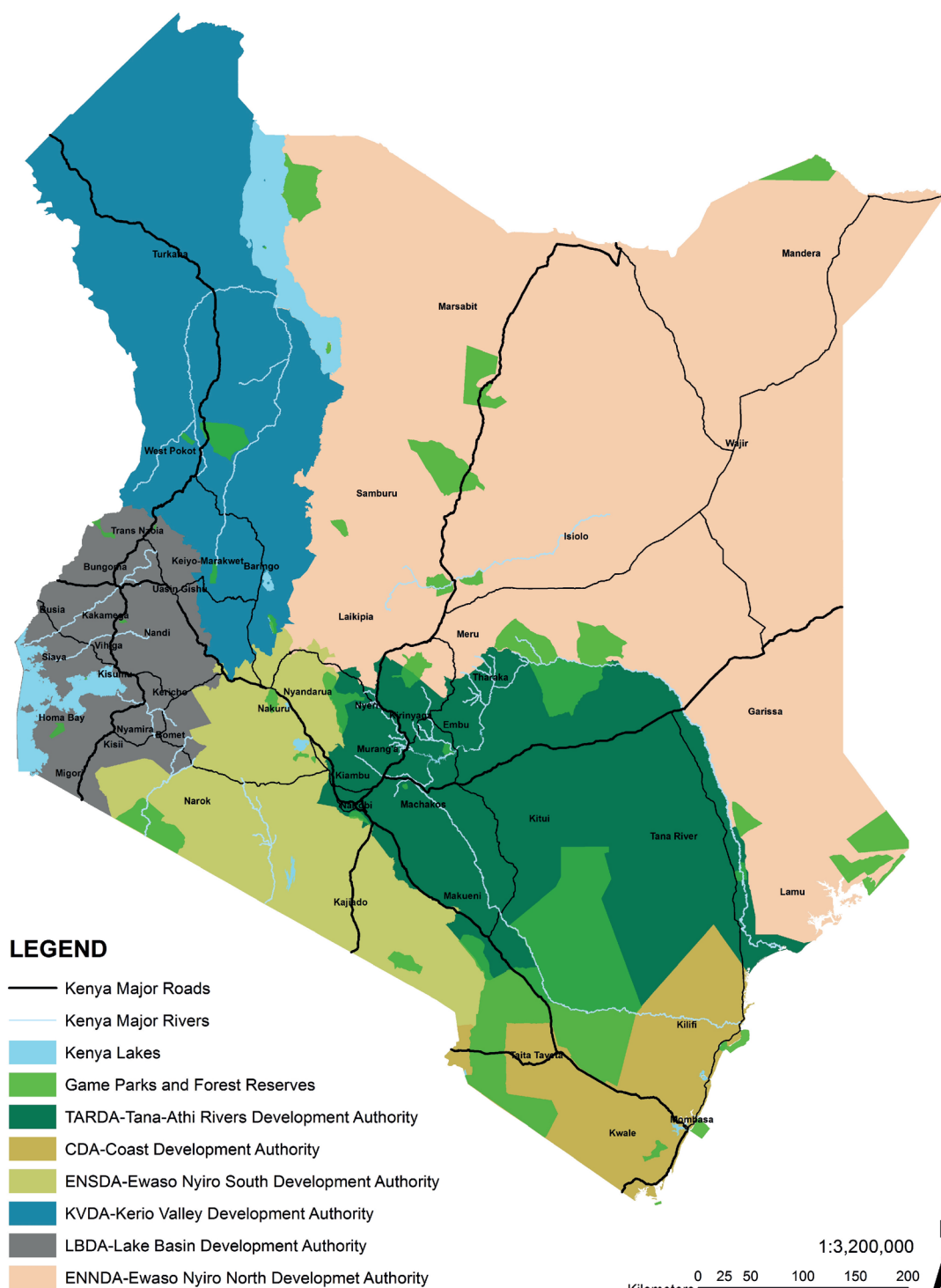
RDAs are expected to establish and manage an up to-date region's data and information system necessary for planning and development of the region; advise on resource based development and investment opportunities in the region and develop a broad consultative and collaborative framework with all

stakeholders and development partners in the region through:-

- Undertaking regional-based resource studies
- Knowledge and information sharing, and
- Technology transfer and capacity building.

i. Public Investment

Initiate, plan, promote, implement and manage sustainable integrated based investments and also undertake resource mobilization and investment through Public Private Partnership, implementation of value addition and income generating projects.



3.3 Regional Development Planning under the new Constitutional Dispensation

The 2010 Constitution of Kenya and devolved system of government created lack explicit article and institutional framework for regional (development) planning as previously practiced in Kenya under RDAs. Under the constitution, laws governing regional planning and development functions of RDAs were not repealed and no new ones were enacted.

According to the current structure of the Government of the Republic of Kenya, the RDAs are under the Ministry of Environment, Water and Natural Resources and Regional Development Authorities (MOEWNR); established to undertake protection, conservation, rehabilitation and utilization of environment and natural resources for sustainable development. As per the structure of the Ministry authorized by the Public Service Commission, the RDAs functions are anchored in the State Department of Water and Regional Authorities, Directorate of Regional Development Authorities charged with the responsibility of Integrated Planning and Integrated Programmes and dam development.

The Physical Planning Act, 1996 and the Physical Planners Registration Act (PPRA), 1996 were also not repealed or revised to mainstream them into the new constitutional dispensation and provide for planning functions under the new governance structure. These laws remain in force side by side with the new laws for county governance and planning.

However, in line with the new Constitution, RDAs will play a very key role in the implementation, development and management of trans-county resources of strategic national government interest. Part 1 of the Fourth Schedule of the Constitution of Kenya 2010 on distribution of functions between the national and county governments, assigns functions currently being performed by RDAs to the national government including;

- i. Function 2: the use of international waters and water resources.
- ii. Function 22: protection of the environment and natural resources with a view to establishing a durable and sustainable system of development;
- iii. Function 33: public investments.

The functions of RDAs are further supported by Article 69, 191 and 186(3) which encompass, among others, integrated planning and coordination of all development projects within the areas of jurisdiction and specifically to implement any projects for the purpose of utilization of natural resources of the area. The constitutional lacuna created by lack of an explicit article and institutional framework for regional (development) planning creates an opportunity to legislate a new type of regional (development) planning for Kenya. However, as indicated in the table 1, RDAs can continue performing key national functions in the light of devolution and the changed governance structures.

	Function	Unbundled Function
1	Formulation of long range basin-wide Integrated Regional Development Master Plans and other Relevant Plans	<ul style="list-style-type: none"> – Prepare and cause implementation of Integrated Regional Development Master Plans; – Promote and improve economic performance and enhance the regions' competitiveness through identification of regional resources, investment opportunities and development priorities.
2	Formulation and implementation of integrated Development Programmes and Projects;	<ul style="list-style-type: none"> – Initiate, plan and Implement basin-based integrated development programmes and projects for sustainable utilization of natural resources in the Area including the abstraction and use of the same; – Develop and manage sustainable multipurpose dams in the Area; – Monitor and evaluate basin-based integrated development programmes and projects within the Area for effective implementation and future planning.
3	Carrying out Basin-based Resource Studies, Information and Technology Transfer;	<ul style="list-style-type: none"> – Establish and manage an up to-date river basin natural resource data and information system necessary for planning and development of the Area; – Provide advisory services to the national
4	Undertake Public Investment projects;	<ul style="list-style-type: none"> – Initiate, plan, promote, implement and manage sustainable integrated resource based investments; – Develop a broad consultative and collaborative framework with the private sector, development partners and other appropriate agencies in the development of the Area; – Undertake resource mobilization and investment through Public Private Partnership, implementation of value addition and income generating projects.
5	Perform roles of stakeholder in the International Water Bodies regarding their sustainable utilization in the Area;	<ul style="list-style-type: none"> – Coordinate, liaise and work with other relevant agencies in the exploration, development and protection of the fishery and other marine resources in the exclusive economic zone of Kenya; – Advise on, and provide technical support in the implementation of any agreement or other arrangement between Kenya and other states relating to the use of the trans-border waters

6	Participate in National Government Strategic Programmes in the Area;	<ul style="list-style-type: none">– Implement National Government Strategic programmes and perform other related functions and activities as may be necessary to promote and sustain the socio-economic development in the Area;– Undertake programmes and projects that promote resolution of basin-based resource use conflicts.
7	Participate in Capacity building and technical assistance to counties in the Area	<ul style="list-style-type: none">– Advise and provide technical support to the counties;– Liaise and work with the counties in the development and implementation of regional

Table 1: Functions of the Regional Development Authorities Retained at the National Government Level

3.4 RDAs Territorial Challenges and Potentials

Since Kenya got its independence, regional inequalities have been quite evident despite the government implementing and experimenting different macro and sectorial policies. To address the inequalities, RDAs were created as a key strategy for decentralized economic development and effective natural resource and environmental management. The RDAs were given the authority to implement decentralized development in their respective regions to enhance efficient environmental and resource management; reduce poverty; and achieve sustainable development. However, despite their creation, regional disparities still exists within and between regions.

To enhance regional economic development and reduce disparities, RDAs in Kenya must not only address capacities and skills gaps, but also the territorial challenges, most of which offer immense potential to their regions. Key among the challenges includes;

- i. Weak vertical and horizontal linkages: With a large number of interrelated problems, RDAs can only solve territorial challenges through an integrated approach. Weak vertical working relations between RDAs and the county and national governments to the lower and upper levels respectively impede development and implementation of comprehensive regional plans. Poor horizontal networks between sector ministries sever regional integration. Likewise, poor interregional networks hinder regional trade links, exchange of commodities, information and innovation between different RDAs and even between counties within the same region.
- ii. Administrative divisions: RDAs are challenged by internal factors arising from administrative boundaries within their regions, in terms of autonomous counties, with mandates to develop county integrated development plans among other plans. However, there is need to recognize the growing interdependence nature of the counties and the regional authorities that generate demands for better connectivity at regional and national levels.

- iii. Diverse demographic challenges: Kenya has diverse ethnic groups with diverse socio-economic activities, hence development needs and priorities. Huge youthful population who feels excluded from the productive sector and urban rural disaggregation has a severe impact on social and regional cohesion, provision of services, labour markets and housing. Rural-urban migration constitutes a real challenge to urban and rural regions respectively. Large number of poor population living side by side with rich is evident in authorities such as TARDA where urbanization levels are very high. Risk of exclusion is higher in areas with low accessibility, weak economic performance and lack social opportunities.
- iv. Globalization: Increased exposure to globalization and vulnerability to external shocks are experienced by communities in all the regional development authorities, threatening their prosperity, sustainability and stability of regions and cities within them. However, this provide opportunity towards creation of more sustainable and resource efficient structures and actions by the RDAs. The authorities have rich local resource endowments which are of great importance to enable them cope with and recover from such external shocks.
- v. Climate change and environmental risks: Increased risks of drought, desertification, floods and other natural hazards in different regions of the country call for different responses. Environmental pollution (water, air and soils) is also quite endemic in some RDAs. For example disparities in access to clean water are evident between counties within TARDA region and also between urban and rural regions within the authority. Some counties in the upper catchment areas contribute to rivers pollution, while counties in the lower catchment bear the burden of the negative impacts of the pollution. Different RDAs have different opportunities to include adaptation and mitigation measures in their integrated regional development plans. However, coordination of development policies within and between regions especially in areas related to water management, agriculture and tourism is inevitable.

- vi. Loss of biodiversity and cultural heritage: Natural and cultural heritage are part of regional / territorial capital and identity. Ecological values, environmental quality and cultural assets are crucial to wellbeing, economic prospects and offer unique development opportunities. Over exploitation of resources threatens development. Uncoordinated urbanization and agriculture cause severe environmental challenges as evident in TARDA region. In planning development of their regions, authorities need to pay due attention to character of place, which could greatly improve coherence and quality of the built environment.
- vii. Regional competitiveness: Insufficient infrastructure and energy services reduce the competitiveness of regions. This may draw to the need to have sustainable energy solutions such as renewable energy resources or even shift to greener economic activities requiring less energy.
- viii. Clear Boundaries: Being based on river basin and major water bodies within the country, lack of clear delineation where some water basins clearly starts and ends has led to administrative overlaps. This is more evident after promulgation of Kenya Constitution 2010 that established county governments some of which span across different RDAs. Case examples are Tana River, Nyeri, Meru, Nakuru Garissa, Kajiado among others which administratively fall beyond one regional authority.

3.5 Institutional and Integrated Plans Preparation Challenges

As an approach, regional development planning in Kenya and particularly within the RDAs has also been faced with key challenges. A protracted and winding plan preparation process brought about by limited planning skills, capacity and financial resources have affected effective plans formulation and implementation. The process has also operated without linkages to key planning institutions and without effective implementation frameworks. A robust monitoring framework to monitor the achievement of key indicators and milestones of regional development has not been clearly instituted in the plans. The effects of all these has been glaring and entrenched regional problems and an increase in regional disparities within the country.

These among other challenges affect the effectiveness of regional development authorities' capability to unlock wealth creation and spur growth. However, there is need to transform these challenges into opportunities for sustainable and harmonious regional development. Effective, participatory and coordinated regional development planning approach by the authorities could catalyze growth in the regions.

4. Governance and Institutions for Regional Planning

4.1 Introduction

Institutions are key enablers of innovation; learning and productivity growth. They pave way for design and implementation of efficient economic development strategies across regions. Thus the best regional development strategy is likely to be one that acknowledges institutional factors, their variability and limitations and attempts to address the potential shortcomings of local and regional institutional arrangements.¹² Patterns of power and authority in a society are a fundamental condition for development with heavy bureaucratic legacy for instance stifling regional development by hindering exploitation of resources, while institutions that are incompatible with transaction cost demands of private investors might scare them away hence stifling regional growth. The institutions involved in regional development process could be classified either as formal or informal

4.2 Formal Institutions

4.2.1 Central Government Level

Article 66 of the 2010 Constitution of Kenya gives the national government the power to regulate the use of any land, or any interest in or right over any land, in the interest of among others, public safety, public order, public morality, public health, or land use planning. Key planning institutions to be involved include:

- National Land Commission: Empowered by the constitution to manage land and monitor land use planning throughout the country.
- Ministry of Planning & Devolution,
- Ministry of Lands, Housing and Urban Development,
- Ministry of Environment, Water and Natural Resources.

However, it's also worth noting that all government ministries¹³ are represented by key departments within the different RDAs.

4.2.2 Regional Level

At regional level, the Regional Development Authorities (RDAs) which have been given planning mandates by different acts that have established them. The act needs to be fully anchored through legislation. RDAs are the government agencies that are charged with coordination of programmes and projects implementation at the regional level.

4.2.3 County Government Level

All Regional Development Authorities in Kenya cover a number of counties. The CoK 2010 provides for counties planning and development functions. Additionally the County Government Act (CGA), 2012 and Urban Areas and Cities Act, (UACA), 2011 guide the county planning with an ultimate goal of integrating economic, physical, social, environmental and spatial planning. The law provides for two categories of plans.

- County wide plans: i.e. (County Integrated Development Plan; County sectoral plans; and County spatial plans)
- Sub-county rural areas and Cities and Municipal Plans: These plans covers smaller areas i.e. sub-county rural area (wards, cities, municipal constituency land use, building and zoning) plans are provided for under CGA.

Four planning units (first three professional and last political) which are responsible for county planning that could also be relevant in Integrated Regional Development Planning includes;

- i. County departments Planning Authorities;
- ii. Cities and urban areas Planning Authorities;
- iii. Sub-counties Planning Authorities; and
- iv. Wards Planning Authorities

4.3 Financing Institutions

Finance institutions could largely be involved in funding the implementation of regional development priorities emerging from the plan. The institutions span from formal banks, non-banking financial institutions and the informal financial institutions. Beyond established banking institutions, most county governments have established Savings and Credit Cooperative Societies to facilitate savings, agricultural processing and marketing. Such institutions are important in financing regional development priorities.

4.4 Non-Governmental Organizations

Non-governmental organisations are among key institutional development actors who are involved in implementation of a range of regional development activities sometimes in collaboration with government and community based institutions. In most cases categorize as informal institutions, they are viewed as second best to or incomplete substitutes for formal institutions and have in many initiatives proved useful for economic development in either cases of a serious absence of or in the presence of inadequate formal institutions.

¹² Andrés Rodríguez-Pose 2013

¹³ Ministries of Industrialization and Enterprise Development; Mining; Agriculture, Livestock and Fisheries; Energy and Petroleum; Labour, Social Security and Services; Sports, Culture and the Arts; Information, Communication and Technology; Transport and Infrastructure; Education; Foreign Affairs; Interior and Coordination of National Government; Defence; East Africa Affairs, Commerce, and Tourism and the National Treasury

4.5 Academic Institutions / Planning Schools

A number of Kenya public universities have been instrumental in capacity building for urban and regional planner. They have also offered planned regional studios, advisory services on regional development to RDAs in the country. They have promoted planning approaches that are sustainable and holistic. In their activities the schools have combined design and policy approaches. Key among the planning schools involved includes;

- a. University of Nairobi: Department of Urban and Regional Planning
- b. Maseno University: Department of Urban and Regional Planning
- c. Kenyatta University: Department of Spatial Planning and Urban Management
- d. Jomo Kenyatta University of Agriculture and Technology: School of Architecture and Building Sciences
- e. Technical University of Kenya: Department of Spatial Planning and Design

Of paramount importance is their role in leveraging financing and human resources to enable the RDAs fulfil their mandates and creating linking with local and international policy and practice while still strengthening regional identity.

4.6 Professional Associations

Planning is a dynamic profession that works to improve the welfare of people and their communities by creating more convenient, equitable, healthful, efficient, and attractive places. It involves many professionals most of whom have professional networks to guide and improve practice. Professional associations such the Kenya Institute of Planners can play a key role in the formulation and implementation of regional plans in the country.

4.7 Other Stakeholders¹⁴

- Multi-lateral Development Agencies
- Bilateral Development Agencies
- Private Sector
- Community and Religious/Faith Based Organization

4.8 Institutional Support for Regional Planning and Development

From the above analysis, quite a number of institutions are crucial for regional economic development for Kenya's RDAs. Formulation and implementation of IPRDP is likely to be undermined by lack of a clear understanding and definition of what are efficient institutions and understanding their role and responsibilities in the process. In this endeavor, assessing the capacity, performance and governance of key institutions operating in a region to understand how well they operate and deliver their mandate within a region is inevitable. There is also the need to develop strong institutional linkages and collaboration modalities between the institutions and the RDAs involved.

¹⁴ Most of these will be RDAs specific as a result of their specific interests and operations in the RDA.

5. UN-Habitat Engagement with Regional Development Authorities

5.1 Introduction

UN-Habitat through its Urban Planning and Urban Design Branch and the Regional Office for Africa (ROAf) have been supporting cities, regional and national authorities address development challenges affecting them by helping them design policies, plans and designs through participatory processes that include all the actors.

To provide guidance on planning and policy at the metropolitan, regional and national scales, the agency's Regional and Metropolitan Planning Unit (RMPU) conducts activities in knowledge management, tools development, capacity development, policy dialogue, partnership development, technical assistance and advisory services. The International Guidelines on Urban and Territorial Planning (IG-UTP) demonstrates opportunity for countries to strengthen their urban and territorial planning practices.

Through the use of the unit's tested approaches, guidelines and tools to support management of urban and regional growth and improve sustainability, efficiency and equity through planning and design at different scales, UN-Habitat in partnership with likeminded institutions such as the United Nations Centre for Regional Development (UNCRD) could greatly contribute to effectiveness of RDAs in Kenya towards delivering on one of their key mandates formulation and implementation of Participatory and Integrated Regional Development Plans, a key foundation of all their other mandates.

5.2 Engagement Principles

UN-Habitat engagement with RDAs will be based on key purpose and commitment of the agency to facilitate and support effective regional planning and development. Thus the agency's engagement will be based on fundamental principles of spatial planning which among others could help improve coherence and achieve social, economic and environmental outcomes; could foster efficient and effective settlement patterns, promote prosperity, equitable distribution of resources and opportunities; predict, avoid and ameliorate the adverse human activities, promote equity, nurture vibrant communities and contribute to development of regional knowledge. Key among the engagement principles include;

- i. The democratic principle: Planning is a centrally an important government function and depends very much on the democratic characteristics the government it is embedded in. Ensuring local democracy, transparency and accountability throughout the plan preparation process as established in law will ensure fairness and respect of human rights.
- ii. The subsidiarity principle: Regional planning decisions at RDAs level should be driven by local requirements. However the role of multilevel governance in taking decisions based on complementary roles of institutions cannot be understated. Planning issues transcend regions thus ceding some decision making powers to higher level body is inevitable to ensure coherent development strategies. It also implies interconnectedness of decision making between the different levels involved. Working relationship between UN-Habitat and RDAs will strive to combine and rationalize regional governance structures, functions, policies and processes under a clear set of rules to produce a coherent and integrated plan.
- iii. Participatory decision making / people driven principle: Effective and transparent procedures where all stakeholders participate in planning, implementation and monitoring of the IPRDP process enhances the legitimacy of policy and decision-making by creating a sense of local ownership, addressing competing interests and creating a shared vision among the citizens in the region. They should access information on proposals, plans and policies and participate in drafting plans and appeal against unsustainable planning decisions.
- iv. Integration and sustainability principles: Integration enhances coordination in the planning process. It also helps create complementary and mutually reinforcing policies and actions between different government levels. Integration across administrative boundaries creates policy coherence and reduces damaging competition across larger territories. Integration of environmental, social and economic considerations brings about sustainability.
- v. The proportionality principle: The proportionality principle helps facilitate judgments about where prescription should stop and more discretion should be given to citizens, developers and local decision makers, i.e. in the formulation and implementation of the spatial plans, there will be striking a balance between an obligation / policy requirements and flexibility to adapt to economic, social and technological development hence spur innovation. The engagement will strive to facilitate initiative and intuition in the regional plans formulation and implementation rather than being overly prescriptive.

- vi. The precautionary principle: In undertaking the planning process, precautionary approach should always be adopted particularly in prescribing projects and policies whose effects to sustainable development processes cannot be ascertained due to lack of information. However, lack of certainty about impacts will not be used as reason for inappropriate policy decision or failure to take collective action.

5.3 UN-Habitat Engagement Strategies

5.3.1 Focus on Regional Priorities

UN-Habitat engagement with RDAs will be based on key objectives of spatial regional planning i.e. stimulating economic growth, reducing vulnerability of the regional economy to external threats, assisting regional competitive advantages and the strategic management of the region based on the concerted efforts and participation of public and private actors. In the formulation, implementation, monitoring and evaluation of regional plans, an integrated approach that addresses the availability of competencies including skills, knowledge and attitudes and committed leadership to steer decision making processes is inevitable. Enabling legal and institutional frameworks provide the right environment for its success while financing mechanisms are inevitable in implementation. Inadequacy in most of these areas provides clear areas of intervention by UN-Habitat, not only at RDAs level but also at other levels of government responsible for creation of an enabling environment and even creating linkages to other development partners who can support implementation of the plan.

As a tool for guiding development, UN-Habitat could give technical support in formulation and implementation of regional plans that focus on broad regional priority areas and their respective elements including;

- Regional economy development: Regional economy enhancement including identifying and harnessing strategic resources, business opportunities and innovations that can spur regional economic growth. Exploring regional policies on locational advantages in disadvantaged areas and skills enhancement to improve employability.
- Education and employment: Knowledge, skills and innovation are key essential components in improving regional competitiveness. Spatial development policies and strategies supporting them could greatly promote regional development.

- Connectivity and infrastructure services delivery: Connectivity and infrastructure services development increase attractiveness, competitiveness and social cohesion in a region. Thus there is need to have regional policies aimed at enhancing connectivity and that is coordinated with spatial development and land use planning.
- Urbanization and human settlements: Promotion of sustainable urban development strategies, improving accessibility and mobility through appropriate land use planning, effective methods of reducing uncontrolled urban expansion and informal urbanism.
- Environmental sustainability: This includes the need to harmonize spatial development with ecology protection. Spatial and environmental impact assessments can provide necessary information for this.
- Art, culture and heritage: Cultural heritage contribute to local and regional identity through reflection on a regions history. Cultural heritage is not a renewable resource; hence preservation and enhancement of value of cultural landscapes within the framework of an integrated regional development need to be enhanced.
- Governance and institutional development: Regional development will include negotiations, coordination and cooperation between central and county governments, civil society, private and community actors in formulation, implementation, monitoring and evaluation of sustainable regional development strategies.

5.3.2 Strategies at Regional Development Authority Level

Towards supporting RDAs address their development challenges including the development of Integrated and Participatory Regional Development Plans which addresses priority regional development issues within their areas of operation, UN-Habitat could apply the following strategies:

5.3.2.1 Support Development of Integrated Regional Development Plans

UN-Habitat has a niche and wide experience in urban and regional planning and design issues and processes. The agency has been supporting governments at city, regional and national levels to improve on policies, strategies, plans and designs for more compact, socially inclusive, better integrated and connected cities that foster sustainable development. The agency's approach emphasizes on preventive planning, planning at the scale of the problems and planning in phases but more importantly linking the planning process with financial capacities.

Recently, UN-Habitat developed international guidelines on urban and territorial planning¹⁵ that could provide a global framework for improving policies, plans and designs for more compact, socially inclusive, sustainable, better integrated and connected cities and territories and a compendium of case studies both of which promotes an inspiration for policy makers, planners and communities to promote sustainable urban and territorial development in planning processes. In the plan preparation process, UN-Habitat could;

Facilitate adoption of participatory approach

As a precondition for effective governance, UN-Habitat is always keen to promote and facilitate adoption of participatory approach in plan preparation processes. The coordinated participatory approach is needed to transform development challenges affecting the RDAs /territories into potentials for sustainable and harmonious regional development. Participatory approach is based on a long term stakeholder's engagement throughout plan preparation and implementation process. UN-Habitat has a wide range of similar Participatory Urban and Territorial Planning projects that will enrich RDAs plans preparation process within the country.

Support improvement of regional / territorial connectivity

UN-Habitat technical support in plan preparation could help improve three aspects of regional connectivity institutional, physical and people to people. This will happen through effective RDAs effective institutions, mechanisms and processes, that could help engage with the counties; physical connectivity through developing secure access to infrastructural facilities, improve linkages between primary and secondary network systems, improve connectivity between county and regional levels, and so will be connections across territorial barriers, resulting to affordable accessibility to services, information, knowledge and mobility by individuals (people to people) and enterprises hence improving regional cohesion and competitiveness.

Encourage integrated development in cities and regions (Urban-Rural Linkages)

UN-Habitat has rich experience in supporting cities to be catalysts of smart sustainable and inclusive development, encouraging their cooperation and networking which could lead to smart development of cities and regions at varying scales. Such processes could look beyond administrative cities /urban borders and focus on functional region, including peri-urban areas.

UN-Habitat is also keen on promotion of diverse rural urban linkages, urban rural interdependence will be recognized through integrated governance and planning that is based on broad partnerships. In rural areas, small and medium sized towns play a crucial role hence need to improve their accessibility and ensure availability of opportunities and services of general interest.

Support in the formation of network of cities /towns in the region could not only promote regional but also national and even global competitive edge of the RDAs and promote regional economic prosperity towards sustainable development.

5.3.2.2 Support in Development of Green Regional Economy and Climate Change Strategies

Climate change could have serious impacts to different regions global impact to regional development in Kenya including. UN-Habitat could offer technical capacities to RDAs in development of Regional Climate Change Strategies that offer recommendations for county, regional, and national action to reduce vulnerability to the anticipated impacts of climate change within the RDAs. Given the magnitude of climate change impacts on the natural environment, developed areas and infrastructure, the economy; it is important that each RDA consider climate change adaptation and mitigation as a critical component in their development efforts. It is becoming apparent that the appetite of the world's growing and increasingly affluent population is coming up against limitations in the planet's ability to support human life on this scale. This is quite evident in the RDAs in Kenya.

Threats to food production with potential implications for creating ethnic tension, political conflict and civil unrest are quite evident in most regions in Kenya. Climate change-induced migration leading to displacement of individuals, reduced bio-diversity in plants and animals which in turn will affect the robustness of ecological systems has already started happening. Increasing competition for scarce fresh water resources is raising the possibility of conflict of more in most of the regions. Shrinking forests and increasingly unpredictable weather patterns have already been witnessed.

While many regional planning initiatives in the twentieth century grew out of concerns about natural resource management and river based schemes; increasing concerns over climate change, sustainable development, and environmental risk reduction are providing new rationales for "green" regional initiatives.¹⁶

15 UN-Habitat (2015) International Guidelines on Urban and Territorial Planning

16 Karen Chapple, Sergio Montero and Oscar Sosa (2012) Evolving Regionalismos: Latin American Regions in the Twenty first Century

Moving towards a greener economy¹⁷ allows for addressing environmental challenges, social inequalities as well as to create economic growth and jobs. Within the green economy approach, growth is especially expected in areas such as renewable energy, agriculture, water management and waste management. Through use experience in development of tools such as 'Urban Patterns for a Green Economy', UN-Habitat could offers valuable experience to RDAs in development of regional plans that can effectively integrate environmental, social and economic components.



Fig 2. UN-Habitat's clustering for Competitiveness: Urban Patterns for a Green Economy Series

The way in which city spaces, buildings and infrastructural systems are planned, designed and operated influences the extent to which they encroach on natural ecosystem.

The Urban Patterns for Green Economy publications are one of the UN-Habitat's key tools for Regional and Metropolitan Planning and aim to suggest patterns that can help cities and city regions regain inherent advantages in times of increased and un-precedented demographic expansion.

UN-Habitat Interventions

UN-Habitat's experience on leveraging density urban patterns for a green economy could be of great importance to the RDAs, particularly on how to plan cities and regions for ecosystem health, focusing on allowing sufficient space for natural systems to continue providing crucial goods and services like fresh water, food, fuel and waste amelioration.

The agency could lead in planning the growth of cities to achieve appropriate densities and providing alternative forms of mobility, help to slow human settlements expansion onto ecologically sensitive lands, and that can reduce citizens' demand for scarce resources by sharing them more efficiently.

UN-Habitat's Cities and Climate Change Initiative (CCCI)

UN-Habitat's Cities and Climate Change Initiative (CCCI) seeks to enhance the preparedness and mitigation activities of cities in developing and least developed countries. It emphasizes good governance, responsibility, leadership, and practical initiatives for local governments, communities, and citizens. Building on UN-Habitat's extensive experience in sustainable urban development, the Cities and Climate Change Initiative helps counterparts to develop and implement pro-poor and innovative climate change policies and strategies. CCCI is also developing a suite of tools to support city leaders and practitioners in addressing the impact of climate change (adaptation) and to help reduce greenhouse gas emissions (mitigation).

It will also look at how competitive advantage can be achieved at a regional scale by encouraging cooperation between cities with complementary areas of specialization; develop innovations on how green economic development can be encouraged. Focus on the use of community participation to resolve issues of social integration and environmental sustainability will also be addressed

Growing demand for energy presents a significant challenge to its future development. Solar / renewable energy industry can catalyse economic development, and how industry and government can collaborate to optimize economic, social and environmental outcomes.

The strategy

The Regional Climate Change Strategy will build on UN-Habitat experiences, efforts and existing best practices to develop recommendations for county, regional, and state action. Strategy development will involve:

- First to conduct a vulnerability assessment and analysis of climate impacts across the region. The vulnerability assessment will provide a conceptual overview and introduction to climate change vulnerabilities and describe historical climate trends across the built and natural environment.

¹⁷ According to the European Union, green economy can be defined as the socio-economic development that takes place vis-à-vis a more sustainable use of natural resources, preservation of environmental capital and fewer environmental risks, while at the same time enhancing regional competitiveness and territorial cohesion over the long term.

- Develop a range of projected future climate changes that are expected over coming decades for the region.
- Developing a framework for accomplishing primary climate change goals as developed and adopted within the Integrated and Participatory Regional Development Plan
- Developing recommendations for change that must be realized if the region is to be more socially, economically, and physically resilient in the face of climate change.

Involvement of counties, towns, and all relevant institutional stakeholders in the region to understand how climate change is affecting the region and current adaptation and mitigation measures being undertaken will be done. Populations that may be more vulnerable to the effects of climate change and/or have a reduced ability to adapt, whether by virtue of economic status, social capacity and resources, health, age, or geography will be involved in development of mitigation and adaptation strategies.

UN-Habitat could lead in a collaborative effort with experts and interest groups across disciplines and sectors to promote both human and environmental prosperity in the regions.

Support in formulation financing mechanisms for plan implementation

As noted earlier, UN-Habitat is keen on linking planning process with financial capacities. The agency believes that efficient and transparent finance systems are key to investments, maintenance and management of human settlements.

The Integrated and Participatory Regional Development Plans adopt strategic actions responsive to regional needs by identifying intervention areas. If the interventions are not funded, regional development cannot be realized. Presently, regional planning in Kenya is undertaken mainly by the department of physical planning which does not have the leverage and capacity in terms of finances and manpower to oversee planning let alone implementation.

With wide experience in promotion of urban and regional economic and financial development, UN-Habitat would help RDAs raise revenue through offering advisory technical and capacity building support on how to generate more endogenous (financial) resources to implement programmes and projects emanating from the plan.

5.3.3 At Ministry of Devolution and Planning

i. Establishment of Regional Council of County Governors

For effective regional development, county governments within the regions have to work together. Establishment of Regional Council of County Governors comprising of all the County Governors whose counties fall within the Regional Development Authority would be the most effective vehicle. The council will not only be a forum for peer learning and synergies creations but also deliberate on and mobilize resources for implementation of inter county projects. The council could also work closely with development partners and other agencies to support implementation of regional development activities / projects as per the Integrated and Participatory Regional Development Plan of their region.

ii. Support in Formulation of Legislative and Institutional Frameworks

As noted above, laws governing regional planning and development functions of Regional Development Authorities (RDAs) were not repealed with the enactment of the CoK 2010. This offers a great opportunity for UN-Habitat to draw from long term international experience in urban legislations and support RDAs with expertise towards formulation of a regional development policy with a clear legislative and institutional framework to guide regional development in Kenya.

iii. International Guidelines on Urban and Territorial Planning

UN-Habitat has been working on International Guidelines on Urban and Territorial Planning that provide a global framework for improving policies, plans and designs for more compact, socially inclusive, sustainable, better integrated and connected cities and territories. The guidelines and a list of inspiring case studies from throughout the world greatly inform and inspire policy makers, planners and communities in promoting sustainable urban and regional development process for the RDAs in Kenya. UN-Habitat could take a lead in enriching regional plans preparation processes through sharing and giving insights on the guidelines and helping contextualizing them to local situations.

iv. Territorial Cross - Border Integration

Key criticism of many regional development plans and strategies is lack of integration with neighboring regions and their plans. However, plan preparation offers an opportunity for regions to discuss common issues that cross administrative boundaries. Such integration is an important factor in fostering competitiveness. In such cases natural resources, city networks among other cultural heritage and landscapes divided by county borders will be better planned for and utilized. This will enhance regional integration by having different counties working together for the benefit of the region.

6. Specific Services by UN-Habitat

UN-Habitat has developed a unique position in supporting urban and regional planning and development for a better future. The institution has for over forty years offered advisory and technical support at national, regional, city and local levels. The knowledgeable institution's experts in urban and regional planning processes both from policy and technical issues can help guide Regional Development Authorities (RDAs) in formulation, implementation, monitoring and evaluation of Integrated Regional Development Plans the country. Based on engagement principles highlighted above, UN-Habitat could offer the following services to RDAs

6.1 Knowledge and experience sharing

UN-Habitat is a knowledgeable institution and understands the aspirations of cities, regions and their residents. The institution could facilitate development of knowledge on regional development planning to be used by RDAs; share innovative experience and case studies on how regional development planning has been applied in other countries and also share database of experts/institutions that are working on IRDP whose expertise and experience can be used by RDAs in formulation, financing and implementation of IRDP.

6.2 Institutional analysis and engagement

A range of institutions / stakeholders are involved in regional development. Identification and analysis of their regional interests and capacity to deliver on particular regional development mandate need to be ascertained before engagement in plan formulation and implementation. With a wide experience in initiating and working with multi stakeholder processes, UN-Habitat could be instrumental in supporting RDAs with comprehensive stakeholder's analysis among other institutional assessments and in developing modes of engagement with them. UN-Habitat could be instrumental in exploring and helping RDAs nurture institutional linkages at international, national, regional and county level for local actions.

6.3 Capacity development

UN-Habitat could use the plan preparation process as a learning exercise to strengthen the capacity of the RDA planners among other stakeholders in IRDP formulation, financing, implementation, monitoring and evaluation. This gives an opportunity to appreciate individual sector policies, how to integrate and more importantly enhance credibility of the planning process. This include organizing skill-building on conducting consultations and stakeholders involvement in plan formulation and implementation. Study tours, learning and exchange of experiences will be facilitated.

6.4 Technical assistance and advisory services

UN-Habitat could provide assistance to RDAs in IRDP formulation, participatory multi-stakeholder consultations, quality assurance and consensus building processes, implementation, monitoring and evaluation.

6.5 Linkage to financing /funding institutions

Securing investments for IRDP projects implementation from public and private investors, locally or internationally is a key challenge to many RDAs. With wide range of donor intelligence in areas of urban and regional economic and financial development, UN-Habitat could help RDAs mobilize resources and generate local revenue. This could be done through advisory and technical services, while linking them to institutions that can finance plan implementation.

6.6 Facilitate Integrated Plan's publicity and marketing

UN-Habitat has been involved in awareness creation about the importance of urban and regional planning and supporting countries develop effective urban development policies throughout the world. Involvement of UN-Habitat could help give the plan widespread publicity within its network comprising of academic, research and scientific institutions; international organizations; bi-lateral and multi-lateral donor agencies, private sector among other, raising awareness not only on the plan implementation but also the region.

7. Illustrative Tools for Engagement

7.1 Regional Development Planning Process

The regional development process is an intensive consultative process among different stakeholders, government (central and county), community and private developers within the region to come up with the regional development plan. Responsible Regional Development Authority should lead and steer the process.

i. Reconnaissance survey

Reconnaissance Survey involves casual observation missions and preliminary investigation of the existing situation in the region before a more comprehensive and detailed research is conducted. It helps give general knowledge of the region that is necessary delineation of selected areas in the field, selection of sample unit and appreciation of local needs and challenges that may need to be addressed by the plan.

ii. Capacity Needs Assessment and Resources Identification

Regional planning process begins with a needs assessment performed to determine whether a regional plan is required or not. Needs assessment involves in-depth diagnosis of the nature, causes and effects of regional problems. Human, financial, network, technical resources that can be exploited for regional development are explored, identified and delineated.

iii. Development of regional planning objective

Having a clear planning objective around which awareness can be raised among the regional partners regarding the need to take actions capable to create a competitive advantage for the RDA /Region. This could also involve developing an objective capable of mobilizing a critical mass of "[local] partners" able to sustain the entire planning and implementation process, through an active consultation process of the regional partners.

iv. Mobilizing regional partners /stakeholders

Mobilization / arousing the interest of the regional partnership networks and sub-regional planning levels stage (county, sub-county, and ward) and stimulation of the local community interest through their representatives. Thus relevant actors on county, regional national and international level could be involved, of course, considering the dilemma between broad participation and effectiveness of the process.

v. Institutional capacity development

Institutional capacity needs assessment and development is meant to result in an Action Plan for the improvement of the technical capacities of the RDA among other relevant local partners / stakeholder e.g. County planners in the region in the plan formulation, implementation and monitoring processes. Institutional capacity development can be carried out parallel with the planning process, as it could entail learning by doing.

vi. Data collection, analysis and establishment of Regional Observatories

Regional development planning requires collection of relevant data/information to clarify problems, identify alternatives, and provide a sense of direction in the development of a region. Data refers to unprocessed information. In this regard, data enables deeper understanding of development problems and opportunities within and outside the region. Analysis of the relevant data is necessary in order to clarify (determine) how the economy of a region works, how it is performing, and where there are opportunities for intervening in ways that will enable it to perform better.

In Kenya, the statutes for guiding preparation of regional development plans are spelt out in Part IV of the Physical Planning Act (1996). The section outlines the purpose and contents of a regional development plan. The First schedule of the Act specifies the matters, which may be dealt with in preparation of a regional development plan, hence data and information required¹⁸ for regional planning process.

Observatories containing information on the analysis of may need to be established in partnerships with county governments and other interested partners. Observatories aim to share the production, analysis, and dissemination of intelligence and research related to regional policy. As a tool it allows monitoring of regions through the use of indicators, by assessing their progress over time.

vii. Projections and strategy formulation

Regional development process involves projection. This is the compilation of forecasts of current situations into a stated future based on results and trends of up to date data analysis. During the projection, estimates of variables that are influential now, and will be influential at a specified time in future in a given region are compiled to come up with forecasts. The forecasts are organized in logical statements describing events being projected. The projections are useful in "creating" future scenarios.

¹⁸ A tool to be prepared as per the data requirement

viii. Formulation of regional strategic sector model(s)

At a later stage, during formulation of regional strategic (sector) models to the plan, re-state these issues directly or indirectly so that their appropriate aspects are brought out (with those of other sectors in systematic way), in the goal and focus of each sector strategy

ix. Regional and metropolitan planning hubs

The complexity of regional planning necessitates sharing of knowledge and experiences of various policy makers, experts and planners, with an aim of identifying models and approaches that can provide innovative approaches to address the existing problems and harness opportunities. The aim of the regional planning studio will be to develop, apply, share, and disseminate knowledge in various approaches in regional planning. The Studio will bring together experts, develop platforms for sharing of experiences through practical design exercises and incubate and implement ideas on regional planning. Practical studio activities could be done in collaboration with counties and other partners within the authority. It will be a tool for development, sharing, learning, applying and dissemination of knowledge through practical case studies in regional planning across the world.

x. Identification/ formulation of programmes and projects

At this stage, programmes and projects could be formulated and logically documented. Document a concise text which is spatially presented to summarize integrated regional development plan (IRDP) for RDA region.

xi. Propose institutional structures

Develop and propose appropriate organizational structure of agencies and offices for the implementation of integrated regional development plan (IRDP). The proposed structure is built from the changes in existing institutional systems legislations and existing organizations for planning in the region. This could facilitate coordination of multiple development planning sectors, organizations and institutions with overlapping roles, responsibilities and functions. Lack of appropriate legal framework for organizational arrangements undermines institutional relations and linkages that can support institutional collaboration and coordination.

It's worth noting that, discussions on future orientation of the plan need to continue even after formulation and where the plan is revised the focus should be on enlargement of development portfolio of the plan.

xii. The final formal approvals of the Integrated Regional Development Plan

In Kenya, the Physical Planning Act (1996) states that, "An approved regional development plan published under subsection (1) of the Act, shall have full force and effect in the area to which it relates, and every person shall comply with the requirements of the approved plan".

xiii. Formulation of implementation matrix and Regional Plan Implementation

Formulate implementation matrix of the Regional Development Plan and confirm congruency of proposed function and roles of specific organizations and institutions in the implementation; with challenges to overcome and opportunities to be sized in the process of regional development, transformation and change in the region.

Public participation in project implementation often increases the enthusiasm and self-confidence of the community in the development efforts. A plan can achieve the desired results, if the government provides the necessary administrative and legal frameworks and adequate resources for its implementation.

xiv. Plan Monitoring and Review:

This is the process of checking and collecting information about what actually happens to the plan that has been implemented so as to see whether changes need to be effected in the project overtime while plan review involves addressing unforeseen problems identified during monitoring so as to keep abreast with the emerging situations, changing values, needs and circumstances.

7.2 Institutional Assessment and Engagement Tool

This tool could be used to assess and evaluate the different institutions that RDAs could engage in the formulation, implementation, monitoring and evaluation of Integrated and Participatory Regional Development Plans.

7.3 Legal Instruments/tools for Engagement

7.3.1 Letter of Intent

A letter of intent (letter of interest) outlines the intent of a Regional Development Authority in developing a working relationship with UN-Habitat in developing a regional development plan within their areas of jurisdiction. The letter is commonly used as the initial proposal towards establishing a formal partnership between the agencies. Letter of intent formalizes a preliminary agreement on the intended collaboration before negotiations on how to engage get underway.

7.3.2 Memorandum of Understanding (MoU)

The purpose of the Memorandum of Understanding is to provide a framework of cooperation within which UN-Habitat and the Regional Development Authorities. It spells out the focus, aims, activities and the primary results of the intended collaboration. The document also spells out the specific responsibilities of the each party.

7.3.3 Agreement of Contribution

An agreement of contribution is a legal document that could be used by the Regional Development Authority contributing funds to UN-Habitat to execute the preparation of regional development plan and or any other project/programme. It also spells out the responsibilities of parties, payment and execution schedules of the project. The document need to be signed by both parties and should have a project document as an attachment.

7.3.4 Roadmap for Engagement

Roadmap for engagement defines all the phases involved in the project execution from when the inception is done to when the project is concluded. It gives clear analysis of activities to be undertaken, responsible partner and timelines on when they will be undertaken.

Conclusion

Despite the strong commitment from Kenyan government to address economic development and disparities as evident from different regional policies and strategies, inequalities still exist. Regional Development Authorities mandated to facilitate development through equitable exploitation and utilization of resources have not only been unable to effectively develop regional plans to guide development, but are also faced with capacities and skill gaps among other territorial challenges.

Through the enactment of 2010, Constitution of Kenya, which established two levels of government, national and county, RDAs provide the basis for implementation, development and management of trans-county resources of strategic national government interest. To do this this framework has effectively discussed the importance they could accrue in partnering with UN-Habitat. This will not only help in formulation and implementation of comprehensive integrated and participatory regional development plans that spur regional connectivity and cross county integration but will effectively help in ensuring equity in regional and national development.

References

Andrés Rodríguez-Pose (2013) Do Institutions Matter for Regional Development? *Regional Studies*; Volume 47, No 7, 1034 -1047

Beer Andrew (2012) 'What Makes a Good Regional Plan? What Worked, What Didn't and What to Do Differently' A presentation at the University of Adelaide, Australia

Masinde A and T. Musungu (2010) Financing Sustainability by linking Urban Planning to Capital Investment: The Case of Kenya. Paper presented at the 46th ISOCARP Congress.

EPSON (2013) GREECO: Territorial Potentials for a Greener Economy, Applied Research Report to European Regional Development Fund, see http://www.espon.eu/export/sites/default/Documents/Projects/AppliedResearch/GREECO/FR/GREECO_FR - Vol 1.1. Executive Summary.pdf

Karen C, S Montero and O Sosa (2012) Evolving Regionalismos: Latin American Regions in the Twenty first Century, in *Regional Development Dialogue*, Vol 33, No 1, Spring 2012

Dawkins, C.J. 2003. "Regional Development Theory: Conceptual Foundations, Classic Works, and Recent Developments." *Journal of Planning Literature*, Vol. 18, No. 2, pp131-171 November. Sage Publications

UN (2008) *Spatial Planning - Key Instrument for Development and Effective Governance*. With special reference to countries in transition; New York

UNCHS (1997) *Regional Development Planning and Management of Urbanization: Experiences from Developing Countries*; UNCHS, Nairobi

PlaceSense (2013) *Regional Plans Assessment: Report prepared for Vermont Association of Planning and Development Agencies*: <http://www.vapda.org/Publications/RegionalPlanAssessments.pdf>

Government of Kenya (2010) *The Constitution of Kenya 2010: National Council for Laws Reporting*

Transitional Authority (2015) *Regional Development Authority Report on Functional Analysis* (unpublished draft report)

UN Habitat (2015a) *International Guidelines on Urban and Territorial Planning*; UN-Habitat, Nairobi Kenya

UN-Habitat (2015b) *County Engagement Framework for Kenya: Existing Planning Model, Gaps and Opportunities for Engagement*; UN-Habitat, Nairobi Kenya

Annexes

Annex 1. County Engagement Template

Regional Development Priorities for RDA as Perceived by County Government in the Regions

County Name.....

County Planning Officer.....

Email.....

Telephone

Economic Issues	1st Priority	2nd Priority	3rd Priority	Comments
i. In order of priority, and with a specific intervention example, highlight 3 key county specific economic development issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA / inter-county /regional specific economic issues that need to be addressed to spur development throughout the county.				
Infrastructural Development Issues				
i. In order of priority, and with a specific intervention example, highlight 3 key county specific infrastructural development issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA/ inter- county /regional specific infrastructural development issues that need to be addressed to spur development throughout the county.				
Social Development Issues				
i. In order of priority, and with a specific intervention example, highlight 3 key county specific social development issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA /inter-county/ regional specific social development issues that need to be addressed to spur development throughout the county.				
Environmental Development Issues				
i. In order of priority, and with a specific intervention example, highlight 3 key county specific environmental development issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA/inter-county / regional specific social development issues that need to be addressed to spur development throughout the county.				
Cultural Development Issues				
i. In order of priority, and with a specific intervention example, highlight 3 key county specific cultural development issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA/inter-county/ regional specific cultural development issues that need to be addressed to spur development throughout the county.				

Human Settlement Issues				
i. In order of priority, and with a specific intervention example, highlight 3 key county specific human settlement issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA/ inter-county /regional specific human settlement issues that need to be addressed to spur development throughout the county.				
Urban Human Settlement Issues				
i. In order of priority, and with a specific intervention example, highlight 3 key county specific urban human settlement issues that need to be addressed to spur development throughout the county.				
ii. In order of priority, and with a specific intervention example, highlight 3 key RDA/ inter-county/regional specific urban human settlement issues that need to be addressed to spur development throughout the county.				

Annex 2. Regional Issues for Validation Based on International Guidelines on Urban and Territorial Planning

County name.....

Planners Name.....

Planners email.....

Telephone

County (plus urban authorities or both)	Agree = YES. Disagree = NO.	AGREED in part with some additions / alterations	If DISAGREED, why?
County and Regional Social Development The county government in collaboration with RDA and national government recommendations			
Will formulate plans and undertake investments that will respect cultural heritage and cultural diversity			
Will formulate plans that pay attention to distinct needs of various groups including the marginalized in the county			
Will monitor housing and living conditions in urban centers and in the region and support planning efforts that improve social cohesion and inclusion			
Will support job creation and promote decent work for all			
Will address the needs of vulnerable groups and squatters in the region			
Will develop clear spatial frameworks for provision of basic services including strategic guide for housing and transport with attention to needs of low income and vulnerable groups			
Will encourage mixed land use to offer affordable spectrum of services for a wide range of population			
Will provide good quality public spaces, improve and revitalize the existing ones			
Will improve slums and low income neighborhoods within its urban centers with minimum disruption of livelihoods			
Will ensure every inhabitant has access to safe and affordable drinking water and sanitation			
Will ensure gender equality in design, production and use of urban spaces			
Protect cultural heritage, traditional settlements and historic districts and monuments			
Will encourage cultural activities, both indoor (e.g. museums) and outdoor and respect social diversity			
Will protect cultural heritage, traditional settlements and historic districts and monuments			
Additional Issues			
County and Regional Economic Development The county government in collaboration with RDA and national government recommendations			
Will provide an enabling framework for new economic opportunities and timely provision of adequate infrastructure and basic services			
Will promote better connectivity at county and regional levels Will support inter-county cooperation to ensure sustainable use of resources and prevent unhealthy competition among them			
Will formulate local economic development policy frameworks which would mainstream and foster private initiatives to expand local economy and increase employment opportunities in the region			
Will formulate ICT policy frameworks that aim to improve connectivity within the county and between regional entities and economic actors			

County (plus urban authorities or both)	Agree = YES. Disagree = NO.	AGREED in part with some additions / alterations	If DISAGREED, why?
Will create efficient trunk infrastructure development and improve mobility in the region			
Will facilitate increase in access to digital infrastructure and services for economic actors to develop knowledge based counties and regions			
Will guide and support local economic development in particular employment generation			
Will guide and support development of cooperatives, Small and Micro Enterprises (SMEs) and spatial agglomeration industries and services			
Will secure adequate space for streets to develop safe, comfortable and efficient street network allowing a high degree of connectivity and enhance economic productivity and facilitate local economic development			
Additional Issues			
County and Regional Environmental Development The county government in collaboration with RDA and national government recommendations			
Will set standards and regulations to protect water, natural resources, agricultural land and biodiversity hot spots Local Authorities Integrate solid and liquid waste management and recycling into spatial planning			
Will improve urban - rural complementarities, inter county and inter-city and cross border relations			
Will develop sustainable energy resources with a view to improving access to clean energy as well as energy efficient building			
Will formulate mitigation and adaptation frameworks to climate change and for increasing resilience to agriculture and human settlements			
Will adopt efficient low carbon urban form			
Will locate essential infrastructure, services and residential developments in low risk areas			
Will protect and produce high quality public and green spaces with special ecological value			
Will plant trees for shade and carbon dioxide absorption			
Will design streets that encourage walking and use of non-motorized transport			
Additional Issues			
Additional Sectors			
Additional recommendations			

Annex 3. Illustrative Elements of Business Model for Formulation of an Integrated and Participatory Regional Development Plans in Kenya

Suggested Activities	Details	Suggested Staffing Requirement	Total Cost (USD) ¹⁹	Estimated Time Frame
Planning meeting and a reconnaissance field survey mission	<p>During the planning meeting, areas of collaboration between RDAs and UN-Habitat in regional development planning and in plan preparation are discussed.</p> <p>A reconnaissance field survey is conducted for the planning team to appreciate scope of the region in terms of geographical coverage and development challenges and areas of concern for regional development plan formulation</p>	<p>Two national/ international experts</p> <p>RDA's national officers / staff members</p>		3 – 6 weeks
Stakeholders Participation and Engagement Analysis	The result of the stakeholder analysis process is not only a map of stakeholders and their priorities in the region but also to have an idea of how to engage and include them in the formulation of the regional plan.	One national expert		4 – 8 weeks including development of the report
1st Stakeholders Consultative Workshop	The consultative workshop will sensitize stakeholder on regional development planning approach, regional problem identification, problem and objective tree analysis. Task forces who charged with the responsibility of collecting the necessary planning data are also consolidated as per the different thematic areas to be covered under the plan	<p>Five international / national experts</p> <p>30 stakeholders Representatives</p>		<p>Preparation and post -workshop follow-up time: 2 - 3 months</p> <p>Forum: 3 - 4 days</p>
Capacity Building Workshop on Techniques of Data Collection and Analysis	The training on techniques of data collection is to enhance and strengthen data collection capacity of the task force members and provide them with the necessary guidance on data collection skills for regional development planning.	<p>Five international / national experts</p> <p>30 Task force members</p>		<p>Preparation and post -workshop follow-up time: 1 -2 months</p> <p>Training 2-3 days</p>
Development of base map and other relevant	Development of regional base and different types of maps required for plan preparation	2 international / national GIS experts		3 – 4 months
Primary Data Collection and Analysis	Involves design of instruments to collect primary data, their administration and analysis of the collected data.	2 National experts and 10 data collection assistants		3 – 4 Months
Capacity Building Workshop on data analysis, synthesis and plan formulation	This workshop could concentrate on training the taskforce team members on techniques of data analysis, projection of the future regional development scenarios and formulating strategies and programmes for preparation of an integrated regional development plan. During the training, participants will present data and information collected by their respective planning teams. Using the knowledge and skills they acquired, the participants will also analyze the data they have collected. The planners will also make projections of future regional and local development scenarios.	One international expert and 4 national / local experts		<p>Preparation and post -workshop follow-up time: 2 - 3 months</p> <p>Actual Training</p> <p>4 – 5 days</p>
2nd Stakeholders Consultative /Data Validation Workshop	The consultative workshop will evaluate and validate the data and information collected for the regional plan preparation.	<p>4 international / national experts</p> <p>30 stakeholder representatives</p>		<p>Preparation and post -workshop follow-up time: 1 - 2 months</p> <p>Actual Training</p> <p>2– 3 days</p>

¹⁹ Actual costs available on request

Synthesis of development issues challenges and opportunities	Involves analysis of cross cutting issues challenges and cross cutting development opportunities in the region	One international expert		2 – 3 weeks
Regional Strategies and Programmes Analysis	This analysis assist in the formulation of appropriate and integrated regional development strategies and programmes that would address regional development challenges	2 international experts and 4 local experts		3 – 4 weeks
Development of Final Integrated and Participatory Regional Plan Report including Editing	Development of the final regional plan and editorial work	One international expert		3 - 6 weeks
Printing	Typesetting and Printing of Final Integrated Regional Development Plan	One national expert		2 – 3 weeks
Launch and Investors forum	To launch the plan, share it with stakeholders within the region and development partners/ investors keen identify investment opportunities in the region.	Two national experts		2 – 3 months for preparation of the launch Actual Launch 1 day
Annual Plan Implementation Monitoring and Evaluation	Involves data collection, stakeholders consultation and evaluation report preparation	Two international experts		2 – 3 months monitoring process
Total Cost for All Activities:				

UN-Habitat (United Nations Human Settlements Programme)
Urban Planning and Design Branch
P.O.Box 30030 Nairobi 00100 Kenya
Tel: +254 20 7623706
updb@unhabitat.org



www.unhabitat.org