URBAN PLANNING FOR LEADERS IN KENYA
TERMS USED IN THIS HANDBOOK

**Urban Form** – is the physical characteristics of an urban center, including its shape, size, density, land use and configuration of settlements. Urban form can be considered at different scales: regional, urban, neighborhood, block and street. The configuration and delivery of urban infrastructure determines the efficiency of a settlement, and therefore it strongly influences urban form. Urban form evolves in response to social, economic, environmental, and planning and land management regimes, technological advancements, housing and transportation policies.

**Density** – the amount of people, buildings, or units in a given area (e.g. people per hectare or dwellings per hectare). Controlling density is a critical factor in urban development. Guidelines on permitted Plot Ratio [PR] or Floor Area Ratio [FAR] is used in planning to ensure an area is developed to achieve a desired density. PR/FAR refers to the relationship between [ratio] total floor area and the size of the plot. For example, for a PR/FAR of 2.0, a plot of 100m² can have a building with a floor area of 200m². This can be achieved through varied design configurations, which are often specified in development control regulations and urban design policies. These include plot setbacks, building lines and plot coverage.

**Densification** – the increased use of land and space, horizontally and vertically, within existing developed areas and in new developments. Densification is marked by an increase in the number of buildings, units and/or population in the area.

**Connectivity** – the mobility network of an urban center. Good connectivity strengthens physical, social and virtual relationship between people, places and goods. Connectivity varies with scale, and involves different types of transport. At regional and national levels, connectivity could refer to railways and major roads linking production and consumption centres. At the city level, connectivity is closely related to mobility and the permeability of an area; increased connectivity implies decreased travel distances and enhanced accessibility. Connectivity at the neighborhood level involves the street network, including footpaths and cycle paths.

**Urban Compactness** – promotes optimum use of resources by encouraging the agglomeration of goods and services. This benefits residents of an area as services are in close proximity to their homes and can be easily accessed. It is measured in terms of the population and building density of an area, and the concentration of urban functions, efficiency of land use, and infrastructure costs in that area. Mixed-use developments, public transit and high density within an urban growth management area are some of the clearest indicators of urban compactness.

**Mixed-use Development** – is a mixture of residential, commercial and community infrastructure in a neighborhood which reduces the need for commuter travel. In planning for mixed-use developments, it is critical to ensure that land uses are compatible.

**Mixed Land Use** – multiple and compatible uses of adjacent areas of land. The integration of residential, commercial, office and social amenities is an example of mixed land use. This reduces travel demand, enhances accessibility and promotes local economic development.

**Urban Sprawl** – the physical expansion of the built environment around an urban centre, in relation to the surrounding rural areas, farmlands or greenfields. It is considered the opposite of desirable compact urban development. Globally, the definition of urban sprawl varies, and is shaped by many factors including urban planning and design, land and housing markets, transportation networks and other reticulated infrastructure such as sewerage. Urban Sprawl has been associated with a range of costs including increased commuter travel, environmental management challenges and climate change, and inequity in access to opportunities.
Public space – all places publicly owned or of public use, accessible and enjoyable by all for free and without profit motive. This includes streets, open spaces and public facilities

Pedestrian-Friendly – the extent to which an area is accessible and amenable to people moving on foot. Factors affecting walkability include street connectivity, land-use mix, residential density, presence of trees and vegetation, frequency and variety of buildings, entrances, sensations along street frontages and more.

Equality – involves systematic (re)distribution of the benefits of growth or development, with legal frameworks ensuring a ‘level playing field’ and institutions protecting the rights of the poor, minorities and vulnerable groups.

Social Mix – the presence of residents from different backgrounds and income levels in the same neighborhood. Social Mix is dependent on the availability of different housing options, determined by price, tenure type, residential typology, and availability diverse employment opportunities.

Urban Resilience – the capacity of individuals, communities, institutions, businesses and systems [e.g. infrastructure] within an urban area to adapt when exposed to hazards [e.g. floods, disease outbreaks, terror attacks], stresses [e.g. inefficient service delivery, high unemployment and slowed economic growth], or systemic change in order to maintain an acceptable level of functional organization.

Urban Governance – is how government engages various actors including the private sector, civil society to plan finance and manage cities and towns. It involves a range of actors and institutions, with their relationships being critical in determining what happens, and where, in the urban area. Effective urban governance requires appropriate policy and legal frameworks, efficient political, decision making, managerial and administrative processes, and capable local institutions which respond to the citizens’ needs.

Inclusive Urban Planning – recognizes that every person has the right to participate in shaping the built environment, and benefit from urban development. The process of Inclusive Urban Planning promotes participation in planning and diversity in representation. The intended outcome is equitable access to services, jobs, opportunities, and civic and political life.

Informal Settlements – residential areas where:

1. Inhabitants have no security of tenure in the land or dwellings they inhabit, with modalities ranging from squatting to informal rental housing;

2. Neighborhoods usually lack, or are cut off from, basic services and city infrastructure; and

3. Housing may not comply with current planning and building regulations, and is often situated in geographically and environmentally hazardous areas.

Informal settlements can be a form of real estate speculation for all income levels of urban residents, affluent and poor. Slums are the most deprived and excluded form of informal settlements, and are characterized by poverty and large clusters of dilapidated housing. Slums are often located on hazardous urban land. In addition to tenure insecurity, slum dwellers lack formal access to basic infrastructure, services, public space and green areas. They are constantly exposed to eviction, disease and violence.

Urban-Rural Linkages – complementary functions and flows of people, natural resources, capital, goods, employment, ecosystem services, information and technology between rural, peri-urban and urban areas.

Geographic Information System [GIS] – a technology that enables decision makers to visualize, question, analyze and understand relationships, patterns and trends in their environments. Decisions on public and private investments have a geographical dimension. When used by urban authorities, GIS has several benefits. These include simplified work practices, enhanced efficiency and revenue; improved inter-departmental communication; improved spatial information management and land administration; and better urban planning, management and decision-making.
INTRODUCTION

BACKGROUND AND RATIONALE

Urbanization is transforming human settlement patterns in Kenya. Cities and towns are rapidly growing, which creates opportunities and challenges in equal measure. Several investments have been undertaken to address these challenges and ensure growth, socio-economic development and environmental sustainability are achieved in equal measure.

The Kenya Municipal Programme (KMP) was a recent investment in the urban sector. It was funded mainly by a World Bank loan, and implemented by the national government. The KMP aimed to address issues of infrastructure development, institutional capacity and urban planning in Kenya’s major municipalities.

UN-Habitat supported implementation of the KMP’s Participatory Strategic Urban Development Planning component. This was achieved in collaboration with Government of Kenya’s Urban Development Department (UDD). The programme strengthened urban planning capacity at the county level and increased awareness of good urban planning practices. The development of learning tools for leaders and policy makers involved in county-level urban planning and development was found to be a vital component of the programme. In order for counties to effectively undertake the mandated planning functions, leaders with a good understanding of urban planning are required.

There is need for tools to help leaders and county policy makers ensure the effective execution of planning mandates. County leaders often have diverse professional backgrounds. For many, understanding of urban planning and development tends to be limited.

This handbook has been designed as a tool for leaders, which will enhance their capacity to oversee urban planning and development in their regions.

PURPOSE OF THE HANDBOOK

Leaders’ decisions on urban planning and development matters are more effective if they are provided with tools and knowledge. Better understanding of urban planning and development processes leads to better communication with planners, and facilitates better engagement with citizens and stakeholders.
The handbook is useful to a variety of county leaders, including members of the county executive committee, advisors to county governments, chief officers, members of urban boards or town committees, city managers and town administrators, and members of county assembly. The handbook is also useful to technical managers in charge of county planning functions, and practitioners in both public and private sectors. It may also be used as a reference material for schools of urban planning in Kenya.

This handbook is tailored for Kenya’s urban context, and borrows from UN-Habitat’s Urban Planning for City Leaders Handbook (UPCL). Kenya’s urban context is characterized by many rapidly growing secondary cities. These medium or small towns offer increasing opportunities for social and economic development. But at the same time these urban centres face challenges. Under-developed infrastructure and services, inadequate housing, environmental challenges, and inadequate institutional capacity for planning and urban management are some factors that have trapped Kenyan cities and towns in a state of under-development.

Leaders have a critical role in steering Kenya’s urbanization towards sustained economic productivity, social development and environmental sustainability. On that basis this handbook offers leaders an overview of the benefits of urban planning, and its role in attaining sustainable development. Leaders are equipped with principles, concepts and a basic understanding of how urban planning and development processes work. The handbook describes the role of leaders in urban planning, and outlines how they can be actively involved in planning processes.

STRUCTURE OF THE HANDBOOK

The handbook is presented in two parts, following a brief introduction.

PART I: IMPORTANCE OF URBAN PLANNING AND UNDERSTANDING THE PROCESS

The first Part of this Handbook is designed to inform leaders of the importance of planning, to understand the institutional and urban context, and to equip them with basic knowledge of an urban planning process.

Section 1: Why Urban Planning Matters. This section describes the current state of urbanization trends and urban distribution in Kenya. The concept of urban-rural linkage is introduced, and is important given the country’s human settlement development context. Key opportunities and challenges of urbanization, and the benefits of urban planning are outlined.

Section 2: Institutions and planning context – This section provides information for leaders on institutional roles and responsibilities for planning, important planning issues and different scales of planning, and the urban context that planning responds to in Kenya’s cities and towns.

Section 3: Getting Involved in Plan Preparation - This section gives leaders a basic understanding of the typical planning process. This will enable successful facilitation and management of urban development plans, from formulation to implementation.

Section 4: Cross-cutting Issues in Planning – This section highlights important cross-cutting issues that must be considered during the planning process. These include gender and youth issues, human rights and climate change.

PART II: PLANNING TO ADDRESS SPECIFIC URBAN DEVELOPMENT ISSUES

The Second part of the Handbook provides leaders with basic understanding of how urban planning can be used to address specific urban issues, but which needs to be analyzed and planning through an integrated [cross-sectoral] approach. The contents of this second part are structured as follows:

• Planning for Urban Mobility;
• Planning for Water Supply and Sanitation Services, and Environmental Management;
• Planning for Energy;
• Planning for Telecommunications Infrastructure;
• Planning for Better Housing Delivery;
• Planning for Social Infrastructure and Public Open Spaces; and
• Planning for Economic Development.
PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS
SECTION 1: WHY URBAN PLANNING MATTERS
Urbanization in Kenya has presented opportunities and challenges in equal measure. As Kenya’s population continues to grow, urban centres are accommodating an increasingly significant share of the population. This has necessitated the establishment of sound frameworks to guide sustainable urban development. Urban planning is a tool which leaders can use to address challenges, while also harnessing opportunities arising from urbanization. Urban planning helps leaders to fulfill their mandate to create and implement plans which will enhance citizens’ quality of life. Good urban planning ensures good investment decisions are made. This leads to optimal use of public resources and accelerated development.

UNDERSTAND URBANIZATION TRENDS

Kenya’s Urban Population is Increasing, but is not Evenly Distributed

Kenya’s population is projected to increase rapidly in the coming years. In 2015, the urban population was estimated at 26 percent of the country’s total population. This will increase to 33 percent by 2030, when Kenya aims to achieve her Vision 2030. By 2050, the projected urban population will be 44 percent (43 million), almost half of the total population, according to the United Nations, 2014 World Urbanization Prospects.

The majority of Kenya’s urban centres are small towns and medium-sized cities. Analysis of the 2009 Kenya Population and Housing Census indicates that in that year, Nairobi was the only city with a population of over one million. By 2017, Mombasa was the only other city with a population greater than one million. Nairobi’s reported 2009 population was 3,138,369, with an annual growth rate of 4.39 per cent. In light of this, it was estimated that by 2014 the city’s population reached 4,232,100. Besides Nairobi and Mombasa, other major urban areas whose population in 2009 exceeded 250,000 people are: Nakuru, Kisumu and Eldoret. Urban areas that had a population above 100,000 in 2009 include:

- Ruiru – pop. 236,961;
- Kikuyu – pop. 190,208;
- Thika – pop. 136,576;
- Mavoko – pop. 110,396; and
- Garissa – pop. 104,073.
Most of the urban population is distributed in centers with a population smaller than 100,000 people, according to the 2009 Census. The Urban Areas and Cities Act recognize a town of at least 2,000 residents as the smallest possible urban centre. The County must ensure that all such centers have development plans. These areas make up the largest share of Kenya’s urban population.

Leaders need to ensure that their governments have up to date data on urbanization. This will enable better policy and decision making, while balancing the needs of urban and rural settlements in their counties.

The distribution of urban centers of this size varies across the country. Most county leaders manage medium and small towns. County leaders should take note of urbanization trends and the distribution of urban centers in their counties. A clear understanding of the opportunities and challenges presented by each county’s urban context is vital, to successfully promote social and economic development and environmental sustainability. This should be considered during the formulation of county spatial plans and County Integrated Urban Development Plans, which are ideal tools for guiding strategic urban investments at the county level.
PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS

GRAPHIC – DISTRIBUTION OF URBAN CENTRES IN KENYA [TO BE REDRAWN AND SIMPLIFIED-BARAKA] [TO OCCUPY 1 PAGE]
HARNESS URBAN OPPORTUNITIES AND ADDRESS CHALLENGES

County leaders and planners can guide urbanization in a socially, environmentally and economically sustainable way, due to relatively low levels of urbanization and the current existence of small, but growing, towns. Through good urban planning and policy, cities and towns in Kenya can avoid mistakes made in many other urbanizing countries.

A lack of effective planning and management creates many challenges, such as increased urban poverty and socio-economic inequality. For instance, Kenya’s urbanization has resulted in relatively low per-capita income. Other challenges confronting Kenya’s cities and towns include severe infrastructure and affordable housing deficits, inefficient urban form and informal developments, distorted land and property markets, climate change and environmental degradation.

Urban planning is an important tool for city leaders to achieve sustainable development. It helps to formulate medium- and long-term objectives generate a collective vision and ensure rational organization of the resources to achieve it. Planning leverages municipal budgets, informing infrastructure and service investments and balancing the demand for growth with environmental protection. It also distributes economic development within a given area to reach social objectives, and creates a framework for collaboration between local governments, the private sector and the public at large.
SECTION 1: WHY SPATIAL PLANNING IS IMPORTANT

PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS

PROMOTE URBAN-RURAL LINKAGES

Urbanization is re-shaping human settlements in Kenya. Through urbanization, opportunities to enhance development have been expanded. At the same time social, economic and environment challenges have emerged. Over recent years, the trends of rural to urban migration has emerged, with rural areas on the edge of major urban centers transforming gradually into peri-urban and urban settlements. Rural settlements have also transformed, with increased flows of capital, labor and goods, natural resources, and exchange of information between urban and rural areas.

A system of settlements has developed in Kenya, which connects city regions, intermediate cities, medium-sized towns, small towns, market centers and rural villages. Intermediate cities, medium-sized and small towns are fundamental in linking populations in rural settlements with urban centres. These settlements strengthen economic opportunities by providing a market for rural-based economies and enhance access to basic services and technology, among other opportunities.

Leaders, policy makers and planners need to harness the benefits of urbanization across Kenya’s entire network of human settlements within and across counties. It is critical to promote integrated urban and territorial planning, where urban centers of different sizes are integrated with their hinterlands. The back-and-forth movement of people between urban and rural areas, and the social-cultural relations between the two should also be considered in planning and formulating county policy.

HOW PLANNING ENSURES LEADERS ACHIEVE POLICY GOALS

Planning Helps Leaders to Achieve Development Goals
A plan that is well-embedded across sectors, in a system of national, county and local plans, helps to mobilize resources from different levels of government and guide coordinated investments. An urban plan embedded in a legal framework provides a predictable urban environment for the medium to long term, ensuring it an area will continue to attract investors, thus realizing local, regional and national goals.

Planning Enables Leaders to Build Credibility
Executing planning processes with efficiency, transparency and a participatory approach helps build the credibility of a local government. Since plans are often made for the long term (up to 20 years), they continue over electoral cycles, making them less politically sensitive. This helps build investor confidence, making an area more attractive for investments. Participatory planning processes open channels of communication between citizens and government; improving engagement and creating lasting value.

Planning Creates a Framework for Sustainable Growth
Natural population growth and increased rates of rural-urban migration have resulted in rapid growth of urban centres in Kenya. Planning has failed to match the pace of this growth, leading to informal settlements, segregated suburbs and degradation of the natural environment. With an evidence-based approach and scenario planning, urban planning can respond to increasing populations and create a framework for urban growth that ensures high quality of life for all citizens.
Planning Helps Leaders to Anticipate Future Challenges and Harness Opportunities

A well-planned city is a well-prepared city. Good planning anticipates tomorrow’s challenges, rather than reacting with costly ‘reversal’ and ‘corrective’ measures. For example, upgrading informal settlements, restructuring already occupied land, retrofitting built-up areas, or rehabilitating degraded natural environments are costly and difficult undertakings. In contrast, planning for efficient urban patterns can generate long-term value for current and future generations.

Planning Creates a Framework for Economic Growth

Planning helps coordinate the distribution of economic activities. By allocating sufficient space for infrastructure (such as electricity, water and sewage) a robust physical framework for economic growth is created. While inefficient street patterns can hinder the connectivity of an area, well-planned streets increase the value of local businesses. More efficient land-use in cities leads to a greater return on public investments. Planned areas are more attractive to investors, contributing to increased municipal revenue in the long term.

Planning Promotes Natural Resource Management and Prepares Urban Centers for Climate Change Adaptation

Planning can help achieve a balance between the preservation and economic use of natural resources. Urban planning can also help urban areas adapt to the impacts of climate change by increasing the resilience of vulnerable settlements to natural disasters, and by preventing development in locations likely to experience disasters. These include wetlands, eroding coasts, steep areas prone to landslides etc. Mixed-use, compact cities with efficient transport links can reduce energy consumption and reduce emissions.

Planning Promotes Equitable and Inclusive Development

Good urban planning provides a platform for diverse stakeholders to debate, negotiate pathways and build a common vision for urban development. This enhances good governance, sense of ownership and facilities. Unplanned cities often have a severe lack of housing options for the poor. In many Kenyan cities, this has led to social segregation and the development of informal settlements. Planning is an important tool to guide public investments, and to ensure fair distribution of the ensuing benefits.

Planning Helps Leaders to Make an Impact, Step by Step

Local leaders are elected to improve cities. Given the scale of the challenges cities face, it is unlikely that all desired improvements will be made immediately. Successful cities build momentum by tackling priority projects which are aligned with an overall vision. Planning identifies pressing issues and available resources, and ensures that initiatives are not redundant or going in different directions.

Planning is an institutional process for citizen participation

The planning process is an opportunity for citizens to voice their aspirations for the city they want. Through participatory planning different actors and stakeholders, and individuals, groups and communities, are able to engage leaders and planning in shaping agenda for local and city-wide development.

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BOX 1: THE ROLE OF THE COUNTY EXECUTIVE COMMITTEE IN URBAN PLANNING AND DEVELOPMENT

Section 37 of County Government Act

“A county executive committee shall—

(a) Monitor the process of planning, formulation and adoption of the integrated development plan by a city or municipality within the county;

(b) Assist a city or municipality with the planning, formulation, adoption and review of its integrated development plan;

(c) Facilitate the coordination and alignment of integrated development plans of different cities or municipalities within the county and with the plans, strategies and programmes of national and county governments; and

(d) Take appropriate steps to resolve any disputes or differences in connection with the planning, formulation, adoption or review of an integrated development plan”

County leaders are [among others] charged with the responsibilities of ensuring that:

Planning facilitates the development of a well-balanced system of settlements and informal productive use of scarce land, water
PLANNING TO ACHIEVE SUSTAINABLE DEVELOPMENT GOALS AND THE NEW URBAN AGENDA

New Urban Agenda – In October 2016, the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) adopted a New Urban Agenda (NUA), which provides a global framework for achieving sustainable urban development. The role of leaders at different levels is recognized and emphasized in the NUA.

The NUA calls for planning approaches to be aligned with the attainment of global, national and local sustainability goals. In adopting the NUA, global leaders recognized the vital role of planning in achieving sustainable urban development. They made a commitment to “promote the development of urban spatial frameworks, including urban planning and design instruments that support sustainable management and use of natural resources and land, appropriate compactness and density, polycentrism, and mixed uses.”

Sustainable Development Goals – After the expiry of the Millennium Development Goals, UN Member States approved the 2030 Development Agenda, which includes a set of seventeen Sustainable Development Goals (SDGs). SDG 11 aims to make “cities and human settlements inclusive, safe, resilient and sustainable.”

In order to achieve these goals, leaders and other actors must find sustainable solutions to major urban issues of social and economic development, housing, infrastructure and services, and environmental management. This Goal is explicitly addressed to cities and human settlements. However, leaders should note that addressing development challenges facing cities and human settlements will contribute towards achievement of the other goals, and create new opportunities. Urban planning is a decisive tool which will guide cities towards achieving this goal.

Local leaders are called to support urban planning approaches. These will enable the systematic implementation, in towns and cities, of programs and projects which will drive social, economic and environmental sustainability.

GRAPHIC: INFOGRAPHIC OF THE SUSTAINABLE DEVELOPMENT GOALS
<table>
<thead>
<tr>
<th>Obstacle Description</th>
<th>Details</th>
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<tbody>
<tr>
<td>Inability to identify core issues —</td>
<td>Myopic vision and lack of value-driven planning yields poor results, especially if plans do not outline the necessary steps to implementation. A collective vision, championed by leaders, is the basis of impactful planning.</td>
</tr>
<tr>
<td>Inappropriate or outdated planning approaches and tools —</td>
<td>Plans made by technical experts in isolation; plans using imported approaches that are not adapted to local conditions; and plans based on mechanical and detached assessments may be irrelevant to their context. Leaders must consider the practical application of all plans. Successful experiences show that innovative, relevant approaches can be conceived in cities in the developing world.</td>
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<tr>
<td>Weak plan development and implementation capacity —</td>
<td>Often cities lack the sufficient human resources to develop and implement plans. Developing such capacity within local planning departments, by using other agencies and engaging the community and interest groups, is the key to producing good plans.</td>
</tr>
<tr>
<td>Legal frameworks that do not provide sufficient traction for plans —</td>
<td>A sound legal framework is indispensable for the implementation of urban plans. Many cities that have had major successes in planning also have progressive legislation, ensuring that plans are legally binding documents and include mechanisms for engaging stakeholders to ensure their successful compliance.</td>
</tr>
<tr>
<td>Plans that do not allow sufficient time for their implementation —</td>
<td>Plan implementation requires monitoring capacity, credible institutions and low levels of corruption and impunity. Lack of continuity due to political cycles, and uncommitted leaders who fail to assess the long-term negative consequences of overruling plans, can be major hurdles to success. Methods of implementing plans adapted to the local context must be built in from the start.</td>
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## THINKING IMPLEMENTATION FROM THE START

Good planning is measured by the success and outcomes of its implementation. To become successful in implementing plans, leaders and planners should consider the following:

<table>
<thead>
<tr>
<th>Make planning simpler –</th>
<th>The planning system can be complex, time-consuming and expensive, featuring duplications and gaps. It can take decades to create comprehensive plans, which may be outdated before they are executed. Plans that overlook institutional, technical, and financial constraints may eventually need to be abandoned. Adopting a demand-driven approach by developing a pragmatic and modular framework can increase positive impacts during a plan’s implementation.</th>
</tr>
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<tbody>
<tr>
<td>Be strategic –</td>
<td>Responding to real, long-term needs, through concrete and well-phased action steps, ensures successful implementation and longevity of plans. Plans that lack vision, or do not respond to local realities are easily sidelined and forgotten when political agendas change. Choosing which key issues to address and which assets to develop amidst constraints and challenges is not easy. It requires insight and a capacity to ask the right questions.</td>
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<tr>
<td>Identify responsibilities and set performance indicators –</td>
<td>Accountability is impossible without concrete roles, or targets and the resources needed to realize them. Lack of accountability makes goals unreachable.</td>
</tr>
<tr>
<td>Build inter-departmental teams –</td>
<td>Transformative projects require holistic thinking to overcome governance bottlenecks and fragmented implementation. Urban authorities that promote functional integration and teamwork enable formulation of urban development frameworks with mutually supportive sector policies. Designating a specific group responsible for strategic thinking and coordination, and institutionalizing inter-departmental cooperation and day-to-day work alignment may require systemic and behavioral change, but will ultimately prove more efficient.</td>
</tr>
<tr>
<td>Deal with the legal dimension early –</td>
<td>A plan approved by a city council is a legally-binding document. It is important to determine whether a local government will implement a plan alone, or rely on agreements with other levels of government or private partners.</td>
</tr>
<tr>
<td>Calculate the plan capital and running costs and its impact on municipal revenue –</td>
<td>It is critical to develop a clear assessment of lifecycle costs. Long-term costs associated with policy decisions are often overlooked, especially operation and maintenance (O&amp;M) costs. In some cities, the latter can be heavy financial burdens. Planning decisions and their implementation also impact the revenue base. Sound management practices must be introduced to recover resources.</td>
</tr>
<tr>
<td>Obtain early support to increase the likelihood of a positive impact –</td>
<td>Cities which reach out to stakeholders are able to set priorities which reflect real needs, thus increasing the impact of investments. If stakeholders are involved from the beginning, the likelihood of later opposition to proposals is reduced. A well-supported plan aligns a local agenda with that of other levels of government, and also enlists the private sector.</td>
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<tr>
<td>Phase implementation in terms of space and resources –</td>
<td>Taxpayers’ money should be managed carefully and used transparently with accountability. The same principle should apply to plan implementation. A plan’s financial feasibility with dictate the phasing of programme components, and determine which will require funding from an external source. Evaluating results and making necessary policy adjustments then enables effective scaling-up.</td>
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</table>
Plans guide urban development at different scales, to achieve differing but related objectives. This section outlines planning functions, various responsibilities for planning authorities and leaders, and outlines the context that urban planning operates in Kenya. Institutional mandates for planning in Kenya are examined in relation urban planning at various scales. Important considerations for the planning of newly or already developed areas are discussed.

Leaders have a responsibility enhance the social, economic and environmental development of a city. Urban planning is one of these activities.

PLANNING FUNCTIONS

According to the Kenyan Constitution, the state can regulate the use of any type of land, including private land. In Kenya, land is classified as either public, community or private-owned. Schedule Four of the constitution distributes planning functions across national and county governments. The National Land Commission is responsible for oversight, and is mandated to monitor land use planning throughout the country. However, leaders should take note that urban planning is undertaken within an environment where public sector, private sector, and civil society take varied and at times interrelated roles.

PUBLIC PLANNING AUTHORITIES

An efficient public planning authority is a requisite for better urban planning. Public planning authorities play critical role in ensuring planning systems are efficient and fit-for-purpose. This includes formulating planning legislation and development regulations.

Planning functions are distributed across the two tiers of government – at national and county level – with provisions for coordination across the two levels. The County Governments Act, Urban Areas and Cities Act, and the Physical Planning Act, prescribe planning functions at county level, including the types of plans that should be prepared, and their respective scope, scale, and objectives.

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1 Principles of land policy in Chapter 5, Article 66 (1) of the constitution gives the state with powers to regulate the use of any land, with the following passage: “The State may regulate the use of any land, or any interest in or right over any land, in the interest of defence, public safety, public order, public morality, public health, or land use planning.”
PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS

GRAPHIC: NATIONAL-COUNTY GOVERNMENT INSTITUTIONAL LEVELS [TO FIT IN A SINGLE PAGE]
[BARAKA- SEE KALOBYEI REPORT]
Planning authorities are envisaged to operate at different levels in the counties. The County Governments Act designates county departments and decentralized units, including cities and urban areas, sub-counties and wards, as planning authorities in a county. There is an obligation to incorporate non-state actors in planning processes. These departments and decentralized units are headed by leaders, whose responsibility includes managing and coordinating formulation and implementation of plans (including spatial plans). For planning in cities and towns, the Urban Areas and Cities Act designate urban boards and committees as planning authorities.

At the national government level, agencies such as departments and parastatal agencies within various ministries are tasked with urban planning and development functions. Regional development authorities (such as the Tana and Athi River Regional Development Authority, and Ewaso Ng’iro North Development Authority), execute various planning functions mainly at the regional scale.

Ensure county-specific legislation for urban and regional planning is enacted, within their legislative power granted by the constitution. In so doing, they must ensure consistency and value-addition, by avoiding ‘over legislating’ planning matters. In many cases these result in ineffective legislation, focused on ‘control’ rather than facilitation.

Facilitate coordination of planning vertically (across different levels of government) and horizontally (between departments). For counties, coordination between the county executive and the county assembly is crucial. The county assembly exercise ‘reserved’ functions of legislation, plan approval and adoption.

Support formation of efficient public planning authorities. County senior management has a responsibility to ensure planning authorities have access to financial resources, human capital, and facilities and equipment. Leaders must facilitate inter-department and inter-agency coordination; ensure development budgets are aligned to approved plans, and support formulation and enforcement of planning legislation. Political leaders (including Members of County Assemblies) should collaborate with leaders in the executive arm of government in policy and legislation. They must act in a constructive oversight role, approve of budgets, plans, policies and legislation, and offer political goodwill during planning processes.

Support in strengthening capacity of planning authorities. In the past, weak public planning authorities have contributed to current urban planning challenges not only in Kenya, but across the continent. A well-equipped planning authority is imperative for cities and towns that aspire to improve their development planning and service delivery. A reliable public planning authority should have internal capacity to efficiently formulate and implement plans, control development, coordinate spatial development, and perform other planning functions on demand. Where reforms in public planning authorities and urban planning are required, leaders must be at the forefront in shaping the desired outcome.

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2 See County Governments Act, Sections 104. Obligation to plan by the county
ROLE OF THE PRIVATE SECTOR IN URBAN PLANNING

The role of the private sector in Kenya’s urban planning and development is significant. The shift towards government deregulation and an enablement approach has caused major shifts in urban planning practice, and the role of the private sector has increased. In some urban areas, private actors take the lead in planning for land use, determining building regulations and the provision of public goods, infrastructure, services and amenities. This can take place in several contexts, from large complexes within a neighborhood, large-scale land subdivisions or even town scale developments (as with Tatu City in Kiambu County).

Land owners and residents’ associations have increased their stake in urban planning decision making in major cities. Investment decisions made by developers and investors have significant bearing in planning decisions such as land use, zoning and development control regulations.

Private sector consultancy firms are increasingly undertaking planning tasks that were traditionally a preserve of public sector planners. Private firms are involved in formulating entire city or town development plans, through contractual agreements with governments. In many cases, private contractors are supposed to follow the procedures and standards stipulated in public policy and regulations. However, in Kenya such procedures and standards are inadequate, and in many cases private contractors can introduce new standards and guidelines once these plans are approved by the public authorities.

Private planning processes are still governed by public legislation and regulations. But where public planning authorities are weak, the private sector defines the outcomes of delegated planning functions. Here, the main catalysts for action are contractual arrangements, profit interests and other specific incentives. Presented with this reality, policy makers and leaders should find leverage in the interplay between the public and private sector planning forms, to achieve sustainable urban development.
Both policy and political implications associated with increasing privatization of urban planning must be addressed by leaders. These include:

- The impact of privatization of public goods and reduced public assets;
- Outcomes of weakened public planning authorities, and shifting public finance from public planning authorities to private contractors;
- Implications of profit interests of the private sector on the need to promote social equity in urban development;
- Addressing planning barriers and creating value for positive private sector involvement in planning.

**BOX 10: INTERNATIONAL AGENCIES’ INVOLVEMENT IN KENYA’S URBAN PLANNING**

Kenya’s urban sector has witnessed significant involvement of international agencies, especially through funding urban planning programmes and infrastructure investments. This involvement has been through joint agreements and partnerships with the Kenya government, and stakeholder engagement.

Various UN Agencies have supported urban and regional planning work in the country. Recently, UN-Habitat supported the implementation of the Kenya Municipal Program (KMP) through capacity development activities related to urban planning, and engaged the national government, Nairobi, Kisumu, Kilifi and Turkana Counties.

The KMP resulted in the formulation of Integrated Strategic Urban Development Plans for Mombasa, Kitui, Malindi, Embu, Machakos, Thika, Nakuru, Naivasha, Turbo/Soy/Jua-kali, Kakamega and Kericho towns. The program was financed through a World Bank loan to Government of Kenya, with additional funding from the Swedish International Cooperation Development Agency (Sida). A similar financial arrangement enabled the implementation of the Kenya Informal Settlements Improvement Programme. The urban planning work for these programmes involved private consulting firms from Kenya and foreign countries.

The Japan International Cooperation Agency (JICA) recently financed the formulation of the Nairobi Integrated Urban Development Masterplan (NIUPLAN), the Mombasa Gate City Master Plan and the Masterplan for Development of Mombasa Special Economic Zone. Nairobi and Mombasa are the only cities in Kenya with a population exceeding one million people.

Agence Française de Développement (AFD) has financed the Kisumu Urban Project, which resulted in the Kisumu Integrated Strategic Urban Development Plan. The financial support has been extended to cover detailed planning for specified districts in the city.

The Embassy of Sweden in Kenya is funding the Kenya SymbioCity [Sustainable Urban Development in Kenya] programme. This programme is being implemented through a collaboration of The Council of Governors and the Swedish Association of Local Authorities and Regions (SALAR).
PLANS ARE MADE AT DIFFERENT SCALES

Sustainable urban development requires planning interventions at different levels. Different types of urban plans can be created at different scales; from neighborhood/local area, city/municipality, and city-region/metropolis to national level. Plans at these different scales have different implementation mechanisms and correspond to different institutional mandates.

The following planning scales are relevant in Kenya planning context:

1. National Planning;
2. Regional/Metropolitan Planning;
3. County Planning;
4. City/municipal Planning;
5. Urban District Planning; and
6. Neighborhood/Local Area Planning.

The scope and details of each type of a plan will be determined by the scale, purpose, and intended objectives of the planning intervention. It could be an integrated development plan or thematic-sectoral plan. For example, a general land use plan can be prepared for an urban region, detailed at city or municipal level, and further scaled down with more specific guidelines to urban district and local area planning. However, there are cross-cutting aspects, such as analysis of population and demography, economic development, and financing.
Promote coordination of planning across different levels of government. Leaders need to support planners, ensuring that plans are coordinated and aligned to one another. Failure to do so could lead to overlaps and duplications, and challenges in implementation. Planning authorities must ensure their processes are carefully analyzed before commencement, and that planning of the correct type is done at the appropriate scale based on the context of the problems.

**NATIONAL PLANNING**

Planning at the national level defines and addresses human settlements development issues at a country-wide scale. It informs the effective management of urbanization by defining a hierarchy of urban centres and agglomeration regions such as large urban regions, major cities and secondary cities, urban-rural development relations, and key infrastructure developments to support urban development at national level. Plans formulated at this scale provide the framework for regional and urban planning. They describe a nation’s vision for its urban future, and the national context of human settlements development. In Kenya, a 30-year National Spatial Plan has been developed (2015-2045). This will be a key reference for regional development plans, county spatial plans and others.

**National and County leaders must collaborate in both planning and coordination of investments of national significance if they are to successfully implement national urban policy.** National urban policies are also developed at this scale, such as Kenya’s National Urban Development Policy and Vision 2030. National agencies and county governments are key actors in implementing national plans and policies.

**BOX X: NATIONAL SPATIAL PLAN OF KENYA: KENYA VISION 2030**

In 2006 the Kenya government developed Kenya Vision 2030, a roadmap to transform Kenya into an industrializing middle-income economy country between the years 2008 to 2030. The vision is based on three pillars: social, economic and political. Urbanization cuts across these three pillars, making policies and projects important elements of the vision.

One of the implementation tools that the Vision 2030 uses is ‘flagship projects’. These are highly visible projects of key economic and social importance, working to benefit all Kenyans.

Some of the flagship projects correspond directly to urban planning. The Metropolitan and Investment Plans Initiative, for example, will require the preparation of metropolitan investment plans for eleven regions: Nairobi, Mombasa, Kisumu-Kakamega, Nakuru, Eldoret, Wajir, Garissa, Mandera, Kitui, Mwingi and Meru.

Large-scale infrastructure projects, which will improve connectivity in the wider network, directly affect lower-level planning efforts. Some of these are road-building projects (e.g. “Nairobi Missing Link Roads”), Thika Highway, and Northern Corridor etc.), railway infrastructure (Nairobi Commuter Railways and Standard Gauge Railway) and port infrastructure (expansion and new development of airports and seaports).

Some of these projects are conceptualized as economic corridors, for example the LAPSSET (Lamu Port Southern Sudan- Ethiopia Transport) corridor (Republic of Kenya, 2011).

Other sectors will also affect lower-level urban planning. For example, Vision2030 envisages the construction of 560 new secondary schools to improve education nationally. Another flagship project involves establishing three resort cities along the Kenyan coast, in order to increase tourism. The vision also defines wildlife corridors to support existing migratory routes.

Smaller projects are defined for the medium-term (every 5 years) to support these flagship projects. The government has also made concerted efforts to improve governance and capacity. Vision 2030 emphasizes the importance of land administration, and aims to establish national spatial data infrastructure to track land-use patterns which will aid in the enforcement of land-use plans.

All these projects create a mandate for lower-level plans. In addition to adequate legal tools, financial tools and incentives, good communication between levels of government is required to ensure national ambitions are realized on the ground.

(Kenya Vision 2030 / popular version, 2007)
REGIONAL PLANNING

The scope of regional planning spreads beyond individual governmental jurisdictions - county boundaries in the case of Kenya. Geographical areas defined as regional usually share natural resources (e.g. water catchment areas), and social, economic and developmental characteristics. Regional plans identify strategic growth areas in cities and towns; areas for potential regional investment; and key flows and connections which require development or strengthening. They also acknowledge the interconnectedness of regional human settlement systems, addressing urban-rural settlement relations, transportation links, and land use planning and infrastructure development. Regional planning provides a framework for county planning, and requires engagement with several governments, wider communities and stakeholders. Regional Development Authorities in Kenya such as The Tana and Athi Rivers Development Authority formulate regional development plans that cover more than one county, often with focus on land use and resource management. Metropolitan areas require a combination of regional and lower-level planning, including city or municipal plans, district plans and local area plans. Sectoral plans are also made at this scale, such as a regional transportation plans, regional water supply plans and others.

COUNTY PLANNING

County plans guide development at the county level and localize national and regional plans. They identify county land use and priorities for infrastructure investments and service delivery; strengthen links between cities and towns, growth centres and their hinterlands; and guide integrated county development and sustainable human settlement systems. The County Governments Act requires counties to develop county spatial plans, county integrated development plans, and county sector plans.

CITY AND MUNICIPAL PLANNING

City and municipal planning guides urban development in cities and towns. This type of planning defines city and municipal land use planning and develops a development vision for the city or town. Its role is to define urban growth boundaries; designate areas for urban extension and strategic interventions; identify infrastructure and housing investments; and determine key districts for further planning and investment. Integrated Urban Development Plans and Urban Spatial Development Frameworks outlined in the Urban Areas and Cities Act are developed at this scale. City and municipal-level development plans could be further be formulated as sector plans to facilitate their effective implementation. Sector plans include mobility plans, water supply and sewerage plans, public space plans, and housing plans.

GRAPHIC ILLUSTRATION OF A TOWN PLAN E.G. MOMBASA [TO FIT IN ½ PAGE]
The Integrated Urban Development Plan (IUDP) and Spatial Development Framework (SDF) became key city-wide planning tools in Kenya after the enactment of the Urban Areas and Cities Act and County Governments Act. These comprehensive plans address urban spatial issues in a city or town. A Spatial Development Framework should be developed with in IUDP. There are other planning outputs related to the IUDP and SDF framework that can be developed, including:

- Urban Growth Management Strategy;
- Detailed Urban Land use plan;
- Urban Extension Plan;
- Urban Infill and densification Plan;
- Urban Infrastructure Plan;
- Urban District Plan; and
- Local Area Plans.
PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS

GRAPHIC: FRAMEWORK FOR CITY/MUNICIPAL PLANNING IN KENYA [TO FIT IN A SINGLE PAGE] [BARAKA TO PROVIDE]
URBAN DISTRICT PLANNING

This scale of planning focuses on larger sections of a city or a town, referred to as urban districts. Urban District Plans guide the implementation of City-wide plans. They define projects and development guidelines on a district scale, and define policies for neighborhoods and local areas. A Central Business District (CBD) plan is an example of a district plan. However, if an urban center is relatively small, such as a medium or small town in Kenya, this scale of planning may be not required. In this case, detailed local area planning is more useful.

GRAPHIC-ILLUSTRATION: E.G. KISUMU LAKEFRONT/CBD PLAN KISUMU [TO FIT ½ PAGE]
LOCAL AREA AND NEIGHBORHOOD PLANNING

Local Area and Neighborhood Planning focuses on a single neighborhood, local area or a part thereof. These plans interpret and localize city-wide and district planning. They can be statutory or non-statutory. They provide a detailed framework for development, including development control regulations; infrastructure provision; and land-use and urban design guidelines. Local area and neighborhood plans can also be developed as thematic (sectoral) plans to address a specific aspect of local development such as public space and amenities, mobility and basic services.

A new [reviewed] Physical Planning Act, as the main planning law in Kenya, is anticipated to provide detailed guidance on spatial planning for these different levels of planning, and how various spatial plans will be undertaken. [From here-Layout as a new sub-section]
PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS

PLANNING FOR EXISTING BUILT-UP AREAS AND NEW DEVELOPMENT AREAS

Sustainable urban development requires leaders and planners to address the needs of current and future generations. In Kenya’s urban context, planning both for already developed areas and strategic planning for new urban development areas is vital; thorough plans must be developed which ensure successful implementation. Interventions in both aspects help cities plan for current and future growth needs. They demand strong political, institutional and technical leadership. Urban planning offers leaders and planners specific tools for the implementation of interventions.

Support planning authorities to attain the requisite capacity to offer their city a full-range of solutions; for both existing built-up areas and new development areas.

PLANNING FOR EXISTING BUILT-UP AREAS

Before deciding to establish new areas for urban development, first access and optimize the opportunities available within existing built-up areas. As urbanization increases in Kenya, many urban centres lack reference to approved plans or a spatial development framework.

Poor urban planning has undermined infrastructure and housing delivery in urban areas—according to the Kenya Vision 2030. Consequently, infrastructure and housing challenges have undermined urban resilience. Informal land and housing markets, informal settlements, ineffective development control, underdeveloped infrastructure, inadequate public spaces, environmental degradation, and fragments of planned developments are some of the defining features of built-up areas in many towns in Kenya.

Political leaders are particularly under pressure from the electorate to deliver programs which improve services and living conditions in informal settlements, and other areas with infrastructure and housing challenges.

Urban development should result in improved quality of life for urban dwellers in unplanned and underserviced areas. Possible plan-led interventions in built-up areas include:

1. Urban Infill Developments;
2. Urban Densification or Redevelopment;
3. Brownfield Development; and

Infrastructure, housing and space improvements are tied to all these interventions, and the possible impacts of each must be specified in the city-wide plan. These require detailed planning prior to implementation, and if well designed and implemented they enable meeting development goals to be met.

Diverse stakeholders involved in these interventions often have vested interests – negotiations and consensus-building is required. In this case, leaders and technical teams should engage stakeholders throughout the planning and implementation phases. If stakeholder engagement is inadequate or political engagement is weak, strategic interventions become ineffective.

City-wide urban development plans include specific strategies and approaches for existing built-up areas, but may also be addressed separately depending on context.
PART I: IMPORTANCE OF PLANNING AND UNDERSTANDING A PLANNING PROCESS

GRAPHICS: IMAGE + ILLUSTRATION FOR ALREADY DEVELOPED AREAS

ILLUSTRATION OF TRANSFORMATION OF PLANNED AREA INTO SLUM-LIKE CONDITIONS [EX. REFERENCE TO OLD NAIROBI LOW-INCOME NEIGHBORHOODS] [THIS SET OF GRAPHICS WILL FIT IN A SINGLE PAGE]
URBAN INFILL APPROACH

The Urban Infill Approach involves ‘filling in’ unused or under-utilized space in built-up areas, from small parcels of land to large plots the size of a neighborhood complex. Urban infill is an opportunity to increase capacity of land; introduce mixed-use development; improve land-use mix; and address the social development needs of an urban area such as affordable housing and amenities.

Successful urban infill projects respond to the needs of the surrounding neighborhood and its residents. An empty plot does not necessarily need to be filled with buildings; parks, squares, playgrounds and sport fields may be developed instead. Urban infill enables a city to cut spending in infrastructure by capitalizing on underutilized existing infrastructure and service networks.

Leaders are instrumental in helping planners negotiate with stakeholders, and in designing appropriate incentives for private sector investments in urban infill developments.

DENSIFICATION APPROACH

After many years of development, sections of a city may still have capacity to accommodate higher densities. By harnessing this capacity, a city reduces sprawl on the peripheries. In the case of well-connected economic areas, higher density developments bring jobs closer to residents, reducing travel times. Higher residential densities can reduce the per capita cost of infrastructure such as roads and sewage.

In general, higher residential densities foster compact cities, leading to more efficient land use. Higher density can be achieved by redeveloping empty plots or building high rise developments on sites which previously had low-rise buildings.

If densification is not well-managed it can pose a burden on the existing infrastructure. Overly dense and poorly designed areas can become crowded and congested. When aiming to increase the density of an area, careful attention must be paid to the design, especially the quality and location of public space; and the road width and capacity.

Leaders should engage stakeholders, and support the creation of regulatory and financial incentives that will facilitate the successful implementation of densification strategies. For example, leaders can ensure policies are approved which change zoning ordinances to allow increased floor space and mixed-use developments in areas that used to be single-use and low-rise.

GRAPHIC ILLUSTRATION OF URBAN INFILL AND URBAN DENSIFICATION [SIDE BY SIDE GRAPHIC] [TO FIT IN 1/2 PAGE]
BROWNFIELD DEVELOPMENT APPROACH

The Brownfield Development Approach involves regenerating land previously used for industry or commerce to make it productive once again. Brownfields have usually been abandoned, idled or become underutilized due to their underlying environmental conditions. One of the main challenges in brownfield development is the need to clean and reclaim contaminated and polluted land. This can be costly, as large industrial lands are owned by several partners and the rehabilitation process is regulated by environmental standards. Former industrial lands are often large, offering many possibilities for new large scale developments. Abandoned industrial sites and decommissioned quarries are examples of brownfields in Kenya.

Leaders play a critical role in the process: negotiating with property owners; communicating with investors; and ensuring appropriate policies, incentives, and public investments are tailored for brownfield development. Land reclamation requires additional expenditure. Therefore it is important to offer developers financial incentives, and regulatory frameworks that facilitate redevelopment while still offering value for money.

URBAN RENEWAL AND INFORMAL SETTLEMENTS UPGRADE APPROACH

Leaders may notice sections of the city or town that have been previously planned but degenerated over time. Other areas may be informal settlements and slums, or private housing developments in poorly planned and under-serviced areas. In such cases, urban renewal interventions are required. Regeneration and strategic interventions for degenerated areas can help leaders address development challenges in old neighborhoods where buildings require rehabilitation or infrastructure needs to be renewed. Urban regeneration interventions are about more than physical improvement to buildings and infrastructure, as degraded neighborhoods often have social and economic challenges. Urban renewal can take the form of an area-based strategy (e.g. regeneration of a neighborhood, upgrading public spaces), or individual strategic interventions (e.g. transforming a street into a pedestrian zone, upgrading a park).

Informal settlements are particularly critical areas of intervention in most of Kenya’s urban areas. Informal settlements have emerged through different spatial factors such as illegal land occupations and squatting, unplanned urban expansion, or planned housing schemes that later degenerated through informal house extensions and infill developments, and poor service delivery. Other factors are socio-political, and socio-economic.

ENGAGE WITH INFORMAL SETTLEMENTS

Engaging with informal settlements should be a key priority for leaders and planners in Kenya. In most urban centres in the country, the largest share of the population lives in informal settlements. These settlements offer a variety of functions, including housing, basic services, social services and amenities, and employment.

Make Informal Settlements Part of the City

It is important for leaders to promote interventions which harness positive urban qualities in these areas, such as mixed-use, while at the same time integrating the areas in formal planning and urban management systems.

Planning practices that ignore or is not responsive to urban informality needs to be revised. The Kenya Constitution of 2010 (Article 43 (1) grants every citizen rights to Economic and Social rights, which includes adequate housing, and adequate water and sanitation. This compels leaders to adopt integrative interventions in slums and informal settlements.

Unrealistic urban plans and regulations lead to informality. Many informal settlements in Kenya’s towns and cities have emerged to fill a housing gap, which formal planning and housing markets failed to address. Informal settlements should be planned as equal and productive parts of the city.

Coordinating land release for housing programmes, and informal settlement transformation through housing and infrastructure, can make space for lower income groups in towns and cities.