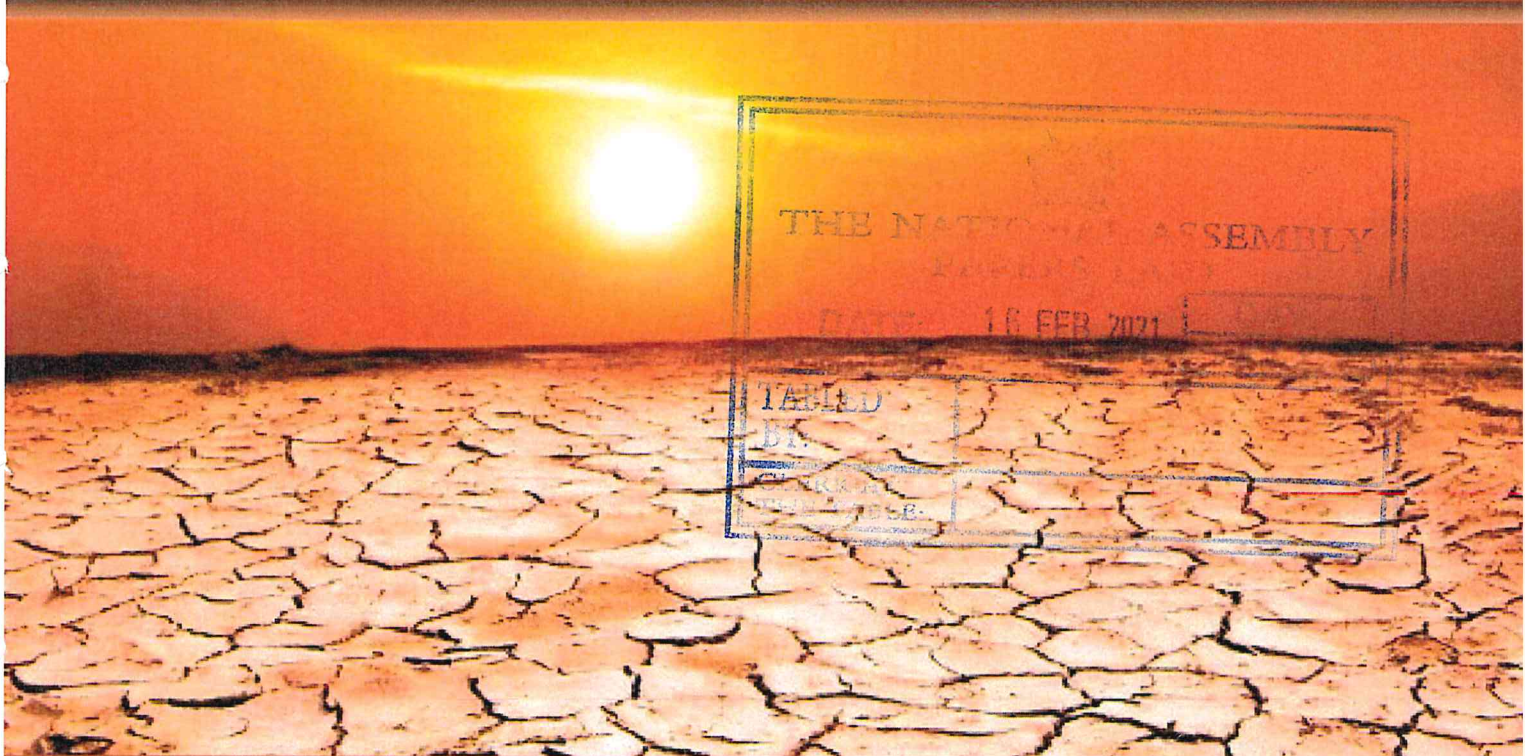




PERFORMANCE AUDIT REPORT ON MANAGEMENT OF DROUGHT IN KENYA BY THE NATIONAL DROUGHT MANAGEMENT AUTHORITY



DECEMBER 2020

VISION

Accountability and effective management of public resources.

MISSION

Audit and report on the management of public resources for improved service delivery to the Kenyan People.

CORE VALUES

Objectivity

Integrity

Professional Competency

Innovation

Team Spirit

MOTTO

Enhancing Accountability

Foreword by the Auditor – General

I am pleased to present this performance audit report on the Management of Drought in Kenya by the National Drought Management Authority (NDMA). My Office carried out the audit under the mandate conferred on me by Section 36 of the Public Audit Act, 2015. The Act mandates the Office of the Auditor - General to examine the economy, efficiency and effectiveness with which public money has been expended pursuant to Article 229 of the Constitution.

Performance, financial and compliance audits form the three-pillar audit assurance framework that I have established to give focus to the varied and wide scope of the audit work done by my Office. The framework is intended to provide a high level of assurance to stakeholders that public resources are not only correctly disbursed, recorded and accounted for, but their use results in positive impacts on the lives of all citizens. The main goal of our performance audits is to ensure effective use of public resources and promote service delivery to citizens.

The audit has a disaster management perspective on drought management in Kenya. I am hopeful that corrective action will be taken in line with recommendations in the report. This will contribute towards the realisation of the provision of Article 43(c) of the Constitution, which grants every citizen the right to be free from hunger.

The report is submitted to Parliament in accordance with Article 229 (7) of the Constitution and Section 39 (1) of the Public Audit Act, 2015. In addition, I have submitted copies of the report to the Principal Secretary, Ministry of Devolution and ASALs, the Chief Executive Officer, the National Drought Management Authority, the Principal Secretary, National Treasury and the Secretary, President's Delivery Unit.


Nancy Gathungu
AUDITOR – GENERAL

28 December 2020

List of Abbreviations

ASAL	- Arid and Semi-Arid Land
CCU	- County Coordination Unit
CDC	- County Drought Coordinator
CMDRR	- Community Managed Drought Risk Reduction
CPU	- County Planning Unit
CS	- Cabinet Secretary
CSG	- County Steering Group
DCF	- Drought Contingency Fund
DFID	- UK Department for International Development
DRM	- Disaster Risk Management
EDE	- Ending Drought Emergencies
EU	- European Union
EWS	- Early Warning System
FBO	- Faith-Based Organisations
GoK	- Government of Kenya
HSNP	- Hunger Safety Net Programme
IGAD	- Intergovernmental Authority on Development
KFSM	- Kenya Food Security Meeting
KFSSG	- Kenya Food Security Steering Group
NDEF	- National Drought Emergency Fund
NDMA	- National Drought Management Authority
NGO	- Non-Governmental Organisations
PACIDA	- Pastoral Community Initiative Development and Assistance
TCSG	- Technical Working Group of the CSG
UNICEF	- United Nations Children's Fund
VCI	- Vegetation Condition Index
WFP	- World Food Programme

Glossary of Terms

The following definitions, adopted from the United Nations Office for Disaster Risk Reduction and National Drought Management Authority, apply for purposes of this report.

Contingency Planning: a management process that analyses drought risks and establishes arrangements in advance to enable timely, effective and appropriate responses.

Coping Capacity: the ability of people, organizations and systems, using available skills and resources, to manage effects of drought.

Drought Preparedness: the knowledge and capacities developed by governments, response and recovery organizations, communities and individuals to effectively anticipate, respond to and recover from the impacts of likely, imminent or current drought.

Drought Resilience: the ability of a system, community or society exposed to drought to resist, absorb, accommodate, adapt to, transform and recover from the effects of drought in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions through risk management.

Drought Response: actions taken directly before, during or immediately after a drought in order to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the affected people.

Strategic Borehole: High yielding and fast recharging boreholes located far off in the dry season grazing areas. Such boreholes record very high concentration of livestock during a drought situation.

Vulnerability: The conditions determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards.

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Executive Summary

Background of the Audit

1. The National Drought Management Authority's Early Warning Manual defines drought as a prolonged period of poorly distributed rainfall, which does not come at the expected time and which results in deterioration of natural resources. Though a normal climate phenomenon in Arid and Semi-Arid Lands (ASALs), the severity and increased frequency of drought in the wake of climate change has become an issue of concern for economic development in Kenya.
2. The National Drought Management Authority (NDMA) was established in 2011 as the lead agency in drought management. The Authority's overall mandate is to establish mechanisms to ensure that effects of drought do not escalate to an emergency and that the impacts of climate change are sufficiently mitigated.
3. The audit was conducted following public concern on the government's approach to drought management, expressed through discussions in Parliament and reports in the media. Further, drought management has attracted significant amounts of funding from the government and donors. NDMA's revenues, as captured in its audited accounts, amounted to Ksh. 24.6 billion during the period 2015/16 to 2018/19. Therefore, it was necessary to establish whether there was value for money on these expenditures, especially in the area of drought preparedness.

Audit Design

4. The audit assessed the extent to which the government, through NDMA, has put in place measures to enhance drought preparedness. This was examined using the following audit questions:
 - i) To what extent has the government, through NDMA, developed capacity for drought risk management?
 - ii) To what extent has NDMA put in place measures to facilitate effective drought contingency processes?

- iii) To what extent has NDMA established and operated an effective drought early warning system?
 - iv) To what extent has NDMA put in place measures for effective coordination of drought risk management?
- 5. The audit covered a period of four years, from July 2015 to June 2019, and was limited to four of NDMA's activity areas: drought resilience, contingency planning and response, drought information and drought coordination. The audit covered all the 23 ASAL counties in which NDMA operates. However, inspection of NDMA's operations was carried out in seven sampled counties comprising of four arid and three semi-arid. The sampled counties were Baringo, Marsabit, Isiolo, Turkana, Laikipia, Kajiado and Kitui. Data was collected through interviews, documentary review and physical observations.

Summary of Major Audit Findings

- 6. The audit noted some significant positive developments by NDMA in drought management as highlighted below.
 - i. NDMA produces monthly early warning bulletins, in addition to the bi-annual food security assessment reports for each of the 23 counties. This has ensured continuous availability of information for decision-making.
 - ii. NDMA worked closely with county planning units and National Government line ministries to mainstream drought risk management in government planning processes.
 - iii. NDMA has developed a web-based Drought Contingency Fund system with the aim of ensuring timely disbursement of response funds.
- 7. These positive developments notwithstanding, the audit observed that drought risk management was still faced with preparedness challenges as discussed below.
 - a) **Non-Availability of Relevant Legislation Hindering Sufficient Drought Mainstreaming**
- 8. In line with the strategic objective of reducing drought vulnerability and enhancing adaptation to climate change, NDMA made efforts towards mainstreaming of drought in the government's planning process. However, these efforts may not

bear fruit if the supporting policies and laws on Disaster Risk Management (DRM) are not enacted. The audit revealed that both the National Policy on Disaster Risk Management and the National Drought Emergency Fund (NDEF) Regulations, 2017 were in draft form. Besides, only Baringo and Laikipia Counties had disaster management policies, while Turkana and Marsabit Counties had the policies in draft form. In addition, only Kajiado, Kitui, Marsabit and Turkana Counties had enacted laws on disaster risk management while Isiolo County had enacted a law on climate change adaptation.

9. These policies and laws are used as directives supporting budgetary allocation to DRM. Their absence affects availability of funds for response in the event of drought, leading to delays in response.
10. While the audit revealed that NDMA had offered technical assistance during development of the legislations, no evidence was provided to show that they undertook sensitisation of the legislators on DRM and the need to enact the supporting legislation.

b) Limited Enhancing of Coping Capacity of Communities

11. Section 5(g) of NDMA Act, 2016 requires the Authority “to identify, design and implement projects and programmes that shall strengthen resilience to drought and climate change.”
12. Review of the Participatory Drought Risk Management Approach (PDRA) reports availed for audit revealed that NDMA had only worked with a few Wards to identify community vulnerabilities. For example, Kitui and Laikipia counties had only seven Wards each that participated in the PDRA exercise, which was the highest number. Isiolo and Kajiado counties did not avail any PDRA report for audit. While it was observed that Non-Governmental Organizations (NGOs) had also facilitated communities to undertake PDRAs, the audit noted that PDRAs undertaken by NGOs were project site specific and often did not cover the whole ward. Due to the limited facilitation of PDRAs, the Authority and the Government, both at national and county level, had limited information on the vulnerabilities of communities, which could be used during planning purposes.

13. Further, a visit to some of the strategic drought preparedness projects implemented by NDMA, under the European Union Drought Contingency Fund, revealed instances of incomplete implementation of project components. For example, for the Mathima Integrated Drought Preparedness project in Kitui, which had the components of water, livelihood, forestry and soil conservation, only the water component had been implemented as at the time of our visit in September 2019, yet the project was supposed to have been completed by 2018. Similarly, Nadungoru community pasture in Laikipia, whose components included pasture establishment and livestock finishing, had been completed and handed over to the community. However, physical verification revealed that the livestock finishing component was never implemented. NDMA staff indicated that the European Union projects are usually implemented in partnership with other actors, but most often partners failed to implement their components.
14. The Asset Creation Programme (ACP) implemented under NDMA's coordination also had challenges and only managed to create resilience among a few beneficiaries. For instance, the audit team was informed during a visit to a beneficiary farm in Mathiakali location, Kitui County, that the programme had 200 beneficiaries in the location but only two managed to attain resilience out of the programme. It was also observed that ACP activities were of extremely small scale in most instances. This was evidenced in Burat Irrigation Scheme in Isiolo, Teso Community Project in Moyale and Lobo Community Irrigation Scheme in Baringo among others where activities were being carried out in just a few acres of land.
15. The audit further revealed that the Hunger Safety Net Programme II had several cases of beneficiaries not being able to access their money. For instance, a total of 7,833 households had zero withdrawals amounting to Ksh. 270,431,637 as at 31 August, 2018 in Turkana County. Marsabit County also had a total of 1,645 households with zero withdrawals amounting to Ksh. 41,679,781 as at January, 2019. There is, therefore, the risk that a large amount of money allocated for building communities resilience remaining unspent in the bank.

c) The Contingency Processes had Insufficiencies Affecting their Effectiveness

16. Section 5(e) of NDMA Act, 2016 requires the Authority to facilitate national and county level drought contingency processes and the preparation of national and

county level drought contingency plans. The audit revealed that the country does not only lack a national level drought contingency plan, but the entire contingency planning process had certain shortcomings as described below.

17. In order to protect the lives and livelihoods of the vulnerable, NDMA is expected to ensure that response activities commence as soon as a trigger threshold is met. However, review of the County Steering Group (CSG) minutes and early warning bulletins revealed that NDMA only managed to develop a response plan in less than one month in five out of the eighteen response planning cycles analysed. Consequently, response was often delayed as actual implementation of response activities does not start until after approval of the response plan.
18. Further, despite the community being an important stakeholder in drought management, NDMA only adopted ward level contingency planning in the 2018 planning cycle. Nevertheless, scrutiny of the documents revealed participation of just five wards per county. Due to insufficient coverage of ward level planning, NDMA and both the National and County governments had little information on the communities' vulnerabilities and needs, which would be useful during response planning.
19. The audit also revealed that contingency plans were not reviewed and updated annually as required by NDMA's Kenya Drought Response Guidelines, but rather after every two years. In addition, a review of CSG minutes revealed evidence of approval or adoption of contingency plans in only two out of the seven sampled counties. Nevertheless, Baringo's CSG only approved the 2018/19 contingency plan while Kitui's CSG approved the 2016/17 and 2018/19 plans.
20. The audit noted that, other than the NDMA Act, the Authority had developed the Kenya Drought Response Guidelines to guide contingency processes. However, the guidelines were not clear on community involvement in contingency planning, timelines for update of contingency plans as well as approval requirements and national level contingency planning. Besides, the guidelines did not have set timelines for various steps in the contingency plan activation process.

d) The Early Warning System (EWS) had Gaps Affecting its Effectiveness

21. Section 5(d) of the NDMA Act, 2016 requires the Authority to develop, in consultation with stakeholders, an efficient drought early warning system and operate the system.
22. The audit found some weaknesses of reliability controls in the Early Warning System. First, the sentinel sites from where early warning data was being collected were based on outdated livelihood zones. The livelihood zones were last updated in 2005/2006, but the audit revealed that the zones had undergone transformation over the years. However, it was noted during a meeting with NDMA Management that the Authority had started plans to review the livelihood zones. Second, the audit revealed problems with facilitation of field monitors in terms of payment of wages as well as airtime for prompt collection and uploading of data into the Early Warning database. Third, documentary review revealed that NDMA did not undertake CSG validation of the early warning information before finalising the bulletins.
23. The use of outdated livelihood zones, limited facilitation of field monitors and lack of validation of the bulletin posed a risk on the quality of information that was used and the reliability of the bulletins in general.
24. Further, a review of the early warning bulletins revealed evidence of lack of action on the bulletin recommendations. For example, there were several instances of recommendations for the repair of broken down boreholes, provision of equipment to boreholes and desilting of water pans and dams being repeated even for more than a year with no action. Consequently, the affected communities continued to be vulnerable to effects of drought, hence putting lives and livelihoods at risk.
25. It was observed that the recommendations were not directed to specific actors in most of the cases. Moreover, the audit did not reveal any instance of NDMA following up on the recommendations.

e) NDMA has Not Put in Place Sufficient Measures for Effective Coordination of Drought Management Activities

26. Section 5(a) of the NDMA Act, 2016 requires the Authority to exercise overall coordination over all matters relating to drought management, including implementation of policies and programmes.
27. The audit observed that NDMA had established drought coordination structures up to the Sub-county level. To understand the functioning of these structures, the audit team reviewed the minutes of CSG meetings for the sampled seven counties. From the reviews, it was observed that the Governors, their Deputies and County Commissioners rarely attended CSG meetings, even during a drought situation. Besides, the meetings were not held on a monthly basis as should be the case. The current functioning of CSGs may have made it difficult for NDMA to coordinate drought management activities for various actors.
28. The audit revealed that the coordination structures did not have written guidelines outlining their membership composition, roles and responsibilities and meeting timelines. It was observed that NDMA started the process of developing guiding documents for various coordination structures in 2016, but the process was put on hold awaiting the enactment of the National Drought Emergency Fund Regulations, 2017.
29. Further, the audit revealed that NDMA conducts continuous monitoring of drought response interventions through the County Steering Group. However, NDMA's monitoring of drought resilience activities was only limited to activities implemented either directly by it or under its direct coordination. While comprehensive mapping of stakeholders would aid in monitoring, the audit revealed that only Isiolo and Kitui counties had mapped their stakeholders in a manner that provided information on who was doing what, where, when and financed by whom.
30. Insufficient mapping of stakeholders and lack of continuous monitoring of drought management activities of other actors left NDMA with limited knowledge on the status of implementation of activities, the information needed to follow up on projects being implemented to ensure that the intended objectives were met. The

insufficient continuous monitoring by NDMA may be attributed to limitations in the legal framework. The audit noted that there was no requirement set for actors to report to NDMA on the implementation of their projects.

Conclusion

31. From the findings of the audit, it is evident that NDMA has made efforts towards enhancing drought preparedness. Good preparations can make the effects of drought less severe and hence less costly for taxpayers. Despite this, the audit revealed that drought preparedness is still faced with a number of challenges.
32. Drought management is characterised by a complex system involving many actors, including National Government line ministries, County Governments, and a range of Non-Governmental Organisations. Yet, the audit found a lack of commitment from the actors displayed through (i) failure to enact the relevant guiding laws and policies, (ii) lack of participation of high level representatives in the coordination meetings, (iii) lack of action on the early warning bulletin recommendations, and (iv) lack of implementation of partner's respective components of the strategic preparedness projects.
33. Moreover, contingency planning and response is a key component in drought management. Due to unclear guidelines, the contingency process is faced with planning deficiencies leading to delays during activation, hence putting lives and livelihoods at risk. Besides, though intended to be used as a tool for early action, the audit has found a time lag during activation of contingency plans and lack of action on recommendations of the early warning bulletins, casting doubt on effective use of early warning information in the contingency processes.
34. Further, despite investments in several projects for strengthening climate resilience of communities in ASALs, the communities still remain vulnerable. The audit found several shortcomings in the implemented programmes, such as; incomplete implementation of project components, extremely small scale nature of activities implemented and limited facilitation of beneficiary communities.
35. All the observed shortcomings were serious and affected the country's level of drought preparedness. The Office of the Auditor-General wants to underline the

importance of a functioning drought management system. It requires action and commitment not only from NDMA, but also from the National Government line ministries, County Governments, involved agencies and legislators.

Recommendations

36. The audit observed limitations in the contingency system, which led to delayed drought response, putting communities' lives and livelihoods at risk. Availability of relevant legislation would not only provide clear guidance on expected outcomes at each stage in the contingency process, but also ensure availability of funds for timely activation. In addition, fixed timelines for steps in activating the contingency plans could reduce delays during activation. To further improve the system, the Auditor-General recommends that: -
 - i) NDMA should follow up with the Ministry of Devolution and ASALs and the National Treasury to fast track the enactment of the National Drought Emergency Fund Regulations, 2017.
 - ii) NDMA should revise the Kenya Drought Response Guidelines and ensure clear guidance is provided on (a) timelines for the steps on the activation of contingency plans, (b) stakeholder involvement, (c) national level contingency planning, and (d) update and approval requirements.
37. To ensure sufficient mainstreaming of drought management, NDMA should work closely with the affected counties as well as the National Disaster Operation Centre to fast track the enactment of laws and policies on disaster risk management.
38. To enhance community coping capacity, NDMA should work together with other actors to ensure that sustainability considerations are taken into account during design, implementation and decommissioning of drought resilience projects.
39. To strengthen the early warning system: -
 - i) NDMA should consider data collection as an important component in the early warning system and give it adequate attention, and;
 - ii) NDMA should direct its early warning bulletin recommendations to specific actors and undertake follow up on their implementation.

40. To strengthen coordination of drought risk management: -
- i) NDMA should fast track the development of guiding constitutions for various coordination forums.
 - ii) NDMA should work closely with the County Steering Groups to map and regularly update the stakeholders' databases.
 - iii) NDMA should coordinate with the Ministry of Devolution and ASALs to develop with mechanisms for formal continuous monitoring of drought risk management activities of various actors involved in drought risk management.

Chapter 1: Background of the Audit

Introduction

- 1.1 According to the National Drought Management Authority's Early Warning Manual, drought is defined as a prolonged period of poorly distributed rainfall, which does not come at the expected time and which results in the deterioration of natural resources. Drought is a normal climate phenomenon in Arid and Semi-Arid Lands (ASALs), constituting 89% of Kenya's landmass. However, its severity and increased frequency in the wake of climate change poses a major threat to the economic well-being of ASAL communities. Over the last two decades, the country experienced five drought episodes that were declared national disasters in the years 2000, 2004, 2005, 2011 and 2017.
- 1.2 Drought is also a threat to economic and social development in the country. It shatters livelihoods and causes hunger, malnutrition and even death. Drought may lead to a decline in food production, exacerbate resource-based conflict, and cause substantial loss of assets, placing a heavy strain on both the local and national economies. Even so, drought is a progressive and predictable phenomenon whose risks can be reduced if effective measures are put in place for its management.
- 1.3 To institutionalize and mainstream drought management, the government established the National Drought Management Authority (NDMA) through the Legal Notice No. 171 of November 2011. NDMA was upgraded to a statutory body through an Act of Parliament in April 2016. NDMA is the government's lead agency in drought risk management with the mandate to establish mechanisms to ensure that effects of drought do not escalate to an emergency and that the impacts of climate change are sufficiently mitigated. The Authority's¹ mandate as outlined in Section 5 of NDMA Act, 2016 revolves around 5 key function areas; drought resilience, drought information, drought contingency planning and response, drought coordination and drought knowledge management.
- 1.4 NDMA is a national institution with operational offices in 23 drought prone counties, comprising of 9 arid and 14 semi-arid as shown in **Appendix 1**.

¹ The Authority here refers to the National Drought Management Authority

Motivation of the study

1.5 The Auditor-General authorized the audit after considering the following factors:

- i) Article 43(c) of the Constitution of Kenya grants every citizen the right to be free from hunger. If not well managed, drought may deny Kenyans this right and also constrain the achievement of Sustainable Development Goal (SDG) No. 2 on zero hunger by 2030. An audit of drought management was therefore necessary to find out what preparedness mechanisms the government has put in place to manage drought.
- ii) NDMA has attracted significant amounts of funding from the government and donors. The Authority's revenues, as captured in its audited accounts, amounted to Ksh. 24.6 billion during the period 2015/16 to 2018/19². An audit on drought management was therefore necessary to establish whether there was value for money on these expenditures, especially in the area of drought preparedness.
- iii) Whenever droughts occur, the government incurs high expenditure in response interventions. For example, the total response expenditure by the National Government during the years 2016/17 and 2017/18 amounted to Ksh. 20.8 billion, according to NDMA 2016/17 and 2017/18 Annual Reports. These costs would be reduced if effective drought preparedness measures are put in place. An audit of drought management was therefore necessary to shed some light on what NDMA is doing to enhance drought preparedness in the country.
- iv) There has been public concern on the manner in which the government manages drought risks. An article in the Business Daily dated 24 January, 2017 expressed concerns about the government's reactive "piece meal approach" characterized by short-term response interventions³. The concerns of people dying of hunger in Baringo and Turkana Counties were also recently captured in parliamentary debates as well as print and electronic media⁴.

² Refer to the Funding Section under Chapter 3 of the Report

³ <https://www.businessdailyafrica.com/Opinion-and-Analysis/Let-s-be-more-proactive-in-drought-response/539548-3785678-1321npez/>.

⁴ <https://www.nation.co.ke/kenya/counties/baringo/locals-die-of-hunger-as-state-downplays-situation-149998>.

Chapter 2: Design of the Audit

Objective of the Audit

- 2.1 The audit assessed the extent to which the government, through NDMA, has put in place measures to enhance drought preparedness. This was examined using the following audit questions:
- i) To what extent has the government, through NDMA, developed capacity for drought risk management?
 - ii) To what extent has NDMA put in place measures to facilitate effective drought contingency processes?
 - iii) To what extent has NDMA established and operated an effective drought early warning system?
 - iv) To what extent has NDMA put in place measures for effective coordination of drought risk management?

Scope of the Audit

- 2.2 The audit focused on a period of four years, from July 2015 to June 2019. It examined the measures put in place by NDMA to enhance drought preparedness. Examination of NDMA's measures towards drought preparedness was limited to four of its activity areas: drought resilience, contingency planning and response, drought information and drought coordination, excluding drought knowledge management. Examination of drought contingency planning and response was also limited to planning up to the activation of contingency plans, excluding implementation of the response interventions.
- 2.3 The audit focused on the 23 ASAL counties in which NDMA operates. However, inspection of NDMA's operations was carried out in seven sampled counties consisting of four arid and three semi-arid. The sampled counties were; Baringo, Marsabit, Isiolo, Turkana, Laikipia, Kajiado and Kitui.
- 2.4 Given the cross-sectoral nature of the audit topic, information was also collected from other relevant actors: Ministry of Devolution and ASALs, Ministry of Agriculture and Irrigation, Ministry of Water and Sanitation and County Governments.

Assessment Criteria

- 2.5 The audit assessment criteria were drawn from various sources: the NDMA Act, 2016; Sessional Paper No. 8 on National Policy for the Sustainable Development of Northern Kenya and other Arid Lands, 2012, and; NDMA's Strategic Plans 2013-17 and 2018-2022, among others. The criteria are presented in detail in the findings section.

Methods used to Gather Audit Evidence

- 2.6 The audit was conducted in accordance with Performance Auditing Guidelines set by the International Organization of Supreme Audit Institutions (INTOSAI). The audit also used policies and procedures established by the Office of the Auditor-General (OAG). To understand the role and assess the performance of NDMA in enhancing drought preparedness, the audit used the following methodology.

Sampling and Sample Size

- 2.7 The audit used both stratified and purposive sampling⁵ to pick the counties. A two stage stratified sampling was used to ensure that the counties sampled for audit were not only a representation of aridity levels, but also livelihood zones. The counties in which NDMA operates are broadly categorised into arid and semi-arid, which formed the broad strata. The counties are further classified into eight pastoral, six agro-pastoral and nine marginal agriculture livelihood zones, which formed the sub-strata. Given that NDMA used the European Union funded Drought Contingency Fund to support both resilience and contingency planning and response activities in all the counties, there was need to sample counties that received a significant amount of financial support. Hence, purposive sampling was used, guided by information obtained from NDMA's annual reports, to pick counties that received significant funding from each category of aridity and livelihood. As such, seven counties were then sampled consisting of four arid (three pastoral and one agro-pastoral) and three semi-arid (two agro-pastoral and one marginal agriculture). The counties sampled were Turkana, Marsabit, Isiolo, Baringo, Kajiado, Kitui and Laikipia. At the county level, random sampling was used to select the activities to be verified.

⁵ Purposive sampling refers to sampling method where the auditor uses professional judgement to obtain units for inclusion in the study. The units selected are usually those that the auditor feels meet the criteria set for sampling.

Interviews

- 2.8 The audit team conducted interviews with NDMA staff directly involved in drought risk management, County Government staff and staff from the National Government line Ministries of Agriculture, Livestock and Fisheries, Water and Sanitation and Devolution and ASALs. **Appendix 2(a)** provides details of the people interviewed during the audit.

Document review

- 2.9 To gain an understanding of the audit object, the audit team reviewed various documents as outlined in **Appendix 2(b)**.

Physical Verification

- 2.10 Physical verification was carried out to assess the status of drought preparedness or resilience projects as well as the state of community resilience to drought. The activities verified are listed in **Appendix 2(c)**.

Chapter 3: Description of the Audit Area

Statutory Mandate for Drought Management in Kenya

- 3.1 The National Drought Management Authority (NDMA) Act, 2016 establishes NDMA as an independent agency responsible for the coordination over all matters relating to drought management. NDMA is a State Corporation in the Ministry of Devolution and ASALs. NDMA's mission is to provide leadership in drought management and climate change adaptation. NDMA envisions to be a world class Authority in drought management and climate change adaptation.
- 3.2 Section 7 (2) of the Act recognises the multi-sectoral nature of drought and provides for establishment of coordination forums, both at national and county levels of government. However, implementation of drought risk management is done by National Government line ministries and agencies, County Governments and non-state actors. NDMA mostly works as a coordinator and sometimes directly implements projects and programmes.

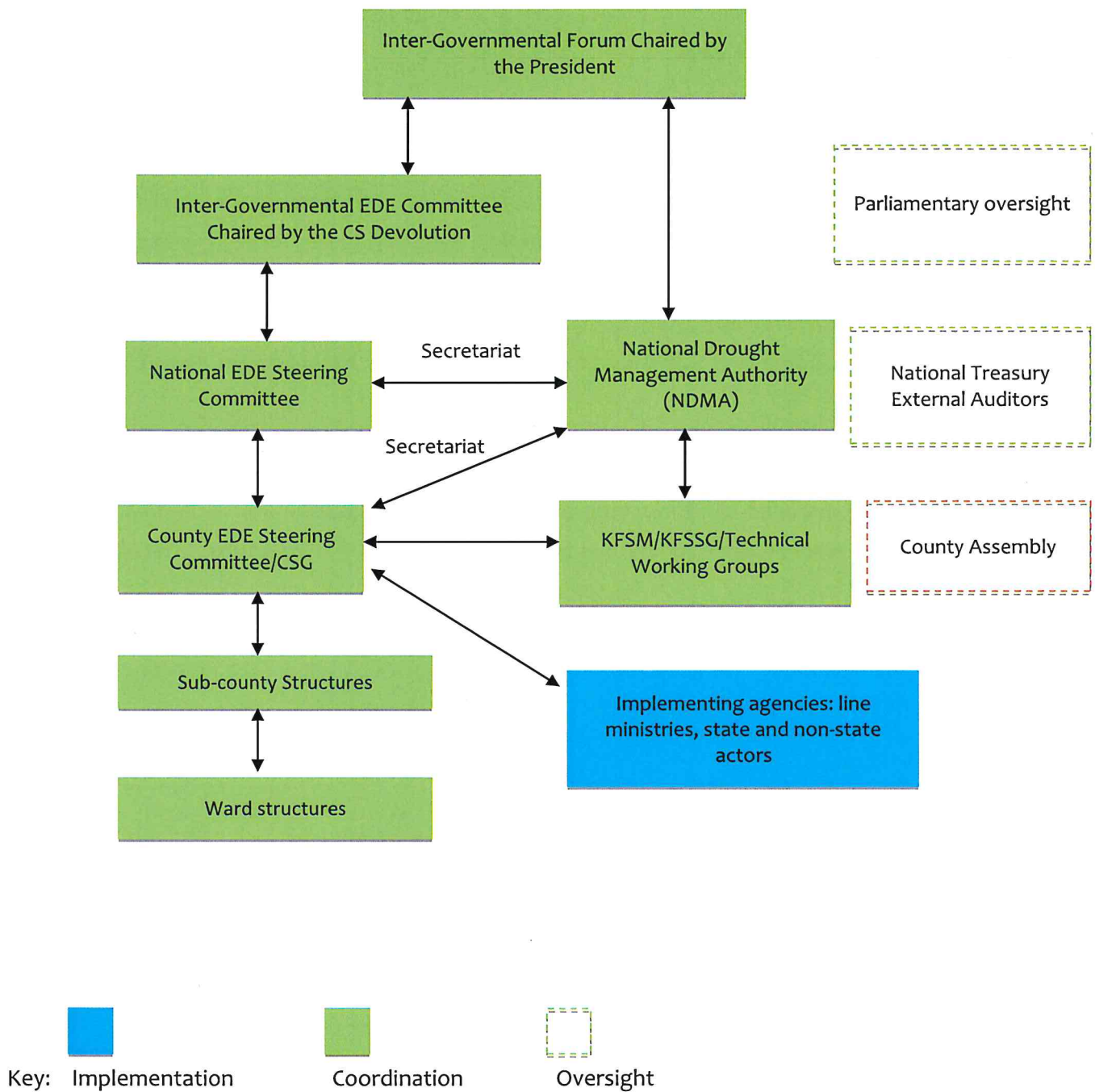
Drought Coordination Institutional Framework

- 3.3 The Ending Drought Emergencies (EDE) Common Programme Framework outlines the coordination institutional framework for drought risk management as shown in **Figure 1**.
- 3.4 At the apex of the institutional framework is the Inter-Governmental Forum chaired, by the President of Kenya and attended by Governors from drought-prone counties. The forum provides political direction on drought management. Closely linked to the Inter-Governmental Forum is the Inter-Governmental Committee on Drought and Food Security, chaired by the Cabinet Secretary (CS) responsible for drought management, currently CS in charge of the Ministry of Devolution and ASALs. The Committee is attended by the Cabinet Secretaries in charge of National Government line ministries and the 23 County Governors in the ASAL region. The committee is responsible for providing policy direction on drought management.
- 3.5 The other important forum in drought management is the Kenya Food Security Meeting (KFSM), convened and chaired by NDMA. KFSM brings together experts drawn from

relevant government departments, UN agencies and International NGOs. KFSM generates and quality-assures drought and food security information for decision making by other committees and stakeholders. KFSM ensures that food security assessments are done.

- 3.6 At the county level, there exists the County Steering Group (CSG) chaired by the Governor and co-chaired by the County Commissioner with NDMA County Drought Coordinator (CDC) as the secretary. CSG membership is drawn from County Government and National Government line ministries, development partners, Non-Governmental Organisations (NGOs) and community representatives. The same framework is replicated at the sub-county level, co-chaired by the Deputy County Commissioner and Sub-County Administrator with NDMA as the secretariat.
- 3.7 The County Steering Group is responsible for coordinating drought risk management activities at the county level, including; development and activation of contingency plans, drought early warning and food security assessment and drought response. CSG's work is aided by various sector Technical Working Groups (TCSGs) at the county level.

Figure 1: Drought Coordination Institutional Framework



*The arrows show the inter-relationship and information flow between the various coordination forums as well as implementing bodies

Source: EDE Common Programme Framework, 2015

Policy and Legal Framework for Drought Management

- 3.8 In addition to the National Drought Management Authority Act, 2016, several policy documents exist to guide NDMA's drought management activities. At the global level, drought management is guided by the Sendai Framework for Action, 2015-2030, which seeks to substantially reduce disaster risk and losses. The Framework requires states to put in place measures that enhance disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation and reconstruction.
- 3.9 At the national level, Sessional Paper No. 8 of 2012 on National Policy for the Sustainable Development of Northern Kenya and other Arid Lands is key in drought management. This policy document seeks to facilitate and fast-track sustainable development in Northern Kenya and other arid lands. One of its objectives is to strengthen the climate resilience of communities in the ASALs and ensure sustainable livelihoods. This objective falls within the mandate of NDMA.
- 3.10 The government has also developed a strategy document for ending drought related emergencies, published in 2015. The Common Programme Framework for Ending Drought Emergencies (EDE) is a six pillar strategy with the overall expected outcome being resilience of communities in drought prone areas through fast-tracking of development. The EDE pillars are:
- Pillar 1- Peace and security;
 - Pillar 2- Climate-proofed infrastructure;
 - Pillar 3- Human capital;
 - Pillar 4- Sustainable livelihoods;
 - Pillar 5- Drought risk management; and
 - Pillar 6- Institutional development and knowledge management.
- 3.11 NDMA is responsible for implementation of pillar number 5 and 6.

Other Key Actors in Drought Management

- 3.12 Drought is a multi-sectoral phenomenon whose management involves a number of stakeholders. Besides NDMA, drought management involves 6 National Government ministries and the 23 ASAL County Governments and a range of development partners and NGOs. The role of these various actors is presented in **Table 1**.

Table 1: Actors in Drought Management

Actor	Role
Ministry of Devolution and ASALs	The Ministry, through the State Department for Development of ASALs, is responsible for formulation and implementation of policies and strategies that fast-track development of ASAL areas to reduce inequalities and vulnerabilities.
Ministry of Agriculture and Livestock	The Ministry is responsible for the development and implementation of policies to ensure the resilience of agriculture and livestock livelihoods. The Ministry also implements drought resilience activities, for instance, the Livestock Insurance Programme and the World Bank Funded Drought Resilience Project. During drought, the Ministry provides livestock feeds to affected households.
Ministry of Interior and Coordination of National Government	The Ministry mainly works through County Commissioners to strengthen peace and security infrastructure at county and county cross-border levels. The Ministry also coordinates drought risk management activities.
Ministry of Water and Irrigation	The Ministry is responsible for the development of water infrastructure. During drought, the Ministry provides water to key institutions through water trucking.
Ministry of Education	The Ministry's role is to promote education in ASALs by strengthening food provision and water in schools.
Ministry of Health	The Ministry promotes maternal health and nutrition in ASAL counties. During drought, the Ministry provides nutrition supplements to affected lactating mothers and children under the age of 5 years.
County Governments	County Governments are responsible for developing the necessary legal framework for drought management and taking the front line in drought resilience and response at the county level.
Development Partners and NGOs	Development partners work closely with NDMA to support drought risk management in ASAL counties, either through financing or direct implementation of drought risk reduction projects. NGOs on the other hand implement drought risk reduction activities in ASALs. Some key partners and NGOs include EU, WFP, DFID, UNICEF, World Vision, Kenya Red Cross, Caritas, PACIDA, Catholic Diocese of Lodwar and Action Aid.

Source: NDMA Documents; Audit Interview Minutes

Functions of the National Drought Management Authority

- 3.13 NDMA derives its mandate from Legal Notice No. 171 of 2011 and NDMA Act, 2016. The functions of NDMA as outlined in Section 5 of the NDMA Act, 2016 include:
- i) Establish and institutionalize coordination structures for drought management;
 - ii) Establish and operate an efficient drought early warning system;
 - iii) Support drought related policy formulation;
 - iv) Coordinate the preparation of drought risk reduction plans;
 - v) Undertake drought risk reduction awareness and education;
 - vi) Coordinate the implementation of drought risk reduction activities;
 - vii) Develop clear evidence based criteria for both the contingency fund and other financial sources appropriated to deal with drought;
 - viii) Generate, consolidate and disseminate drought management information; and
 - ix) Coordinate the implementation of drought mitigation and relief activities.
- 3.14 NDMA has categorised these functions into five broad activity areas: drought resilience, drought early warning and information, drought contingency planning and response, drought knowledge management and drought coordination.

National Drought Management Authority's Strategic Objectives

- 3.15 The Authority has identified six strategic objectives, which contribute towards its goal of enhancing drought resilience and climate change adaptation. The strategic objectives are as outlined below:
- i) To reduce drought vulnerability and enhance adaptation to climate change;
 - ii) To provide drought and climate information to facilitate concerted action by relevant stakeholders;
 - iii) To protect the livelihoods of vulnerable households during drought;
 - iv) To ensure coordinated action by the government and other stakeholders;
 - v) To develop and apply knowledge management approaches that generate evidence for decision making and practice; and
 - vi) To strengthen institutional policy.

Organisational Structure

- 3.16 NDMA is headed by a Chief Executive Officer (CEO) who reports to the Board of Directors. To discharge its functions, the Authority's structure consists of four departments, each headed by a director reporting to the CEO. The four departments are; Technical Services, Policy planning and Research, Corporate Services and Resource Mobilization & Advocacy. The Authority's Organogram is as outlined in **Appendix 3**.
- 3.17 According to NDMA's staff information shared during the audit, the Authority had a total of 311 staff as at 30 June, 2019. Out of this number, 116 technical staff were responsible for the four function areas of the audit focus: drought resilience, contingency planning and response, drought early warning and information and drought coordination. These staff were from the Department of Technical Services and County Offices.
- 3.18 Drought risk management is undertaken by the Department of Technical Services. The department has three sections, namely; drought contingency planning and response, drought resilience and drought information. Key functions of the department include:
- i) Coordinating drought resilience, drought contingency planning and response and drought information in the country;
 - ii) Providing drought information for decision making;
 - iii) Building national, county and community structures to manage drought; and
 - iv) Developing resource mobilization and drought mitigation strategies to oversee implementation of all programs and projects.
- 3.19 The department also provides the link between operations at the Head Office and County Offices in all the 23 counties that NDMA has established offices. County Drought Coordinators head the County Offices and report to the Director Technical Services at the Head Office.

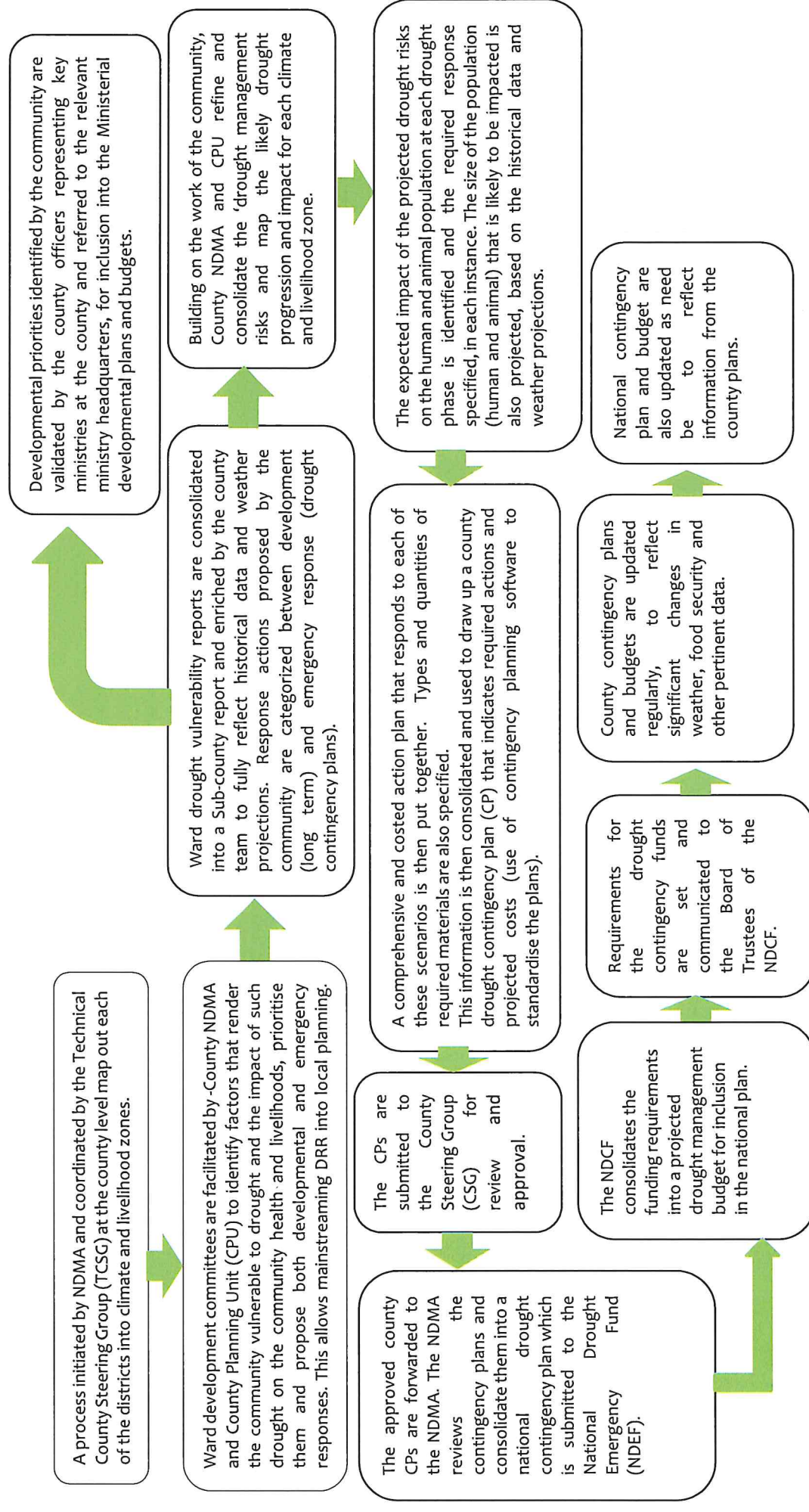
Process Description for Drought Risk Management

- 3.20 In its bid to reduce drought risk, NDMA performs several functions, including; drought resilience, drought monitoring, drought contingency planning and response and coordination. The procedures for carrying out these functions are as described below.

a) Drought Contingency Planning and Response

- 3.21 Contingency planning is the process through which counties analyse drought risks and establish arrangements in advance to enable timely, effective and appropriate responses. The plan spells out activities for each stage of the drought cycle. The plan focuses on sectoral activities, which include; water and sanitation, education, health and nutrition, food and safety nets, agriculture & livestock and peace and security. The contingency planning process as presented in NDMA's Business Process for Disbursement of Drought Contingency Fund is shown in **Figure 2**.

Figure 2: Drought Contingency Planning Process



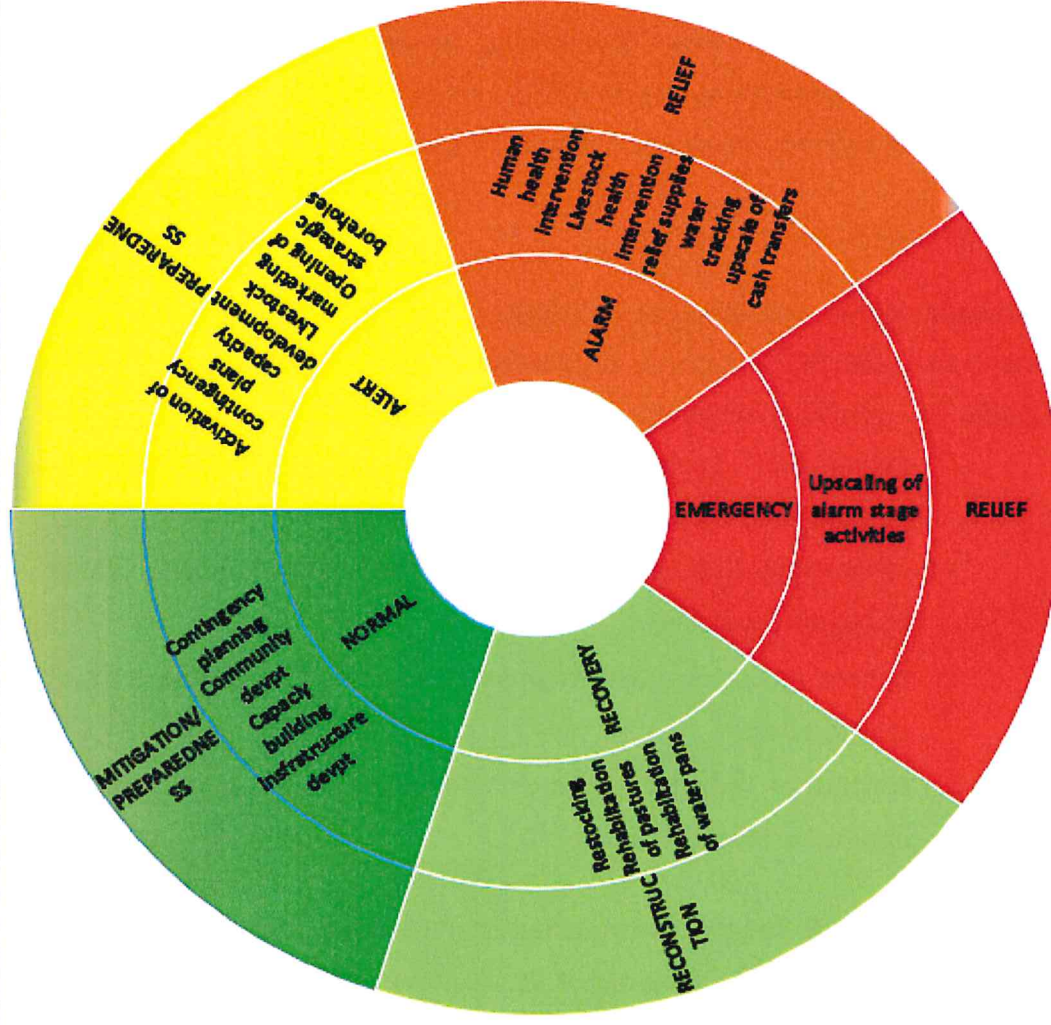
Source: NDMA Business Process for Disbursement of Drought Contingency Fund

- 3.22 The process begins at the ward level where communities are supposed to work closely with NDMA to identify their vulnerabilities and propose interventions. This results into development of ward level plans. Ward level plans are then consolidated into sub-county contingency plans and eventually county contingency plans and thereafter to a national drought contingency plan. The contingency plans at each level are to be updated annually to reflect the current developments in drought management.
- 3.23 Contingency plans are shelf documents, which are only activated when information from drought monitoring shows indications of a drought situation developing. Drought monitoring follows the process discussed below.

b) Drought Monitoring

- 3.24 Drought monitoring involves collection of drought related data and analysis of the same to study the drought as it progresses through its various stages in the drought cycle. The data cuts across four categories of indicators:
- i) Biophysical (environmental) indicators, which constitute data on precipitation and vegetation condition;
 - ii) Production indicators, which constitute data on the status of crop and livestock production;
 - iii) Access Indicators, which constitute data on market and access to food and water, and;
 - iv) Utilisation indicators, which constitute data on impact on nutrition and coping strategy.
- 3.25 The drought cycle has five distinct stages, namely; normal, alert, alarm, emergency and recovery. Each stage is symbolised by a colour code as follows; normal- green, alert- yellow, alarm- orange, emergency- red and recovery- light green. The drought cycle mirrors the disaster management cycle with mitigation and preparedness activities relevant during normal and alert stages while relief activities are relevant during alarm and emergency stages as shown in **Figure 3**. The threshold for each stage is as outlined in **Appendix 4**.

Figure 3: Drought Cycle Management



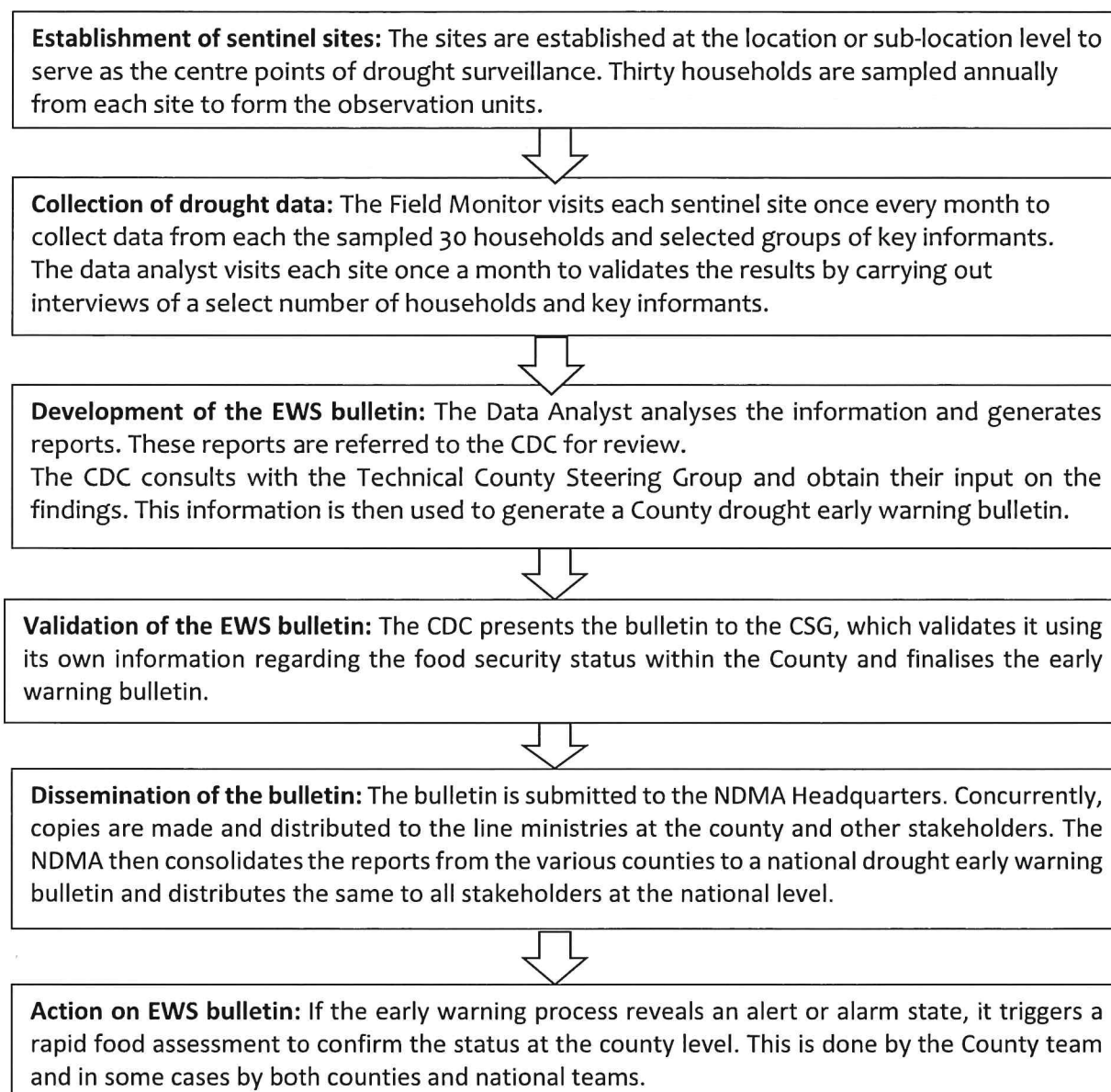
Note:

- The first inner circle represents drought stages, the next circle are the activities undertaken at each stage and the outer circle represents the disaster management cycle.
- Drought monitoring and coordination are continuous activities performed in all the drought cycle stages.

Source: Auditor's Conceptualization: adopted from NDMA's Early Warning Manual and audit minutes

- 3.26 The drought monitoring process begins with the establishment of sentinel sites to form the locations from where households are sampled to form units of observation. There are 154 sentinel sites spread across the 23 ASAL counties with 81 being in the semi-arid and 73 in the arid counties. From each of these sites, NDMA field monitors are required to collect data on a monthly basis from a sample of 30 households using systematic random sampling.
- 3.27 The National Drought Management Authority drought information officers or data analysts are then required to analyse the collected data and prepare a monthly report in the form of an early warning bulletin. The draft early warning bulletin is to be discussed and approved by the County Steering Group. Each county has its own bulletin. In addition, NDMA is expected to prepare a monthly national bulletin that combines all the 23 county bulletins. A detailed illustration of the drought early warning process is presented in **Figure 4**.

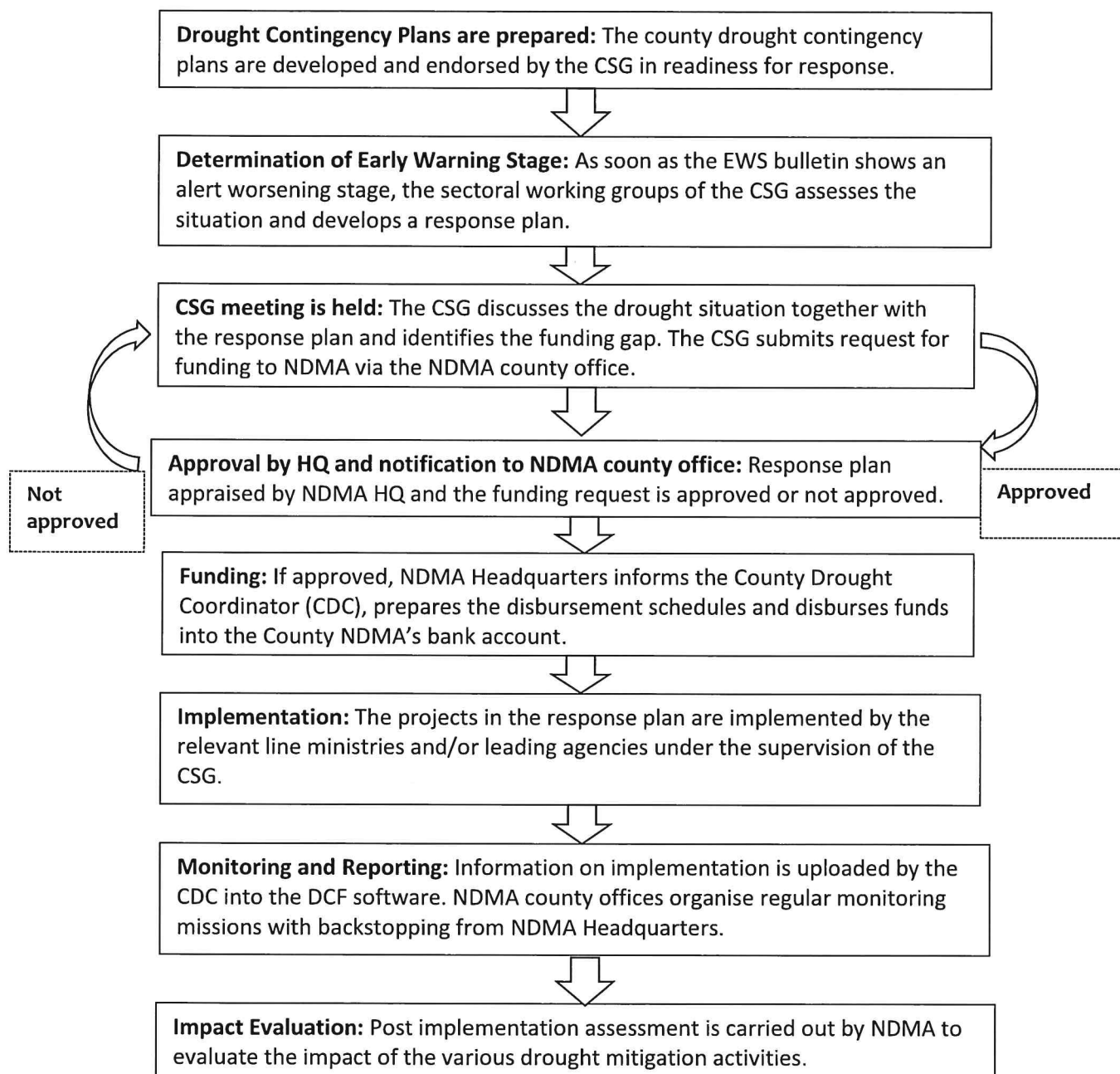
Figure 4: Drought Early Warning Process



Source: Adopted from DCF Business Process (Summary Report)

- 3.28 In the event that the monthly bulletins show that a county is in alert stage and the situation is likely to worsen, contingency plans are to be activated to facilitate drought response. The contingency plan activation process is as outlined in **Figure 5**.

Figure 5: Contingency Plan Activation Process



Source: Kenya Drought Response Guidelines, 2018

c) Drought Resilience

3.29 The National Drought Management Authority also implements drought resilience activities meant to enhance communities' coping capacities. Coping capacity in this

case refers to the ability of the community, using available skills and resources, to manage effects of drought.

- 3.30 Unlike the early warning and contingency planning, there is no standard process for drought resilience activities as it varies across various activities. The audit sampled three programmes which were being undertaken by NDMA either directly or under its coordination. The sampled projects are the Hunger Safety Net Programme (HSNP), the Asset Creation Programme (ACP), and the strategic drought preparedness projects. The details of these programmes are presented in the findings chapter.

Funding

- 3.31 NDMA is funded by the government through the budgetary allocation process of the National Treasury and by donors. Donors finance NDMA through financial support to various drought management programmes implemented by the Authority. The key donor financiers of NDMA include the European Union (EU), UK Department for International Development (DFID), United Nations Development Programme (UNDP) and World Food Programme (WFP). In the financial years 2015/16 to 2018/19, NDMA's revenues amounted to Ksh. 24.6 billion, as shown in **Table 2**. The Authority's expenditures during the same period amounted to Ksh. 24.8 billion.

Table 2: NDMA 's budget funding during the years 2015/16 to 2018/19

Financial Year	Income (Ksh.)			Expenditure (Ksh.)
	Original Budget	Adjustments	Final Budget	
2015/16	5,743,358,854	(162,805,134)	5,580,553,720	5,577,453,718
2016/17	5,810,552,952	234,303,522	6,044,856,474	6,162,418,271
2017/18	6,384,408,180	741,978,007	7,126,386,187	7,162,751,833
2018/19	5,831,134,959	35,911,804	5,867,046,763	5,919,217,218
Total	23,769,454,945	849,388,199	24,618,843,144	24,821,841,040

*The Authority at times receive funds from other sources not factored into the budget, hence the expenditures in excess of budget

Source: NDMA's Financial Documents

Chapter 4: Audit Findings

- 4.1 This chapter presents findings of the audit and covers the following four broad areas:
- i) Development of capacity for drought management;
 - ii) Facilitation of effective drought contingency processes;
 - iii) Establishment and operation of drought early warning system; and
 - iv) Coordination of drought management activities.
- 4.2 The audit noted some significant positive developments in drought management as summarized below.
- i) NDMA has developed and operated a web based Early Warning System through which it monitors drought and produces monthly early warning bulletins for each of the 23 ASAL counties. In addition, the Authority has been facilitating bi-annual food security assessments. This has ensured continuous availability of information for decision-making.
 - ii) NDMA has made efforts towards mainstreaming of drought risk management in the government's planning process at the national and county level. At the national level, the Ending Drought Emergencies (EDE) Common Programme Framework has been developed to guide planning. Further, at the county level, NDMA has worked with the planning units to mainstream the EDE pillars into the County Integrated Development Plans (CIDPs).
 - iii) NDMA runs an internal Drought Contingency Fund (DCF) supported by the European Union Fund. DCF uses a computerised drought contingency fund business process, which is working towards reducing delays during disbursement of funds. Through the Fund, NDMA has been able to support various drought preparedness projects and response activities.
- 4.3 These positive developments notwithstanding, the audit observed that drought management is faced with preparedness problems as discussed below.

1. Shortcomings in NDMA's Efforts to Develop Capacity for Drought Management

- 4.4 NDMA's performance in developing capacity for drought management was assessed in terms of; mainstreaming of drought management into government's planning and budget making processes and enhancing communities coping capacity for effects of drought. The audit observations are as discussed below.

a) Non-availability of relevant legislation limiting drought mainstreaming

- 4.5 NDMA's strategic objective No. 1 is "to reduce drought vulnerability and enhance adaptation to climate change." The Authority has identified various strategies for achieving this objective, among them being to mainstream drought risk reduction, climate adaptation and other EDE priorities in government's policy planning and budgeting processes.
- 4.6 The audit revealed that NDMA had been working closely with National Government line ministries and County Governments to mainstream Ending Drought Emergencies. While NDMA has achieved mainstreaming of EDE pillars in National Government Medium-Term Plans and county second generation CIDPs, these efforts may not bear fruit if the supporting policies and laws on Disaster Risk Management (DRM) are not enacted. The audit revealed that in most of the cases, DRM policies and laws were either in draft form or non-existent. At the national level, a policy on disaster risk management and the National Drought Emergency Fund (NDEF) Regulations, 2017 were still in draft form. Interviews with NDMA Management revealed that the national DRM policy had been approved by the Cabinet, but was yet to be enacted by Parliament. Similarly, the process of developing NDEF regulations started immediately after enactment of the NDMA Act, 2016. However, the process was slowed down by the fact that an amendment of the NDMA Act had to be done to remove the Fund then establish it under the Public Finance Management Act, 2012 as required by the Constitution of Kenya. An amendment to the NDMA Act had already been passed by the National Assembly and was in the Senate as at the time of drafting this report.
- 4.7 Out of the seven counties sampled, only two had finalised their disaster management policies. The other two had their policies in draft form while the remaining three did not have any drafted policy on disaster management. In addition, only four out of the

seven sampled counties had enacted laws on disaster risk management while Isiolo County had enacted a law on climate change adaptation. The status of enactment of the disaster risk management laws and policies as at the time of the audit is shown in **Table 3.**

Table 3: Status of enactment of laws and policies on disaster management by counties

County	Legal Document	Status as at time of audit
Isiolo	County Emergency Fund Bill, 2016	Draft
	County Disaster Risk Management Policy	Non-existent
Marsabit	County Emergency Fund Act, 2014	Assented
	County Disaster Management Policy	Draft
Baringo	County Disaster Management Policy, 2014	Revised 2017
	County Emergency Fund Act	Non-existent
Laikipia	County Disaster Risk Management Policy, 2016	Finalised
	County Disaster Management Bill, 2014	Draft
Kajiado	County Disaster Management Act, 2016	Assented
	County Disaster Management Policy	Non-existent
Kitui	County Emergency Fund Act, 2018	Assented
	County Disaster Management policy	Non-existent
Turkana	County Disaster Management policy	Draft
	County Emergency and Disaster Management Act, 2016	Assented

Source: OAG-K Analysis of audit minutes and information from respective county websites

- 4.8 As the government's lead agency for drought management, NDMA is expected to contribute to the enactment of DRM related laws and policies. While the audit revealed that NDMA had worked with county executives to offer technical support during the development of the legislations, no evidence was provided to show that NDMA undertook sensitisation of the legislators, both at national and county level, on the need to have the DRM laws and policies enacted. Although NDMA stated in the management response that they have been facilitating elected leaders' conferences and forums, in a bid to among others, fast track the enactment of DRM laws and policies, review of the supporting documents provided did not reveal evidence of NDMA sensitizing the legislators on DRM and the need to enact related legislation.
- 4.9 These policies and laws are used as directives for financial provision by supporting budgetary allocation to DRM and are, therefore, crucial in the implementation of

contingency plans. Their absence may hinder budgetary allocation towards disaster risk management. Consequently, this affects the availability of funds for response in the event of drought. A review of the audited accounts of the seven sampled counties revealed that only two, Marsabit and Turkana, had established an Emergency Fund as directed by Section 110 of the Public Finance Management Act, 2012. Section 110 of the Public Finance Management Act, 2012 require that a County Executive Committee may, with the approval of the County Assembly, establish an emergency fund to enable payments to be made when an urgent and unforeseen need for expenditure arises. Moreover, the audit noted that the emergency fund is not only for drought response, but for all types of disasters and emergencies. Because of the lack of a designated drought fund, drought response is therefore often delayed as County Governments mobilize resources within the county and at the national level.

b) Limited Enhancing of Coping Capacity of Communities

- 4.10 Section 5(g) of the NDMA Act, 2016 requires the Authority “to identify, design and implement projects and programmes that shall strengthen resilience to drought and climate change.” This is in line with the National Policy for Development of ASALs, which requires the government to “strengthen the climate resilience of communities in ASALs and ensure sustainable livelihoods⁶.”
- 4.11 NDMA implements strategic drought preparedness activities mainly through the EU funded Drought Contingency Fund. The projects are identified through a Participatory Drought Risk Management Approach (PDRA), at the ward level. With the technical support of NDMA, the community is facilitated to identify their risks and propose mitigation actions. The process results into development of a PDRA report detailing short-term and long-term action plans. Short-term action plans feed into the contingency plan while long-term action plans form the resilience actions.
- 4.12 Interviews and document review revealed that the Authority had facilitated PDRAs only in a few wards per county as outlined in **Table 4**. It was only in the year 2018 that the Authority undertook PDRA exercises in most of the wards, despite this, the overall coverage per county remained low.

⁶ Objective 4 of the Sessional Paper No. 8 on National Policy for Development of ASALs

Table 4: Status of NDMA's Facilitation of PDRAs

County	Number of ASAL Wards	No. of NDMA Facilitated PDRAs Aailed for Audit	Shortfall
Baringo	15	6	9
Isiolo	10	1	9
Kajiado	20	0	20
Kitui	32	7	25
Laikipia	10	7	3
Marsabit	20	3	17
Turkana	30	4	26

Source: Interviews and analysis of NDMA documents

- 4.13 It was also observed that Non-Governmental Organisations had also facilitated communities to undertake PDRAs. However, the audit noted that the PDRAs undertaken by such organizations were project site specific and often did not cover a whole ward, hence only relevant to the implementing entity.
- 4.14 Due to the limited facilitation of PDRAs, the Authority and the National and County governments had limited information on the vulnerabilities of communities, which would be useful during planning purposes.
- 4.15 Further, the audit examined NDMA's performance in enhancing communities' coping capacity through three programmes either implemented by NDMA directly or under its coordination. The programmes are; the EU Drought Risk Management and Coordination (DRMC), the WFP funded Asset Creation Programme and the DFID and GoK funded Hunger Safety Net Programme. The audit observations are as discussed below.
- i) Insufficiencies in Drought Preparedness Projects Under the EU Drought Risk Management and Coordination (DRMC)
- 4.16 According to interviews with NDMA staff, once a PDRA is completed, the Authority works with the community to identify the most strategic action out of the list of resilience actions and implements it as a strategic drought preparedness project for the community. A review of NDMA annual reports revealed that the Authority used the EU funded Drought Contingency Fund to support strategic drought preparedness projects across the 23 counties in its operation. A total of 9 strategic projects were implemented across the sampled seven counties during the audit period. The projects implemented included water pans and dams, boarding facilities for schools, food security

projects and pasture establishment, among others. The audit team visited four of these projects: Mathima Integrated Drought Preparedness Project in Kitui County, Nadungoru community pasture and Churo Amaiya dam in Laikipia County and Plesian Primary School boarding facility in Baringo County. The observations made are as presented below.

- 4.17 The Mathima Integrated Drought Preparedness Project, in Kitui County, is a water project, which was supposed to harvest flood water into an earth dam. The water was supposed to serve both domestic needs and livestock in the community. In addition, the community was supposed to be facilitated to engage in irrigation farming and conserve the soil through agro-forestry practices, as well as planting of grass around the project area. The project started in October 2017, but only the water component- construction of the dam- had been implemented as at the time of the audit in September 2019. The water treatment plant was still under construction though the community was already using the turbid water⁷. As such, the project's goal of enhancing livelihood resilience to drought for 8,380 people of Mathima by 2018, had not been met.
- 4.18 Similarly, the Nadungoru Community Pasture in Laikipia County is a pasture production project meant to make fodder available to the community during drought. The project was supposed to grow pasture and store for use during drought. The stored pasture was supposed to be sold to the community to generate income to sustain the project. In addition, the project was to have a finishing component to aid the community in fattening their livestock in readiness for the market. The project management committee reported during the visit that the finishing component was not constructed. Besides, the farm did not have a pasture harvesting machine and relied on private ranchers who the committee claimed took about 40% of the harvested pasture as harvesting cost. Similar observations were also made at Churo Amaiya dam expansion and Plesian Primary School boarding facility where though the projects were still in their early stages, NDMA staff expressed doubt about all the projects' components being implemented.
- 4.19 NDMA staff reported that EU projects were usually implemented in partnership with other actors, including the respective County Governments. However, according to NDMA, most often, partners fail to implement their components. Nevertheless, NDMA being the lead agency, should be able to design mechanisms for ensuring that partners implement their components.

⁷ Turbid water means water that has soil sediments suspended in it and the water, therefore, become muddy.

- 4.20 In addition to strategic projects, NDMA utilised the EU funded Drought Contingency Fund to support strategic boreholes with generators, spare parts and fuel subsidy. The audit team visited 10 strategic boreholes and made a number of observations. At Bertume borehole in Merti, Isiolo County, it was observed that the borehole had one generator, which had a breakdown and could only function for a few hours. The borehole management also claimed that the generator was then using 40 litres of diesel in a day at a cost of Ksh. 125 per litre, making it difficult for the project to sustain revenues. The management reported that the borehole generates an average daily revenue of Ksh. 7,000. The management further claimed that it was very costly to transport fuel to the borehole site given the long distances. Bertume is over 100 kilometres away from Merti township. Transport between the two places is through tracks that run across the rangelands. The borehole management reported that the tracks charge about Ksh. 25, 000 to transport 200 litres of a diesel drum. Similar claims of high costs of operations were made during the audit team's visit to Dekuku, Lagawarabesa and Emutoroki boreholes, among others. The borehole management committee also claimed that they had not been capacity built on water governance.
- 4.21 The audit observed other cost effective ways such as the use of a hybrid of solar power and diesel powered generators to run boreholes, as well as borehole insurance programmes, which could be used to achieve economy in support to boreholes. For example, the Catholic Diocese of Lodwar implements a borehole insurance programme in which each borehole pays Ksh. 3,000 and Ksh. 6,000 per year for the un-solarised and the solarised boreholes, respectively. The diocese then takes care of any arising repair and maintenance needs during the year. NDMA indicated in the management response that it has worked with other stakeholders, including the Diocese of Lodwar and Safaricom Foundation to seek avenues for cost effectiveness in boreholes management. The Authority also stated that they are currently working with a consortium of agencies trying to address governance issues in the water sector. NDMA further stated that water sectors in a few counties, like in Marsabit County, are working to enact policies on water resource governance, including boreholes management.

ii) **Insufficiencies in the Asset Creation Programme: Protracted Relief and Recovery**

- 4.22 The Asset Creation Programme (ACP) was funded by World Food Programme (WFP) and GoK. The programme was implemented by selected NGOs in fourteen counties under the coordination of NDMA. Five out of the fourteen counties were sampled for

the audit, namely; Baringo, Isiolo, Kitui, Marsabit and Turkana. The programme was implemented in the years 2009 to 2018. It aimed at building community resilience to drought and its related shocks through protecting and rebuilding livelihoods that enhance resilience of vulnerable households. The arrangement was such that the beneficiaries work for three days in a week developing their community natural assets and in return receive either cash or food payment. The beneficiaries were to use the remaining days to develop their own assets at household level.

- 4.23 Physical verification of 13 asset creation activities spread across 5 sampled counties revealed that ACP activities were extremely small scale in most of the cases. For example, the Burat Irrigation Project in Isiolo County was of small scale and did not have any evidence of serious activity. Most of the farms lacked water piping infrastructure. Besides, consultations with programme beneficiaries revealed that only a few individuals were able to attain resilience as majority dropped out of the programme. The audit team visited a beneficiary farm in Mathiakali location, Kitui County, where a beneficiary was practicing irrigation farming and had a mix of fruit trees and a variety of vegetables in the farm. The beneficiary informed the team that they were 200 beneficiaries when the project started, but only two beneficiaries became successful. Similar observations were made in most of the project sites visited like Teso Community Project in Moyale, Lobo Community Irrigation Scheme in Baringo and a community pasture farm in Lobo, Baringo, among others.
- 4.24 It was observed that ACP focused on crop production, but most of the project sites visited were very dry, falling under pastoral livelihood zones. The identification and implementation of programme activities was not done in touch with realities at the community level. At the same time, sustainability of programme activities seemed not to have been taken into consideration during the design of the project.

iii) Insufficiencies in the Hunger Safety Net Programme

- 4.25 NDMA implemented phase II of the Hunger Safety Net Programme (HSNP) in the financial years 2013/14 to 2018/19. Phase I of this programme was implemented by NGOs in the years 2008 to 2012. HSNP is a social protection programme implemented by NDMA in Mandera, Marsabit, Turkana and Wajir Counties. HSNP provides regular cash transfer to a chronic caseload of the poorest households in the community. The Programme was implemented with co-financing from the Government of Kenya (GoK) and the UK Department for International

Development (DFID). The programme had two categories of beneficiaries. Category I beneficiaries were regular beneficiaries who were paid a cash transfer of Ksh. 5, 400, once every two months. Category II beneficiaries were emergency beneficiaries who only received cash transfers during a drought situation and were paid Ksh. 2, 700 every month.

- 4.26 During the audit, interviews and focus group discussions were held to gauge beneficiaries' perception of the programme. Whereas beneficiaries were generally happy with HSNP II, they made claims that some of the programme beneficiaries were not the poorest of the poor in the community. However, these claims could not be verified during the audit. NDMA staff interviewed both in Marsabit and Turkana Counties reported that the Authority inherited the beneficiary database developed by NGOs during HSNP I, which had some inconsistencies. The database relied on information disclosed by the households during registration, but no community validation was done to confirm the information and remove non-qualified beneficiaries from the database.
- 4.27 In addition, NDMA was expected to ensure that all beneficiaries could access their money. However, the audit found cases of households not being able to withdraw money from their accounts, either due to; deceased principal member, lack of a National Identification Card or child-headed household. For instance, information obtained during the audit revealed that Turkana County had a total of 7,833 households with zero withdrawals amounting to Ksh. 270, 431, 637 as at 31st August, 2018. Marsabit also had a total of 1,645 households with zero withdrawals amounting to Ksh. 41, 679, 781 as at January, 2019. A review of the HSNP online database also revealed instances of payments made to inactive accounts as shown in **Table 5**. It was observed that NDMA did not undertake to resolve zero withdrawal cases until towards the end of HSNP II.

Table 5: Status of payments for HSNP beneficiaries during the period August 2014 to October 2018

County Name	Accounts Paid	Accounts Active	Paid Inactive Accounts
Regular Beneficiaries (G1)			
Mandera	21,956	21,105	851
Marsabit	20,414	19,433	981
Turkana	39,589	36,369	3,220
Wajir	19,140	18,243	897
Total	101,099	95,150	5,949
Emergency Beneficiaries (G2)			
Mandera	49,436	46,419	3,017
Marsabit	31,174	30,264	910
Turkana	69,401	67,131	2,270
Wajir	57,526	54,208	3,318
Total	207,537	198,022	9,515

Source: HSNP MIS Database⁸

- 4.28 From the discussions presented in this finding, it is clear that NDMA's efforts to enhance communities coping capacity has been faced with various shortcomings that may limit resilience building of communities in ASALs. The communities may remain vulnerable, despite many projects and programmes being implemented. The low coping capacity of communities creates a risk for drought to progress faster into more severe stages. Information obtained from NDMA showed that only movement from normal to alert stage is influenced by environmental factors while the remaining stages are dictated by the socio-economic factors, which are a function of communities' coping capacity.

2. The Contingency Processes had Insufficiencies Affecting their Effectiveness

- 4.29 Section 5(e) of the National Drought Management Authority Act, 2016 requires the Authority to facilitate national and county level drought contingency processes and the preparation of national and county level drought contingency plans. For drought contingency processes to be effective, good practice requires that NDMA:

⁸ Accessed on 12th March 2020 from: <http://197.254.7.126:9700/glance/payments.aspx>

- i) Facilitates the involvement and participation of relevant stakeholders, especially the community in contingency planning;
- ii) Ensures the development and regular update of the plans, both at county and national level;
- iii) Ensures that the plans are approved by the respective county CSG; and
- iv) Ensures timely activation of contingency plans during a drought situation.

4.30 The audit revealed a number of limitations in the contingency processes as discussed below.

a) Delays in Activation of Contingency Plans

- 4.31 In order to protect the lives and livelihoods of the vulnerable, the time lag between the date an early warning bulletin indicates a drought situation developing and the date of commencement of response activities should be kept as short as possible. A drought is considered to be developing if the bulletin shows that a county is in alert stage and the situation is likely to worsen. Interviews with NDMA and County Technical Working Groups indicated that the response should begin within one month after the bulletin reveals that a drought situation is developing.
- 4.32 With little information on the actual start date of various response activities at the county level, the audit team reviewed the early warning bulletins and CSG minutes to establish the time lag in activation of the contingency plans during the period 2016/17 and 2018/2019. The team used the alert worsening drought stage as the threshold for drought response and measured the time lag up to the date the response plans were presented and approved by the respective CSGs.
- 4.33 The documents availed for audit covered 24 response planning cycles, but only 18 had complete data and hence would be used in the analysis. The analysis revealed that NDMA, working through CSG, only managed to develop response plans within one month in 5 out of 18 response planning periods analysed. For example, Kitui County took between one and four months to develop response plans while Kajiado, Laikipia and Turkana counties took between one and three months. However, it was noted that Baringo County managed to develop a response plan in less than one month during all of its planning cycles analysed. A summary of county performance in activation of contingency plans is as shown in **Table 6** while a detailed analysis of the same is presented in **Appendix 5**. The calculations presented in this finding only show the time

lag up to the date the counties had an approved response plan and not start date of response activities, which follows after the plan. In actual sense, the delay in activation of contingency plans may be more serious than presented here. The delays have probably led to much suffering in the communities. For example, though the actual numbers were not provided, the community claimed that the 2016/17 drought led to several livestock deaths of between 20-30% in Isiolo County and about 90% in Kajiado County.

Table 6: Time lags in activation of contingency plans during the 2016/17 and 2019 droughts

County	No. of response planning periods analysed	No. of periods during which an approved response plan was developed in less than one month	Longest time lag recorded
Baringo	2	2	N/A
Isiolo	5	1	3 months
Kajiado	4	1	3 months
Kitui	4	0	4 months
Laikipia	2	1	1 month
Turkana	1	0	1 month
Total	18	5	

Source: OAG analysis of NDMA early warning bulletins and CSG minutes

- 4.34 The audit observed that while NDMA's Kenya Drought Response Guidelines have a clear process for activation of contingency plans, it does not have set timelines for various steps in the process. Interviews with CSG members and NDMA staff at the county level also revealed that there were no set timelines to be observed during activation of the contingency plans. In addition, it was noted that the response guidelines were only available at NDMA's Head Office as no reference was made to it during interviews in all of the sampled seven counties.
- 4.35 NDMA staff also reported that timely activation of contingency plans was also, to some extent, hampered by the fact that the National Drought Emergency Fund is yet to be operationalised. It was reported that immediately after the enactment of the NDMA Act, 2016, an account was created to which the government deposited seed money of Ksh. 2 billion. However, the money could only be utilized after the Fund was legally operationalised. In its absence, NDMA operated an internal Drought Contingency Fund financed by the EU, which only bridged the counties response finance gap. Therefore, there is a risk of total dependence on a donor for contingency funding. The country will be left without any contingency fund should the EU stop the support.

b) Limited Community Involvement in Contingency Planning

- 4.36 The community is a key stakeholder whose participation in contingency planning cannot be overlooked if NDMA is to achieve its strategic objective of protecting the lives and livelihoods of the vulnerable. Interviews with NDMA Management and NDMA County Coordinating Units (CCUs) revealed that community involvement in the contingency process is done through ward level planning. However, scrutiny of the documents availed for audit revealed the participation of just 42 out of the 137 ASAL wards in the sampled seven counties, as outlined in **Table 7**. It is only in the 2018 planning cycle that NDMA actively facilitated ward level planning in the sampled counties. Nevertheless, the general coverage remained low with only 3 out of the 7 sampled counties recording at least 50% coverage.

Table 7: Status of ward level contingency planning during the years 2015-2019

County	No. of ASAL Wards	No. of ward contingency plans availed for audit						Shortfall	% Coverage
		2015	2016	2017	2018	2019	Total		
Baringo	15	0	3	0	6	0	9	6	60.0
Isiolo	10	0	0	0	5	0	5	5	50.0
Kajiado	20	0	2	0	5	0	7	13	35.0
Kitui	32	1	1	0	5	0	7	25	21.9
Laikipia	10	0	1	0	5	1	7	3	70.0
Marsabit	20	0	0	0	3	0	3	17	15.0
Turkana	30	0	0	0	4	0	4	26	13.3
Total	137	1	7	0	33	1	42	95	30.7

Source: OAG-K review of NDMA's documents

- 4.37 The limited facilitation of contingency planning at the ward level may be attributed to lack of regulations to operationalize Section 5(e) of the NDMA Act, 2016. The audit noted that the Kenya Drought Response Guidelines is the main document used by NDMA to provide guidance on issues of contingency planning and response. However, scrutiny of this document revealed that while it recognises community involvement in contingency planning, it does not provide clear guidance on how the community should be involved. It also does not make ward level planning mandatory in the contingency planning process. Interviews with NDMA Management revealed that the Authority only planned for and undertook ward level contingency planning when it had support from development partners as was the case during the 2017/18 planning cycle.

4.38 Due to insufficient coverage of ward level planning, NDMA and both the National and County governments had little information on communities' vulnerabilities and needs, which would inform response planning. The lack of information may slow down response as a detailed information gathering will have to be done during a drought situation instead of during the contingency planning phase.

c) Untimely Update and Lack of CSG Approval of Contingency Plans

4.39 According to NDMA's Drought Response Guidelines, contingency plans are prepared by the Technical Working Groups and approved and adopted by the County Steering Group. The plans are also supposed to be reviewed and updated annually.

4.40 Review of contingency plans availed for audit revealed that the plans were not reviewed and updated annually, but after every two years. The audit also noted that none of the ward level contingency plans had been updated during the period 2015 - 2019. This may have also contributed to delays in activation of contingency plans as detailed assessment of the situation had to be carried out to gather current information.

4.41 In addition, a review of CSG minutes revealed evidence of approval or adoption of county contingency plans in five out of the sampled seven counties, but only during the 2017/18 planning cycle. It was only in Kitui County that CSG approved their contingency plan during the 2015/16 planning cycle. Approval or adoption of contingency plans by CSG is necessary for ownership by stakeholders. Therefore, lack of approval poses a risk of stakeholders not having ownership of the contingency plans, hence they may not make use of it during their annual planning process. As a result, stakeholders may not set funds aside in readiness for activation of the contingency plans, thereby leading to delays in response.

4.42 It was noted that NDMA's Kenya Drought Response Guidelines do not provide clear guidance on timelines for update of contingency plans as well as approval requirements. Besides, the audit noted that NDMA had not circulated the guidelines to stakeholders at the county level. If the guideline was clear and was circulated to stakeholders, then NDMA would have had a basis for following up with CSGs on update and approval of the contingency plans.

d) Lack of a National Drought Contingency Plan

- 4.43 In line with Section 5(e) of the Act, 2016, NDMA is required to consolidate the county drought contingency plans into a national drought contingency plan. However, the audit revealed that NDMA is yet to start consolidating the county contingency plans into one national plan. Consequently, NDMA and the National Government did not have prior information on drought response funding requirements, which would be necessary for planning purposes, including early mobilization of response funds.
- 4.44 Since Section 5(e) of the Act requires NDMA to consolidate county plans into a national contingency plan, NDMA is expected to work closely with the counties to ensure that the contingency plans are presented in a format that is easy to consolidate. This was not the case as NDMA staff interviewed reported the bulky nature of the plans from all the 23 counties as a hindrance to consolidation. It was also noted that the Kenya Drought Response Guidelines did not provide guidance on contingency planning at the national level. The audit also revealed that while NDMA was supposed to automate the entire contingency process, only the funds disbursement portion of the process had been automated as at the time of the audit. Automation would ensure that county contingency plans are presented in a uniform format, hence would make consolidation of the same into one national plan possible in a timely and efficient manner.

3. The Early Warning System had Gaps Affecting its Effectiveness

- 4.45 Section 5(d) of the NDMA Act, 2016 requires NDMA to develop, in consultation with stakeholders, an efficient, drought early warning system and operate the system. For an early warning system to be effective, good practice requires that NDMA puts in place measures for ensuring reliability of the early warning information. In addition, it is expected that NDMA puts mechanisms in place to ensure that early warning bulletins lead to action. However, the audit revealed gaps in the early warning system as discussed below.

a) The Early Warning System had Weaknesses Posing a Risk to the Reliability of Information

- 4.46 Interviews revealed that NDMA uses scientific methods to sample sentinel sites as well as households from where the information is collected. However, the audit revealed that sentinel sites were based on livelihood zones, which were last updated in 2005/2006, despite changes in

livelihoods over the years. For example, Kajiado County, formerly known to be agro-pastoral, has undergone urbanization over the years. NDMA staff also informed the audit team during a visit to Turkana County that the County no longer has large volumes of cattle it used to have and therefore, currently, may not fit in the pastoral livelihood zone. Similarly, concerns about the need to update livelihood zones were captured in CSG minutes of Kitui County, where it was claimed that some of the areas that were formerly classified as mixed farming had deteriorated into marginal mixed farming zones. The documented livelihood zones are therefore not a reflection of the current livelihoods. This might negatively affect the interpretation of the collected data since each livelihood zone has its own threshold for a drought. What is considered a normal dry spell in the pastoral zone may be a drought in an agro-pastoral zone. It was noted during the exit meeting with NDMA Management that the Authority had started plans to review the livelihood zones.

- 4.47 Further, the early warning system uses field monitors to collect data on drought indicators. Field monitors are members of the local community and are employed by NDMA on a casual basis. According to their terms of engagement, they are supposed to work for 15 days in a month and earn a monthly wage of Ksh. 6, 500. NDMA sends money to its county offices for early warning bulletin development every quarter. However, it was reported that delays in disbursements sometimes occur, especially during the start of the financial year. For instance, it was reported that Field Monitors had not been paid for four months starting from June, 2019. In addition, the audit noted limited facilitation of Field Monitors. The Field Monitors use tablet computers provided by NDMA to undertake data collection and upload the data into the EWS database. However, interactions with NDMA's data analysts revealed that Field Monitors are supposed to receive a monthly airtime of Ksh. 300 to enable them to upload the data, but this has not been forthcoming.
- 4.48 The early warning process also requires NDMA to validate the early warning information through discussions during CSG meetings, before finalising the bulletin. However, a review of CSG minutes revealed that NDMA only presented the early warning bulletin to CSG as a way of dissemination.
- 4.49 The use of outdated livelihood zones, limited facilitation of Field Monitors and lack of validation of the bulletin poses a risk to the quality of the information being used and the reliability of early warning bulletins in general.

4.50 The audit noted that NDMA focused more on building the web-based early warning system, but had not given the other components of the system, such as data acquisition, the attention they deserve.

b) Lack of Action on the Recommendations of the Early Warning Bulletins

4.51 The purpose of an early warning bulletin is to inform timely action from various actors on drought management. Using the water sector as a case, the audit team reviewed the early warning bulletins to establish evidence of action from respective actors on their recommendations⁹. The review revealed several instances of lack of action on the recommendations. Even when the same recommendations were repeated over and over for a period of more than one year, there were no actions taken by the responsible actors. The details are as presented in **Table 8**. Consequently, the affected communities continued to be vulnerable to effects of drought, hence putting lives and livelihoods at risk.

⁹ The Early Warning Bulletins can be accessed from: <http://www.ndma.go.ke/index.php/resource-center/category/64-county-early-warning-bulletins>.

Table 8: Status of implementation of the recommendations of the bulletins

County	Recommendations on Early Warning Bulletins	Period over which the same recommendation was repeated
Baringo	Desilt of water pans and dams; Kwarkawarian and Nawe water pans in Yatya and Chewuwai dam in Akoret.	June 2016 to March 2017
	Provide technical support and capacity build the water committee for the following boreholes; Barsuswo, Natan, and Kapkoi. In Yatya-Kapau borehole in Akoret, the water committees need technical support and capacity building.	June 2016 to March 2017
	Repair the broken down boreholes of Napetot, Karun and Cherelio boreholes in Kolloa.	June 2016 to March 2017
	Re-install the vandalized Kapedo Solar powered borehole.	June 2016 to March 2017
	Desilt Chewarany, Orusion, Apakizo, Kakonykony and Katuben springs in Maronare.	June 2016 to March 2017
	Provide PVC tanks of 10, 000lts capacity to learning Institutions and Health Centres.	June 2017 to December 2019
Isiolo	Repair the broken pump in the drought reserve boreholes of Sericho and Iresaboru.	September 2016 to March 2018
	Purchase of equipment for Urura, Yamicha and Machalo borehole.	September 2016 to April 2017
Kajiado	Repair and rehabilitate strategic boreholes.	December 2016 to May 2017, November 2017 to January 2018
	Provide water harvesting tanks.	September 2015 to December 2015
Kitui	De-silt the earth dams and rock catchment.	July 2017 to March 2019
	Drill shallow wells and boreholes in schools.	February 2018 to March 2019
Laikipia	Rehabilitate broken down boreholes and dams in Matanya, Imenti North, Mukuru and Dam Samaki in Ol Moran.	July 2015 to August 2016
	Rehabilitate broken down boreholes and dams in Withare, Matanya, Imenti North, Mukuru and Magadi (dam Kisiora-desilting and expansion).	September 2016 to December 2016
	Rehabilitate broken down boreholes and dams in marginal farming and pastoral zones.	January 2017 to September 2017
	Embark on rehabilitation of broken down boreholes and silted water pans (those about to dry).	July 2018 to October 2018, January 2019 to March 2019
Marsabit	Procure and stock pile fast moving spare parts for strategic water sources.	January 2019 to September 2019
	Repair strategic boreholes, service gensets and rehabilitate grounded water bowsers.	January 2019 to September 2019
Turkana	Monitor and repair broken down boreholes.	January 2017 to April 2017
	Enhance water availability to vulnerable population in the county through repair of broken down water facilities such as boreholes.	December 2018 to December 2019

Source: NDMA Early Warning Bulletins

- 4.52 It was observed through a review of the bulletins that the recommendations were not directed to specific actors except for the bulletins of Kajiado and Laikipia Counties. As such, in most cases, NDMA could not hold any actor to account for their implementation. While it would be expected that NDMA follows up on the implementation of the recommendations, a review of CSG minutes did not reveal any evidence of NDMA reminding actors of the unimplemented recommendations.

4. NDMA Has Not Put in Place Sufficient Measures for Effective Coordination of Drought Management Activities

- 4.53 Section 5(a) of the National Drought Management Act, 2016 requires the Authority to exercise overall coordination over all matters relating to drought management, including implementation of policies and programmes. For effective coordination, good practice expects that NDMA:
- i) Ensures harmonised action by establishing functioning coordination structures;
 - ii) Maintains information about all the actors, including their areas of operation, and;
 - iii) Monitors the activities of the actors.

- 4.54 The audit observed problems in NDMA's drought coordination as discussed below.

a) Commitment from Key Actors Undermines NDMA's Coordination Efforts

- 4.55 The audit observed that NDMA had established drought coordination structures up to the sub-county level. To understand the functioning of these structures, the audit team reviewed CSG minutes for the sampled seven counties. A review of the minutes revealed that Governors or Deputy Governors and County Commissioners rarely attended CSG meetings even during a drought situation. For example, a review of CSG minutes of approval of response plans revealed that it was only in Kajiado and Baringo Counties where the Governor or his Deputy was in attendance. Similarly, attendance of County Commissioners or their Deputies was only evident in 9 out of the 20 response planning meetings held during the years 2016/17 to 2018/19, as shown in **Table 9**. This is contrary to information gathered through interviews, where NDMA staff stated that CSG meetings are chaired by County Governors and co-chaired by County Commissioners.

Table 9: Attendance of CSG response plans approval meetings by high level representatives during the years 2016/17 to 2018/19

County	No. CSG response plan approval meetings held	No. meetings with Governor/Deputy Governor in attendance	No. of Minutes with County Commissioner/Deputy County Commissioner in attendance
Baringo	2	1	1
Isiolo	5	0	3
Kajiado	5	1	1
Kitui	4	0	1
Laikipia	2	0	1
Turkana	2	0	2
Total	20	2	9

Source: OAG analysis of CSG Minutes

- 4.56 In addition, it was noted that the meetings were not held on a monthly basis, contrary to information obtained from interviews which indicated that CSG meetings are held on a monthly basis. It was also noted that majority of actors only attended meetings during food security assessment meetings or during discussion of major projects. The current functioning of CSGs may make it difficult for NDMA to coordinate drought management activities for various actors.
- 4.57 The audit revealed that the coordination structures did not have written guidelines outlining their membership composition, roles and responsibilities and meeting timelines. However, it was noted that the draft National Drought Emergency Fund Regulations, 2017 had a section on drought coordination where the membership as well as the roles and responsibilities of various structures were spelt. Documentary review revealed that NDMA started the process of developing guiding documents for various coordination structures in 2016, but it was never finalised. Interviews with NDMA Management revealed that the process was put on hold awaiting the enactment of the National Drought Emergency Fund Regulations, 2017.

b) Insufficient Continuous Monitoring of Activities of the Actors

- 4.58 As the government lead agency and the overall coordinator, good practice would require that NDMA has a formal way of continuously monitoring what the other actors

are doing with regards to drought management in the country. Continuous monitoring would enable NDMA to provide technical support to the projects as they are being implemented, therefore resulting in better outcomes.

- 4.59 The audit revealed that NDMA does continuous monitoring of drought response interventions through the County Steering Group. However, NDMA's monitoring of drought resilience activities was only limited to activities implemented either directly by it or under its coordination.
- 4.60 In addition, good practice requires that NDMA undertakes an evaluation of drought response at the end of each drought episode to generate knowledge that can be used for improvement in the contingency processes. The audit revealed that there had never been a formal evaluation of drought response in totality, except for the one done on the 2008 to 2011 drought. The evaluation done by NDMA on the 2016/17 drought only covered activities supported by the European Union funded Drought Contingency Fund, hence could only be used for NDMA's internal consumption.
- 4.61 NDMA's insufficient continuous monitoring of drought management activities leaves it with limited knowledge on the status of implementation of activities; the information it would use to follow up on the projects being implemented and ensure that the intended objectives are met and communities coping capacities enhanced. The insufficient continuous monitoring by NDMA may be attributed to limitations in the legal framework. The audit noted that there was no requirement set for actors to report to NDMA on the implementation of their projects. For instance, interviews with NDMA staff revealed that it has not been possible for NDMA to have an input on how National Government line ministries implement their respective response interventions. Interviews also revealed that it was challenging for NDMA to monitor drought management activities implemented by County Governments.
- 4.62 Further, given that drought management involves several actors, good practice requires mapping of the actors to provide information on who is doing what, where and when. The information should be regularly updated since it is necessary for monitoring purposes.
- 4.63 The team requested for information on actors in drought management from all the seven sampled counties, but two of the sampled counties did not avail this information.

A review of stakeholder maps availed for audit revealed that only Isiolo and Kitui Counties mapped their stakeholders in the form that provided information on who was doing what, where, when and financed by whom. Turkana County's stakeholder map only had information on who was doing what and where while Baringo and Laikipia counties mapped their stakeholders without paying close attention to this format. Nevertheless, even the detailed stakeholder maps for Kitui and Isiolo Counties were not up to date. For instance, the most recent entry in Kitui County's stakeholder map was dated August 2018. The map also had 35 out of the 151 entries missing information on project start dates while another 33 did not have information on the expected project end dates. The insufficient mapping of stakeholders leaves NDMA and the CSG with limited information on actors and their activities, which may be used to address issues of duplication of efforts.

- 4.64 However, NDMA Management reported during the exit meeting that the Authority is in the process of developing a web-based 5W stakeholder mapping system. The system will be rolled out to its county offices once completed to aid both in mapping and monitoring of stakeholders.

NDMA's Response to Audit Findings

- 4.65 At the conclusion of the audit, an exit meeting was held and subsequently a management letter sent to NDMA requesting for comments on the audit findings. The comments from NDMA's management are presented in **Appendix 6**.

Chapter 5: Conclusion

- 5.1 From the findings of the audit, it is evident that NDMA has made efforts towards enhancing drought preparedness. Good preparedness can make the effects of drought less severe and hence less costly for taxpayers. However, the audit revealed that NDMA's efforts have not fully addressed the preparedness challenges facing drought management in the country.
- 5.2 Drought management is characterised by a complex system involving many actors, including National Government line ministries, County Governments, and a range of Non-Governmental Organisations. In order for the system to work better, there is need for commitment from all actors. However, the audit observed a lack of commitment from the actors displayed through (i) failure to enact the relevant guiding laws and policies, (ii) lack of participation of high level representatives in the coordination meetings, (iii) lack of action on the early warning bulletin recommendations, and (iv) lack of implementation of partners' respective components of the strategic preparedness projects. NDMA's ability to coordinate actors in the system is further hampered by limitations in the legal framework. NDMA is established as the overall coordinator in matters drought management, but has no supervisory powers over the activities of various actors.
- 5.3 Moreover, contingency planning and response is a key component in drought management. Despite this, the audit observed limitations in the entire contingency process from planning all through to activation of contingency plans. Due to unclear guidelines, the contingency process is faced with planning deficiencies leading to long delays during activation, hence putting lives and livelihoods at risk. Besides, though intended to be used as a tool for early action in the contingency process, the audit found a time lag during activation of the plans and lack of action on recommendations of the early warning bulletins, casting doubt on effective use of early warning information in the contingency processes.
- 5.4 Further, despite investments in several projects geared towards strengthening climate resilience of communities in ASALs, the communities still remain vulnerable. The audit found shortcomings in the implemented programmes such as incomplete implementation of project components, the extremely small scale nature of activities implemented and limited facilitation of beneficiary communities.

- 5.5 All the observed shortcomings have a negative effect on the country's level of drought preparedness. The Office of the Auditor-General underlines the importance of a functioning drought management system, which requires action, not only from NDMA, but also from the National Government line ministries, County Governments involved agencies and legislators.

Chapter 6: Recommendations

- 6.1 The audit observed limitations in the contingency system, which contributed to the delays in drought response; thus, putting communities lives and livelihoods at risk. Availability of relevant legislation would not only provide clear guidance on expected outcomes at each stage in the contingency process, but also ensure availability of funds for timely activation. In addition, fixed timelines for various steps on activating the contingency plans could reduce delays during activation. To further improve the system, the Auditor-General recommends that: -
- i) NDMA coordinates with the Ministry of Devolution and ASALs and the National Treasury to fast track the enactment of the National Drought Emergency Fund Regulations, 2017.
 - ii) NDMA should revise the Kenya Drought Response Guidelines and ensure clear guidance is provided on (a) timelines for various steps on activation of the contingency plans, (b) stakeholder involvement, (c) national level contingency planning, and (d) update and approval requirements. The revised guidelines should be circulated by NDMA to all stakeholders for use during planning and activation of contingency plans.
- 6.2 The audit also observed that most of the relevant laws and policies that would aid in mainstreaming drought are either non-existent or in draft form. This is negatively affecting several drought management processes, especially contingency planning and response. Sensitization of the legislature on drought risk management, both at national and county level, could help in fast tracking the enactment of the relevant disaster risk management laws and policies. The Auditor-General recommends that NDMA should work closely with the affected counties as well as the National Disaster Operation Centre to undertake sensitization of the legislature, and thereby fast track the enactment of laws and policies on disaster risk management.
- 6.3 In addition, NDMA's efforts to enhance communities coping capacity has been faced with challenges, which has affected their effectiveness in building communities' resilience to effects of drought. The Auditor-General recommends that NDMA should coordinate with other actors to ensure that sustainability considerations are taken into account during design, implementation and decommissioning of projects or programmes undertaken to build communities' resilience and encourage self-reliance.

6.4 Further, the audit revealed that NDMA's Early Warning System is faced with inadequate facilitation of Field Monitors, use of outdated livelihood zones, and lack of validation of information. This poses a risk to the quality of the data being used and reliability of the early warning bulletins. In addition, the audit observed an apparent lack of action by the actors on the bulletin's recommendations mainly due to the fact that they are not directed to specific actors and also lack of follow up from NDMA. To improve on the reliability of the bulletins and enhance their ability to initiate action, the Auditor-General recommends that: -

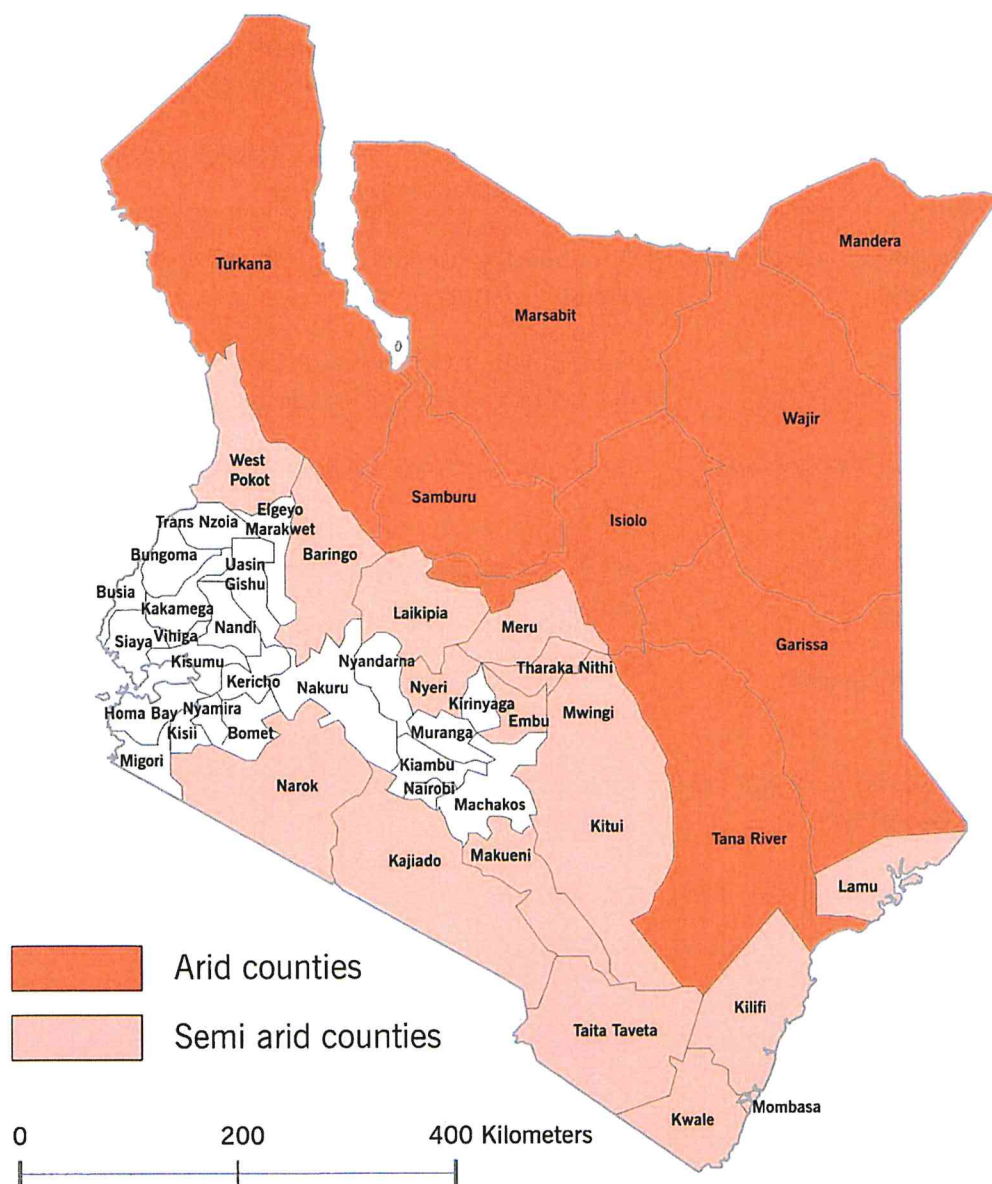
- i) NDMA considers data collection as one of the important components in the early warning system and give it adequate attention; and
- ii) NDMA directs its early warning bulletin recommendations to specific actors and undertakes follow up on their implementation.

6.5 Finally, the audit observed that coordination of drought risk activities had challenges ranging from non-availability of guiding documents for effective operation of coordination structures, inadequate mapping of actors to lack of continuous monitoring of the actors' activities. To strengthen coordination of drought risk management, the Auditor-General recommends that: -

- i) NDMA should fast track the development of guiding constitutions for various coordination forums.
- ii) NDMA should put more emphasis on stakeholder mapping and work closely with County Steering Groups to map and regularly update the databases.
- iii) NDMA should work with the Ministry of Devolution and ASALs to develop mechanisms for formal continuous monitoring of drought risk management activities of various actors.

Appendices

Appendix 1: NDMA County Offices



*The Arid counties are; Turkana, Marsabit, Mandera, Wajir, Baringo, Tana-River, Samburu, Isiolo and Garissa.

*The Semi-Arid Counties are; Lamu, Kilifi, Kwale, Taita Taveta, Kitui, Makueni, Narok, Embu, Meru, Nyeri, Laikipia, West Pokot, Tharaka Nithi and Kajiado.

Source: NDMA 2017/18 Annual Report

Appendix 2: Methods of gathering evidence

a) List of People Interviewed

Person Interviewed	Reasons for Interview
Ag. Director, Planning, Monitoring and Evaluation	To obtain a general understanding of drought coordination framework, policies in place as well as knowledge management in drought.
Manager, Resilience and Sustainable Livelihoods	To obtain information on drought resilience activities being implemented by NDMA.
Manager, Drought Contingency Planning and Response	To obtain understanding of NDMA and its role in drought management. To obtain understanding of contingency planning processes and drought response.
Manager, Finance and Administration- EU Fund	To obtain understanding of the Drought Contingency Fund.
Manager, Finance	To obtain information on funding and expenditures of NDMA.
Manager, Drought Information	To obtain understanding of drought and food security monitoring.
Programme Coordinator - HSNP and Manager, Operations- HSNP	To obtain an understanding of the Hunger Safety Net Programme.
Manager, Human Resource and Administration	To gather information on NDMA's organizational structure and staffing levels.
NDMA County Drought Coordination Units staff- Kajiado, Isiolo, Marsabit, Kitui, Laikipia, Baringo and Turkana	To obtain understanding of NDMA's operations at the county level.
County TCSGs-Kajiado, Isiolo, Marsabit, Kitui, Laikipia, Baringo and Turkana	To obtain information on impact of various drought management interventions implemented by NDMA.
Community representatives (at Bisan Biliqo, Ber Tume, Dambala Fachana, Olkeju Loseki, Emutoroki and Doldol)	To obtain information on impact of various drought management interventions implemented by NDMA.

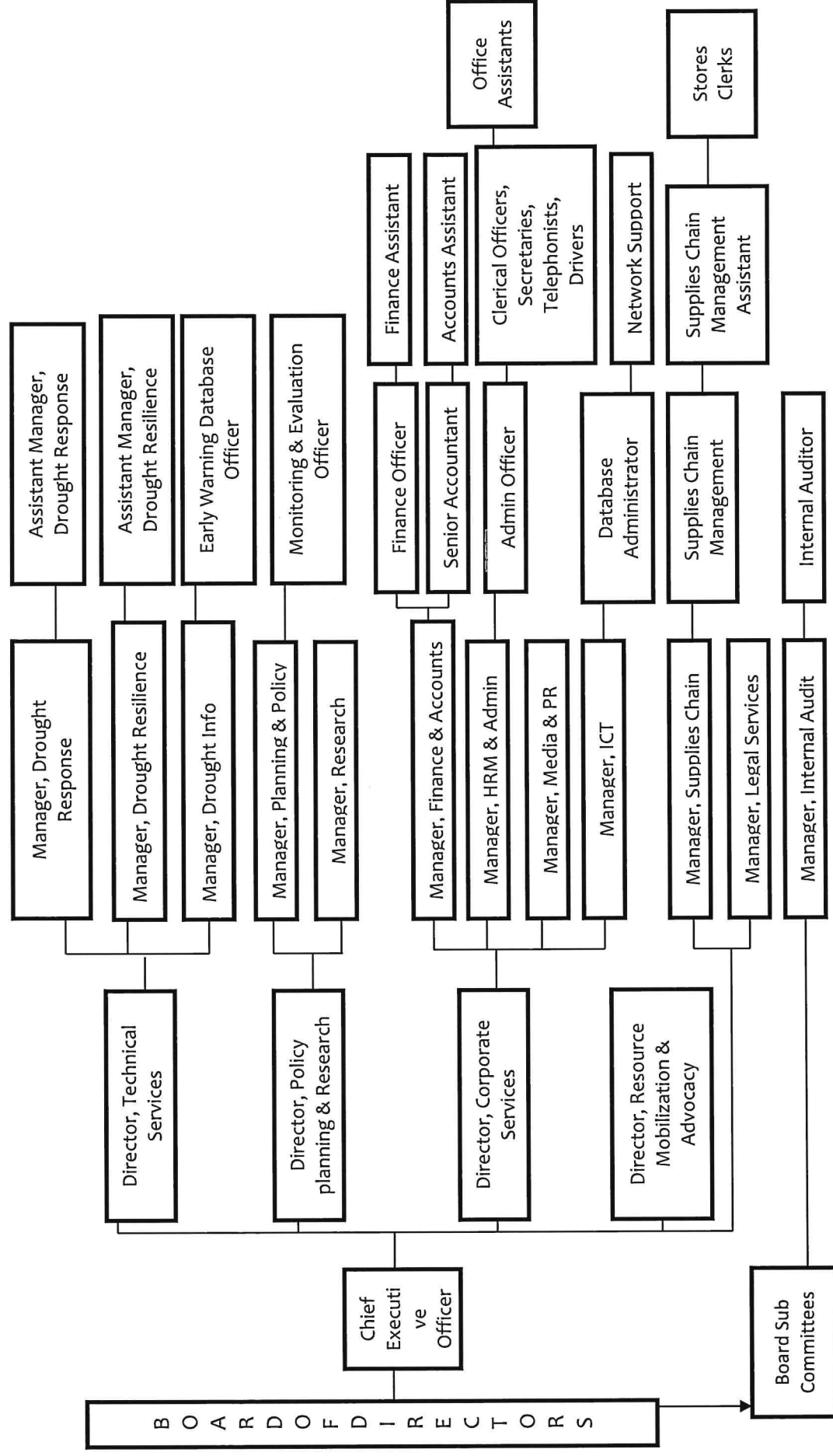
b) Documents Reviewed

Document Reviewed	Information Obtained
The Constitution of Kenya, 2010	Understanding of the legal provisions on drought management in Kenya.
NDMA Act, 2016	Understanding of the legal framework governing the operations of NDMA.
Other Policy documents relating to drought	Understanding of policy directions on drought management.
NDMA Strategic Plan	Understanding of NDMA including: <ul style="list-style-type: none"> ➤ Mandate ➤ Strategy and objectives ➤ Stakeholders ➤ Planned activities for achievement of the objectives
EDE Common Programme Framework	Understanding of the government strategy on ending drought emergencies.
NDMA Manuals	Understanding of operating procedures of various action areas.
EWS Bulletins	Understanding of drought monitoring.
HSNP Documents	Understanding of the HNSP including status of its implementation.
Financial Documents	Understanding of the trend in funding and expenditures of NDMA especially with regards drought risk reduction.
CSG Minutes	Understanding of the functionality of drought coordination mechanisms.
Contingency and Response Plans	Understanding of contingency processes.
NDMA Annual Work Plans	Understanding of the planned activities and how they relate to drought management.
NDMA Annual Reports	Understanding of the status of implementation of annual work plans.
Activity reports	Understanding of the status of implementation of various drought management activities.
Staff Establishment Document	Understanding of NDMA's staffing levels

c) List of Stations Visited

County Name	Activities Verified	
	Activity Name	Activity Type
1. Kajiado	Olkeju Loseki Community Water Project	Strategic borehole
	Emotoroki borehole	Strategic borehole
	Tanako Water Project	Hay harvesting and storage (Asset creation)
2. Isiolo	Burat Community Water Project	Small scale irrigation (Asset Creation)
	Bertume borehole	Strategic borehole
	Isiolo Girls High School	Food for fees beneficiary
3. Marsabit	Dekuku borehole	Strategic borehole
	Lagawarabesa borehole	Solarised borehole
	Teso Community Asset Creation	Small scale livestock feeds company (Asset creation)
	HSNP beneficiaries	Programme beneficiaries
	Equity Bank Marsabit	HSNP payments
	Moi Girls Secondary School	Food for fees beneficiary
4. Kitui	Mathima Integrated Drought Preparedness Project	Water Project
	Sampled farmer under Caritas project	Asset creation activities
	Sampled farmers under Action Aid project	Asset creation activities
5. Laikipia	Lechugu Secondary School	Water project
	Nandugoru pasture establishment	Pasture farming (Asset creation)
	Ol Kinyei borehole	Strategic borehole
	Withare community borehole	Strategic borehole
	Churo Amaya dam expansion	Water project (Peace initiative)
6. Baringo	Endao Lober water project	Strategic borehole
	Churo Amaya Primary School	Education (peace initiative)
	Loboi Community Irrigation Scheme	Small scale irrigation farming (asset creation)
	Loboi Community Pasture Farm	Pasture farming (Asset creation)
	Chepkoryande water pan	Water project (Asset creation)
	Koriema community farm pond	Irrigation farming (Asset creation)
7. Turkana	Naoyawai Irrigation Scheme	Irrigation farming (Asset creation)
	Nanya Small Scale Irrigation	Irrigation farming (Asset creation)
	Kakuma slaughter house	Slaughter house (UNDP)
	HSNP beneficiaries	Programme beneficiaries
	Equity Bank Kakuma	HSNP Payments

Appendix 3: NDMA Organizational Structure



Source: NDMA 2013-2017 Strategic Plan

Appendix 4: Thresholds for Drought Cycle Stages

DROUGHT STAGE	INDICATORS	BIOPHYSICAL THRESHOLDS	SOCIO-ECONOMIC THRESHOLDS
NORMAL	All environmental indicators are within seasonal ranges.	SPI: 3-6month > -0.09 and above VCI: 40 and above	N/A
ALERT	Meteorological drought indicators moves outside normal ranges.	SPI: 3-6month > -0.09 RFE: < 80% of normal	N/A
ALERT WORSENING	Agricultural and hydrological drought indicators moves outside normal ranges.	VCI: below 40 State of pasture: deteriorating Water availability: declining	N/A
ALARM	Environmental and at least two production indicators are outside normal seasonal ranges.	SPI: 3-6month > -0.09 VCI: below 40 State of pasture: poor and inadequate Water availability: inadequate	<u>Livestock Migration</u> : Animals start to migrate to more distant bad-year grazing areas. <u>Livestock body condition</u> : Score below normal per the period. <u>Milk Production</u> : At least one Std outside normal range for the period.
ALARM WORSENING	If in addition to two production indicators, at least two access indicators (impact on market and access to food and water) is outside the normal ranges, then the phase status remains at “alarm” but with a worsening trend. The trend will be further worsening when also one or more availability indicators (impact on nutrition and on coping strategies) move outside the normal range.	SPI: 3-6month > -0.98 VCI: below 30 State of pasture: poor and inadequate Water availability: inadequate	<u>Livestock Migration</u> : Animals continue to migrate to more distant bad-year grazing areas. <u>Livestock body condition</u> : Score below normal per the period. <u>Milk Production</u> : At least two Std below normal range for the period. <u>Livestock mortality rate</u> : At least one Std outside normal range for the period. <u>Milk consumption</u> : > 30% decrease from long term average for the period. <u>Terms of Trade</u> : At least two Std above the normal ranges for the period.

				<p><u>Availability of cereals and legumes:</u> Food balance sheet shows < 30% of normal food amount for the period.</p> <p><u>Coping Strategy Index:</u> MUAC: At least one Std outside normal range for the period.</p>
EMERGENCY	<p>All indicators are outside normal ranges. The emergency phase affects asset status and purchasing power to an extent that seriously threatens food security. As a result, the coping strategy index, malnutrition (MUAC) and livestock mortality rates move above emergency thresholds.</p>			<p><u>Coping Strategy Index:</u> Emergency threshold.</p> <p>MUAC: At least two Std outside normal range for the period.</p>

- SPI- Standard Precipitation Index
- VCI- Vegetation Condition Index

Source: NDMA Guidelines for Determination of Drought Early Warning Phase Classification

Appendix 5: Time Lag During Development of Response Plans

County	Date when threshold was met for development/ update of a response plan	Date when CSG approved county response plan	Time lag (in months)	Response plan developed for the period
Baringo	Dec. 2016	Dec. 8 th 2016	< 1 month	Oct 2016- Mar 2017
	Feb. 2019	Feb. 11 th 2019	< 1 month	Jan- Mar 2019
	Apr. 2019	No data		Apr- Dec 2019
Isiolo	Nov. 2016	Dec. 19 th 2016	1 month	Jan-Mar 2017
	Apr. 2017	Jul. 19 th 2017	3 months	Jun-Oct 2017
	Nov. 2017	Jan. 25 th 2018	2 months	Jan- Apr 2018
	Jan. 2019	Jan. 11 th 2019	< 1 month	Jan-Apr 2019
	Apr. 2019	May 9 th 2019	1 month	Jun-Dec 2019
Kajiado	Jul. 2016	Sept. 30 th 2016	3 months	Oct-Dec 2016
	Jan. 2017	Jan. 10 th 2017 Jan. 27 th 2017	< 1 month	Jan-Mar 2017
	Jun. 2017	Sept. 1 st 2017	3 months	Sept-Dec 2017
	Jan. 2018	Feb. 12 th 2018	1 month	Feb-Apr 2018
Kitui	Jul. 2016	Sept. 2 nd 2016	2 months	Sept-Oct 2016
	Dec. 2016	Mar. 2 nd 2017	3 months	Mar-Apr 2017
	Jun. 2017	Oct. 9 th 2017	4 months	
	Dec. 2017	Jan. 22 nd 2018	1 month	Feb-Mar 2018
Laikipia	Jan. 2017	Feb. 14 th 2017	1 month	Jan-Mar 2017
	Jun. 2017	Jun. 12 th 2017	< 1 month	Jun-Oct 2017
Marsabit	Jul. 2016	No data		No data
	Jun. 2017	No data		No data
	Jan. 2019	No data		Jan-Jun 2019
Turkana	Oct. 2016	Nov. 8 th 2016	1 month	Jan-Mar 2017
	Apr. 2017	No data		Aug-Sept 2017
	Jan. 2019	Feb. 12 th 2019	1 month	No data

Source: OAG analysis of SCG Minutes and EW Bulletins

Appendix 6: NDMA's Management Response on the Findings

Audit Observation	NDMA Management Response	OAG's Response
<p>1(a) Non availability of relevant legislation</p> <p>Paragraph 4.8 Evidence on NDMA's role on sensitization of legislators both at National and County levels on the need to enact drought risk management related legislations.</p>	<p>NDMA Management Response</p> <p>NDMA has been convening and supporting the ASAL stakeholders' conferences, Pastoral elected leader's forum and inter-counties forums which among other seeks to fast track the enactment of Drought Risk Management (DRM) enabling and related legal frameworks. Reports on the same can be availed.</p>	<p>While the documents provided to support the response show evidence of NDMA's facilitation of these forums, scrutiny of same documents has not revealed evidence of NDMA sensitizing the legislators on DRM and the need to enact related legislation.</p> <p>The finding remains as reported.</p>
<p>1(b) Limited enhancing of coping capacity of Communities</p> <p>Paragraph 4.12 Inadequate facilitation of PDRAs: The audit reveals that NDMA has not adequately facilitated PDRAs in every ward in the 23 counties.</p>	<p>NDMA is progressively conducting PDRAs in the wards using own resources/donor funds according to work plans that are subject to available annual budgets. The number of wards planned for per county vary between annual work plans but generally range from 2 – 5 wards per year. Besides, partnerships with other actors/projects also contribute to achievements of ward level or community level PDRA processes which at the moment far exceed what is captured in the audit report tabulation for the counties sampled and supporting documents are available. It's important to note that for some counties such as Baringo, Kajado, Kitui and Laikipia among the sample, not all the wards are ASAL and therefore the non-ASAL wards are of little interest in terms of prioritization for drought risk management planning. For example, in Baringo County, Koibatek (Eldama Ravine) and Baringo Central sub-counties are entirely non-ASAL while in Baringo South (Marigat) Sub-county, Mochongoi Ward is non-ASAL, in</p>	<p>The finding has been amended to capture new information provided in the management response.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Paragraph 4.16-4.19 Insufficiency in drought preparedness projects under the EU DRMC.</p>	<p>Baringo North Sub-county, only Bartabwa and Saimo Soi Wards are considered ASAL.</p> <p>At the design stage of the preparedness projects proposals, several partners may be involved. The project components are shared among the partners for funding. However, on implementation, the trend has been such that the partners do not secure resources at the same time resulting to delayed implementation of some of the project's components. To mitigate against unutilized projects awaiting components financed by other partners, NDMA always insists on a project design that provide stand-alone components that allow beneficiaries to start enjoying the project benefits as soon as each component is completed. Nevertheless, the synergy by all the components when operational at the same time would result to higher impact than the sum of the different individual components. The NDMA introduced signing of a financing agreement among the partners for each project so as to act as the enforcement document.</p>	<p>Noted. However, the finding remains as reported as the response agrees with the audit observation.</p>
<p>Paragraph 4.21 NDMA's ability to explore cost effectiveness in strategic boreholes.</p>	<p>NDMA has worked with other stakeholders including the diocese of Lodwar, Safaricom foundation to seek avenues for cost effectiveness in boreholes management. Currently, NDMA is working with a consortium of agencies trying to address governance issues in the water sector. The Water sector in few counties like in Marsabit County are working to enact policy on water resource governance including boreholes management. NDMA is instrumental in such initiatives.</p>	<p>Noted. The finding has been amended to incorporate new information provided in the response.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Insufficiency in the Asset Creation Program: Protracted Relief and Recovery.</p> <p>Paragraph 4-23 The scale of asset creation activities</p> <p>The audit revealed that the activities were of extremely small scale in most of the cases. Besides, only a few beneficiaries managed to achieve resilience.</p>	<p>By design, the projects were small scale. Most sites were demonstration farms where the beneficiaries learn farming techniques then adapt them in their farms. Lack of pipes and other irrigation inputs was due to insufficient funds from WFP. NDMA's role was coordination and provision of technical skills while WFP was to provide funds for irrigation infrastructural development. On the reduced number of beneficiaries, most beneficiaries have been graduated from the programme. Towards the start of 2018, Asset Creation phase of the programme was winding up. During the preparation of the current phase, which took quite some time, most beneficiaries were left without the cash compensation hence most of them opted out of the programme. Also, some beneficiaries that were graduated because of their improved resilience had slid back.</p>	<p>Noted. The finding remains are reported since the response agrees with the audit observation.</p>
<p>Paragraph 4.24 Sustainability of activities</p> <p>ACP focused on crop production, but most of the project sites visited were very dry falling under pastoral livelihood zones.</p>	<p>It is true that most projects focused on crop farming. This situation was observed in an evaluation done early in 2016 and from then some pastoral related activities were done. NDMA, using GOK funds counterpart did fodder production and seed bulking, water pans and purchased and distributed beehives to encourage beekeeping. To address the above shortcomings, WFP has designed a new programme under WFP Country Strategic Plan 2019 – 2023 to address sustainable food systems and resilience livelihoods.</p>	<p>Noted. The finding remains are reported since the response agrees with the audit observation.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Insufficiencies in the Hunger Safety Net Program (HSNP)</p> <p>Paragraph 4.26 Program targeting criteria (most vulnerable) and beneficiaries' identification validation process</p>	<p>Beneficiaries identification process was informed by the selection from all the households of the 4 counties through a voluntary registration process and information collection from potential beneficiary households is a standard way – in line with the international best practice. The information was collected around many variables, mainly to assess the poverty levels of all the households and rank them by a testing approach that is called <i>Proxy Means Test (PMT)</i> – again widely used in the international development sector for such assessments. The ranking allowed NDMA to reach out to the poorest of the poorest based on available funding i.e. 101,800 beneficiary households. Inclusion errors that the audit report mentions are found in any such mechanisms of poverty assessment which are removed over time through complaint and case management – HSNP has a very inclusive, open and transparent complaint management system (web form, complaints through toll free SMS, helpline, telegram bot, web application) and a routine monitoring system which captures any such issues. Households (beneficiary or non- beneficiary) have been encouraged to report any issues including inclusion errors through these channels. HSNP had a proactive communication and awareness campaign from December 2018 to March 2019, primarily to educate households on these channels and to encourage them to report such issues. HSNP believes that percentage of inclusion errors might be very small and is committed to remove any errors if reported through the systems or identified through its active monitoring. There have been times where HSNP management removed some of the inclusion errors through</p>	<p>The finding remains as reported. However, the Office will do a follow-up on implementation of HSNP III.</p>

Audit Observation	NDMA Management Response	OAG's Response
	<p>its management and monitoring systems despite communities shying away from reporting against their own community members, for cultural and other reasons. The number of complaints received are negligible.</p> <p>Proxy Means Testing is a scientific method that helps in calculating a poverty/wealth score for a household, based on unique household characteristics such as: -</p> <ul style="list-style-type: none"> • Highest education attained by any member in the household; • Number of household members; • The floor material. Specifically, earth; • Number of members between 15 and 65; • If the household has a TV or not; • Cooking fuel. Specifically, charcoal; • Ratio of male members in household; • Number of main rooms; • The floor material. Specifically, cement; • Cooking fuel. Specifically, electricity; • Number of members between <15 and >65; • Number of children below 7 years; • Number of household members; • Household tenure. Specifically, individual; and • Age of the household head. <p>Community based validation is a process for community ownership and might not necessarily remove any inclusion or exclusion errors as the communities can also have biased opinions on poverty of people and so scientific methods are appreciated around the world rather. The communities wanted this process since it was promised to</p>	

Audit Observation	NDMA Management Response	OAG's Response
	<p>them as part of phase 1 targeting but due to the scale of operation, this could not be implemented. If the communities did not have a faith in the beneficiary lists of HSNP, they could have reported inclusion errors through the complaint management system in almost 8 years but that didn't happen. The community based validation has been factored into the new targeting mechanism of HSNP (a methodology that has been harmonized across national safety net) but the idea is to replace proposed beneficiaries from the system generated lists (PMT) only if the communities believe that the one to be replaced is less deserving than the one who is to replace. As a matter of fact, HSNP implemented a pilot of this process in Turkana and found out that very minimal changes were proposed to the PMT lists, based on community-based validation i.e. less than 10 percent and those also included requests for households who should also be benefitted rather than inclusion errors.</p>	
<p>Paragraph 4.27 Zero withdrawals cases The risk of money being in the account unspent, hence not addressing vulnerability.</p>	<p>The issue discussed in the audit observation is of beneficiaries not withdrawing their cash as opposed to being unable to withdraw cash. Beneficiaries that are paid by HSNP (group 1 or 2) are able to access their cash through fully functional bank accounts, by going to the nearby agents or visiting the bank branches. NDMA went a step ahead through its monitoring and found out people who were not withdrawing for various reasons (card damage issues, card lost, death of the recipient etc.), to mobilize them for withdrawal – the exercise took place in 2018 and ran for a few months. This is like following up on</p>	<p>The finding remains as reported. The observation in the report is about beneficiaries being unable to withdraw money from their accounts. It would have been expected that NDMA undertakes routine monitoring of cases of zero withdrawal.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Paragraph 4.27 Resolve of zero withdrawals by NDMA</p> <p>The audit observed that NDMA did not make efforts to address zero withdrawal cases till end of HSNP II in 2018.</p>	<p>an employee after he has been paid his salary by an organization on whether he has withdrawn money from his account, to make sure that the money doesn't sit there without being used. The moment beneficiaries were mobilized, and they made an effort to withdraw.</p> <p>Inheriting the program from NGOs, NDMA had to work around the cloak to see operation issues that included validation of beneficiary lists, those without National Identification cards among other challenges. As explained in response to 4.27, NDMA started a special process (together with the bank and other stakeholders) in July 2018 and it ran for a few months although ongoing operations of HSNP make sure that any such issues are tackled with even if special operation is not in place at a particular time. For pockets of such cases, special operations are designed and implemented on a case to case basis. The issue was first tackled as early as May 2018 (please see below a print screen of one of the many emails on zero withdrawals – this one is from 18th May 2018 and further proofs can be presented if need be). There was a communication campaign also ran in December 2018 which ran for almost 3 months, to raise awareness on withdrawing cash and also to help them report their issues through multi-channel complaint management system of HSNP. The process involved going down to the sub-locations to facilitate those beneficiaries who were unable to go to agents or branches for withdrawing their cash.</p>	<p>Noted. However, as evidenced in the response, the activities geared towards resolving zero withdrawal cases happened in 2018 as HSNP II was being wound up in March 2019. Hence, the finding remains as reported.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>2. The contingency planning process had insufficiencies affecting their effectiveness</p> <p>Paragraph 4.33 Delays in activation of contingency plans.</p>	<p>Utilization of early warning information by sectors to inform activation of contingency plans has been supported since 2014. Development of early warning trigger thresholds has been a consultative process where all stakeholders are involved, such that a clear early warning phase is reached and sectors understand the implication in response planning.</p> <p>NDMA has worked to coordinate drought contingency planning especially at county level where STWG 1 have been facilitated to develop sectoral plans which inform the national level drought response plans. NDMA has developed drought response guidelines, detailing the sectoral activities at a given phase of drought. Provision of livestock feeds cited in the case of Isiolo and Marsabit in reported as late interventions, are provided in the same guidelines as suitable intervention during late <i>alarm stage</i> of drought. Delays have been reduced from the historic over three months to an average of less than one month². The delay in activation of plans like in Kitui case is attributable to changing drought context which does not necessarily progress from one stage to another.</p>	<p>The Office appreciates the explanation in the response. The Office has considered the explanation in the response and dropped the observation on livestock feeds. However, NDMA has not provided any new evidence to dispute the delays captured in the report. Hence, the finding remains as reported.</p>
<p>Paragraph 4.34 Inadequacy of drought response manual to provide for timelines on intervention.</p>	<p>The guidelines provide for the appropriate interventions that fit within particular drought stage per sector. The guideline does not articulate the time line for a particular activity, which the contingency and response plans should outline.</p>	<p>The finding remains as reported. The observation is about timelines to be followed during activation of contingency plans, that is, development of response plans. It was not on implementation of the response interventions as discussed in the management response.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Paragraph 4.35 Non availability of real time funds to support drought response early action.</p>	<p>Drought risk management calls for a multi-sectoral approach, where all actors are proactively involved in the contingency planning process, as well as activation of the same plans. These plans MUST be supported by real time funding to support early action as informed by early warning system. Often some of the early actions are not instituted due to lack of real time funds, exposing the vulnerable groups to further risks. The NDMA Act 2016 appreciate this, and provides for establishment of the National Drought Emergency Fund (NDEF). Though the cabinet approved for the establishment of the fund, NDMA Act, 2016 was recommended for amendment to allow establishment of the same Fund under the Public Finance Management (PFM) Act, 2012. The NDMA Act has been amended and now what is remaining is the approval of the Fund regulations by parliament and the Cabinet Secretary (CS) National Treasury to gazette the regulations to allow fund operationalization.</p>	<p>The finding remains as reported since the response agrees with the audit observation.</p>
<p>Paragraph 4.36 Limited community involvement in drought contingency planning process participation of just a few wards as evidenced by the number of ward level contingency planning availed for audit.</p>	<p>NDMA recognizes the critical role communities play in drought risk management and most importantly in contingency planning. In order to entrench on this as a practice, the institution has been promoting Participatory Disaster Risk Analysis (PDRA) as an approach to strengthen community's participation in drought risk management planning. PDRA information has been analysed and captured in form of Ward level drought contingency plan. NDMA has progressively been conducting PDRA in the wards using own resources/donor funds according to work plans that are subject to available annual budgets. The number of wards planned for per county vary between annual work plans but generally range from 2 – 5 wards per year. Besides, partnerships with other actors/projects also contribute to</p>	<p>The finding has been amended to capture new information provided in the management response.</p>

Audit Observation	NDMA Management Response	OAG's Response
	<p>achievements of ward level or community level PDRA processes which at the moment far exceed what is captured in the audit report tabulation for the counties sampled and supporting documents are available. The Ward level contingency plans information has been a reference point for the STWGs while reviewing the county drought contingency plans.</p> <p>It's important to note that for some counties such as Baringo, Kajiado, Kitui and Laikipia among the sampled counties, not all the wards are ASAL and therefore the non-ASAL wards are of little interest in terms of prioritization for drought risk management planning. For example, in Baringo County, Koibatek (Eldama Ravine) and Baringo Central sub-counties are entirely non-ASAL. Sampled counties Ward CPs are attached.</p>	
<p>Paragraph 4-40 Untimely update and lack of CSG approval of drought contingency plans.</p>	<p>Review and update of drought contingency plans have been on annual basis, however in 2016/2017 this was not achieved due to prolonged drought episode, which covered 21 counties out of the 23 in which NDMA operates. 2019 drought also covered 12 counties. This made it difficult for County Coordination Units (CCUs) and County Steering Groups (CSGs) to prioritize on the review process. Ward level drought contingency plans have not been reviewed due to inadequate resources.</p>	<p>The finding remains as reported. The evidence provided, which goes back to financial year 2013/14 shows a trend of update in every 2 years.</p>
<p>Paragraph 4-41 Evidence of CSG approval or adoption of drought contingency plans.</p>	<p>The CCUs and CSG are guided on the contingency plan development and review process and the necessary approval by the CSG under the chairmanship of the Governor or County Commissioner. After the STWGs have completed the compilation or review of the CP, validation workshops are convened to approve the plan for adoption by the wider stakeholders. CSG minutes or validation</p>	<p>Noted.</p> <p>The new evidence provided has been used to update the finding. However, some of the documents provided could be used in the report. For instance, CSG minutes from Isiolo County did not relate to the period they purported to.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Paragraph 4.42 Drought response guidelines not providing clear guidelines on contingency plans updates, timelines and approval.</p>	<p>workshops reports are available. Attached folder on CSG minutes in some of the sampled counties.</p> <p>Printing of the Kenya Drought Response Guidelines is ongoing and the review of the same guidelines will be after two years. Where lessons learnt based on sectoral interventions will inform the review process. The timelines of CP updates and approvals are anchored on NDMA practices which will require to be captured in the guidelines for sectors to understand and comply accordingly. Drought Response Guidelines for printing is attached.</p>	<p>Noted. However, the finding remains as reported since the gaps identified by the audit still exist.</p>
<p>Paragraph 4.43 Lack of a national drought contingency plan.</p>	<p>Plans are underway to develop a Web-based National drought contingency plan to enable consolidation of the 23 county contingency plans to one national drought contingency plan. 2016/2017, 2019 drought occurrences affected the delivery of National drought contingency plan. In 2020 COVID-19 affected finalization of the launched consultancy tendering process.</p>	<p>Noted. However, the finding remain as reported since this was the situation as at the time of the audit.</p>
<p>3. The Early Warning system had gaps affecting its effectiveness</p> <p>a) The Early Warning system had gaps affecting its effectiveness.</p> <p>Paragraph 4.46 Some of the livelihood zones have undergone transformation over the years hence documented livelihood zones may not be a true reflection of the current conditions.</p>	<p>While the review of the livelihood zones is due, selection of sentinel sites is flexible and allows counties to place sentinel sites according to the dominant livelihood or area of interest hence the current status does not impact on drought early warning data collection. On the other hand, review of livelihood zones is ongoing despite COVID-19 slowing the process.</p>	<p>The Office agrees with the comments. However, the finding remains as reported since this was the situation as at the time of the audit.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>Paragraph 4.47 Delayed payment of field monitors, for four months in 2019.</p>	<p>Payment of field monitors allowances is dependent on availability of funds. In practice, delay in payment usually happens at the beginning of the financial year particularly during quarter one (July to September). In such a situation NDMA operation including field monitors payment has to wait for the release of funds from the National Treasury.</p>	<p>The finding remains as reported since the response is in agreement with the finding.</p>
<p>Paragraph 4.48 Early warning bulletins are presented to CSG as a way of dissemination contrary to the requirement in the early warning process that NDMA validates the early warning information through discussion at the CSG before finalizing the bulletin.</p>	<p>The early warning bulletins are released by the 5th of every month. Because of this firm timeline, sometimes counties are unable to align their CSG meetings calendar to the stipulated bulletin release date. Hence validation of the early warning information is handled by the respective sector technical working group members. However, the discussion of the bulletins at CSG still provides members an opportunity to endorse the report and make additional appropriate recommendations.</p>	<p>Noted. However, the finding remains as reported.</p>
<p>b) Lack of action on the recommendations of the early warning bulletins.</p> <p>Paragraph 4.51 Linking early warning and action</p>	<p>The recommendations in the EWS bulletins are based on the month by month situation which is fairly a short duration of time. Therefore, given that the bulletins are produced on monthly basis, the number of interventions could at times be overwhelming for the counties and other actors to respond to all the recommendations. Implementation of EWS recommendations is dependent on availability of resources which are often tied to the financial year cycle. In reality, mobilization and allocation of resources takes time, sometimes years.</p> <p>The EWS bulletins also function as advisories; thus, they give reports on existing or predicted drought conditions, repeatedly warning people about trends, of potential hazards. Hence by their nature, EWS bulletin recommendations could be repetitive.</p>	<p>Noted. However, the finding remains as reported. The audit sampled the water sector with the assumption that it is critical in drought management. While the Office agree that mobilization and allocation of resources takes time, it does not, for instance, agree that it can take a whole year to mobilize resources for repairing a broken down borehole.</p>

Audit Observation	NDMA Management Response	OAG's Response
<p>4. NDMA has not put in place adequate measures for effective coordination of DRM activities</p>		
<p>a) Commitment from key actors undermines NDMA'S DRM coordination efforts</p> <p>Paragraph 4.57 Lack of guidelines on DRM coordination structures</p>	<p>NDMA developed DRM coordination structures guidelines, but slowed down awaiting the approval of NDEF Regulations which at the same time proposes establishment of coordination structures. The regulations once passed will address the gaps. The regulations are now in the process of being gazetted after the NDMA Act, 2016 amendments assent.</p>	<p>The finding remains as reported since the response agrees with the observations.</p>
<p>b) Insufficient continuous monitoring of the activities of actors</p> <p>Paragraph 4.59-4.60 Lack of drought response activities evaluation</p>	<p>NDMA has been conducting lessons learnt workshops covering all ASAL counties. The measure is aimed at enhancing knowledge management in absence of the comprehensive evaluation. NDMA over the years has been working with sector technical working groups to build on DRM good practices including common monitoring and evaluation framework. The resource envelops to support development of robust M and E framework and stakeholders' involvement, is work in progress.</p>	<p>Noted. However, the finding remains as reported since the response agrees with the audit observation.</p>
<p>Paragraph 4.63 Lack of continuous monitoring of other actors DRM activities</p>	<p>Though NDMA has made attempts through the EDE common programming to map the ongoing resilience building initiatives, reporting remains a challenge as NDMA lacks the muscle to push for the desired reporting. However, stakeholder consultation forums like the EDE pillar groups and CSGs are some of the forums which NDMA seeks to entrench common planning, implementation and monitoring frameworks.</p>	<p>Noted. However, the finding remains as reported since the response agrees with the audit observation.</p>

2. Response to the recommendations provided by performance audit report

Recommendation provided	NDMA Management response	Auditor's Comments
<p>Paragraph 6.1 Fast trucking operationalization of NDEF</p> <p>-Revision of drought response manual</p>	<p>Operationalization of NDEF will enhance NDMA's capacity on drought risk management in the country. NDMA is already printing the manual and share with stakeholders at both national and county levels to guide the DRM practitioners, at both national and county levels.</p>	<p>NDMA agrees with the need to fast track the operationalization of NDEF regulations hence this recommendation remain unchanged. While the Office appreciate that NDMA is in the process of printing of the drought response manual, a copy of the same shared with the audit team did not address the gaps identified, hence the recommendation remain unchanged.</p>
<p>Paragraph 6.2 Sensitization of legislators (National and county levels) on DRM related policies</p>	<p>NDMA has been engaging the legislators at both national and county levels, to play a critical role in enacting drought risk management enabling laws and policies.</p>	<p>The evidence presented did not confirm that NDMA has sensitized the legislators on DRM and the need to enact the supporting laws and policies. Hence, the recommendation remain unchanged.</p>
<p>Paragraph 6.3 Sustainability of community-based activities</p>	<p>NDMA appreciates the need for multi-stakeholders' approach in DRM for better results and sustainability. Based on the same understanding, NDMA will sustain signing of memorandums that recognize partnership in programming at all levels. NDEF resilience component also appreciates the same spirit.</p>	<p>NDMA is in agreement with the recommendation. Hence, the recommendation remain unchanged.</p>
<p>Paragraph 6.4 NDMA considers data collection a critical component in EWS</p> <p>Directing bulletins recommendations to specific actors</p>	<p>NDMA will continue to improve data collection process through use of both technological based and ground trothing instruments.</p> <p>NDMA continuous to engage the sector Technical Working Groups and other stakeholders to take.</p>	<p>NDMA is in agreement with the recommendation. Hence, the recommendation remain unchanged.</p>

<p>Paragraph 6.5 Development of protocols and guidelines on DRM</p>	<p>NDMA continues to develop manuals and guidelines for stakeholders to follow on coordination, monitoring and evaluation, and other fields.</p>	<p>NDMA is in agreement with the recommendation. Hence, the recommendation remain unchanged</p>
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