



Federal Ministry for the  
Environment, Nature Conservation  
and Nuclear Safety



TRANSPARENCY  
INTERNATIONAL  
KENYA

# KENYA ADAPTATION FUND PROGRAMME SOCIAL AUDIT REPORT

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## LIST OF ABBREVIATIONS AND ACRONYMS

ADRA	Adventist Development and Relief Agency
AFB	Adaptation Fund Board
ASALs	Arid and Semi-Arid Lands
CA	Conservation Agriculture
CBNRM	Community-based natural resource management
CCU	Climate Change Unit
CDA	Coast Development Authority
EMCA	Environmental Management and Coordination Act
EE	Executing Entity
GoK	Government of Kenya
GRM	Grievance Redress Mechanism
HAK	Horn Aid Kenya
KEFRI	Kenya Forestry Research Institute
KIIs	Key Informant Interviews
KRCS	Kenya Red Cross Society
KShs	Kenya Shilling
KU	Kenyatta University
LBDA	Lake Basin Development Authority
LDC	Least Developed Countries
MEF	Ministry of Environment and Forestry
MPTS	Multipurpose Tree Species
MoU	Memorandum of Understanding
NAPA	National Adaptation Programme of Action
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
NEMA	National Environment Management Authority
NIE	National Implementing Entity
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
PSC	Programme Steering Committee
S. A	Social Audit
SDGs	Sustainable Development Goals
SEE	Sub-Executing Entity
SLM	Sustainable Land Management
TARDA	Tana and Athi Rivers Development Authority
TI-Kenya	Transparency International Kenya (TI-Kenya)
UNFCCC	United Nations Framework Convention on Climate Change
VIRED	Victoria Institute for Research on Environment and Development (VIRED) International
WB	World Bank



# EXECUTIVE SUMMARY

## Project Background

The Adaptation Fund was established under the Kyoto Protocol of the UN Framework Convention on Climate Change to finance concrete adaptation projects and programmes that help vulnerable communities in developing countries. In Kenya, the National Environment Management Authority (NEMA) was accredited as the National Implementing Entity (NIE) of the Adaptation Fund (NIE). As the NIE, in 2016, NEMA got the approval for a total of USD 9,998,302 to implement a programme titled, *“Integrated Programme to Build Resilience to Climate Change and Adaptive Capacity of Vulnerable Communities in Kenya”*. The programme was designed to enhance resilience and adaptive capacity to climate change for selected communities in 15 counties namely: Kilifi, Kwale, Taita Taveta, Kisumu, Marsabit, Laikipia, Garissa, Wajir, Kajiado, Kitui, Makueni, Machakos, Muranga, Nyeri and Embu. These projects were implemented through Executing Entities – (EE) and Sub-Executing Entities (SEE). Three Executing Entities were involved namely Coast Development Authority (CDA), Kenya Forestry Research Institute (KEFRI) and Tana and Athi River Development Authority (TARDA). The Sub-Executing Entities included: NASARU Women CBO, Victoria Institute for Research on Environment and Development (VIRED) International, Kenya Red Cross Society (KRCS), Horn Aid Kenya (HAK), Adventist Development and Relief Agency (ADRA), Kenyatta University (KU) and CARITAS Nyeri.

The project activities were clustered into five key components:

- I. **Component 1:** Enhancing Climate resilient agricultural, agroforestry, pastoral and agro-pastoral production systems to improve food security in selected counties in Kenya.
- II. **Component 2:** Improving climate resilient water management systems to enhance food security in selected counties in Kenya.
- III. **Component 3:** Increasing resilience to the effects of rise in sea level and shoreline changes through integrated shoreline and mangrove ecosystem management at Vanga and Gazi in the coastal region of Kenya.
- IV. **Component 4:** Disaster risk reduction among targeted vulnerable communities for climate - related risks in Kenya.
- V. **Component 5:** Strengthening institutional capacity, knowledge management, awareness raising and promotion of adaptation mechanisms to improve resilience on climate.

## The Social Audit

Transparency International Kenya (TI-Kenya) was granted observer status in the programme steering committee of the Adaptation Fund in July 2016. TI-Kenya, therefore, engages the Executing and Sub-Executing Entities on issues of transparency, accountability and good governance in the management of the Adaptation Fund. As the Adaptation Fund Programme ends, TI-Kenya, under the Climate Governance Integrity Programme, commissioned a participatory assessment of the programme. The assessment entailed a Social Audit (SA) aimed at getting the beneficiaries’ perspectives on the project planning, implementation and effectiveness.

The SA entailed a participatory assessment of project activities to determine the Relevance, Efficiency, Effectiveness and Sustainability of the interventions. The assessment entailed literature review of project documentation, Key Informant Interviews with key project partners (NIE, EE and SEE), Focus Group Discussions with the beneficiaries and site visits and assessments. Site visits were made to Kenyatta University site in Machakos, NASARU Women CBO site in Kajiado west, ADRA site in Kawombo-Kitui, TARDA site in Masinga, CDA sites in Wasini island, Kwale and VIRED sites in Kano, Kisumu.

## SUMMARY OF FINDINGS

### Project Design

The programme is an agglomeration of different proposals by different entities (State and non-State). To accommodate the different actors who participated in the proposal writing, a detailed governance framework bringing together all the institutions was constituted. In this arrangement, the overall oversight was to be from the Project Steering Committee comprising representation from the National Treasury and Planning, Ministry of Water and Sanitation, NIE and all the Executing and Sub-Executing agencies. The actual coordination was to be done by a NIE steering committee headed by Director General of NEMA and heads of various Departments. The NIE was in charge of ensuring overall delivery of outputs and to provide accountability for design, oversight and quality assurance of the entire project. The NIE was required to channel resources to the EEs and subsequently to the SEEs based upon an agreed annual workplan. The SEEs and EEs would implement activities and report back to the NIE. This design was implemented in the first year of the Adaptation Fund Programme.

### Effectiveness of the institutional arrangements/framework/governance of the programme

The governance arrangement created a bureaucratic chain of reporting from SEE to EE to NIE, then the Programme Steering Committee (PSC). In this arrangement, weakness in EE would directly affect the SEEs. For example, weaknesses within EEs had direct impact on the SEEs operating under them. The PSC met only once since the project inception thus affecting its oversight effectiveness. It was observed that some of the members of the PSC were equally active in project implementation, a technical challenge in oversight.

### Transparency, accountability, integrity and oversight mechanisms put in place by the implementing and executing entities

The projects relied on individual institutions' internal structures and oversight mechanisms to ensure transparency and accountability. Due to the diversity in structure and composition of institutions, there were notable challenges within some EEs and SEEs in terms of compliance with public procurement processes, as well as guarantee of value for money in resource utilisation. Cases of some EEs over-committing resources outside the approved budgets were noted. There were also cases of large training budgets that did not provide visible impacts and value for money. This was noted within the first and second year of project implementation, prompting the NIE to freeze funds flow to some of the EEs.

### Changes in Program Design (Adaptive Management)

The NIE cited the challenges in accountability as a basis for instituting changes within the project implementation arrangement. The NIE suspended several activities, changing the overall project designs and taking over procurement related functions. There was change from water pans to 'Adaptation Village' concept. The Adaptation Villages comprise solar powered boreholes, demonstration points for climate smart agriculture, watering points for livestock and a water kiosk. Unlike water pans which relied on rainfall, the Adaptation Village also provided longer period for access to water to support the other components. The use of solar power was designed to reduce overhead costs that come with high pumping costs. The SEEs also started reporting directly to the NIE.

## Project Progress

Analysis of project progress point to implementation of several activities across the project site. The overall percentage of implementation is estimated at 60 per cent. The project has experienced significant delays in concluding planned activities due to challenges in the overall implementation framework. Most activities were effectively stopped when the accounts of EEs were frozen due to accountability issues. The frozen funds had impacts on ongoing projects, with direct effect on overall sustainability of the interventions, especially for infrastructure projects like water pans which were not fully completed, thus becoming hazardous.

By the NIE taking over some of the core functions, their capacity may have been constrained, further delaying the implementation of activities.

The table below summarises the key achievements versus the intended targets.

COUNTIES	KEY DELIVERABLES	STATUS
<b>MACHAKOS, MAKUENI AND MURANG'A</b>	Construction of fish cold storage at Ekalakala to serve 400 fishermen (20 Beach Management Units).	Pending
	Construction of a milk cooling and processing plant in Machakos.	Pending
	Construction of four check dams to reduce siltation and supply water for the small holder irrigation farms.	Pending
	Establishment of a small holder irrigation infrastructure at Masinga.	Completed
	Formation and training of 80 groups of Masinga irrigation water users.	Completed
<b>KITUI</b>	Distribution of 15,000 kilogrammes of drought tolerant crops.	Partially implemented
	Distribution of 11,000 mango seedlings and 11,000 scions of fruit trees.	Partially implemented
	Establishment of demonstration plots on best cropping systems and training 150 youths on nursery management.	Partially implemented
	Training of Trainers (TOTs) on farming drought resistant crops, agro economics on mangoes, soil and water conservation, water management.	Completed
	Construction of water pan and irrigation system.	Pending (borehole being considered)

<b>KAJIADO LOITOKITOK</b>	Distribution of 10,000 grafted fruit trees (mangoes and citrus fruit) and bulking/ demonstration nurseries and drought tolerant seeds.	Completed
	Distribution of drip irrigation kits.	Dropped
	Construction of food storage and demonstration plots on value addition for selected fruits.	Pending
	Rehabilitation of livestock watering points and along rivers.	Completed
	Drought resilient grass, fodders and forage, demo plots, hay making equipment, bulking center and farmer training.	Completed
	Construction of water pans.	Done but awaiting finalisation and hand over
	Awareness creation on climate change, impacts and adaptation through, publications, meetings and a radio programme.	Completed
<b>KAJIADO-WEST</b>	2,500 aloe vera seedlings to households, aloe processing machine and training.	Dropped
	Drought tolerant seeds of orphaned crops (250 households) and training of women.	Partially implemented
	Sixty micro irrigation kits for kitchen gardens and training.	Dropped
	Markets survey for aloe vera.	Dropped
	Drought tolerant fodder, hay making equipment and training.	Dropped
	Construction of 50 water pans, water troughs, dams' protection works and maintenance.	Revised into five solar powered boreholes and associated infrastructure

<b>KISUMU</b>	Construction of four water pans.	Incomplete, only two water pan was constructed but without outlets. Work needs completion
	Construction of flood control structures along riverbanks (dykes).	Component managed by Lake Basin Development Authority (LBDA) who conducted feasibility studies and construction
	Unblocking drainage channels to increase water flow (desilting).	Sixty kilometres done against the targeted 10 kilometres
	Planting bamboo along riverbanks.	Training of communities on bamboo propagation done. Actual planting not yet complete. Planting along riverbanks not yet done. Planting done around the two water pans
	Establishing Early Warning Systems.	Training component done. Remaining components awaiting release of funds
	Construction of modest evacuation centre (3 hall 30m x 15m and ablution block).	Incomplete, only two were built to the lintel level, at St. Alloys in Nyakach and Migingo School in Nyando. Software component entailing training and sensitisation awaiting release of funds
	Training on Community Disaster Preparedness Planning.	Completed
	20,000 brochures designed and produced at KShs 0.5 per brochure.	Not done, awaiting release of funds
	Radio talk shows on disaster alerts and preparedness.	Radio talks partly done, awaiting release of funds

<b>TAITA TAVETA, KILIFI AND KWALE</b>	Construction of rainwater roof catchments.	Rainwater roof catchment structures constructed. The numbers were revised from 12 to 5
	Construction of water pans.	One (1) water pan constructed at Midoina. The construction of Jabias currently being undertaken by NEMA completed
	Mangrove and coral reef rehabilitation and protection in Vanga and Gazi areas.	Completed only in Msambweni
	Shoreline stabilisation, erosion and accretion control of Vanga and Gazi.	Pending
	Management plan, capacity building and inventory and GIS database of mangrove forests.	Completed
	Community empowerment on mangrove exploitation.	Completed
	Participatory forest management.	Developed the MWABBOFU Management Plan for Funzi Bay
<b>MACHAKOS</b>	Research on generation of best cropping systems for climate resilience.	Research components have been completed
	Generation of best practices; best cropping systems for climate resilience.	Components of demonstration to be incorporated in Adaptation Village concept. However, the borehole water is saline, awaiting a desalination plant.
	Documentation of research findings.	Completed
	Farmer field days to showcase project findings.	The model changed, and this activity was dropped.
	Knowledge sharing platform.	This was a direct deliverable of the NIE. Partly done

The field visits also observed significant challenges with the developed infrastructure. For example, the pump for the Masinga Smallholder Irrigation Project had broken down, and the community members were also complaining that the system would not serve all the intended beneficiaries, forcing them to practice water rationing. For most water pan projects, there were complaints that the contractors did not fully complete the projects, missing some critical elements like outlet structures, ripraps for bank stabilisation among others. There was also no training for the management committees. This had direct implications on overall sustainability of the projects.

## Public/community participation/ women, youth and marginalised groups beneficiaries/ engagement in the process

The project design is an agglomeration of different ideas and proposals by different institutions, who represent interest of the communities from where they work. The project design phase therefore did not provide for direct engagement of women and youth among others, but their interest was represented through the different EEs and SEEs. During project implementation, the activities provided under components 1, 2, 3 and 4 provided for participation of all relevant stakeholders, including marginalised groups. The interventions were designed towards enhancing livelihood security, food security and water security. The beneficiaries participated in training projects besides offering labour for construction works in some projects like water pans.

## Grievance redress and handling mechanisms/structures resulting from the programme's interventions

The project prepared a draft grievance redress framework providing for three levels of grievance redress (local, County and National). At the National level, there was a person appointed within the NIE to handle grievances. Key Informant Interviews (KIIs) with EEs and SEEs noted that most grievances were related to the changes in project design and delays in implementation of project activities. These grievances took too long to address, leading to delays in completion of project activities. At the community level, most beneficiaries were not aware of any Grievance Redress Mechanism (GRM) in place.

## Summary of social audit ratings

**Relevance:** The project activities are well designed to respond to climate adaptation needs of the communities by addressing issues of food security and livelihoods, water security, environmental conservation and disaster management. The overall objectives of the project feed well into the objectives of the Adaptation Fund, as well as aligning to objectives of the National Climate Change Action Plan 2018-2022, the SDGS (SDG 1; No Poverty, SDG 2; Zero Hunger, SDG 6; Clean Water and SDG 15; Life on Land). Based on this, the social audit concludes that the project is rated as **Relevant**.

**Efficiency and Effectiveness:** The project structure had different implementation levels comprising of NIE-EE-SEE to beneficiary. Funds were supposed to flow from NIE to EE to SEE and ultimately to beneficiary. The EE were supposed to supervise the SEE working under them. However, analysis of the project design reveals that there was no financial provision for the supervisory works by EE. To this end the EE just functioned as a conduit for resource flow, thus creating an unnecessary layer of reporting bureaucracy. KIIs point to significant lapses between reporting to NIE and receipt of feedback, consequently delaying timely release of funds which was critical for different interventions. This affected the overall performance of activities under all the components.

**Sustainability:** The project had sustainability measures embedded in its design. All infrastructural interventions were subjected to Environmental and Social Impact Assessment (ESIA) to ensure minimal negative impacts to the environment. Preference for siting of infrastructure was given to public institutions and communal lands to reduce ownership-related conflicts. To enhance ownership, participation of local institutions and beneficiaries was given preference. The shift from water pans to solar powered boreholes was well thought-out. If well managed, the solar powered boreholes have low running costs and can produce water regardless of the season unlike pans that rely on water availability. This is key to sustainability of the interventions. However, the training component for committees in charge of infrastructure projects is yet to be executed. This has direct implications on overall sustainability with regards to operation and maintenance. The change of water supply infrastructure from earth dams to boreholes made the project more sustainable.

**Project Impacts:** There has been notable improvements in the livelihoods of the target beneficiaries in component 1 and 2 that can be attributed to this project. Key observations include adoption of drought tolerant crops for increased yields, livelihood diversification to enhance resilience and increased knowledge on climate change, its impacts and adaptation strategies. Under component 3, the knowledge acquired in mangrove and coral restoration is being applied in other related projects in the region. Under component 4, the communities are benefiting from the water pans, and are even using them for fishing. However, the full impacts of these interventions will be enjoyed once all the hardware and software components of the interventions have been completed.

### Key Highlights (Positives)

- I. Where the project has implemented activities towards water security, food security and livelihood improvement, the positive impact has been felt and appreciated by the beneficiary communities.
- II. The beneficiaries of Training of Trainers in measures like fruit tree grafting have gained valuable skills and are using it for alternative livelihoods.
- III. In drought prone areas like Kitui, adoption of drought tolerant crops like select cereals has greatly improved food security, as well as improved household earnings through post-harvest storage and selling of surplus.
- IV. The beneficiaries of activities like coral and mangrove rehabilitation have gained useful skills that are being used in similar initiatives.
- V. Generally, the awareness level on climate change impacts and adaptation measures have increased among the beneficiary communities.

### Key Highlights (Challenges)

- I. There were significant quality and compliance concerns emanating from implementing activities by EEs and SEEs, prompting changes in the implementation approach. The changes may not have been well taken in by all stakeholders.
- II. There is a general feeling among the SEEs and EEs that they may not have been given a fair chance to rectify the weakness, and that some of the functions should have been reinstated once the issues had been addressed.
- III. Some of the SEEs and EEs felt that their role in the Adaptation Fund had been significantly diluted by the transfer of functions, thus reduced sense of ownership.
- IV. By the NIE taking over some functions, their capacity (personnel) may have been overstretched leading to delays in implementing certain components.
- V. The issues raised on accountability by EEs and SEEs have taken too long to resolve, delaying the project completion.
- VI. The delays in completion of the planned activities have reduced the impact at scale and affects overall sustainability of the project.



## Recommendations

- I. There is need to upscale some of the activities that have notable significant impacts like coral and mangrove rehabilitation and climate smart agriculture.
- II. NIE should fast-track resolution of the issues and resume release of resources towards completion of pending activities.
- III. NIE should urgently audit the broken infrastructure and where possible consult with relevant stakeholders to ensure they are rectified. This should be followed by proper official handover to beneficiaries.
- IV. The training component should be fast-tracked, especially for management committees of the hardware interventions such as water infrastructure.
- V. For future projects, there is need to allocate resources towards capacity needs assessment and capacity development for EE and SEE so that they are well equipped to fully implement project activities.
- VI. The process of addressing grievances has been extremely slow leading to waste of the project period. Future design should have clear timelines for periods within which such grievances should be addressed.
- VII. Grievance Redress Mechanism Plan (GRMP) should be incorporated in the contractual agreements between NIE and EE as well as between EE and SEE.
- VIII. On participation, NEMA should have better forums for stakeholder engagement to create ownership.

## Conclusion

This was the first project implemented under the Adaptation Fund Programme in Kenya. As a first-time project, it has experienced both positives and challenges. However, the experiences offer key lessons that can be used to improve future project designs.

# INTRODUCTION AND BACKGROUND

## 1.1 Background

The Adaptation Fund was established to finance concrete adaptation projects and programmes in developing countries that are parties to the Kyoto Protocol and are particularly vulnerable to the adverse effects of climate change. It also pioneered Direct Access, empowering countries to access funding and develop projects directly through accredited National Implementing Entities- NIE (in Kenya NEMA is the NIE). The Adaptation Fund is supervised and managed by the Adaptation Fund Board (AFB). The Board is composed of 16 members and 16 alternates and holds periodic meetings throughout the year. The Adaptation Fund Board Secretariat provides research, advisory, administrative and an array of other services to the Board. The World Bank serves as trustee of the Adaptation Fund.

Country requests are submitted by a NIE after undergoing the accreditation process. The NIE may submit project proposals aligned with national priorities for consideration by the Adaptation Fund Board. National implementing entities fall under the Adaptation Fund's Direct Access modality, which enables entities to directly access financing and manage all aspects of climate adaptation and resilience projects, from design through implementation, to monitoring and evaluation.

The Adaptation Funds are committed towards building resilience among vulnerable communities who are susceptible to the adverse impacts of climate change. Since 2010, the Adaptation Fund has committed more than USD 850 million for climate change adaptation and resilience projects and programmes, including more than 123 concrete, localised projects in the most vulnerable communities of developing countries around the world with 28 million total beneficiaries. The programme covers seven key sectors namely: (i) water resources (ii) agriculture (iii) livestock (iv) agroforestry (v) coastal and mangrove ecosystems (vi) energy and infrastructure (vii) human health and gender in relation to climate change.

## 1.2 Transparency International Kenya (TI-Kenya)

TI- Kenya is a not-for-profit organisation founded in 1999 in Kenya with the aim of developing a transparent and corruption-free society through good governance and social justice initiatives. TI-Kenya is one of the autonomous chapters of Transparency International, a global coalition against corruption.

TI-Kenya was granted observer status in the programme steering committee of the Adaptation Fund in July 2016. Additionally, TI-Kenya engages the Executing and Sub-Executing Entities on issues of transparency, accountability and good governance in the management of the Adaptation Fund. This culminated in the development of the climate finance anti-corruption policy for NIE/AE processes in Kenya.

As the Adaptation Fund Programme ends, TI-Kenya, under the Climate Governance Integrity Programme, commissioned a participatory assessment of the programme. The assessment entailed a social audit aimed at getting the beneficiaries' perspectives on the project planning, implementation and effectiveness.

## 1.3 Purpose and Objectives of Social Audit

The social audit exercise was a participatory assessment aimed at getting the beneficiaries' perspectives on the project's planning, implementation and effectiveness. Specifically, the social audit looked at:

- a) Effectiveness of the institutional arrangements/framework/governance of the programme.
- b) Transparency, Accountability, Integrity and oversight mechanisms put in place by the implementing and executing entities.

- c) Public/Community participation/women, youth and marginalised groups beneficiaries/engagement in the process.
- d) Grievance redress and handling mechanisms/structures resulting from the programme’s interventions.
- e) Overall effectiveness of the programme.

## 1.4 Social Audit Methodology

The social audit utilised a mixed-methods data collection approach entailing both qualitative and quantitative approaches. The social audit was designed to provide evidence based information that is credible, reliable and useful based on predetermined objective audit criteria. To this end, the following methodology was applied:

### 1.4.1 Inception Phase

This was the starting step entailing desk review on a variety of documents on project design and implementation progress. The Project Document (ProDoc) was the initial document. This was complemented by other essential information resources such as the annual Project Implementation Reports (PIRs). Results of the review guided the formulation of an Inception Report, as well as refining of social audit questions targeting the project stakeholders and beneficiaries. This phase entailed several preparatory meetings with NEMA and TI-Kenya team to agree on approaches, timeframes and data sources.

### 1.4.2 Data Collection Phase

Secondary data was collected through review of provided project documents as well as from institutional websites. Primary data were collected using **semi-structured interviews** with selected project stakeholders. Key informant interviews were both **physical and virtual** and in compliance with COVID 19 protocols. A set of predetermined open-ended questions were administered to obtain in-depth information about the key informants’ experiences from the project implementation and their opinions on the achievement of the planned results. Triangulation of results was done by comparing information from different sources and different stakeholders.

Field visits were made to the following project sites:

**Table 1-1: Sampled Project Sites**

EE/SEE	Project Name	Beneficiary Name	Area/region
Tana and Athi River Development Authority (TARDA)	Masinga Small Holder Irrigation Project	Ngetani Farmers Self Help Group	Masinga
Kenya Forestry Research Institute (KEFRI)	Integrated Programme to Build Resilience to Climate Change and Adaptive Capacity of Vulnerable Communities in Kenya	Local community	Loitokitok
Coast Development Authority (CDA)	Mangrove Restoration in Jimbo and Gazi area  Coral Reef Restoration and Environmental Protection in Wasini Island  Shoreline Stabilisation, Erosion and Accretion Control Mwaembe beach, Gazi	Baraka Conservation group Jimbo Conservation Group Wasini BMU Mwaembe BMU	Kwale, Wasini
Kenyatta University	Climate Smart Cropping Systems	VOTA primary/VOTA community	Machakos
NASARU	Adaptation Village	NASARU Women CBO	Kajiado West

Victoria Institute for Research on Environment and Development (VIRED) International	Kopon Kamuga Water Pan and Dak Ongolo Water Pan projects	West Kochieng and Disaster Flood Group CBO	Kisumu, Nyando
Adventist Development and Relief Agency (ADRA)	Enhancing Adaptive Capacity for Lower Yatta	KAWONGO CBO	Lower Yatta, KAWONGO

During these visits, Focus Group Discussions and Key Informant Interviews were held with the target beneficiaries. In parallel with the interviews, the evaluators performed detailed review and analysis of the available project progress reports.

### 1.4.3 Data Processing and Analysis

The collected information was organised, classified, tabulated, summarised and compared with other appropriate information to extract useful information that responds to the social audit objectives. Guided by social audit questions and guidelines, the collected data was processed using validation, triangulation, interpretation and abstraction techniques. The evaluators considered the perspectives of all the relevant stakeholders and collated information on project performance and results from multiple sources including the project monitoring and evaluation system, tracking tools, field visits, stakeholder interviews, project documents and other independent sources. Contextual information was gathered to assess the significance and relevance of the observed performance and results. The percentages used in the progress status are largely estimates derived from the judgement of executing and sub-executing agencies.

### 1.4.4 Reporting

A draft report as per the TI-Kenya social audit guidelines was prepared for presentation to the clients. Feedback from clients and stakeholders was used to improve the report and prepare a final social audit report in an agreed format, together with a tracking checklist indicating the changes incorporated.

The findings and recommendations presented in this report respond to the requirements outlined in the evaluation TOR (Annex 1), the social audit evaluation guidelines and analyses and findings structured around the four core criteria: Relevance, Efficiency, Effectiveness and Sustainability, around which the findings are structured.

## PROJECT DESCRIPTION AND CONTEXT

### 2.1 Adaptation Fund in Kenya

In 2014, NEMA as the NIE, applied for a total of USD 9,998,302 to implement a programme titled, **“Integrated Programme to Build Resilience to Climate Change and Adaptive Capacity of Vulnerable Communities in Kenya”**. The programme aimed to enhance resilience and adaptive capacity to climate change for selected communities in various Counties in Kenya. The programme developed and implemented integrated adaptive mechanisms to increase community livelihood resilience to climate change to achieve the following five objectives:

- I. Enhancing climate-resilient agricultural, agroforestry, pastoral and agropastoral production systems to improve food security in selected Counties in Kenya.
- II. Improving climate-resilient water management systems to enhance food security in selected counties in Kenya.
- III. Increasing resilience to the effects of rise in sea level and shoreline changes through Integrated Shoreline and Mangrove Ecosystem Management at Vanga and Gazi in the Coastal region of Kenya.
- IV. Disaster risk reduction among targeted vulnerable communities for climate-related risks in Kenya.
- V. Strengthening institutional capacity, knowledge management, awareness raising and promotion of adaptation mechanisms to improve resilience on climate change to selected vulnerable communities in Kenya.

### 2.2 Implementation Structure

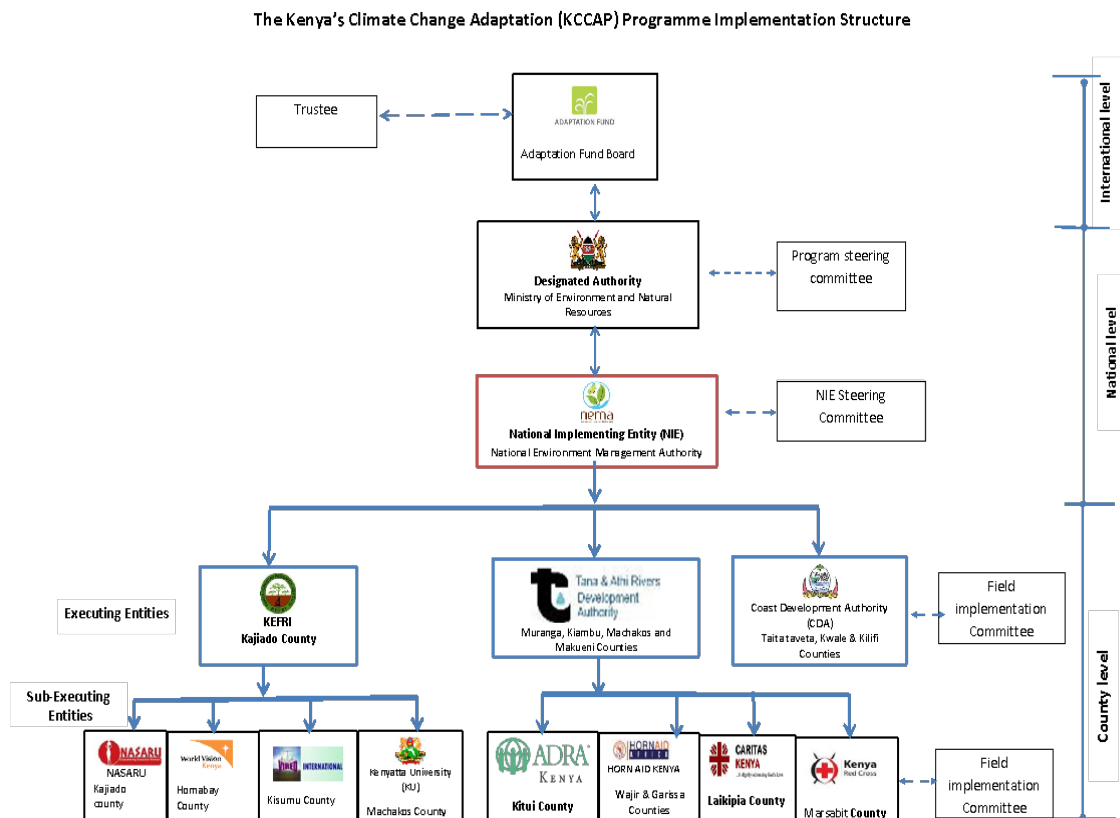
As the NIE, NEMA oversees overall fund administration and reporting. It also plays an oversight role for the different projects implemented through the fund. NEMA oversight was to be achieved through a Programme Steering Committee (PSC) constituted in the Ministry of Environment and Forestry. Membership to the PSC comprised representation from the Ministry of Agriculture, Livestock, Fisheries and Co-operatives, Ministry of Water, Sanitation and Irrigation, the National Treasury and Planning and each of the EE and SEE. The PSC was intended to be the programme’s oversight organ.

The actual coordination at NEMA was through a NIE steering committee chaired by the Director General of NEMA.

The NIE contracted EEs to implement the different thematic components of the Fund, based on the submitted proposals and workplans. The EEs were government agencies. To this end, NEMA worked with three EEs namely: Coast Development Authority (CDA), Kenya Forestry Research Institute (KEFRI) and Tana and Athi River Development Authority (TARDA).

The executing agencies on the other hand made use of local level institutions/organisations (SEEs) to implement some of the proposed activities. The SEEs included: NASARU Women CBO, Victoria Institute for Research on Environment and Development (VIRED) International, Kenya Red Cross Society (KRCS), Horn Aid Kenya (HAK), Adventist Development and Relief Agency (ADRA), Kenyatta University (KU) and CARITAS Nyeri as shown in Table 1-1.

Figure 1 Governance Structure of the Adaptation Fund in Kenya



Source: NEMA

To further enhance project activities, field implementation committees were established within each implementation site. This comprised NEMA regional office representation, beneficiary community representative and the EE or SEE.

### 2.3 Geographic Location of Interventions

The project geographic scope was 15 Counties namely: Kilifi, Kwale, Taita Taveta, Kisumu, Marsabit, Laikipia, Garissa, Wajir, Kajiado, Kitui, Makueni, Machakos, Muranga, Nyeri and Embu.

**Table 2-1: Location of Programme Areas**

County	Regional Coordination	Executing Entity
Kajiado	Central/Western	KEFRI
Laikipia	Central/Western	KEFRI
Wajir	Eastern	TARDA
Garissa	Eastern	TARDA
Tana River	Eastern	TARDA
Kitui	Eastern	TARDA
Embu	Eastern	TARDA
Kitui	Eastern	TARDA
Machakos	Central/Western	KEFRI
Kisumu	Central/Western	KEFRI
Kwale	Coast	CDA
Kilifi	Coast	CDA
Taita Taveta	Coast	CDA
Mombasa	Coast	CDA
Lamu	Coast	CDA
Tana River	Coast	CDA
Garissa	Coast	CDA

Source: Edited from ProDOC

## 2.4 Project Components

This programme is designed to respond to effects of climate change and covers the following sectors: Water management, food security, agroforestry, coastal and mangrove ecosystems and disaster risk reduction.

**Table 2-2: Project components, outcomes and outputs**

Project Component 1: Enhancing climate change resilience for improved food security in selected counties	
Programme Outcome: Enhanced climate change resilience for improved food security in selected counties	
Programme Outputs	Fund outcome
a) <b>Output 1.1:</b> Increased adoption of drought tolerant and high value crops and enhance efficient utilisation through value chain approach	<b>Outcome 6:</b> Diversified and strengthened livelihoods and sources of income for vulnerable women and men in the targeted areas
b) <b>Output 1.2:</b> Diversified alternative livelihood sources	
c) <b>Output 1.3:</b> Increased food production through appropriate and efficient irrigation method	<b>Outcome 5:</b> Increased ecosystem resilience of female and male household heads in response to climate change and variability-induced stress
d) <b>Output 1.4:</b> Enhanced efficient food utilisation through implementation of post-harvest strategies and value chain approach	
e) <b>Output 1.5:</b> Increase animal productions through promotion of drought resistant fodder crops; pasture conservation and emergency fodder banks	
f) <b>Output 1.6:</b> Enhanced land productivity through ecological land use systems, conservation strategies and management technologies	
Project Component 2: Improving climate resilient water management systems to enhance food security in selected counties	
Outcome 2 Improving climate resilient water management systems to enhance food security in selected Counties	
Programme Outputs	Fund outcome
a) <b>Output 2.1:</b> Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation	<b>Outcome 4:</b> Increased adaptive capacity within relevant development and natural resource sectors
b) <b>Output 3.1:</b> Implemented Integrated Shoreline Mangrove Ecosystem Management (ISMEM)	
c) <b>Output 3.2:</b> Rehabilitated mangrove ecosystem	
d) <b>Output 3.3:</b> Coral reefs rehabilitated and protected along the Shimoni-Vanga shoreline	
e) <b>Output 3.4:</b> Control erosion and accretion at Vanga and Gazi shoreline	
f) <b>Output 3.5:</b> GIS Inventory and database for the shoreline and mangrove ecosystems	

g) <b>Output 4.1:</b> Vulnerable physical, natural and social assets strengthened in response to climate change impacts, including variability	<p><b>Outcome 4:</b> Increased adaptive capacity of female and male headed households within relevant development sector services and infrastructure assets</p> <p><b>Outcome 1:</b> Reduced exposure to climate-related hazards and threats by women, men, girls and boys</p>
h) <b>Output 5.1:</b> Established information systems for documenting programme implementation processes, information and best practices/lessons learnt	<p><b>Outcome 3:</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level</p>
i) <b>Output 5.2:</b> Knowledge generation and dissemination	
j) <b>Output 5.3:</b> Awareness creation and sensitisation on climate change adaptation	
k) <b>Output 5.4:</b> Strengthening capacity for programme Implementation and climate change adaptation	<p><b>Outcome 2:</b> Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses</p>

## 2.5 Funding Structure

The Fund was structured to support the five focal areas (objectives) and were structured as follows:

**Table 2-3: Structure of the Fund received in Kenya**

Component	Theme	Cost (USD)
Component 1	Enhancing climate change resilience for improved food security in selected Counties	2,522,246
Component 2:	Improving climate resilient water management systems to enhance food security in selected Counties in Kenya	3,210,455
Component 3	Increasing resilience to the effects of rise in sea level and shoreline changes through Integrated Shoreline and Mangrove Ecosystem Management in the Coastal region of Kenya	1,086,478
Component 4	Disaster risk reduction and increasing preparedness among targeted vulnerable communities	1,177,000
Component 5	Strengthening institutional capacity and knowledge management on climate change adaptation	476,958
<b>Project/Programme Execution Cost</b>		<b>804,948</b>
<b>Total Project/Programme Cost (= Project Components + Execution Cost)</b>		<b>9,277,143</b>
<b>Implementing Fee</b>		<b>720,217</b>
<b>Grant Amount (=Total Project/Programme Cost + Implementing Fee)</b>		<b>9,998,302</b>

Source: <https://www.adaptation-fund.org/project/integrated-programme-to-build-resilience-to-climate-change-adaptive-capacity-of-vulnerable-communities-in-kenya/>



## AUDIT FINDINGS

### 3.1 Project Design

The programme is an agglomeration of different proposals by different entities (State and non-State). The project design was guided by the requirements of the Adaption fund where the NIE had the role of consolidating and guiding the proposed interventions based on country needs and priorities. The proposals were crafted around five components that address various aspects of adaptation to climate change by addressing issues of food and livelihood security (component 1); Water security (component 2), disaster risk reduction (component 3 and 4) Knowledge management and institutional strengthening (component 5). Therefore, different proposals from EEs and SEEs were compiled to form one main proposal.

To accommodate the different actors who participated in the proposal writing, a detailed governance framework as illustrated in section 2.2 bringing together all the institutions was constituted. In this arrangement, the overall oversight was to be conducted by the Project Steering Committee. The Steering Committee was to be composed of representation from the National Treasury, Ministry in charge of Agriculture and Ministry in charge of Water, as well as all the EEs and SEEs.

The actual coordination was to be undertaken by a NIE Steering Committee headed by Director General of NEMA and heads of various Departments. The NIE was in charge of ensuring overall delivery of outputs and provide accountability for design, oversight and quality assurance of the entire project.

The NIE was required to channel resources to the EEs and subsequently to the SEEs based upon an agreed annual workplan. The SEEs and EEs would implement activities and report back to the NIE.

#### 3.1.1 Relevance of the Project Design

The activities detailed within the result frameworks address the issues of climate adaptation and building resilience. The project interventions within the different project sites directly address the needs of the target beneficiaries. The interventions touch on the community needs in terms of water and food security, livelihood diversification and general resilience to climate extremes. In all the visited sites, the beneficiaries appreciated the positive changes the projects have brought to their everyday lives. The intervention project also has a disaster management component targeting vulnerable regions along the Lake Region and Kenyan Coast. To this end, the social audit concludes that the Fund and its activities are relevant to the needs of the different stakeholders in relation to climate change adaptation and resilience.

The project is equally relevant and feeds the objectives of the Adaptation Fund. The project activities align with the development policies of the country, including the relevant County Integrated Development Plans, the SDGS (SDG 1; No Poverty, SDG 2; Zero Hunger, SDG 6; Clean Water, and SDG 15; Life on Land).

#### 3.1.2 Implication of the Governance Structure on Oversight and Accountability Mechanism<sup>1</sup>

The programme design has provision for a Project Steering Committee as an oversight body. The membership of the PSC comprised the institutions implementing programme activities. The PSC held minimal meetings (three), that might have resulted in reduced overall supervision of the programme.

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<sup>1</sup> Governance defined as: **“The system by which entities are directed and controlled.** In this context it covers the structure and processes for decision making, accountability, control and behavior at the top of an entity.

Oversight to the NIE is provided through the NEMA Board, which is overall in charge of ensuring the NIE implements its mandate effectively, and within the relevant governing laws and principles of good governance.

### **3.1.2.1 Accountability and Integrity (Financial Planning and Procurement Management)**

At the design and proposal development stage, the process was transparent as various potential EEs were engaged in the process, but only relevant project activities were incorporated in the final proposal and therefore the proposing EEs and SEEs for execution.

The reporting process was such that sub-executing agencies were to report to EE, who in turn reported to NIE. The individual entities had workplans as basis for resource flow under the different components. Resources were to flow from NIE to EEs to SEEs and ultimately to beneficiaries, guided by approved workplans.

Each institution was required to use its internal control systems to ensure prudent use of resources, as well as internal oversight of fund utilisation. This therefore means that financial prudence was a subject of organisational capacity and discipline.

### **3.1.3 Effectiveness of Project Design**

The multi-layered funds flow and reporting structure created the following challenges:

- I. A long reporting bureaucracy from SEE to EE to NIE that translated to more time spent on feedback mechanism.
- II. The funding structure did not provide resources for the EE to play the supervisory role.
- III. The different entities had different capacities to implement the activities, thus different performance standards.
- IV. With that arrangement, a delay in releasing resources to the EE translated to delays in resources reaching the SEEs, thus triggering a chain reaction.

## **3.2 Project Implementation**

### **3.2.1 Effectiveness of Institutional Arrangement/Governance of the programme**

In the implementation, NEMA as the NIE channelled funds to the EE and SEE based on workplans submitted. The EEs and SEEs were supposed to utilise the funds to undertake the project activities and report back to NEMA. NEMA played an oversight role, including monitoring and evaluation. This was the anticipated arrangement during the entire project implementation stage. The social audit results show that this approach was only employed in the first year of project implementation.

After the first year of project implementation, the NIE and PSC also observed the following key challenges related to programme management:

- I. The structure of training adopted by some EEs and SEEs was expensive resulting in fewer beneficiaries engaged in the training. This affected technology dissemination, raising audit queries on overall impacts.
- II. Activities under component 1 and 2 dealing with livelihood and food security also faced challenges related to survival rates for new crops/fodder due to prolonged drought.
- III. Activities under Output 2.1: (Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation) also faced challenges in that some assets like water pans posed a threat of becoming white elephants in the absence of rains.
- IV. There were reported cases of non-adherence of the EE and Sub-EE with the Public Procurement and Asset Disposal Act, 2015. In some cases, it was observed that some procuring entities overcommitted resources above the budgetary provisions. In some cases, it was difficult to ascertain value for money for procured goods/services.

- V. The project did not allocate funds for EEs supervising/monitoring the SEEs, resulting in limited reporting on actual project activities.

These developments triggered a discussion around how to structure the project activities to ensure Impact. There were proposals around changing of project design.

The NIE therefore decided to alter the project design to the following approach:

- I. Adopt a centralised procurement model for all the EEs and SEEs. The NIE took over all procurement related activities on behalf of EEs and SEEs.
- II. Changes were effected for activities under component 1 and 2, where the proposals for construction of dams/ water pans were shelved in favour of solar powered boreholes (Adaptation Villages). The Adaptation Village consisted of solar powered boreholes, water storage facilities (tanks), a social hall and income generating activities around the water source (i.e., water supply to the community and undertaking irrigation agriculture). NIE also procured contractors for projects such as soil erosion control and shoreline stabilisation.
- III. The SEEs started reporting directly to the NIE. Collapsing the project's anticipated institutional arrangement was attributed to the NIEs desire to enhance monitoring and evaluation, compliance and reporting as well as fast track completion.

The new implementation arrangement led to the following effects:

- I. The NIE effectively became an executing entity and NIE at the same time. This may have impacted negatively on the project implementation and on the initial project institutional arrangements; there were indications that most EE felt short-changed.

***“We have handled bigger projects with bigger funding and were able to deliver, hence it is unfortunate that we are being micromanaged in this case even after signing contracts.....”*** KII from one of the EEs

- II. The extra responsibilities by the NIE significantly slowed down the implementation of activities stated in the workplans. The social audit results noted significant delays in implementation and completion of project activities across the different components. It is important to note that the project is three years behind schedule, operating under no cost extension yet not all activities have been completed.
- III. There were some disgruntlements between NIE, EEs and SEE, which required the Grievances Redress Mechanism engagement between NIE, the EEs and SEE. The social audit study outcome indicates that even though there was a form provided by the NIE to the EE to fill annually, there was no evidence of how the grievances raised by EE were resolved or mechanism put in place to resolve the emerging conflicts (except where NEMA Board of Management recently visited the EEs to try and restart the stalled components of the project activities).
- IV. There was reduced sense of ownership by the EEs and SEEs who felt that the NIE was taking over their ideas and projects. By the NIE engaging in direct project activities implementation, EE and SEEs remained with a limited role in the programme, hence a general feeling of alienation/exclusion from the project as well as limited innovative approaches in the implementation of the project activities.

### 3.2.2 Efficiency of the Implementation Arrangement

The implementation approach faced challenges related to overall efficiency and effectiveness. This can be attributed to the following key elements:

- I. There were significant delays in disbursement of funds to some of the SEEs thus affecting their workplan.
- II. The reporting framework created an extra layer of bureaucracy which may have led to delays in getting feedback and clearance for project activities.
- III. With the centralised procurement system, the SEEs felt that they were unable to supervise contractors they did not hire, leading to reduced ownership of projects in some areas.
- IV. By taking on extra responsibilities of other entities, the capacity of NIE to effectively coordinate, implement and oversight project activities may have been overstretched.

### 3.2.3 Stakeholder Engagement/Participation

The change in project design significantly affected stakeholders' perception of the project activities. There was a general feeling that they had become spectators in the process, and that their ideas were hijacked.

At the community level (beneficiaries), the general feeling was that the nature of interventions was beneficial to them, as they directly solved the common challenges emanating from climate change impacts among the communities. This further enhanced ownership of the interventions by some of the beneficiaries who felt that the interventions were timely and responsive to their needs.

Interviews with the EE and SEE and other stakeholders pointed to the following general feeling:

- I. All the stakeholders felt that there was no adequate stakeholder consultation and engagement within the course of project implementation.
- II. The SEEs and EEs felt that there was poor feedback from the NIE on issues raised.
- III. The stakeholders felt that their views were not taken during the change of project design. The EE agencies and SEE felt that during the change in project design, they were not given any chance to give input and contribute to the planned changes.
- IV. The communities felt that they were not adequately involved in the project implementation process. In some case, a community group felt that the project implemented was shoddy and different from what was in the design which they were shown. They felt the contractor did not implement the project as per their needs/inputs.
- V. There was no clear grievance redress mechanism whenever communities felt aggrieved.

### 3.2.4 Project Monitoring and Evaluation

The NIE prepared a draft monitoring and evaluation framework for the project. The framework outlined the reporting needs at the various levels, as well as providing a template for reporting. The project design also outlined indicators to be used for monitoring.

Each EE and SEE was to have a clear workplan outlining activities for the year and prepared quarterly and annual reports submitted to the NIE. During the first year of implementation, the EEs and SEEs submitted the workplans as required.

However, with the change in project design where the NIE took over some critical functions, the reporting arrangement was disrupted.

As at the time of the social audit, it was noted that there seemed to be no proper monitoring and evaluation at the EE and SEE level, pointing to a disconnect in monitoring and evaluation between SEE, EEs and IE. The SEE and EEs felt that monitoring and evaluation was a function of the NIE. The social audit therefore observed that the SEE and EEs did not have proper matrices and indicators for measuring achievements against targets.

The social audit observed that the EEs and SEEs were not facilitated to undertake monitoring and evaluation of their respective project activities. Monitoring and evaluation were only being undertaken at the NIE level and hence the need to cascade the process.

### 3.2.5 Grievance Redress Mechanism

The NIE prepared a draft Grievance Redress Mechanism (GRM) Framework, providing a three-tier system for grievance redress (community, county and national level).

The GRM at the community level comprised community elders and local administration while at the county level it was chaired by the County Director of Environment. At the national level, a person specifically responsible for GRM was to be recruited. Training was to be provided on GRM.

During FGDS with beneficiary communities, majority seemed unaware of the grievance redress mechanism, while others said that their grievances attracted no action.

The EEs and SEEs also noted that it had taken too long to address grievances raised with the NIE. A case in point was the delay in resuming funding for project activities, which had equally affected timely completion of activities. Some EEs noted that they formally registered grievances to the NIE regarding implementation of project activities, but the grievances were never addressed.

### 3.2.6 Financial Flows

The key informants mentioned that the total amount of funds which NIE allocated to the project under VIREC was not delivered to them. They mentioned that out of the total KShs 119,000,000 allocated to VIREC for the projects, the Sub-Executing entity only received KShs 19,000,000 and this made it difficult to execute the projects in full.

According to KEFRI records, the approved budget for implementation of the activities was USD 1,925,352.08 distributed in three years. Since commencement of the project, KEFRI had received a total of USD 921,026.95.

## 3.3 Project Results

This section reviews the project achievements versus the intended activities listed in the logical framework. The section focuses on the EE and SEEs sampled during this audit.

### 3.3.1 Kenya Forestry Research Institute (KEFRI)

KEFRI was an EE within the project, implementing interventions based on its proposals and workplans. The area of coverage was largely the southwestern regions covering Kajiado County. The EE also supervised SEEs covering the western part of the country, largely Kisumu County.

KEFRI implemented a project titled “The Kenya Climate Change Adaptation Programme (KCCAP)” funded through the Adaptation Fund and overseen by NIE. The projects were implemented in Loitokitok in Kajiado County. The vast part of the sub-county is majorly semi-arid. Pastoralism is the main source of livelihood for the predominantly Maasai community.

KEFRI's project activities were under the following components as contained in the Programme document: Table 3-1: Proposed Activities Against Implemented Activities by KEFRI

<sup>2</sup>Where percentages are used; it is based on estimations by the EEs and SEEs

COMPONENT 1: Enhancing climate change resilience for improved food security in selected counties		
Target	Achieved	Comment <sup>2</sup>
<b>Output 1.1. Increased adoption of drought tolerant food crops and high value crops</b>		
Distribution of 10,000 kilogrammes of drought tolerant food crops to vulnerable households	Drought tolerant seeds namely maize, beans, green grams, cowpeas, pigeon peas, sunflower, sorghum, millet, black beans, cassava and sweet potatoes procured and distributed to vulnerable households in Kimana, Entonet, Kuku and Mbirikani in two planting seasons.	Status: (80 per cent completion)
Establish learning demos for communities on sowing, timing, spacing and best practices for enhanced productivity of drought resistance crops	Demo plots were established by the 15 groups selected in the five wards, each measuring one acre	The intended targets not fully achieved
<b>Output 1.2. Diversified alternative livelihood sources</b>		
Grafting and propagation of 10,000 fruit trees-mangoes and citrus	Grafted seedlings (3,400 mangoes and 3,400 citrus) procured, distributed and planted by 15 community groups in the four wards of Kuku, Kimana, Entonet and Rombo	Status: 70 per cent The intended targets not fully achieved
Support establishment of nurseries for bulking and demonstrations	<ul style="list-style-type: none"> <li>One hundred group members were trained (10 per group) on seedbeds construction and actual seed sowing particularly on pretreatment methods of tree seeds and on the use of alternative petting</li> <li>About 50 kilogrammes of drought tolerant grass seeds sown in demo plots</li> <li>Ten group nurseries supplied with materials/equipment such as wheelbarrows, watering cans, hosepipes, jembes, garden rakes, pangas and other inputs like fruit and tree seeds for establishing nurseries</li> </ul>	
<b>Output 1.3. Increased food production through appropriate and efficient irrigation methods</b>		
Support farmer groups and selected farmers to install drip irrigation kits for demonstration on efficient water use		Not yet Implemented
Train on drip kit management and maintenance		
<b>Output 1.4. Enhanced efficient food utilisation through implementation of post-harvest strategies and value chain approach</b>		
Construct granaries for food storage		Not yet Implemented
Demonstrate on value addition for selected fruits including wild fruits (traditional and modern food preservation methods to produce jam, juices and fruit concentrates as income generating activities)		

### Output 1.5. Increased animal production through adoption of drought tolerant animal breeds, pasture conservation and emergency fodder banks

Planting of 100,000 trees to rehabilitate livestock watering points and along rivers	<ul style="list-style-type: none"> <li>• Fifteen watering points mapped out for rehabilitation</li> <li>• 15,000 seedlings of various dryland species were procured from KEFRI Kibwezi and have been available to three groups for planting</li> </ul>	Status 15 per cent
Promote drought and climate resilient varieties of grass, fodder and forage among others to ensure sufficient animal feeds during dry spell periods	<ul style="list-style-type: none"> <li>• Fodder trees (900) and Napier grass (five stacks) distributed to beneficiaries in higher zones</li> </ul>	The intended targets not fully achieved
Establish field learning demonstration plots for the selected fodder and forage varieties		Not yet implemented
Procurement of hay making equipment		
Establish a bulking and selling point for hay for selected youth groups and women groups as an income generating activity		
Train farmers on pastoral and agropastoral ecosystems-based adaptation (fodder conservation, breeds improvements, disease and pest control)	<ul style="list-style-type: none"> <li>• Training for two days each is conducted in all five wards</li> <li>• One hundred (100) local community members trained on livestock husbandry, pasture establishment, management and conservation, livestock breeds improvements, common livestock diseases and pest control</li> </ul>	Completed

### Output 1.6. Enhanced land productivity through ecological land use systems, conservation strategies and management technologies

Establishment of tree nurseries and woodlot	<ul style="list-style-type: none"> <li>• 15,000 seedlings were procured to plant during the November-December rains in degraded animal watering points in Rombo, Kuku and Kimana wards. About 2, 100 indigenous tree seedlings already planted</li> <li>• About 300 kilogrammes of drought tolerant grass seeds</li> </ul>	Completed
Distribute and facilitate adoption drought tolerant, pest and disease resistance tree species such as Melia volkensii, Neem, Terminalia brownii to increase adaptive capacity and resilience to climate change		
Support reforestation of Saimet and Loitokitok forests in Kajiado County through establishment of woodlots, plantations, and boundary planting		
Formation, operationalisation and promotion of community forest associations (CFAs)/groups living to enhance community management of forests and tree resource on farm, including charcoal burners, firewood collectors, grass/cattle herders and traditional herbalists	Pending	Awaiting financial disbursement



Hold awareness and extension meetings on best agroforestry practices for increased on improved farm tree cover and environmental protection activities	Exchange visits for farmers to Makueni to learn on pasture management and water harvesting	Completed
Hold a demonstration and awareness on land and soil conservation strategies		
Charcoal production and management: Construction of efficient charcoal kilns and construction of charcoal storage store	Pending	Awaiting financial disbursement

**COMPONENT 2: Improving climate resilient water management systems to enhance food security in selected counties**

**Output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation**

Support putting up of water pans	Construction of six water pans of an average capacity of 18,000 cubic metres, located in Kajiado South Sub- County in Imbirikani, Kuku, Kimana, Rombo, Lenkisim and Entonet locations	Water pans not well operationalised due to incomplete structures
Buy water tanks to promote rainwater harvesting	Pending	

**COMPONENT 5: Strengthening capacity and knowledge management for programme implementation and climate change adaptation**

**Output 5.1. Established information systems for documenting programme implementation processes, information and best practices/lessons learnt**

Establishing a database to document all programme implementation report and survey information	Knowledge Management System was designed but not yet operationalised	Shared role with NIE  Adaptation Fund information available in NIE and EE websites
Establish a web-based information system for the programme		
Programme communication and visibility		
Hold meetings/conferences to profile success stories, best practices and lessons learnt from the programme implementation process	Implemented as part of output 5.2	Tied to output 5.2
Holding community forums for information generation and dissemination ( <i>barazas</i> , drama, community forums, storytelling, riddles as well as other traditional community media among others)		

Print Information, Education and Communication materials (brochures, posters, banners) about the programme	Pending	Not done
<b>Output 5.2. Awareness creation and sensitisation on climate change adaptation</b>		
Awareness creation on climate change, impacts and adaptation through radio programme (local language and Kiswahili)	<ul style="list-style-type: none"> <li>All audio and video clips that had been collected edited and a 14-minute video prepared</li> <li>News item on project activities was aired on 9<sup>th</sup> December 2016 on Radio Maa and Radio Citizen</li> <li>A radio programme on project activities broadcast on Radio Taifa on 10<sup>th</sup> March 2017 at 6.30 pm</li> </ul>	Completed
Community forums for information dissemination (barazas, drama, community forums, storytelling, riddles as well as other traditional community media among others)	Project co-hosted a community forum on environmental conservation with the Elephant and People Association during their annual community forum held every 9 <sup>th</sup> of December	Done
Publications in peer reviewed journals		
Produce over 1,000 extension materials (booklets, manuals, leaflets) on agricultural, forestry and pastoral ecosystem-based adaptations		
Develop and air on key television channel nationwide a documentary on scenario changes due to climate change and best adaptation approaches	Pending	Awaiting Financial disbursement
Government of Kenya staffs within Kajiado training on importance of enhancing complementarity in climate change adaptation promotion strategies (inter-ministries training)		

The social audit notes that activities under component 2; output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation, had challenges thus the infrastructure not yet fully functional. The shared challenges have been summarised below:

Site	Issue
Imbirikani Site	Water pans not handed over
Kuku site	Water pan is not fully operational, inlet channels damaged, and the pan has not been handed over to the community
Kimana site	Silt traps and inlets are poorly done The water pan is not operational
Rombo site	Excavation of spillway was not done. There was no formal agreement between community and KEFRI and therefore the pan is not operational

Due to these challenges, issues were raised by NEMA as the NIE relating to quality of workmanship as well as failure to stick to budgets leading to suspension of project activities and freezing of funds. KEFRI was required to put in place measures that will enhance project management as a condition for resumption of funding.

A committee was appointed to explore ways of uplifting the suspension of the implementation of the project activities. Series of meetings were held and a brief on the evaluation of works done on six (6) water pans in Loitokitok (Kajiado South Sub-County) each with capacity of 18,000 cubic metres at Lenkesin, Kuku, Kimana, Entonet, Imbirikani, and Rombo and the report submitted for adoption by the Board.

The issues that lead to suspension of the implementation of project activities have been handled at the KEFRI Board level and a comprehensive report submitted to NEMA.

### Way forward

As a way forward we suggest the following:

- I. NIE to lift the suspension to enable payment of certified works and related cost to cushion KEFRI against being sued by contractors.
- II. NIE to release funds for years two and three to allow completion of project activities.
- III. KEFRI and NIE to consultatively work on restructuring of the KEFRI KCCAP workplan for year two and three to implement all the activities promised in the LOA; to meet the objectives of the project for the benefit of Kajiado communities.
- IV. Water pans should have been completed to provide the intended benefits to the community. Some remedial design issues should also be corrected on the other water pans before they can be fully functional. There is also need to provide remedial measure against the risk posed by the pans to human and livestock.
- V. Project should be implemented using an Adaptation Village approach around the water pans to ensure high impact of the integrated approach.

### 3.3.2 Coast Development Authority (CDA)

The Coast Development Authority (CDA) was one of the executing agencies of the *“Integrated Programme to Build Resilience to Climate Change and Adaptive Capacity of Vulnerable Communities in Kenya”* in the counties of Kwale, Taita Taveta and Kilifi. The CDA implemented the national component 2 and 3 of the project.

In implementing this component, CDA collaborated with other stakeholders, key among them NIE-NEMA county offices. Other partners included KFS in the mangrove restoration, Kenya Marine and Fisheries Research Institute (KMFRI) in beach management units and coral reef rehabilitation.

Activities planned and those implemented have been summarised in table 3-2.

**Table 3-2: Activities by CDA against planned activities**

<b>COMPONENT 2: Improving climate resilient water management systems to enhance food security in selected counties</b>		
<b>Output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation</b>		
Construction of roof catchments	<ul style="list-style-type: none"> <li>• Five water roof catchment structures constructed</li> <li>• One (1) water pan constructed at Midoina.</li> <li>• The construction of Jabias is currently being undertaken by NEMA</li> </ul>	The numbers were revised from 12 to 5
Construction of water pans		
Stakeholder mobilisation for construction of roof catchments and water pans		
<b>COMPONENT 3: Increase resilience to climate change of shoreline and mangrove ecosystem in Kenyan coastal zone</b>		
<b>Output 3.1. Implemented Integrated Shoreline and Mangrove Ecosystem Management (ISMEM) plan</b>		
Mangrove rehabilitation	<ul style="list-style-type: none"> <li>• Baseline survey for the identification of sites that needed intervention</li> <li>• An assessment was done to identify the groups. Five groups were identified namely, Baraka conservation-Gazi, Vumilia nguvu kazi- Kiwegu, Magugu mariculture- Vanga, Mwambiweje women group- and Jimbo Environmental Group</li> </ul>	Completed
Coral reef rehabilitation and protection	<ul style="list-style-type: none"> <li>• Wasini BMU has encouraged uptake of restoration by other BMUs</li> <li>• Restoration has led to an increase in fish catch by the fishermen</li> <li>• Increased tourism</li> <li>• Improved biodiversity in the conserved areas</li> </ul>	Completed

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Shoreline stabilisation	<ul style="list-style-type: none"> <li>Shoreline stabilisation projects in Kwale County in Mwaembe Beach in Msambweni and Jimbo</li> <li>In Jimbo, the shoreline stabilisation activity planned in Jimbo beach has not commenced even though the community was informed that the activity will commence after the completion of the Mwaembe beach site</li> </ul>	Incomplete – contractor to resume
Erosion and accretion control		
Creation of inventory and GIS database	Completed	Done
Develop Management Plan - Exploitation and Socio-economic	<ul style="list-style-type: none"> <li>Two (2) Management plans already existed for Vanga and Gazi sites earlier done under the KCDP project. KCCAP then developed the MWABBOFU Management Plan for Funzi Bay.</li> <li>Conducted training of community members on scouting, surveillance and patrol and undertaken livelihood security enhancement for the community</li> <li>Documentary on coral reef and sea grass restoration done and brochures for dissemination developed, thus enhancing the documentary process for the project</li> </ul>	
Capacity Building- Mangrove training, education and awareness		
Empowering and capacity building for the community on Participatory Forest Management		
PES capacity building		
Community empowerment on mangrove exploitation	Procured an inspection boat and conducted training of coxswain	Done

Field visits and FGDs during the social audit established the following:

- I. The contractor had not yet finalised the work but was not at the site. The site is therefore not yet completed and handed over.
- II. The BMU and community members claim that the works were poorly done.
- III. A meeting was held in August 2021 between NIE and the community members headed by the area chief which led to a signed Memorandum of Understanding (MoU). They agreed that materials for construction (sand, stone and cement) would be purchased from the community members. Additionally, labourers would be sourced from the community. However, the contractor failed to involve the community as agreed in the MoU.
- IV. Currently, the project seems abandoned, evidenced by the breakage of stones which have limited activities within the beach and mosque.
- V. The contractor did not consider Community views, i.e., the community suggested laying a wire mesh to prevent breakage of stones by the waves. However, the contractor did not take this into consideration, making the community feel left out in decision making.
- VI. No monitoring and evaluation done.

**Plate 1: Part of the shoreline stabilisation wall constructed in Mwaembe beach**

Source: Field visit

### Key Achievements

- I. Coral reef rehabilitation in Wasini Island - CDA supported the Wasini BMU in piloting rehabilitation of coral restoration and also built the capacity of the BMUs and allowed them to rehabilitate while they monitor, supervise and provide financial support.
- II. For the mangrove restoration, CDA procured resources, trained the groups on the nursery development and mangrove planting. CDA supported Baraka Conservation in Gazi and Jimbo Environmental Group in Jimbo.

### Challenges

- I. NIE changed project design and workplan activities and came up with Adaptation Villages. It was challenging to meet the expectations, as the NIE wanted to construct boreholes and social halls. It was suggested that two boreholes would be constructed in the coastal region. CDA identified a site in Taveta and agreed to construct a Jabia in Wasini.
- II. Delay of funds disbursement led to delay of the rainwater harvesting infrastructure installations. This brought conflict between communities and the CDA following the communities' decision to accept the initiative and implement the projects solely.
- III. Activities in the workplan (alternative sources of livelihoods) were dropped.

### 3.3.3 The Tana River and Athi Development Authority (TARDA)

TARDA was an EE within the project, implementing interventions based on its proposals and workplans. As EE TARDA had six projected activities for implementation under *“The Kenya Climate Change Adaptation Programme (KCCAP)”*. According to the project design, as an EE TARDA had additional responsibility of overseeing ADRA- a Sub-EE in their implementation of other projected activities in components 1,2 and 5.

The planned activities and status have been summarised in table 3-3.

**Table 3-3: TARDA’s Project Achievements against planned activities**

COMPONENT 1: Enhancing climate change resilience for improved food security in selected Counties		
Target	Achieved	Comment
<b>Output 1.2. Diversified alternative livelihood sources</b>		
Fish cold storage at Ekalakala to serve 400 fishermen (20 Beach Management Units)	Not undertaken	EE not aware of status
Establish a fruit processing plant	Not undertaken	
<b>Output 1.2. Diversified alternative livelihood sources</b>		
Grafting and propagation of 10,000 fruit trees-mangoes and citrus	Grafted seedlings (3,400 mangoes and 3,400 citrus) procured, distributed and planted by 15 community groups in the four wards of Kuku, Kimana, Entonet and Rombo	Status: 70 per cent complete  The intended targets not fully met
<b>Output 1.5. Increased animal production through adoption of drought tolerant animal breeds, pasture conservation and emergency fodder banks</b>		
Established a milk cooling and processing plant at Emali	Not undertaken	
COMPONENT 2: Improving climate resilient water management systems to enhance food security in selected counties		
<b>Output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation</b>		
Construction of check dams to reduce siltation and provide water for four small-scale holder irrigation farms - Machang’a-Kiritiri, Makueni, Murang’a and Masinga	One earth dam constructed	One dam constructed, 25 per cent complete
Establishment of a small holder irrigation infrastructure at Masinga Development (Ngetani smallholder irrigation project in Masinga, Machakos County)	Irrigation scheme established	Irrigation scheme established 80 per cent completed

### Case Study of Ngetani Smallholder Irrigation Project in Machakos County

Ngetani Smallholder Irrigation Project in Masinga was intended to supply piped water to over 80 households for domestic and irrigation purposes. The project was designed to enhance food and water security.

A field visit to the water project and interviews with the beneficiaries and water management committee revealed the following:

- I. The project has managed to spur farming within the relatively dry area of Masinga, thus improving food security. There was remarkable uptake of dry land farming spurred by the project.
- II. The learnings from the project have seen other community members within the area start their own interventions towards food security.
- III. The success of the project has been an important learning point for other similar interventions.

### Challenges Encountered

- I. The beneficiaries claim that the project capacity is not adequate therefore limiting the number of beneficiaries. The current design can only serve a limited number of households hence the need to scale up.
- II. The pump has since broken down; therefore, the project was not functional as at the time of the social audit. This has greatly affected the livelihoods of the communities who rely on the system.
- III. Training for the committee on operation and maintenance of the system is yet to be conducted and thus a challenge for the community to adequately troubleshoot and resolve hitches in the functioning of the system.
- IV. The communities felt that their grievances management system is not well functioning.



**Plate 2: Drying maize in Ngetani due to inadequate rainfall and breakdown of the pumping station**



### **3.3.4 Victoria Institute for Research on Environment and Development (VIRED) International**

VIRED as an SEE working under KEFRI implemented activities under component 2 and 4.

- **Component 2:** Improving climate resilient water management systems to enhance food security in selected counties in Kenya.
- **Component 4:** Disaster risk reduction and increasing preparedness among targeted vulnerable communities.

The summary of activities and status has been provided in table 3-4.

**Table 3-4: VIRED Planned activities against Implemented activities**

<b>COMPONENT 2: Improving climate resilient water management systems to enhance food security in selected counties</b>		
<b>Target</b>	<b>Achieved</b>	<b>Comment</b>
<b>Output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation</b>		
Four (4) water pans excavated (labour, land, etc.)	Two (2) water pans constructed in Dak Ongolo in Kakola and Opon Kamuga in Nyamware Locations	Incomplete
<b>COMPONENT 4: Disaster risk reduction and increasing preparedness among vulnerable communities</b>		
<b>Output 4.1. Enhanced disaster risk reduction and increasing preparedness among vulnerable communities</b>		
Construction of flood control structures along riverbanks (dykes)	Not done. This component was to be backstopped by LBDA who ultimately conducted the feasibility studies and construction Originally four sites each one kilometre were earmarked on rivers Nyando, Ombeyi, Asao and Orije. Due to cash constraints only one site is to be done on River Asao. LBDA and NEMA are in the picture on the progress	Incomplete
Unblock drainage channels to increase water flow (desilting)	A total of 60 kilometres was covered in different project locations against the target of 10 kilometres	Completed
Plant bamboo along riverbanks	Communities were trained on bamboo propagation Bamboos were planted around the two water pans in Dak Ongolo in Kakola and Opon Kamuga in Nyamware Locations The activity was affected by the disruption in funds flow, thus not completed	Incomplete, the planting was not done along riverbanks. Awaiting release of funds from NIE
Establish Early Warning Systems	Information was collected and which was to be published and shared by the community –this was part of the information that was to be contained in the brochures and radio talk shows and in a book documenting indigenous knowledge on Early Warning Systems	Partially Done. Process was not completed due to the freezing of funds by NIE
Construct modest evacuation centre (three halls measuring 30m by 15m and ablution block)	Four evacuation centres were planned. However, only two were built to the lintel level; at St Alloys in Nyakach and Misingo School in Nyando. They were not completed since VIRED did not receive whole amounts from NEMA. Work has not started in Kibarwa and Ombaka schools, both in Nyando Sub- County	Incomplete. Awaiting funds release from NIE

**COMPONENT 5: Strengthening capacity and knowledge management for programme implementation and climate change adaptation****Output 5.3. Awareness creation and sensitisation on climate change adaptation.**

Train on community disaster preparedness planning	250 participants were trained on community disaster preparedness	Completed. Need follow up with brochures and talk shows
20,000 brochures designed and produced at KShs 0.5 per brochure	No brochures were printed for the component on dissemination, that is, brochures and radio talk shows were collapsed into a new component: Adaptation Green Villages in three sites i.e. (i) Ogenya School- (Not done since the site was submerged during floods) (ii) Wasare School: A borehole was sunk (iii) St. Alloys school: No borehole has been sunk yet	Incomplete, activity was changed into Adaptation Green Villages
Five radio talk shows on disaster alerts and preparedness.	Not completed	Awaiting release of funds from NIE

The EE notes that the component on Establish **Early Warning Systems** requires both hardware and software interventions to be impactful. To this end, information was collected which was to be published and shared by the community and printed into brochures as well as disseminated in radio talk shows and in a book documenting indigenous knowledge on Early Warning Systems. This component therefore needs to be fast-tracked by the NIE. The design of the evacuation centres should also not be just halls but integrate with relevant facilities that are cognisant of gender equity, public health and individual human rights.

**Key Achievements**

- I. The projects have benefited the community since they use water from the pan for agriculture through irrigation.
- II. They have also benefited from the fish found in the water pan.
- III. The pans have provided water for domestic and livestock use.
- IV. From the FGD, the community members also mentioned that they benefited from the trainings and exchange visits conducted by VIRED.
- V. The pan has controlled flooding and has reduced flooding during short rainy periods.
- VI. The group members mentioned that they are waiting for the bamboo trees to mature enough for them to harvest and sell; eventually they will benefit financially from the project.

**Plate 3: Dak Ongolo Water Pan Project in Kakola Ombaka Village in Kano, Kisumu County**



Source: Field Visit



**Plate 4: Bamboo planted to stabilise the banks at Dak Ongolo water pan**

## Challenges

- I. The water pans have not been fully completed and lack vital structures such as outlets. This exposes the locals to increased flooding risk when the pans are full. The edges of the water pan are becoming steep due to erosion, thereby presenting a hazard to the community.
- II. The pans have attracted a hippopotamus which frequently visits, exposing locals to danger.
- III. The dilapidated fence at the pan has also left the pan bare thereby exposing the community to the dangers that may come with the pan. The community members fear cases of drowning in future if the pan is left unfenced.
- IV. The pans experience siltation because of soil deposits, making flooding even worse when it rains. In fact, the beneficiaries mentioned that flooding emanating from the pan is more intense than before. They suggested that if the pan cannot be completed and an outlet provided for, then VIRED should cover it to avoid future calamities since the absence of a fence and outlet among other infrastructure is bound to cause harm either by drowning livestock or humans.
- V. Construction of dykes, a component undertaken by LBDA, which conducted a feasibility study. Originally four sites each a kilometre were earmarked on rivers Nyando, Ombeyi, Asao and Orije. Due to cash constraints only one site is to be constructed on River Asao. LBDA and NIE are in the picture on the progress.
- VI. From the responses, it looks like there is little ownership since the community groups were not adequately involved in project planning, design and implementation.

*“The project has more disadvantages than advantages to the community, so if it cannot be completed, NEMA and VIRED should go fill up the water pan.....” FGD from one of the SEEs*

### 3.3.5 NASARU WOMEN CBO

Implementation area: Kajiado County.

NASARU was supposed to implement activities under components 1 and 2 for 2018/2019 as summarised below. Table 3-5 summarises the status of the planned activities by NASARU Women CBO.

**Table 3-5: Summary Status of Activities by NASARU Women CBO**

COMPONENT 1: Enhancing climate change resilience for improved food security in selected counties		
Target	Achieved	Comment
<b>Output 1.1. Increased adoption of drought tolerant food crops and high value crops</b>		
Purchase and distribute Amaranthus seeds to 250 vulnerable households (10 kilogrammes per household)	Implemented	Challenges in propagation due to drought
Purchase drought tolerant seeds of orphaned crops (sorghum, cowpeas, green grams) to 250 vulnerable households (10 kilogrammes per household)		
Training of women representatives on the growth / cultivation of drought resistance crops		
<b>Output 1.3. Increased food production through appropriate and efficient irrigation methods</b>		
Install micro- irrigation kits for 60 kitchen gardens	Pending	To be integrated in adaptation villages
Training workshop on irrigation kit management		
Training for 30 technicians on irrigation		
<b>Output 1.4. Enhanced efficient food utilisation through implementation of post-harvest strategies and value chain approach</b>		
Market survey		Not Implemented
<b>Output 1.5. Increased animal production through adoption of drought tolerant animal breeds, pasture conservation and emergency fodder banks</b>		
Procure planting materials for drought tolerant fodder		Component dropped
Procurement of hay making equipment		
Train women representatives on environmental management, aloe vera growing and kitchen gardening		
Procurement of hay making equipment		Dropped

**Output 1.6. Enhanced land productivity through ecological land use systems, conservation strategies and management technologies**

Procure and distribute aloe vera seedlings to 2,500 households	Pending	Planned for the next three months
Procure aloe vera processing machine		
Training for women representatives on environment management, aloe vera growing, hay making and management of kitchen gardens		

**COMPONENT 2: Improving climate resilient water management systems to enhance food security in selected Counties**

**Output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation**

feasibility study for construction of 50 water pans	Four (4) solarised boreholes sunk and fully equipped Water Kiosks and sanitation facilities sunk Sites fenced	Changed to Adaptation Village Model comprising of solar powered boreholes, social hall, water troughs
Construction of 50 water pans		
Construction of water troughs		
Make dams protection works (grassing and tree planting)		
Maintenance of water pans and other equipment		

Discussions and engagements with the NIE and Field Implementation Committees (FICs) led to several changes that recommended a shift to the model of Adaptation Villages. The Adaptation Village offers a centralised model that enhances accessibility and community ownership of the climate adaptation programme. The Adaptation Village comprises water and sanitation components (borehole, water kiosk, water trough and sanitation facility), demonstration farms for sustainable farming, field schools- a training hall and alternative livelihood (aloe processing, hay storage etc.). The training hall will accommodate the training needs and activities and serve as a community resource centre where farmers will learn the various activities.

**Under Component II**, the project sunk five boreholes instead of 50 water pans. The boreholes include a solarised water pump, storage tank, sanitation facilities and water troughs. The programme had a budget of KShs 30, 489, 982.80 (USD 304,898.28) to construct 50 water pans, translating to KShs 609, 796 (USD 6,097.96) per water pan. A pan costing approximately KShs 609,000 would yield approximately 2,000 cubic metres of water. With the elevated temperatures and high evaporation rates experienced in Kajiado West, this kind of water pan would dry up in less than a month after a rainy season. This therefore is not an effective adaptation measure for water availability.

For this reason, this budget was reallocated to sink five (5) boreholes. The boreholes are more practical adaptation measures because they have a potential to avail water even in dry seasons. However, two of the boreholes did not strike water, despite hydrogeological reports having been produced. The functional boreholes have managed to serve target communities thereby addressing inter-community conflicts over access to water. Committees have been put in place to oversee the running of the boreholes. The committees will be trained on different aspects of water project management.

Sustainability of the borehole is enhanced using solar energy for pumping, then water flows via gravity. Availing water will free up a considerable amount of working time that can be invested in productive activities, e.g., dry season farming. The boreholes provide an opportunity to stabilise, increase and diversify production (e.g., vegetable production including during the dry season to complement staple crops). Surplus produce can be sold to generate income. The increased availability of food can improve food security and nutritional intake for the rural women in Kajiado.

### Key Achievements

- I. There has been drastic reduction in distance to water points, thus a big relief to the women who used to walk for over five kilometres to fetch water using donkeys. The freed-up time can be used for other productive activities.
- II. There is some revenue generation by the project, though this income stream is yet to be well structured.
- III. There are plans by the women group to lease three acres to be used for farming. This is at an advanced stage as evidenced by the lease documents being prepared for the identified parcel of land next to the project site.





### Key Challenges

- I. There is no structured system for managing income from the borehole yet.
- II. The committee has not benefitted from any training on how to run the project.
- III. The group is yet to benefit from any trainings, and this has affected uptake of other activities like demonstration farms.

### 3.3.6 ADRA

ADRA implemented a project titled: **Enhancing Adaptive capacity for Lower Yatta Sub -Counties**. Lower Yatta includes sub-counties in Machakos and Kitui counties in the lower Eastern and central Kenya County of Muranga. The impact of climate change is pervasive partly due to an overreliance on maize as the staple crop, high average temperatures (ranging from 29°C to 36°C), poor rainfall (ranging between 450mm and 800 mm per year), low levels of technological adoption (including inputs such as fertilizer and certified seeds) and poor post-harvest management practices. The Adaptation Fund project implemented components 1, 2, and 5 in the area.

**Table 3-6: Summary Status of Activities Implemented under ADRA**

<b>COMPONENT 1: Enhancing climate change resilience for improved food security in selected counties</b>		
<b>Target</b>	<b>Achieved</b>	<b>Comment</b>
<b>Output 1.1. Increased adoption of drought tolerant food crops and high value crops</b>		
Distribution of 15,000 Kilogrammes of drought tolerant food crops to vulnerable households	Distribution of drought tolerant seeds namely maize, beans, green grams, cowpeas, pigeon peas, sunflower, sorghum, millet, black beans, cassava and distributed to vulnerable households in Lower Yatta	This has been done though the initial target numbers were not achieved
Support establishment of demonstration plots on cropping systems for selected drought tolerant seeds for food crops	Demo plots were established by the various project sites, each measuring an acre	Achievements estimated at 60 per cent
Training of Trainers (TOT) - Planting drought resistant seeds	Farmers trained on drought-tolerant cropping systems and smart Agriculture	
<b>Output 1.2. Diversified alternative livelihood sources</b>		
Procurement of 11,000 mango seedlings	Grafted seedlings (mangoes) procured, distributed and planted by community groups	This has been done though the initial target numbers were not achieved
11000 scions purchased and distributed		
Training of Trainers (TOT) - Agro economic practices of the mango tree	Educating youth groups on tree nursery establishment and grafting of mango seedlings	Achievements estimated at 60 per cent
<b>Output 1.6. Enhanced land productivity through ecological land use systems, conservation strategies and management technologies</b>		
Training of Trainers (TOT) - Soil and Water conservation structures	Promotion of soil and water conservation measures	Partially done
Demonstrations on soil and Water conservation		
150 youths trained on tree nursery management and environmental conservation		
<b>COMPONENT 2: Improving climate resilient water management systems to enhance food security in selected counties</b>		
<b>Output 2.1. Established appropriate physical assets and infrastructure for water harvesting, storage and irrigation</b>		
Community capacity building and training in water resources management and on operations and maintenance	Not yet Implemented	Planned for next three months
Construction of one water pan and intake		
Establishing operation and management structure for the irrigation system		

The change in project implementation and water provision technology from sand dams to boreholes made it difficult for the implementation of this comment. ADRA insisted on their contractual agreement with NEMA, leading to stoppage of the project implementation activities.

### Key Achievements

- I. There has been increased uptake of grafted mangos in the area that initially used to grow traditional mangoes. These yield more and fetch higher prices, and ultimately improved livelihoods.
- II. The trained farmers are offering extension services to local communities, thus an additional source of income to them, as well as contributing to increased productivity in the area.
- III. Uptake of drought tolerant crops like peas has led to increased harvests in the region thereby addressing food insecurity as well as contributing to increased earnings. For example, members of Kawongo CBO harvested 400 metric tonnes of green grams and 600 metric tonnes of millet in 2019.

**Plate 6: Mango and banana plantation belonging to one of the beneficiaries at Kawongo**



### Challenges

- I. Delay in funds disbursement especially when dealing with seasonal agricultural activities has a significant effect on the output and project impacts.
- II. Failure to adhere to the proposal document (financial and technical) drastically affected the project activities, perceived technical capacity of the implementing entity and therefore negatively impacting on the perceived outputs of the project.
- III. Procurement process based on government bureaucracy seems expensive and characterised by wastage.
- IV. Dealing with unexplained changes significantly affected project delivery. In this case resulted in disagreement between the NI, EE and sub-EE.
- V. Monitoring and evaluation of project activities were not scheduled and were thus conducted haphazardly.

### 3.3.7 Kenyatta University

Kenyatta university was supposed to provide research and capacity support for best practices in climate resilience. Specific activities to be implemented by the institution have been summarised in table 3-7.

Table 3-7: Summary Status of Activities Implemented under Kenyatta University

COMPONENT 5: Strengthening capacity and knowledge management for programme implementation and climate change adaptation		
Target	Achieved	Comment
<b>Output 5.2. Knowledge generation and dissemination</b>		
Research on generation of best cropping systems for climate resilience	Completed	Research papers published
Generation of best practices: best cropping systems for climate resilience (data entry and analysis)		
Documentation of research findings		
Farmer field days to showcase project findings	Water project to support the component turned out saline. Awaiting desalination system	Component hampered by saline water
Farmer tours and visits		
<b>Output 5.3. Awareness creation and sensitisation on climate change adaptation.</b>		
Procurement of 11,000 mango seedlings	Pending	Component awaiting desalination of borehole water
Paper publications and policy brief	Several publications done by the institution	
Print media		
Training of Government officers, policy makers, county administrators and relevant government staff on climate change adaptation to create a linkage of this programme with existing government programmes	Training undertaken for government officers	

With the change in design, Kenyatta University, through the Adaptation Fund, drilled and equipped a borehole at Vota Primary School in Machakos County. The borehole supplies water to the water-scarce area, improving the community's livelihood. The borehole yields 40 cubic meters of water per hour. This water is being used by over 15 households including local schools and other neighbouring public institutions.

## Challenges

- I. The water is saline thus unsuitable for use in farming, effectively rendering the component on food security impractical.

**Plate 7: Headmaster of Vota Primary School and the evaluator next to the borehole project**



**Plate 8: Farms by students using the water for irrigation: Note the colouration on the soil due to quality of water**



### 3.3.8 Progress to Impact

KIIs established that the project activities are at an average of 60 per cent completion. This is despite the fact that the project should have been closed by now due to end of the project period. This has hindered the full realisation of the intended project impact. However, from the implemented components, the impact has generally been positive, and the beneficiaries have appreciated the project benefits.

Full impact will be released upon completion of pending tasks and beyond the project lifespan as beneficiaries make use of the interventions to better their livelihoods and increase their resilience to climate change impacts. As at the time of this social audit, it is estimated that only 60 per cent of the planned tasks have been implemented.

During project implementation, it was observed that water was a key challenge to the success of demonstration projects for livelihoods and food security. The training component was therefore suspended, awaiting completion of the hardware (Adaptation Villages), after which all the training shall be conducted on site.

As at the time of the social audit, the NIE informed the audit team that plans were underway to finalise the pending training components, including monitoring and evaluation.

## SUMMARY AND RECOMMENDATIONS

### 4.1 General Observations

During the initial years of project activities, NEMA raised several issues related to overall project implementation and value for money. The EEs and SEEs feel that these issues have since been resolved. To this end, the SEEs and EEs feel that NEMA should resume disbursement of funds towards project activities, to enable their completion.

#### 4.1.1 Sustainability

The shift from water pans to boreholes presented long term benefits in terms of sustainability. The training components are also key in driving changes with knowledge, awareness and practice, that in the long term offers long term sustainability once behaviour change is achieved.

Delays in implementation of project activities have impacted sustainability given that lack of training on operation and maintenance for hardware interventions have implications on their functioning. This points to the need to implement this component.

In general, the project has embedded key elements of sustainability within its design and approach. Notable aspects include:

- I. Infrastructure projects subjected to environmental and social impact assessment.
- II. Choice of project sites were guided by land ownership structure, with preference given to land within institutions (churches and schools) and communal lands. For infrastructure components within private land, agreements have been drafted with the landowners to grant wayleaves as required.
- III. To ensure financial sustainability, the interventions had a commercial element where the groups would raise some resources from sales thus enhancing livelihoods, while also ensuring financial continuity of the interventions.
- IV. All borehole-related infrastructure is powered by solar, thus no energy related costs that form a heavy component of operations and maintenance which push up running costs.

Several threats to sustainability have been identified key ones being:

- I. Lack of training of water committees in projects that involve water resource management and service provision.
- II. Delays in official handover of some of the projects to the beneficiaries.
- III. Uncompleted projects might lead to maladaptation.

#### 4.1.2 Project Impacts

For food security-related projects, the following impacts were observed:

- I. Increased knowledge on improved farming techniques has led to increased yields within the target areas. This has boosted food security.
- II. Livelihood diversification within the beneficiary communities: The beneficiary communities are using the knowledge and skills gained to diversify their livelihood activities.

*"I was taught how to grow drought tolerant crops. Nowadays I grow green grams, and I am enjoying the benefits".*

*"I used to grow traditional mangoes on my farm. I was trained on grafting mangoes. Nowadays I do it for business, and I have also increased the number of mango trees in my farm" ... FGD discussants in Kawongo*

For water-related interventions

- I. Reduced distance to water translating to reduced suffering amongst pastoral communities.
- II. Changes in livelihood through diversification to crop farming among pastoral communities.
- III. Reduced losses related to drought.
- IV. More time for women to engage in additional socio-economic activities.

*“The average distance to water here was five kilometres. Women had to travel far with donkeys in search of water. But with this project intervention, now water is readily available, and the women here can refocus their time and energy on other productive matters.”* FGD discussant in Kajiado West

## 4.2 Monitoring and Evaluation

The component has been weak at EE and SEE level. However, the NIE has been doing its own monitoring and evaluation. It is important to note that monitoring and evaluation would have been easier when undertaken by the EE and SEEs, freeing up the NIE to only undertake oversight activities.

## 4.3 Recommendations

### Project Design

1. For future projects, there is need to allocate resources towards capacity needs assessment and capacity development for EE and SEE so that they are well equipped to fully implement project activities. This will help build local capacities towards design and implementation of climate adaptation projects.
2. Future applications of climate financing projects should consider provisions for additional dedicated staff especially in the NIE.
3. The structure of the PSC, where a NIE decides to establish one to oversee the implementation of the project, should be established in a manner that does not create conflict of interest in the implementation of the programme.

### Programme Activities

4. There is need for the NIE to endeavour to implement programme activities within approved timelines. If they foresee delays in completion, there is need to apply for no cost extensions to allow completion of the activities.
5. The NIE should put in place systems and structures that facilitate timely release of resources to EEs for timely implementation of programme components to maximise project impacts. This should target EE and SEEs as appropriate actors that have demonstrated compliance with the set conditions given by the NIE.

### Grievance Redress

6. A grievance redress mechanism and a complaints mechanism should be developed and implemented appropriately. While the grievance redress mechanism facilitates redress of beneficiaries' grievances, the complaints mechanism ensures complaints between the SEEs, EEs and the NIE are handled in a timely and efficient manner. This mitigates project delays.



### Project Sustainability

7. There are cases of breakdowns in project infrastructure. Case in point is the pump at Malinga smallholder irrigation. NEMA should take stock of the status of these infrastructure and work with relevant stakeholders to facilitate repairs and official hand over.
8. Training for committees that are taking up management of project-related infrastructure should be prioritised to ensure proper operation and maintenance
9. On participation, NEMA should have better forums for stakeholder engagement to dispel the feeling of “big brother bullying the siblings.”
10. There should be collaboration and involvement of the beneficiaries in the design of the project and implementation to integrate the ideas of the beneficiaries and have the projects respond to their needs. Case in point is the Mwaembe shoreline stabilisation project where the BMU felt that the contractor did not design a project that addressed the problem that was intended to be solved in the first place.
11. Activities that have registered successes and impact should be identified for upscaling.
12. NEMA should ensure that all the projects that were planned for under Adaptation Fund are completed since, in the long run, some of the projects could be considered as white elephant projects if not completed. An example are the water pans that were reported to be causing serious flooding during rains due to lack of outlets instead of controlling floods.

## ANNEX: LIST OF INTERVIEWED PERSONS

	Entity	County	Specific Location
1	Tana and Athi Rivers Development Authority -TARDA	Machakos	Ngetani, Masinga sub-county, Machakos County
		Makueni	Kibwezi areas, Makueni County
		Embu	Machanga area, Embu County
2	The Kenya Forestry Research Institute (KEFRI)	Kajiado	Kajiado South sub county, Kajiado County
3	Coast Development Authority	Kwale	Kwale – Vanga and Gazi areas, Wasini Island
		Kilifi	Midoina area, Kilifi County
4	Adventist Development and Relief Agency (ADRA	Kitui	Kitui County Lower Yatta Sub County, Kawongo Nyanyaa; Mukusia)
5	Victoria Institute for Research on Environment and Development (VIRED)	Kisumu	Kisumu County Nyando Sub-County
6	Kenyatta University (KU)	Machakos	Kathekakai Sub-location in Muia Location
7	Nasaru Women CBO	Kajiado	Kajiado west





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