NHESS-2020-122: Are Kenya Meteorological Department heavy rainfall advisories useful for forecast-based early action and early preparedness?

Cover letter

We present a revised version of our manuscript for your consideration. We thank both reviewers for their detailed and helpful comments. Based on these comments we have modified existing and added new analysis of datasets provided by the Kenya Red Cross Society (KRCS).

We have closely followed the planned point-by-point responses which we provided during the discussion phase of the paper. In summary the key differences in the revised version of the manuscript are:

- New analysis (figure 7), which shows skill of the advisories when evaluated against a large record flood events provided by KRCS.
- The use of "population exposed to flooding" (rather than total population) to estimate the relative scale of preparedness implied by advisories. This has modified results presented in figures 5 & 6, but conclusions are unchanged.
- Reduced text in the methodology section and added extra subheadings to clarify the flow.
- Added discussion points to the text, following the point-by-point responses provided to both reviewer 1 and 2.
- Improved use of punctuation by removing uncessary commas and reduced redundant text througout.

There were a few minor comments of reviewer two which were not adequately addressed in our original response; we have highlighted these below. All other edits suggested by both reviewers were implemented following the description in our responses. The changes can be seen in the new manuscript version which includes track changes.

Our new analysis makes the main findings of the paper more robust and strengthens our key conclusion that advisories show skill when measured against flood events and have improved in recent years. Our conclusions are thus unchanged. Reviewer 2 suggested that we should be more cautious about our statements of skill given the small EM-DAT sample, however with the new verification against the large sample of KRCS flood events we draw our conclusions with confidence. We have also added a co-author, Michael Osunga at KRCS, who has been instrumental in preparing the exposure data used (point two above).

We look forward to your consideration of our revisions,

With thanks

David MacLeod (on behalf of co-authors)

Additional point-by-point responses to reviewer two:

5.) L19: is it really a "movement"? In L31 it is called a "society"?

The original manuscript is correct. The International Red Cross and Red Crescent *Movement* is the larger organization, consisting of International Committee of the Red Cross, the International Federation of Red Cross and Red Crescent Societies and the 191 National Red Cross and Red Crescent Societies (one of these being the Kenya Red Cross Society, a partner on the work and discussed in the paper).

13.) Table 1: Why don't you merge the first two entrances?

The first two entrances in the table are two independent advisories, issued on 2nd June and 2nd July 2015 respectively; it is not clear why we should merge them.

31.) Figs.: I would generally not start a caption with a question.

We have retained this format as we believe it helps readability: we are being explicit about the question which each figure helps to answer. We will leave it to the journal editors if this is inappropriate style.

NHESS-2020-122: Are Kenya Meteorological Department heavy rainfall advisories useful for forecast-based early action and early preparedness?

Response to review RC1

Original comments are duplicated below in blue, with our responses following in turn.

This manuscript provides an evaluation of 33 Heavy Rainfall Advisories (HRA) issued by the Kenya Meteorological Department (KMD) during 2015-2019. This analysis is potentially useful for forecasters, practitioners, and decision makers concerned with the prediction of natural hazards and communication of warnings for early action in the region. Since it is essential to evaluate the skill of operational early warning systems, the first assessment of these advisory warnings for Kenya reported in this manuscript is of great practical value for the community. Such an analysis has the potential to provide some evidence-based recommendations for future improvements of similar heavy rainfall advisories in Kenya and in similar contexts.

In general, the article is quite well written and easy to read, even if some specific parts should be improved by making the text clearer, providing some more context and motivations, giving some important details or references to support some statements/assumptions (see major and specific comments below).

However, the manuscript needs some major revisions: the authors should make more efforts in terms of analysis to address the questions posed here more thoroughly, improving some methods to provide more quantitative elements on whether these HRAs are useful and how they could be improved, but also discussing more thoroughly the current barriers and limitations of the HRAs (especially the spatial detail issue, see comments below) and how these fit within the context of current and future coproduction efforts. Some justifications used to support a qualitative (or proxy-based) analysis are not convincing. The proxy/qualitative indicators that are used to answer two central questions in the article (questions 1 and 2, see page 5) can provide only partial insights and non-robust indications on the usefulness of the advisories (given unrealistic or not convincing assumptions on relevant trigger probabilities and population exposed to flooding). So far, some parts of your analysis cannot convincingly support a few central points of your conclusions. Thus, major revisions are recommended.

We thank the reviewer for their supportive appraisal of our work and their constructive and insightful feedback.

In response to these comments and suggestions we plan significant additional analysis for a revised version of the manuscript. In particular we will use new datasets created by the Kenya Red Cross Society (KRCS), which have been generated since submission of the manuscript.

Firstly we will use ward-level data on population exposed to flood risk instead of total population in order to improve estimates of the scale of preparedness implied by each advisory. Secondly we will use a county-level database of all reported flooding between 2015-2019 to complement the verification of advisories against EM-DAT. This new dataset contains 184 unique days with reported flooding, which will enable us to evaluate skill statistics more robustly.

Description of additional changes and our responses follow.

Major comments

1. The first major concern is that to estimate the relative scale of preparedness implied by each advisory, the population exposed and vulnerable to heavy rainfall and consequent impacts (flash floods, water-logging or riverine floods) should be used instead of the total population for each warned county. The total population living in a warned area seems an oversimplified and unrealistic proxy indicator, that does not provide a measure of the number of people likely to benefit from flood preparedness actions in the region and does not allow a comparison of the extent of preparedness action required between advisories. The authors partly recognise this issue, but do not address it properly and do not convince the reader on the value of their 'firstguess' estimates. A proxy estimate based on the total population per county does not seem a sensible approach even to provide a broad indication of the relative amount of preparedness appropriate for each advisory (see L. 170-174). The broad indication derived from this proxy could deliver the wrong message (or maybe the right message but for the wrong reasons), being based on assumptions that are not necessarily true (i.e. there is some correlation between total population of a county and vulnerable/exposed population to heavy rainfall per county, but the distribution of vulnerable population across counties may not match the distribution of total population).

Related to this, it should be also acknowledged that although there is an attempt at overlaying population density and rainfall accumulation observed over each advisory window (L. 262-265 and Figure 6b), in many cases the population living in an area receiving heavy rainfall does not coincide with the population potentially affected by flooding, especially for riverine flooding events. Please consider using some additional datasets of population potentially affected by flooding. For example, you might want to use some datasets that exist to better estimate potentially affected population by flooding at least in some areas, based on data available for past events in some regions of Kenya, at least to provide a case-study example of the extent of preparedness implied by a single or few advisories, e.g. for eastern Kenya you could use the dataset available in the OCHA's Humanitarian Data Exchange (HDX) platform, based on Sentinel-1 imagery acquired on 2018 : https://data.humdata.org/dataset/potentiallyaffectedpopulation-by-flooding-in-eastern-kenya-2804

We agree that the use of total population as a proxy for the scale of preparedness implied by advisories is an oversimplification. The analysis referred to intended here to provide a relative scale of preparedness, which it does to some extent (i.e. an advisory warning many small denselypopulated counties might trigger a large intervention than one warning only a few large sparselypopulated counties).

However the reviewer is correct to highlight potential discrepancies in the distribution of the population exposed to flood risk with the distribution in general. For this reason we will update this analysis with a dataset provided by KRCS, who have recently carried out analysis exposure to riverine flooding at ward level, as part of the IARP project. In particular we will use the data for population exposed to a 5 year return period flood; a 5 year event is the focus of the development of flood preparedness triggers in IARP. The data itself has been created by KRCS by integrating inundation areas estimated by ECMWF using GLoFAS with ward level population data.

Using flood exposure data will provide a much more realistic estimate of the scale of potential intervention implied by each advisory. We note that it will only consider preparedness actions aimed at the population exposed to riverine flood and not those exposed to flash flooding or landslides. We will add a discussion on this point.

Regarding the second point (the assumption that an action will be perceived as worthy in a location only if heavy rainfall falls on that location directly). The reviewer rightly points out that there can be a mismatch between local rainfall and flooding when rainfall falls upstream in catchment and floods lower reaches. This means that flooding can occur in a region which saw no heavy rainfall and so flood preparedness may still be perceived as worthwhile, despite no local rainfall. The implication of this is that the analysis of 'action worthiness' (figure 6b) should be interpreted conservatively. That is, the assumption we make does not capture flooding related to non-local rainfall and so the estimate should be considered as a lower bound on 'worthiness'; inclusion of flooding related to non-local rainfall would only increase the estimate. We note that explicitly estimating the contribution from non-local rainfall would require significant hydrological analysis which we consider out-of-scope - for the purpose of the analysis set out in the manuscript a lower bound estimate of worthiness is acceptable. We will add discussion of this point to the manuscript.

2. A second major concern is that triggers should be defined more realistically, based on some relevant rainfall thresholds and effective probability triggers. You argue that you may avoid considering any specific rainfall threshold or probability because it would not 'provide robust statistics and precludes any meaningful statement' (e.g. see lines 138-140). However, while I agree that the sample size and the inconsistencies of the data from these 33 HRAs preclude any meaningful calculation of some verification metrics such as the reliability of probabilities, I think that the available probabilities and rainfall data could still be used to answer the questions in your paper more quantitatively. In other words, I agree that you cannot compare warnings with different levels of spatial aggregation, different temporal windows for accumulation of rainfall, etc., but you can still test whether the HRAs were useful overall for forecast-based early action based on some minimum quantitative analysis. For example, you can set a minimum rainfall threshold (maybe dependent on the window of accumulation, or a minimum with a larger window) and some significant probability based on the classes available, e.g. probability of heavy rainfall ; 33% (and not just above zero). The main problem I see in your analysis is that you have defined the action trigger as the probability (of heavy rainfall) exceeding zero, but an action trigger with a very low probability of unspecified heavy rainfall level seems a very unrealistic trigger even for low-regret actions. Such an approach is likely to lead to overconfident verification results on the value of the HRAs. For example, would a probability lower than 10% of heavy rainfall expected to fall over a big county still lead to any concrete action by government or humanitarian agencies? If you have valid reasons to think so and use a very low trigger probability, you should at least extend the discussion on this point to convince the reader of the validity of this analysis. Maybe you could support this choice based on some literature, or any reported practice in the humanitarian sector, explaining how this would be useful and what actions would be informed – otherwise all the analysis and conclusions seem to be based on unrealistic assumptions. Still, I believe that the analysis would be more valuable if you could show the performance of the warnings for significant probability levels and considering some meaningful rainfall thresholds that are more likely to be used as triggers.

If you defined triggers in a specific and realistic way, this would allow to make your analysis more concrete and link it to some specific actions to determine the extent to which the KMD HRAs could guide 'worthy' preparedness activity. Your definition of 'worthy' action seems being kept purposely vague (in line with a zero-probability trigger) and not clearly defined, referring to any preparedness assistance and no particular action (e.g. line 181). Using some specific examples of actions and trying to quantify whether taking these actions would be worth would be a natural step forward to give more concrete value to your analysis. Please consider including some specific action-based analysis or examples that could give more value to the article.

Assessment of advisories based on specific probability or rainfall amount thresholds is a reasonable approach, especially for evaluation of a potential FbF system which may benefit from the flexibility of a choice of trigger thresholds. However in this particular case there are issues which we believe make an evaluation in this way unreliable.

Firstly the majority of advisories (24 of 33) have the probability category 33-66% assigned. Only two advisories show probabilities below this (0-33%; B and K). Using an increasing threshold above 0% first excludes these two (to which the overall conclusions are insensitive), following this the next exclusion would remove the largest category, leaving only seven (that is, requiring probabilities of greater than 66%). This seven are all in the early period and are not particularly accurate; as we conclude, this is may be related to improvement of the system over time. Thus sub-setting the verification to these 'high-probability' alone is not a meaningful indication of the potential skill of a future FbF system based on the advisories.

Moreover it is unclear that the choice of the probability values is based on objective estimation of risk. Table 1 demonstrates that a variety of probability thresholds were used in the early years of the advisories, however from 2018 every single advisory used 33-66%. This suggests that this broad category may be used 'by default' rather than arising from objective consideration of the risk of heavy rainfall during each specific event. Thus, it is not clear that meaningful information on risk is contained in these probabilities. In addition, it is important that the the forecast upon which an FbF system relies is be as objective as possible. If a large release of money were dependent on the exact value of an entirely subjectively-determined probability (for example), there is a non-scientific incentive to modify the probability. So, we feel that a trigger of 'release of an advisory' is more insensitive to this potential issue than a trigger of a specific probability threshold.

Regarding the use of rainfall thresholds to sub-select the advisories: this runs into the problem of variations in length of the advisory window (mentioned in section 2.2 and by the reviewer above). So whilst mention of 50mm in the advisory could be used as a threshold, these advisories can warn of quite different events; some warn of 50mm on a specific day, others expect 50mm accumulation over a period of four days. In addition some advisories targeting multi-day windows warn that 50mm in 24 hours is expected on one of the days in the period, whilst others only warn of 50mm total over

the four days. Using a criteria of 'mentions 50mm' would also exclude advisories which mentioning smaller totals but are focused on shorter windows. These shorter more intense rainfall events could be just as damaging as higher accumulation over a longer window. Given then the 'problem' of variable window length, and the inconsistent definition of accumulation within each advisory (per 24 hours, or total accumulation), we do not think it is insightful to use these thresholds to subset the data.

These issues around using probability and accumulation thresholds to subset the verification are described in the paper (line 108-9, section 2.2), so we do not feel this requires additional detail. However we do note the reviewers point:

"would a probability lower than 10% of heavy rainfall expected to fall over a big county still lead to any concrete action by government or humanitarian agencies?".

We have essentially suggested this in line 140, by saying that:

the action trigger is defined as the probability of heavy rainfall (of any specific threshold) exceeding zero..

However on reflection we feel this is somewhat misleading, since very low probabilities have not been a feature of the advisories for several years, and the information content of the specific values of the probabilities is unclear (see discussion above). Instead we would frame action as being triggered not on 'non-zero probability', but on 'the decision to release an advisory'. We will modify this line in a revised manuscript.

Finally regarding the suggestion of evaluating the worthiness of specific actions. This would require estimates of the cost and potentially avoided losses associated with certain actions. We are not in possession of this information and our estimates would be highly uncertain and likely misleading. A full econometric analysis of an FbF system would require significant additional research and we consider this beyond the aims of the current paper (e.g. see the research questions outlined in lines 146-9). However we would discuss this need in a revised manuscript.

3. There is a lack of evaluation of misses (missed events in the warnings) or at least a discussion on it: the evaluation of observed events is only based on seven reported impactful events (the most significant floods events in the EM-DAT dataset), and there is no proper evaluation of 'misses' and 'hit rates' based on a large sample, which is a limitation of the data and period available. Despite the obvious sample size issues, it would be probably possible to include in the analysis in Section 3.1/Section 3.3 some more information on observed events also based on other data (not only EM-DAT). Are there any other significant flood events beyond the 7 events from EM-DAT (e.g. maybe events with less than 10 fatalities but still high number of affected people / households affected or damaged) that have been missed by the HRAs during the study period? Please discuss this.

If more events were available (beyond EM-DAT), in Section 3.1 you could include an evaluation of hit rates per county using CHIRPS as reference and/or in Section 3.3 a proper evaluation of misses based on the larger sample of reported impactful events. Without a full evaluation of hits and misses, the 'hits' picture that is given might be misleading and uncomplete. You mentioned some misses because related to the time windows of advisories issued (e.g. for advisories warning "wrong" counties, see lines 233-234). It would be useful for decision makers if you could calculate a proper hit-rate even if based on a sample of 33 advisories. You could focus on a specific trigger probability and threshold rainfall, for example you could keep the 50 mm nominal threshold case and use a specific probability threshold. Of course, using only a single rainfall threshold across a big country as Kenya is not a proper locationspecific indicator of flood impacts, but this would be still useful. Additional analysis with some more observed events (if you had more than these 7) would probably help understand also whether the step change in the advisories in 2017 (access to GHM) reduced the number of misses, as it seems the case from your analysis based on 7 events (Figure 7) and might be expected from the increasing number of advisories per year (Fig. 2a). Section 3.3 could then be more complete by focusing on both hits and misses, by reporting how many observed events were not preceded by advisories.

Since preparation of the manuscript, KRCS have carried out work to identify all reported flooding events in Kenya. We have secured the use of this dataset for inclusion in a revised analysis. The conditions for inclusion in this new dataset are less strict than EM-DAT and so many more events are included: for our study period of 2015-2019 the dataset contains a total of 184 unique days of recorded flood events. We will use this data to carry out additional analysis of hits and misses as is suggested. In response to the question of using specific probability thresholds, please see our response to comment 2 above.

4. The analysis provides useful insights on the possible limitations of the HRAs and reccomendations, but the discussion should make more efforts in understanding and explaining the current limitations of the HRAs. This is essential to provide more specific recommendations for improvement of the HRAs. One of the major limitations of the HRAs that arises from the analysis is the lack of precise spatial information in the warnings beyond the county-level information. As you suggest, free-shape warning areas should be used instead of administrative county boundaries. However, you also explain that such free-shape warning polygons are currently generated by the GHM and are already in use at KMD. Thus, "KRCS could then overlay these with maps of population exposure and vulnerability to flood risk, in order to further narrow down targets for intervention". Then why more precise warnings are not issued yet? It is not clear what is the current bottleneck for providing more spatial detail in the advisories, and it would be important to understand whether there are either scientific / technical or institutional / economical barriers that prevent this, e.g. either whether it's a lack of resources (e.g. GIS technicians) at KMD, or whether there has not been enough co-production effort made so far to enable a full use of the GHM information at KMD, or whether there are some information layers missing (e.g. flood extent maps which do not coincide with heavy rainfall extent). Without an extensive discussion on this point, it is not clear how the spatial detail in the advisories could be improved.

To understand why precise warnings are not issued yet one must consider the primary purpose of the advisories: to provide broad-scale warnings of future potential adverse weather to multiple sectors and the public. The text-based county-level warnings from the advisories are fit for this purpose and as such there is no internal drive from KMD to add additional detail. Only when it has been suggested to use the advisories for a purpose requiring spatial precision (i.e. within an early action protocol), does the motivation for development arise. To our knowledge, our work voices this need for the first time in the literature.

In addition, the Met Office GHM remains a prototype tool and has only been introduced to KMD over the past few years to assess its suitability for enhancing and supporting the development of impact-based warnings. Given that the GHM focuses on forecasting high-impact events, it takes time to both assess the usefulness of the tool but also its potential value in supporting KMD advisory development. One might not expect it to prompt a change in the format of the advisories in this time.

Informal discussion suggests no technical or economic barrier to adding detail to the advisories, however, there may reasonable resistance to modifying the format of the advisories, related to dissemination. In the current form, a bare minimum of technical knowledge is required to correctly interpret the information which facilities understanding and easy dissemination (e.g. through local radio, in-person broadcasts to local communities). To add additional information may limit the ease with which they are disseminated, as well as their interpretability (for instance if some of the audience are not familiar with reading data from a map). Getting the balance between interpretability and detail right is a challenge for KMD (and Met Services in general). We will add some comment on these points in a revised version of the manuscript.

5. Finally, it would be essential to discuss in this article how the HRAs fit within the need "for strengthened coproduction of forecast information and products" (now widely recognised as you also recognise). Is there any issue of national ownership in the use of GHMs from the UK MetOffice in the HRAs?

From your article, it seems that only the subjective interpretation of the forecasts and the writing of the HRAs summary is carried out within KMD and so within the mandated agency in Kenya. How is this perceived at the national level? I can see that the actual sources of forecast information in the HRAs are not mentioned in the HRAs (see Figure 1, no field on 'data sources') so maybe there is no general perception from the communities involved in Kenya or even from county directors / national policy makers around that issue. However, this point would need attention in such a paper.

Also, it would be useful to detail whether KMD get access to raw forecast data from ECMWF and UK MetOffice or only to some end-product maps and the level of spatial detail in these maps (e.g. do KMD get any shapefiles or netcdfs data? At which resolution?). This point might help explain one of the major current limitations (lack of spatial detail in the HRAs) and how KMD and their international partners could deal with it to improve the advisories.

To address these points in turn (detail will be added to the manuscript):

Strengthened coproduction is certainly important; part of the co-production process involves feedback to forecast producers on the suitability of products for a particular purpose. The work we describe here can form part of this process.

KMD use forecast inputs from many global producing centres in the production of their forecasts; use of the GHM in addition to these is not perceived to lead to issues of national ownership.

GHM is made available to KMD via a webpage, which they can review and consider in the context of other model data that is available to them. The layers are published as WMS (Web Map Service) layers which can be ingested into any compatible geospatial software for onward analysis, however this mechanism of data access has not been tested with KMD. If there was interest from KMD in receiving the forecasts in a different format (i.e. as shapefiles or NetCDF) then this could be arranged, or alternatively training on accessing the WMS layers could also be provided (dependent on software availability).

Specific comments - L. 34: it would be good to specify how this UK-funded project fits within the local context and is linked with other projects mentioned (IARP) or not; are these projects making some efforts in coproduction and capacity building and how specifically (only by giving the outputs of GHMs models to local agencies or is there something more, e.g. capacity building efforts)? It would sound very sensible to discuss this.

ForPAc has worked to investigate the possibility for forecast-based action across several case studies and timescales. These includes seasonal forecasting for drought events, urban flooding in Nairobi and extending the Nzoia flood early warning system using subseasonal forecasts. The Kenya/UK team has worked closely with mandated agencies and has undertaken significant engagement with stakeholders, including participatory impact pathway analysis, climate information training workshops and development of forecast production methodology at KMD and ICPAC. Given that the project is only mentioned in passing during the introduction, we will add a short extra line to describe the work.

- L. 45: do KMD work on their own on hydro-meteorological forecasting? The mandates and institutions involved in hydrological warnings in Kenya should be clarified, as KMD is the meteorological agency, and there is also a national hydrological agency, the Water Resources Authority (WRA, https://wra.go.ke/) that should be responsible of flood forecasting activities alongside KMD (e.g. see FLOOD ADVISORIES issued by WRA; see also ODI working paper 553, April 2019, "Reducing flood impacts through forecast-based action" by Lena Weingärtner et al.). The links between KMD and WRA are not clear nor mentioned in the paper. It seems an important point to discuss, as probably a closer collaboration with forecasters at WRA could help make the HRAs by KMD more precise, with impact-based focus and hydrologically meaningful. Is there a link between the KMD Flood Forecasting Unit and WRA? Or is this a current institutional barrier? Hydrological forecasting is at the interface between met and hydro agencies not only in Kenya but in many countries and similar questions may arise elsewhere. Some more context about this important point should be provided.

This is a particularly insightful comment. Work on ForPAc has established that the institutional links between KMD and WRA could be stronger. Efforts are underway which will address this, notably a national-scale flood forecasting system is in development. The reviewer is likely correct that closer collaboration with WRA could help make the HRA more precise, and we will add this suggestion to the discussion.

- L. 101: I would suggest specifying "The GHM system", to avoid confusion with other possible meanings, e.g. HRA or other systems just mentioned in the text - Section 2.2

(Verification Approach): L. 150-219 are difficult to follow and should be reorganised in a more clear or compact way (e.g. with bullet points for all the methods and data associated to each question). - L. 200-206: the part about the dam collapse of May 2018 seems excessively long in the context of this section and should be kept more concise; as it stands, that part does not flow well within the paper.

We will make these changes in a revised version of the manuscript.

- L. 243-244: "As these advisories associate each warning with a probability, these findings are quite consistent" – this sentence is obvious and not specific enough. You could try to add something more relevant and specific, as the previous remarks in terms of convective rainfall and percentage of warned area are interesting. For example, could you see visually any link between percentages of area warned which receive rainfall accumulation above the 50mm threshold and geographical locations/counties that are known to be more subject to convective rainfall?

With this sentence we only mean to highlight that although a lack of heavy rainfall in a location would not necessarily invalidate a probabilistic forecast. This may be obvious to some, but we feel it is worth stating explicitly here. The suggestion that 50mm warnings may be more frequent in convective regions is interesting, although it is difficult to confirm this: visual inspection shows that nearly all counties feature in at least one 50mm advisory.

- L. 347: "These kinds of actions would have significant costs, so more than ten triggers in a year may not be realistic" – that sounds reasonable but too approximate to be stated in this way, could you provide more details (e.g. approximate estimate of costs and resources) and improve the sentence? Are there any references supporting this sentence (and the number of ten triggers)? Are there any estimates in the scientific/economic literature or in reports of humanitarian agencies on the resources that would be needed / are available for early action and flood preparedness in Kenya or maybe in any specific region within the country?

From the Red Cross perspective, the typical event to be targeted is an extreme event, rather than one which may occur every year. See for example step 6 in the FbF practitioners handbook (https://manual.forecast-based-financing.org/chapter/set-the-trigger/). In addition, the developing KRCS protocol for flood preparedness is focusing first on a one in five year return period flood event. However, it is not possible to say for sure that ten triggers is not realistic; there may be lowregret actions for flood preparedness (such as fast-tracking drainage clearance which has already been planned and budgeted for). We will add these details to the revised manuscript.

- L. 405: "For this purpose they are effective" sounds a bit overstated, e.g. given the lack of spatial precision that you highlighted in the paper, the large area warned by identifying counties in the text may not be effective (people in an affected county may not take county-scale warnings so seriously, if these are preceded by warnings that were not followed by any event in their specific area in that warned county).

We disagree; we state that they are effective at alerting to the possibility of heavy rainfall and believe that do this successfully. Of course the warnings may not be sufficient to guide specific preventative actions. It is our understanding that the advisories are an important information source followed by humanitarian agencies (e.g. Kilavi et al. (2018) note dissemination and use of HRA during the long rains).

- "Data and verification approach" section: some final parts do not flow well and could be improved (e.g. more clear organisation by points and questions addressed); some parts need more details or references to the scientific literature or humanitarian reports to back-up some assumptions made (e.g. see also remarks in major points above).

We will work to improve the flow, details and references of this section in a revised version of the manuscript.

- "Discussion and recommendations" section: there is a lack of discussion on the temporal consistency in the HRA dataset. There is a difference in the source rainfall forecast in the new data in recent years, but also the number of HRA has increased. So, what role does this inconsistency play in comparing earlier years with more recent ones? For example, the number of hits in recent years is expected to be higher simply because there are more warnings issued.

This is a reasonable point; more frequent issuance could lead to more hits. However we do also note that earlier advisories tended to perform more poorly (see figures 4 & 6), which suggests that the quality of the advisories has improved, along with their frequency. We will add this discussion to the revised manuscript.

Technical corrections - Table 1, column 3 - "Period length" is missing the units (days, probably)? - L. 2 (Abstract): "Forecast-based Action/Finance (FbA)", it seems that Forecast-based Financing is more used than Finance, please check. - L. 19: Climate risk or better hydro-meteorological risk? - L. 27: repetition to avoid in (see Wilkinson, for. . .) as L.23 already mentioned it - L. 29: 'individual expenses' and/or probably even more 'community expenses'? - L. 164-165: it's fine to focus the discussion on results for 50mm accumulation, but maybe you can say here more explicitly that you took this threshold as "working definition for heavy rainfall", as sometimes later in the results section this is the wording you use (e.g. Line 246), so good to define it clearly from the methods, still mentioning the limitations of it as you do. - L. 167: "To answer question .. we estimate" is missing the question number - L. 399-400: see sentence "We find that an increase in skill over time, and that. . .", to be corrected. -L. 438: higher-cost actions -L. 456: repetition, "would would" - L. 470-471: repetition of "in Kenya" - L. 484: "mitigating the risk from risks", I would avoid the repetition - Figure 4a, caption: please clarify whether by "inner and outer quartiles" you mean "inner and outer fences" (which seems more common wording in this context)? - see "(dark/light shading shows inner/outer quartiles and dot indicates the median". (by the way, a parenthesis is missing there).

These will be fixed in the new version of the manuscript.

NHESS-2020-122: Are Kenya Meteorological Department heavy rainfall advisories useful for forecast-based early action and early preparedness?

Response to review RC2

Original comments are duplicated below in blue, with our responses following in turn.

This short paper gives an insight into how flood warnings are generated at the Kenyan weather service and how their skill evolved over the last 5 years. Despite the relatively small number of cases and some data inhomogeneity, I find the paper useful for practitioners and generally welcome publication of such work. Overall the paper is well written and logically structured. There is, however, substantial room for improvement with respect to data and the evaluation methodology as detailed in the following major and minor comments.

We thank the reviewer for their support of our work and their useful feedback. In order to meet the request for improved data and evaluation we plan significant additional analysis for a revised version of the manuscript. In particular we will use new datasets created by the Kenya Red Cross Society (KRCS), which have been generated since submission of the manuscript.

Firstly we will use ward-level data on population exposed to flood risk instead of total population in order to improve estimates of the scale of preparedness implied by each advisory.

Secondly we will use a county-level database of all reported flooding between 2015-2019 to complement the verification of advisories against EM-DAT. This new dataset contains 184 unique days with reported flooding, which will enable us to evaluate skill statistics more robustly.

A full description of additional planned changes and our responses follow.

MAJOR COMMENTS:

1.) Evaluation procedure: Classically one would consider hits, false alarms, missed events and correct non-events. This would enable the computation of all the classical scores such as Proportion Correct, Heidke Skill Score etc. Your analysis gives a good idea of hits and false alarms but the missed events are only treated with respect to the 7 flood cases from the EM-DAT database. Can you not use CHIRPS to give some idea for missed heavy precip events that you could define to have a certain intensity and spatial reach (as pointed out in Point 2 of Reviewer 1)? After that, all days that remain would be correct negatives. This would allow a more quantitative treatment of skill.

Since preparation of the manuscript, KRCS have carried out work to identify all reported flooding events in Kenya. We have secured the use of this dataset for inclusion in a revised analysis. The conditions for inclusion of flood data are less strict than EM-DAT and so many more events are included: for our study period the dataset contains a total of 184 unique days of recorded flood events. We will use this data to carry out additional analysis of hits and misses as is suggested.

In response to the question of using CHIRPS to define misses; this faces a challenge in defining a consistent event across advisories (which vary in forecast window) and across counties (which vary considerably in size). This is discussed in the manuscript in section 2.2. We had previously investigated the possibility of requiring a certain intensity and spatial reach in observations (e.g. requiring a certain area to receive significant accumulation). However the definition is somewhat arbitrary and different choices of event definition lead to quite different results, without a clear way to objectively choose between them. For this reason, we instead have used the observed record of flooding to define hits as it is less ambiguous. Given the extended flood database we mention above, we will now be able to more robustly calculate the hits and misses as suggested above.

2.) Language: Overall the paper is nicely written and the level of language high. However, some passages are a bit wordy and redundant and I would therefore ask the authors to careful assess the potential for shortening. Given your overall low levels of statistical significance, I would also be a little more cautious with statements on skill throughout the text.

We will reduce redundant text and ensure our statements on skill are consistent with the results presented in a revised version of the manuscript.

3.) Abstract: In its current state the abstract does not really explain well what the paper is all about and in what way it is important, new and special. There should be more information on data, method, results and limitations.

We will increase the information content in the abstract in a revised version of the manuscript.

4.) Rainfall data: This is always an issue. There are many different products with strengths and weaknesses. Please provide more evidence that CHIRPS is a good one (the best?) to use and possibly repeat exercise with an alternative source of information.

We use CHIRPS as it takes advantage of satellite coverage, whilst 'ground-truthing' against station records. CHIRPS compares favourably to other satellite-based datasets over East Africa (Dinku et al 2018).

In addition, a global evaluation of 22 rainfall datasets (Beck et al 2017) recommend the use of CHIRPS in particular for tropical regions. Beck et al 2017 note difficulty in providing reliable recommendations in regions such as Africa where rain gauge data is limited. However for Kenya in particular the station density used in CHIRPS is relatively good (see for example https://data.chc.ucsb.edu/products/CHIRPS-2.0/diagnostics/chirps-n-stations_byCountry/Kenya.1981.

Weaknesses with CHIRPS include spurious drizzle and an underestimation of peak magnitudes (Beck et al 2017). Our analysis is likely to be insensitive to spontaneous drizzle, although an underestimate of peak rainfall implies a conservative bias to our evaluation of the skill of advisories for predicting threshold accumulation (e.g. figure 4b, figure 6). Here the advisory area receiving threshold accumulation may be higher than CHIRPS suggests. Having said this, Beck et al 2017 find

3.9%99.9% percentile Jan-Dec CHIRPS_33-45E_-6-6N precipitation [mm/da 1981:2020

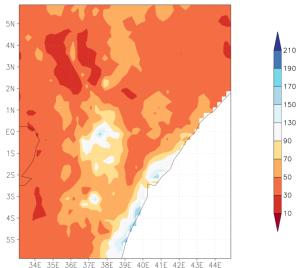


Figure 1: 99.9th percentile of CHIRPS daily rainfall over Kenya, from Climate Explorer

that the most extreme rainfall (e.g. 99.9 percentile of daily rainfall) shows most underestimation. Analysis shows that a 99.9 event over Kenya in CHIRPS ranges from 30-130mm per day (figure above), whilst our focus is on multi-day accumulations of 25, 50, 75 and 100mm, suggesting that CHIRPS estimates of totals close to our thresholds of interest are less affected by underestimation compared to the highest magnitudes.

Overall we will add a justification of the use of CHIRPS in the manuscript and following the above. However do not feel that the use of an additional precipitation dataset for verification would bring more robust results. In particular, our analysis ultimately moves beyond uncertainty in rainfall observations by focusing directly on specific flood events (EM-DAT, and the additional flood record from KRCS, see point one above).

Beck, H.E., Vergopolan, N., Pan, M., Levizzani, V., Van Dijk, A.I., Weedon, G.P., Brocca, L., Pappenberger, F., Huffman, G.J. and Wood, E.F., 2017. Global-scale evaluation of 22 precipitation datasets using gauge observations and hydrological modeling. Hydrology and Earth System Sciences, 21(12), pp.6201-6217.

Dinku, T., Funk, C., Peterson, P., Maidment, R., Tadesse, T., Gadain, H. and Ceccato, P., 2018. Validation of the CHIRPS satellite rainfall estimates over eastern Africa. Quarterly Journal of the Royal Meteorological Society, 144, pp.292-312.

5.) Section 2.2: I think that the approach you are taking is largely well conceived (but note my reservations under Point 1) given all the restrictions at hand but the section as written is quite long and your quantitative metrics are only described and nowhere cast into formulas. I suggest giving this section a clearer structure and a more "recipe like" description of how you compute metrics. If you give names or abbreviations to your metrics, you would not need to repeat the description again in Section 3.

We will review this section in a revised version of the manuscript and attempt to reduce unnecessary detail. However we do feel that given the particular challenges to verification, some space is needed in the manuscript in order to motivate and justify why we are unable to follow a standard approach. We are not convinced it will aid readability to introduce equations to abbreviate the metrics we use.

6.) EM-DAT: I find the thresholds of 10 deaths too high and would feel that even one death would justify a weather warning. Given that you have authors from Kenya that may have access to government documents, is there no alternative source of information that would give you a list of flood events of smaller magnitude, too? This would much improve your statistics relative to the few events in EM-DAT!!

See point one above: we plan to evaluate the advisories against a larger record of flood events provided by KRCS.

7.) Population numbers: I agree with Reviewer 1 that a distinction between all population of a county and the fraction likely affected by floods (in particular riverine) would be desirable. However, I can imagine that such fractions are not easily available and feel that the paper would be of value without it. In this case the authors could raise this point more clearly in the text and give at least some orders of magnitude from literature.

Given this comment and the request from Reviewer 1, we plan to improve this part of the analysis by using a dataset provided by KRCS, who have recently carried out analysis of exposure to riverine flooding at ward level as part of the IARP project. In particular we will use the data for population exposed to a 5 year return period flood (a 5 year event is the focus of the development of flood preparedness triggers in IARP). The data itself has been created by KRCS by integrating inundation areas estimated by ECMWF using GLoFAS with ward level population data.

Using flood exposure data will provide a much more realistic estimate of the scale of potential intervention implied by each advisory. We note that it will only consider preparedness actions aimed at the population exposed to riverine flood and not those exposed to flash flooding or landslides. We will add a discussion on this point.

MINOR COMMENTS: 1.) Punctuation: There are a lot of places with inconsistent or suboptimal use of commas. Please check carefully throughout the entire manuscript. 2.) L2: remove "a" as in plural 3.) L5-6: What are you trying to say with this sentence. Please reword! 4.) L12: no comma 5.) L19: is it really a "movement"? In L31 it is called a "society"? 6.) L30: IFRC? 7.) Section 1: this gives a nice introduction to the topic but some bits are a little redundant and could be streamlined. 8.) L75-76: avoid repetition of "improve" 9.) L120: remove period after figure 2 10.) L125: better turn this into a proper sentence 11.) L167: this question? 12.) L194: requires? 13.) Table 1: Why don't you merge the first two entrances? 14.) L234: fell during . . . 15.) L241: "quite a reasonable chance" is very fuzzy, reword! 16.) L245-248: What result or figure does this paragraph refer to? 17.) Figure 4 could be discussed in a little more detail. 18.) Figure 5 I would rather include in the Methods section 2. You can then also discuss there the difference between all people and those affected by a given flood (see above). 19.) L255: remove "extreme" as upper bound is already an extreme 20.) L286: highest number? 21.) L319: on 18th November? 22.) L385: I would maybe not use the word "all" here, as it remains a probabilistic problem, where some missed events are unavoidable. 23.) L441: double period 24.) L443: comma instead of period 25.) L456: 2x would 26.) L458-59: not a proper sentence 27.) Section 4.2.2: Too much detail to my taste. This is a scientific paper and not a government technical document. 28.) Figure 2 caption: include that these statistics are done for the cases listed in Table 2. 29.) Figure 4 caption: these should be 5kmx5km gridpoints 30.) Figure 5 caption: two brackets at end 31.) Figs.: I would generally not start a caption with a question.

These will all be addressed in a revised version of the manuscript. Though regarding too much detail in section 4.2.2 (point 27), we feel that provides the broader institutional context of developing hazard early warning systems in Kenya and will be of interest to (at least some) readers of the work, and fits within the scope of NHESS.

Are Kenya Meteorological Department heavy rainfall advisories useful for forecast-based early action and early preparedness <u>for</u> flooding?

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Abstract. Preparedness saves lives. Forecasts can help improve preparedness by triggering early actions as part of a predefined protocols under the Forecast-based Action/Finance (FbAFinance / Action (FbF/A) approach, however it is essential to understand the skill of a forecast before using it as a trigger.

In order to support the development of early action protocols over Kenya we evaluate the 33 heavy rainfall advisories (HRA) issued by the Kenya Meteorological Department (KMD) during 2015-2019.

The majority of HRA warn counties which go on to subsequently receive heavy rainfall . However in general the total area warned is much larger than the extent of significant rainfall.

The three periods of flood impacts within the forecast window. We also find a significant improvement in the advisory ability to anticipate flood events over time, with particularly high levels of skill in recent years. For instance actions with a two-week

- 10 lifetime based on advisories issued in 2015 and 2016 would have failed to anticipate nearly all recorded flood events in that period, whilst actions in 2019 would have anticipated over 70% of the instances of flooding at county level. When compared against the most significant flood events over the period which led to significant loss of life, all three such periods during 2018 and 2019 were all-preceded by HRA , which warned the counties with recordedlosses and in these cases the advisories accurately warned the specific counties for which significant impacts were recorded. By contrast , none of the four flooding
- 15 periods significant flooding events in 2015-2017 were preceded by HRA. We suggest that advisories. This step-change in skill may be due to developing forecaster experience with synoptic patterns associated with extremes as well as access to new dynamical prediction tools that specifically address extreme event probability for example, KMD access to the UK Met Office Global Hazard Map (GHM) at KMD at was introduced at the end of 2017 was a key factor in this step-change in skill.

Overall we find that KMD HRA effectively effectively warn of heavy rainfall and flooding and can be a vital source of information for early preparedness. However a lack of spatial detail on flood impacts limits and broad probability ranges limit their utility for systematic FbA-FbF/A approaches. We conclude with suggestions for making the HRA more useful for FbA, FbF/A and outline the developing approach to flood forecasting in Kenya.

1 Introduction

Like many worldwide, the Kenyan population are at significant risk from heavy rainfall-induced flooding. In the last two

25 years alone flood losses and damages have been extensive. Recent examples of this include flooding during the 'Long Rains' season of 2018, impacts of which included the displacement of 300,000 people (OCHA, 2018), This was shortly followed by the 'Short Rains' flooding of 2019 which induced a landslide in West Pokot, killing 72 (reliefweb, 2019). In response to this kind of elimate risk , hydro-meteorological risk the Red Cross Red Crescent movement has pioneered Forecast-based Action/Financeapproach (FbAFinance/FAction approach (FbF/A, see https://www.forecast-based-financing.org/ for more de-tails).

In the humanitarian action landscape , FbAFbF/F A sits within a wider set of approaches to anticipatory risk management which can broadly be termed Early Warning-Early Action, of which there are many examples (see <u>Wilkinson et al., 2018, for a review of FbF/A initiatives</u>). FbF/F-A specifically has three defining features: A-a set of objective pre-defined forecast triggers, which when met activate a set of pre-defined preparedness early actions, themselves

- 35 funded by a dedicated finance mechanism. Together these constitute the Early Action Protocols (EAPs) of an FbAFbF/F-A system. The EAPs facilitate rapid preparedness actions to can facilitate early actions (such as evacuation or cash transfers) or readiness actions (such as pre-positioning of non-food items) which can be implemented before the hazard event occurs, thus moving from disaster response to early preparation and reduction of potential risks posed by the hazard event. Many FbAFbF/F-A pilots are active worldwide (see Wilkinson et al., 2018, for a review of FbA/F initiatives), and whilst it is not
- 40 simple to precisely quantify the impact of such programs, evidence suggests programs they can significantly reduce individual and community expenses (Gros et al., 2019) along with <u>bringing</u> unquantifiable benefits to lives and livelihoods.

Following the establishment of the IFRC FbA/F by DREF (Disaster Risk Emergency Fund) by the International Federation of Red Cross and Red Crescent Societies in December 2017, national Red Cross and Red Crescent societies are working to define their EAPs - for the dominant hazard types. In Kenya - this work is facilitated through the project "Innovative Approaches in

- 45 Response Preparedness" (IARP) funded by the IKEA Foundation and implemented by the Kenya Red Cross Society (KRCS) , with further support from aligned projects notably the the UK-funded NERC/DFID project "Toward Forecast-Based Preparedness Action" (ForPAc, www.forpac.org). ForPAc has been working since 2017 with partners including KMD and KRCS to establish the scientific basis for FbF/A and investigate the development of anticipatory approaches in Kenya for managing flood and drought risk across a range of forecast timescales.
- 50 Setting up a FbAFbF/F A EAP for a particular hazard (e.g. flood or drought) begins by identifying priority risks or impacts that can be addressed by anticipatory early action. The next step is to identify the best forecasts to use to trigger early action. In Kenya under the IARP programme , this involved exploring a range of potential forecasts that can support anticipation of the priority risks , and evaluating the accuracy (or, skill) of the forecasts. Anticipatory actions are then selected which are consistent with the skill of the forecast. For instance a reliable forecast of extremely high probability of imminent flooding
- 55 might be an appropriate trigger for a higher-cost intervention such as evacuation, whilst a lower probability level (with a higher chance of action in vain) could still be linked to a lower cost or "no-regret" action , such as repair of river dykes.

Forecast skill assessment is therefore an essential step in designing a system for FbAFbF/FA. In order to be used (in this case , by the KRCS and national disaster management agencies) , forecasts must show evidence of skill, which should be quantified. In addition , the forecast must be readily available to the actors , from the mandated agency for providing weather forecasts

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(in this case, the Kenya Meteorological Department, KMD). Finally, the forecast must be provided in such a way to be easily integrated within the EAP.

Through the IARP programme , a 'menu' a "menu" of potential forecasts of flood risk has been developed for the Kenya EAPs. In the absence of a Kenya-wide national flood forecast system (Weingärtner et al., 2018) forecasts of rainfall provide the most appropriate proxy. One key potential forecast for heavy rainfall events that could result in flooding is the KMD heavy

- 65 rainfall advisories (HRA, described in full in Section 2.1). These text-based advisories are issued on an irregular basis by KMD , when forecasters' interpretation of conditions and current conditions and the output of dynamical atmospheric models point to risk of heavy rainfall. These advisories are made widely available to the public and risk management agencies in relevant counties. For example, during the exceptionally wet *Long Rains* season of 2018 two heavy rain advisories were issued leading to actions by risk management bodies including KRCS (Kilavi et al., 2018).
- As these heavy rain advisories are issued from the mandated forecasted agency they have high potential to be used in a more systematic manner as an FbAFbF/F-A trigger in flood EAPs. However the skill of these advisories is unknown. In addition , they are developed explicitly for heavy rainfall warnings and only implicitly warn of flooding. Here then we assess the accuracy of the historically issued KMD HRAs and evaluate their potential to be used as a trigger in a FbAFbF/F-A system for flooding. Understanding the level of skill of the advisories supports the development of early action protocols by disaster managers.
- 75 The verification of the advisories also helps to build confidence in early warnings from subjective forecasts. Many forecasts of natural hazards are produced with some level of expert judgment, judgement but this subjectivity makes verification difficult ; as a large number of forecasts produced using a consistent method are rarely available for objective evaluation. Without this evaluation, trust in the forecast producer alone determines confidence in the forecasts. However when a reasonable archive of forecasts is available , forecast verification can both help to build confidence in the use of forecast, as well as help the forecasts 80 and to increase trust in the forecast producer.

The forecast and verification data are described in the following section, along with an outline of the challenges to verification posed by the format of the advisories and approach the approach taken to meet this challenge. Results follow and the paper concludes with a discussion of the main findings, limitations to the analysis along with recommendations for design and operation of the Kenya EAPs and further research.

85 2 Data and verification approach

2.1 Production of the KMD heavy rainfall advisories

The first HRA was issued at KMD on 2nd June 2015 after being introduced as a forecast product as part of the Severe Weather Forecasting Demonstration Project (SWFDP) for Eastern Africa (https://www.wmo.int/pages/prog/www/swfdp/SWFDP-EA. html). This project was implemented with support from the World Meteorological Organisation with the aim of improving

90 the ability of National Meteorological and Hydrological Services (NMHS) to forecast severe weather events, improve the lead time of early warnings and improve as well as the interaction of NMHS with disaster managers before and during the event. The intended audiences for these advisories are national and county risk management agencies, humanitarian organisations, relevant ministries and the media for dissemination to the general public within areas of concern.

The decision to issue a HRA is a subjectiveonean advisory is subjective, informed by dynamical model output and forecaster experience. Every day forecasters at KMD's Severe Weather Forecasting section review forecast products from Global Producing Centres (such as ECMWF, NCEP, UK Met Office and Meteo France) using their judgement to produce a five-day running severe weather forecast. The models are deterministic and probabilistic, at a range of spatial resolution from 4km to 28km. A range of meteorological fields are considered, including pressure and wind fields throughout the atmosphere, precipitable water, low level relative humidity, convergence and divergence at the lower and upper levels, and convective available potential

100 energy. Consistency between model fields, observations and satellite imagery is checked to filter out unrealistic model outputs.

This five-day severe weather forecast is based on areas expected to receive any of the following: rainfall above 50mm in 24 hours, winds greater than 25 knots or waves above 2m height. The These forecasts are presented graphically as polygons, along with tables showing the level of risk (low, medium or high) over specified areas. At 0900Z representatives from the NMHS of all the contributing countries of the SWFDP participate in a teleconference call to discuss the forecast and develop a consensus.

If any models indicate a raised chance of an extreme event occurring over Kenya during the next few days then a high impact weather conference is held at KMD by experts from the forecasting unit and a consensus advisory is drafted. A subjective probability of occurrence is estimated based on the consensus between models, taking into account weighting of the betterperforming models (where model quality is judged subjectively, according to forecasters' experience). Once the advisory is

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110 drafted it is sent to the Assistant Director of forecasting, then to the Deputy Director, for review and amendments. It is finally examined and signed by the Director and examined and reviewed by the senior management within the forecasting division and finally sent to the public weather service section for dissemination to the public and to risk management agencies. The Director has the ultimate authority for the advisory release.

We note that the forecast information used at KMD to produce the HRA has changed over the advisory period under study:

- 115 in mid-2016, KMD was granted a two year trial license to ECMWF 'eccharts' through the SWFDP and since August 2017 KMD began using the UK Met Office Global Hazard Map (GHM) as part of the ForPAc project. The GHM provides an at-a-glance summary of forecast high-impact weather over the coming week (seven days), using global ensemble forecast data. The system visualises forecasts from MOGREPS-G and ECMWF both separately and in a multi-model ensemble forecast. The multi-model informs summary polygons which direct forecasters to attention to potential high-impact weather.
- 120 There are no clear objective criteria triggering advisory issuance, which is subjective and depends on forecasters' experience and perception of model skill, consensus within the forecasting sectionand forecast data availableDirector for approval to disseminate it to the public by the public weather service section.

HRA are the most frequently issued type of advisory by KMD . Advisories (advisories for strong winds, marine and temperature are also issued but are not considered in this study. An example of a HRA.). The advisories are text-based (an example is

shown in figure 1. 125

> The advisory is text-based. It generally mentions-1). They generally specify a rainfall threshold which could be reached: sometimes this is included as a rainfall rate (e.g. 30mm in 24 hours), otherwise an accumulation total without a rate is mentioned. Finer scale details are often mentioned-included in this description, such as when within the valid period the rainfall can be expected to start for different regions. Following the forecast description - the full list of potentially affected counties

is listed, along with general instructions for flood preparedness (e.g. "be on the lookout for potential floods", "avoid driving 130 through or walking in moving water", "people in landslide prone areas...should be on high alert").

The first HRA was issued in 2015 and by the There are no clear objective criteria triggering issuance of HRA, which is a subjective process, depending on forecasters' experience and perception of model skill, consensus within the forecasting section and forecast data available. The forecast information used at KMD to produce the HRA has changed over the advisory

- period under study: in mid-2016, KMD was granted a two year trial license to ECMWF 'eccharts' through the SWFDP and 135 since August 2017 KMD began using the UK Met Office Global Hazard Map (GHM) as part of the ForPAc project. The GHM provides an at-a-glance summary of forecast high-impact weather over the coming week, by visualising forecasts from the UK Met Office (MOGREPS-G) and ECMWF (the ENS), both separately and in a multi-model ensemble forecast. The multi-model informs summary polygons which direct forecasters to the potential for high-impact weather over the week ahead, via an
- overview map. 140

By the end of 2019 a total of 33 had been produced. Here these HRA are digitized were HRA had been issued. These 33 have been digitised here for the purpose of verification, with relevant information extracted: the date of issue and validity, the probability range, the rainfall threshold mentioned specified, along with all counties mentioned. Details are given in table 1 and descriptive statistics are shown in figure 2. Several aspects of the KMD advisories demand a careful approach to verification 7 as detailed in the following section.

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2.2 Verification approach

There are three characteristics of the HRA forecast data with important implications for the verification approach with implications for verifying them against observed rainfall:

- 1. The small sample size (33HRAs) means it is difficult to assess specific aspects of the forecast such as reliability
- 150 of probabilities or accuracy of rainfall thresholds, descriptive statistics of which. Descriptive statistics for these are provided in figure 2., showing 2 which show that for example that the probability range of "33-66%" is indicated in nearly all advisories (figure 2d, used in 26 advisories) and other probability ranges are rarely used.
 - 2. The forecast window over which advisories are active is variable, from one to six days but most commonly out to three days (figure 2c, 13 advisories) such that, so the definition of heavy rainfall for verification cannot be consistent.

- 3. Ambiguous The spatial characteristics of the forecasted heavy rainfall are ambiguous. To illustrate: should we deem an 155 advisory warning of 50mm of rainfall for two named counties to be a 'hit' if 50mm accumulated rainfall is observed (a) over a single point within at least one of the counties or (b) over the entirety of either or both counties or (c) any areal extent between these extremes? This spatial aspect is further complicated by the wide range of size of Kenyan counties: from just over 200km2 (Mombasa) to over 70,000km2 (Turkana). The hit rate and false alarm rate would be highly 160 sensitive to these verification criteria.

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In order to address these issues, we take a step back and refocus on the question: would these advisories have been worthwhile for flood preparedness? We Though 'heavy rainfall' does not necessarily lead to flooding, and flooding does not always require a heavy rainfall event for triggering (Berghuijs et al., 2019), we proceed by considering the advisory from the perspective of a manager responsible for national flood preparedness at KRCS . First, we who is interested in the consequences of using the advisories as a trigger for preparedness.

We first assume that every advisory triggers preparedness actions, independent of the rainfall threshold or probability mentioned. Second we specified. We then define the extent of the preparedness actions according to the counties mentioned in the advisory. Such actions are unspecified here and could range from a low-regret communication to county-level Red Cross volunteers to a more expensive decision to pre-position supplies. We note that by 'ignoring' the forecast probability and the

- 170 specific rainfall thresholds the decision to trigger action is less flexible, however following discussion in the previous paragraph, earrying out verification based on specific thresholds is unable to provide robust statistics and precludes any meaningful statement. Despite this, the approach followed is still This approach is consistent with the FbAFbF/F approach; the action trigger is defined as the probability of heavy rainfall (of any specific threshold) exceeding zeroA approach, though with action triggered on the release of an advisory rather than being associated with a particular probability level.
- 175 After assuming that action was taken within the entire region under advisory for each advisory window, we then consider the question, was this action worthwhile? There is no single answer to this question, as it depends on the specific actions along with the individual and institutional tolerance tolerances for false alarms and misses. However following this approach we can identify clear hits and false alarms, and can confront the advisories with 'what really happened'. As such, our method involves answering the following four questions:
- 1. How well does the total area under advisory warn of the extent of heavy rainfall? (Section 3.1) 180
 - 2. What is the relative spatial extent of preparedness actions implied by each advisory? (Section 3.2)
 - 3. How many significant flooding events in the period 2015-2019 occurred directly following a HRAwould the advisories have anticipated? (Section 3.3)
 - 4. How often would an FbAFbF/F system be expected to trigger, if it were A system based on the advisories be expected to trigger? (Section 3.4)

By answering these questions we determine the extent to which the KMD HRAs could guide 'worthy' effectively guide preparedness activity.

2.2.1 Comparing advisory areas with subsequent rainfall

We address question one with a visual comparison of the total area warned under each advisory with the total rainfall accumula-

- 190 tion in the subsequent advisory window. Rainfall observations are taken from the Climate Hazards and Infra-Red Precipitation Data with Stations (CHIRPS) dataset (Funk et al., 2015). We use CHIRPS as it compares favourably against other rainfall datasets over East Africa and benefits from relatively high station density in Kenya (Dinku et al., 2018). Particular weaknesses of CHIRPS include spurious drizzle and underestimation of peak magnitudes of the most extreme rainfall (specifically the 99.9th percentile, , but our focus on multi-day accumulation of heavy but not necessarily extreme rainfall should be insensitive to these biases.
- With this visual comparison we begin with a subjective assessment of the overall performance of advisories. Following this we calculate the distribution of accumulation totals across all 5km CHIRPS gridpoints inside the polygon associated with the warned counties, quantifying the spatial extent of high rainfall totals for areas under advisory. In addition we show the distribution as the percentage of grid points within the warned region receiving more than a specified rainfall threshold. Throughout the analysis we consider the evaluate the total rainfall accumulation across the window defined separately in

200 each advisory, noting here that the variable windowlength precludes a standardized verificationeach variable-length advisory window.

In addition we derive the proportion of the warned area that experienced accumulated rainfall above indicative thresholds. No single rainfall threshold leads to increased flood risk, which depends on many factors , both hydrometeorological and social. Even for a single location the same amount of rainfall may cause a flood in one year but not the next. In the following analysis

205 we show results for 25, 50, 75 and 100mm accumulation over the advisory window and focus the discussion on results for 50mm accumulation. We do not suggest that this threshold has primacy over others; an in-depth analysis would be necessary to determine and quantify the most relevant thresholds for flood risk in a location. Instead we take 50mm as a working definition of heavy rainfall to keep the discussion concise, whilst including other thresholds in the analysis for reference.

2.2.2 Estimating the relative extent of preparedness actions implied by advisories

- To answer question two we estimate the relative scale of preparedness implied by each advisory. In practice preparedness actions would be determined by overlaying the forecast hazard footprint with data on exposure and vulnerability to that hazard. Many different actions are possible , targeting which would target different groups and we do not attempt to evaluate the cost of specific actions. Instead we aim at a broad indication of the relative amount of preparedness-magnitude of the general preparedness activities appropriate for each advisory. One way of doing this would be to derive the total area of all the counties
- 215 warned in each advisory as a proxy for the scale of preparedness action required. However population density per county is highly variable (ranging from 12 people/ km^2 in Turkana to over 4,000 people/ km^2 in Mombasa), and so this proxy is likely to overestimate the required intervention where population density is low and underestimate where it is high. Instead then we based this estimate on the total population living in each advisory region. , by assuming that preparedness is taken based on advisories to target communities exposed to a one in five year riverine flood event.

- 220 Population data is taken from the 2015 estimate from the Gridded Population of the World dataset produced by NASA SEDAC dataset at 2.5 arc minute resolution (CIESIN, 2018). We use the total population living in the warned area as a proxy for the number of people likely to benefit from flood preparedness actions in the region, allowing a comparison We use ward-level exposure data provided by KRCS, which has been created by combining population density with an estimate of the areas inundated by a one in five year flood which has been provided to KRCS by ECMWF and calculated using the modelling
- 225 framework of the Global Flood Awareness System (GloFAS). The exposure estimate is not intended to quantify the absolute level of assistance required (not least because the frequency of advisory issuance means that the vast majority will not be followed by a one in five year event by definition). However it does allow a relative estimate of the extent of preparedness action required between advisories. For instance an advisory active where 30 million people live in locations where 2 million people are exposed to flooding is likely to require significantly more preparedness than an advisory relevant for only one million people. 200,000 people. It should also be noted that the number exposed to flooding is an upper bound on those
- actually requiring assistance, as we do not take vulnerability to flooding into account.

We then assess the amount of rainfall falling in the specific areas where people live are exposed to flooding and estimate the percentage of the 'prepared people' who received above threshold rainfall. From this we can show estimate the relative 'wor-thiness' of each preparedness action: assuming that when flood preparedness assistance is given in a location and significant

- 235 rainfall follows the action is considered worthy (even if that heavy rainfall does not lead to flooding). We note the potential mismatch between local rainfall and flooding (e.g. when rainfall falls upstream in catchment and floods lower reaches), which suggests that our assumption of worthiness only when heavy rainfall is experienced locally should be considered a lower bound; inclusion of flooding related to non-local rainfall would only increase the estimate of worthiness.
- Clearly this estimate of the scale of preparedness is only relative and not absolute, as not everyone living in a region will be seriously affected by heavy rainfall and require flood assistance. In addition this approach carries the relatively strong assumption that the percentage of people exposed to flood risk is relatively constant across counties. If estimates of population at risk from flooding were available they could be used to improve the estimate , however in the absence of this data our approach broadly indicates the relative extent of preparedness associated with each advisory. This analysis-

245 2.2.3 Verifying HRA against flood events and evaluating frequency of action triggering

The analysis so far quantifies the extent of rainfall accumulations , and estimates the relative scale of the actions which each advisory may trigger. However Whilst heavy rainfall is not the only factor in flooding (Amoako and Frimpong Boamah, 2015) , and does not always lead to flooding. Comparing the advisories only to rainfall observations does not therefore fully evaluate their effectiveness for flood preparedness. To do this, we address question 3 and identify flooding events with significant

250 impacts over the period and determine those trigger flooding, flood risk and response managers may be inclined to use the HRA to trigger readiness activities for flooding. It is therefore instructive to verify the issued HRA directly against recorded flood events, answering question three above. We use two sources of flood records and their use in verifying the advisories is described below.

The first flood record database has been created by KRCS. This comprises a county-level record of flood events based on

- 255 information from the KRCS Emergency Operations Center(EOC). The EOC operates 24 hours a day at KRCS headquarters and records disaster incidence that are recorded all over the country on social and mainstream media and by KRCS volunteers. The record from the EOC has been supplemented with additional events identified *post hoc* from other online sources. In total over the five years 2015-2019 the database notes 461 flood events, with 167, 44, 54, 164 and 199 for each year separately (NB simultaneous flooding in two counties is considered in this count as two events).
- 260 The KRCS flood record is then used to calculate two key skill statistics across the entire sample (over all counties). Firstly the hit rate (HR), calculated here as the percentage of events which were preceded by advisories.

We use the EM-DAT database to extract all significant flood events over Kenya from the date of Secondly we calculate the precision, which is defined as the percentage of advisories which are followed by a flood event (NB precision is equal to 100% minus the false alarm ratio, another key metric for FbF/A, and is a commonly-used diagnostic in informatics

- 265 Powers (2011)). HR and precision are calculated over the first HRA until whole sample and for each year separately. Following Coughlan de Perez et al. (2016) they are also calculated under the assumption that actions related to flood preparedness have a lifetime, that is, preparedness carried out today will still avert flood risk even if that flooding does not occur immediately. Actions such as evacuation will only remain effective whilst people remain evacuated, whilst low-regret actions focused on readiness such as pre-positioning of water purification tablets will still be useful if flooding occurs months later. Coughlan de Perez et al. (2010)
- 270 use a 30 day lifetime in their verification; here we evaluate the advisories across a range of action lifetimes from 0 to 30 days following the end of 2019 the advisory window.

The second source of flood record we use is the EM-DAT database (EM-DAT, 2020). EM-DAT collects data on the occurrence and effects of mass disasters globally, and require requiring at least one of the following four conditions for inclusion in the database:

275 – 10 or more people dead;

- 100 or more people affected;
- The declaration of a state of emergency
- A call for international assistance

Eight significant flood events in Kenya are found recorded in EM-DAT for the period June 2015 to December 2019. We 280 From these we remove the Solai earth dam collapse of May 2018 , as the key reasons for collapse were as there were major non-meteorological (including lack of maintenance, and an outdated design, NECC, 2018). Accumulated rainfall in the weeks before the event was a factor as it led to saturation of the soil: longer lead time subseasonal and seasonal forecasts (along with close monitoring of rainfall accumulation and soil moisture overlaid with locations of earth dams) may have provided some early warning of the potential for collapse. However the week directly preceding the dam burst did not receive heavy rainfall in the county (Kilavi et al., 2018) and so no HRA directly preceding the event should have been expected. Also we reasons for its collapse (including lack of maintenance and an outdated design, NECC, 2018). We merge the two EM-DAT-entries beginning 14th March 2018 as they relate to the same period of heavy rainfall. This leaves six flood events from EM-DAT, to which we add the landslide recorded of November 2019, as this was directly triggered by a period of heavy rainfall.

- We note that the <u>Compared to the KRCS record</u>, the EM-DAT inclusion criteria preclude smaller scale events from the 290 database (Gall et al., 2009). For instance a flood leading to fewer than 10 / 100 people dead/affected would not be included, nor would a flood which leads to significant loss of property. This suggests that the lack of an EM-DAT record following an advisory does not necessarily mean that flood impacts were not felt, which advance preparedness may have helped to mitigate. In addition we report EM-DAT mortality statistics as a broad indication of the impact of flooding events, however we note discrepancies with other official sources of information, find that sub-national locations of impact and total numbers do
- 295 not always agree. However despite these inevitable uncertainties in the details, we take the EM-DAT events to represent the most significant flood impacts in Kenya in recent memory and those which an early warning system should anticipate is much smaller and so precludes a robust quantitative analysis. Instead we consider each event in turn and determine the relevance of the advisories for anticipating these most significant flooding events, for which early warning would have been most valuable.

We finish the analysis Finally we conclude by addressing question fourand determine. This involves determining the number of times a FbAFbF/F-A system based on HRAs might be expected to trigger in each county , assuming action is triggered by a HRA, but also assuming that an action has a 'lifetime' where assuming that actions have lifetime as described above, and that the system will not be triggered again if it has not recently been triggered an action is still active in that county.

3 Results

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3.1 How much rain fell in counties under HRA?

305 We begin by identifying the total area of all counties named in each HRA , and comparing and compare this with the accumulated rainfall over Kenya during the advisory valid window. For convenience, advisories are labelled (A-Z, followed by A' to G') in table 1 and these labels are used from this point.

Figure 3 shows all the advisories and the resultant accumulation. From a visual comparison, we see that eighteen advisories provide a good forecast of all areas going on to receive at least 50mm rainfall accumulation (A, F, H, J, K, L, P, R, S, Y, Z, A',

310 B', C', D', E', F' and G'). For these advisories preparedness is most likely to have been considered worthy, and local actions based on these advisories are likely to be hits.

Nine advisories do successfully warn of heavy rainfall in some areas, whilst failing to warn other counties which received similar amounts (G, I, M, N, Oand, T, V, W, and X). In these cases preparedness may have been considered worthy, although preparedness would not have reached all those potentially affected by flooding, with risk of missed events and therefore failing to act.

Five advisories warned the "wrong" counties, where more accumulation was seen in unwarned counties than those receiving warnings (C, D, E, Q and U). One advisory (B) warned coastal counties of heavy rain yet 20mm fell in-during a two-day window, a relatively normal amount for the region. For these six advisories it is unlikely that preparedness triggered by the advisories would be considered worthwhile, instead would possibly be seen as false alarms and misses.

- Next, we consider the rainfall distribution across these regions under advisory. Figure 4(a) shows the rainfall accumulation across the warned region for each advisory, presented as the distribution over the sample of $25km^2$ CHIRPS gridpoints. Figure 4(b) shows the percentage of the warned area which receives rainfall accumulation above thresholds 25, 50, 75 and 100mm. We see that for the vast majority of advisories (29 out of 33), less than 50% of the warned area received over 50mm. This implies that for any point location falling in an area under advisory there is quite a reasonable generally over 50% chance that
- 325 no 'significant' accumulation will be seen. This is inevitable for rainfall early warnings, particularly in a region with a large contribution from small-scale convectionlocalised but intense convective storms, leading to high spatial variability in rainfall totals. As the advisories associate each warning with a probability, these findings are quite consistent.

From a meteorological perspective then we find the advisories to be relatively good indications of heavy rainfall. Summarizing the above semi-quantitative analysis of figures 3 and 4, we conclude that 18 successfully warned those regions which did receive heavy rainfall, nine provide warning for some regions but miss other regions, whilst only six of 33 are unlikely to be useful for early preparedness actions. However at the same time, nearly all 'good' advisories warn significantly larger areas compared to the areas which go on to receive heavy rainfall.

We next turn to potential actions triggered by the advisories; estimating the relative extent of preparedness action implied by advisories along with the potential public perception of the actions based on locally experienced rainfall.

335 3.2 What is the extent of preparedness action implied by advisories?

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We use gridded population estimates from NASA SEDAC to estimate the extent of preparedness implied by each advisory. Population density Ward-level density of the population exposed to one in five year flooding is shown in figure 5 for reference. This is 5. High population density is seen around the Lake Victoria basin and elsewhere in the central highlands, although large areas of this highly-populated region are not exposed to significant flood risk. This indicates the importance of taking patterns

- 340 of exposure into account. This population density is then integrated across the warned region for each advisory to estimate the total number of exposed people warned by the advisory. This is shown as the black stars in figure 6(a). This calculation represents an extreme upper bound on the number of people requiring assistance, since vulnerability to heavy rainfall is not felt equitably. However the numbers do allow an order-of-magnitude comparison of the extent of action required between advisories.
- 345 Significant variability in the extent of the warning is apparentwarnings for the population at risk from flooding: eight advisories eover nearly the entire country and warn at least 24 million people and six warn around 15 million warn areas where at least one million people are exposed to flooding. The rest warn fewer than 10 million people and of these people and fewer, and of these the warning from 14-18 advisories is 'only' targeted at fewer than <u>5 million 200,000</u> people (these smallest scale warnings are generally when only warnings for coastal counties are active). This demonstrates that if flood
- 350 preparedness based on advisories is undertaken nationally then the quantifies the significant variations in the extent and cost of preparedness action taken based on advisories will vary significantly actions which could be linked to the advisories.

To evaluate the extent to which this preparedness would have been perceived as worthwhile, we also show the number of exposed people living in a warned area which then went on to receive accumulation of 25, 50, 75 or 100mm. These results are

also shown in figure 6(a), whilst figure 6(b) presents these values as a percentage of the population warned which received rain-

- 355 fall above each threshold. Since these scores are conditioned on exposed population, they are highly sensitive to the underlying exposed population density. They will only be improved if heavy rain falls on a populated area an area at risk from flooding, and this improvement will be higher if the area is more densely populated. In this way we move beyond purely meteorological verification and take into account real-world implications of acting on a forecast. This also considers the potential response of beneficiaries of flood preparedness: if flood preparedness is carried out in a region that subsequently receives significant rainfall, most people will see the preparedness as worthwhile. Conversely, people are more likely to see the action as a false
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alarm if no significant rainfall falls where they live.

Focusing again on 50mm accumulation as a nominal threshold for increased flood risk, we see several advisories for which most people receiving early preparedness would not have seen significant rainfall. For eight advisories (A-E, P, O and U) less than 10% of those receiving assistance would have seen more than 50mm; these are unlikely to be seen by most as worthy

- actions . A further seven (G, K, N, R, V, Z and G')fare a little better, with between 20-30% of those receiving assistance 365 perceiving it to be worthwhile. The remaining 18 would have seen significant rainfall (A-E, P, O and U). At the other end of the scale, six advisories see significant accumulation for at least 4060% of those receiving assistance, with five of these advisories assisted (M, T, X, C' and E')seeing significant accumulation for at least 70A', C' and E'). The remaining 24 see significant rainfall for between 10-40% of those assisted affected. Notably by this metric the first five advisories (covering mid 2015 to 370 mid 2017) are among the worst-performing, whilst those most likely to have led to worthy actions were all issued in 2018 and
- 2019.

3.3 Did advisories precede significant impacts warn of heavy rainfallflooding?

We now turn to observed impacts of heavy rainfall and compare the seven events selected from the next turn to the verification of the advisories against recorded flooding in the KRCS flood record. HR and precision are shown in figure 7. This shows a

375 clear improvement of the advisories over time: for advisories in 2015 and 2016 less than 5% of flood events were hit, even with a favourable assumption of 30 day lifetime of preparedness actions. Conversely action on advisories in 2019 would have seen a 40% HR with a zero day lead time, rising to 60% or over 70% if actions are taken with a one or two week lifetime. Though 2019 also saw many more advisories issued compared to earlier years, each was also more precise, with a 40% chance of seeing flooding in a county within two weeks of taking action during 2018 and 2019, compared with 20% in 2017, 10% in

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     2016 and 0% in 2015.
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Though recent advisories perform well when measured against the KRCS record of flooding, it may not be that all events in the record would have required significant preparedness. We therefore turn now to the seven most significant flooding events in Kenya over the period, recorded in the EM-DAT databasewith any relevant advisories. We-. These are compared with relevant advisories; for simplicity we consider an advisory to be relevant if it was issued in the seven days preceding the indicated start

385 date of the impact, since as early preparation triggered by that advisory would have been in place for the onset of the event. We do not require the heavy rainfall window to explicitly overlap with the recorded period of impact, allowing for some lag between heavy rain and flooding. The locations and details of the events are plotted in figure $\frac{7}{2}$, 8 which also shows the counties mentioned in any relevant advisories as defined above (if any). These seven events are now discussed in turn.

Figure 7a-8a shows the significant flooding which occurred across Kenya in December 2015 during the large 2015 El Niño 390 event , which that peaked in December. This event led to the most highest number of deaths recorded in the sample (112). No HRA was issued at any point before or during this event, or during the season as a whole. Notably seasonal forecasts did indicate an increased risk of a particularly wet season; although as a whole -the seasonal rainfall anomalies were smaller than previous comparable El Niño events (Siderius et al., 2018; MacLeod and Caminade, 2019).

Figure 7b-8b represents a smaller event in Turkana county, caused by intense rainfall on a single afternoon (10th March 395 2016). This rainfall led to river overflow, three deaths, displacement of 1,000 people and loss of livestock. No HRA was issued for this event.

The third event (figure $\frac{7e}{2}$, 8c) occurred at the end of April 2016. This flooding impacted over 10,000 people across semiarid counties in the north (Turkana, Marsabit and Wajir) along with Nairobi. In Nairobi the rainfall triggered the collapse of a building in the Huruma estate (a building which was not constructed to safe standards) – ultimately leading to 52 deaths. In

400 advance of this period - a HRA was issued by KMD (advisory Chere), however warnings were given for coastal counties and parts of Western Kenya and but not for those counties most seriously impacted. KRCS did trigger an early response based on this advisory, activating response teams and sending out warnings via SMS to communities living in lowland areas. Although no heavy rainfall was directly experienced in those regions for which the response was triggered, the action was felt to be worthwhile at KRCS - as some flooding was experienced later due to Tana River bursting its banks after heavy rainfall in the

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     central highlands.
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The next EM-DAT event occurred in May 2017 (figure 7d8d). This involved coastal counties along with some in the central highlands and some in the west. 26 deaths were recorded with over 25,000 affected for this event, during which a reported 235mm of rain fell on Mombasa in a 24 hour period between 8-9 May. Although an advisory for coastal counties was issued in late April (advisory E), the valid period was a single day which saw little accumulation in the warned counties. This

advisory also predated the beginning of observed flood impacts by over a week and so we do not consider it to have provided 410 adequate warning of the impacts.

Figure 7e-8e shows the impacts of heavy rainfall during the 2018 long rains season, which has been evaluated in depth elsewhere (Kilavi et al., 2018; Finney et al., 2019). Widespread flood impacts were seen across the country - beginning on 14 March and extending throughout the month. Two advisories were issued during March (advisories K and L). The first was

issued on the 9th and covered the period 13-15th and a follow-up was issued on the 15th, covering the period 16-19th. Both 415 of these periods saw significant rainfall accumulation (see figure 3, and Kilavi et al., 2018) (see figure 3 and Kilavi et al., 2018) . Every county noted in EM-DAT as experiencing flood impacts was mentioned in these advisories, except for Mandera in the extreme northeast of Kenya.

Figure 7f-8f shows impacts occurred from 17-24 October during the short rains 2019. Flash floods, landslides and riverine 420 floods were reported in Turkana, Wajir and Elgeyo-Marakwet counties. Two advisories were issued preceding this event (advisories Z and A'). The first was issued on the 10th, covering the period 10-14th and a second was issued on the 14th, covering the period 16-20th. Counties with reported flood impacts were all mentioned in these HRAs.

The final event in the sample also occurred during the 2019 short rains: a landslide in West Pokot on the 23rd November (figure 7g&g). This occurred following heavy rainfall across many counties, for which a warning was issued several days ahead of the event on the 18th November, covering the 19-24th of the month (advisory C').

In summary , the first three recorded the first four events in the study period were not well warned by advisories. The fourth event in May 2017 third event in April 2016 was preceded by a warning , but it did not target the counties with significant flood impacts. The final three events in 2018 and 2019 were all preceded by advisories correctly targeting the counties which saw major impacts from heavy rainfall; the lead time between the first advisory and the recorded start of the impacts for these

- 430 three events was five, seven and five days respectively. Advisories issued in 2018-2019 therefore gave effective warning to areas experiencing significant flooding impacts, whilst the earlier advisories did not. This Along with skill analysis shown in figure 7 this suggests that in recent years advisories have improved, and have the potential to act as a trigger for an FbAFbF/F A system. However it should be recalled that the warned area is often much larger than the area experiencing heavy rainfall (see figures 4, 6, 78). Even those advisories leading where triggering leads to worthy action where impacts are felt will also
- 435 simultaneously trigger action in many places which do not require early preparedness, and these 'actions in vain' may be quite expensive in highly populated regions such as West Kenya. In the next and final section, we turn to a practical consideration of basing such a system on advisories and estimate how often such a system might be expected to trigger.

3.4 How often would an FbAFbF/F-A system based on advisories trigger?

An important consideration in setting up an FbAFbF/F-A system is how frequently it can be expected to be activated. It is 440 desirable to prepare for all significant events, however more frequent triggering limits the cost of actions if the system is to remain financially sustainable. Here we estimate how often such a system might trigger.

Naturally the number of advisories will fluctuate year to year , depending on climate variability. However 2018 and 2019 could reasonably indicate the potential number of activations of a FbAFbF/F-A system, given that they both experienced significant rainy seasons (with 11 advisories issued in 2018 and 13 in 2019, figure 2a). For low-cost actions such as targeted

445 communication of the warning to vulnerable communities this may be an acceptable number of triggers , and results from section 3.3 suggest that these would successfully warn against all significant flood events. A key requirement of the advisories is to warn the vulnerable public of significant hazards and so for this purpose the frequency of issuance is appropriate to the cost of the warning.

In the FbAFbF/F context, <u>A context</u> the advisories could be used to instigate actions from response organizations and disaster management. Several actions have already been identified as potentially forming part of an EAP (Maurine Ambani, personal communication):

Enforcement of barriers for people not to cross Strengthening of barriers designed to prevent people from crossing rivers
or places where there is usually fast flowing water

- Provision of water containers and water treatment
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– Provision of vouchers to affected populations to access water treatment tablets, containers and treated mosquitoes nets

These kinds of actions would have significant costs , and so more than ten triggers in a year may not be realistic. However on the other hand , for such actions triggering on every advisory may not be necessary. Frequently an advisory is issued which follows on from another, describing a continuing rainfall event (e.g. J-L, M-O, C'-G'). Significant flood preparedness may not need to be carried out for each individual one of the advisories in sequence as actions of this nature will have a "lifetime" that may span the interval between several consecutive issued warnings (Coughlan de Perez et al., 2016). For example , river defenses river defences will still be effective several weeks after action is taken to repair or reinforce them.

The impact of action lifetime on trigger frequency is illustrated for each county in 2019 in figure 8. 9. Here we assume that the action will not be repeated if another advisory follows closely after the action is triggered. The number of total actions is shown, assuming an action lifetime of one, two, three or four weeks. Note that we We consider multiple chained advisories

465 such as C'-G' as triggering a single preparedness action, since : after the first days of heavy rain, activity will have already moved from preparedness to response mode, additional advisories may trigger scaling-up of existing response operations.

With an action lifetime of one week most counties would have triggered four times in 2019. With a longer lifetime the system activates less often and in the longest case of four weeks no county would have activated in 2019 more than twice (on average, once for each of the rainy seasons).

470 Typical FbF/A approaches tend to focus on extreme events rather than one which occurs every year RCRCCC (2020) and so even taking into account long action lifetimes this trigger frequency may still be too high for high cost actions. However this frequency may yet be appropriate for FbF/A linked to low-cost low-regret actions, such as fast-tracking drainage clearance which has already been planned and budgeted for.

4 Discussion and recommendations

- 475 Here we have evaluated the KMD HRAs. This has been done from the perspective of a humanitarian agency such as KRCS, as if the advisories were used to initiate a preparedness protocol such as FbAFbF/F-A in order to reduce risks related to heavy rainfall. Such EAPs for a national flood FbAFbF/F-A system are currently being developed. Our assessment of the advisories has considered:
 - the relationship between area warned and the subsequent rainfall received
- 480 the scale of preparedness triggered by the advisories , and the perception of the actions based on locally experienced rainfall
 - whether the most significant recent flood events followed HRAs
 - how frequently an FbAFbF/F A system could be expected to trigger

We now draw some general conclusions and provide some recommendations for improvement of the HRAs and outline the 485 development of flood risk forecasting in Kenya.

4.1 Conclusions

Advisories issued in the 'early period' (from the first in 2015 through to 2017 inclusive) do not appear to be particularly effective for preparedness for flood or heavy rain impacts. For each of the nine advisories that were issued in this early period the counties which were warned did not generally receive significant amounts of rainfall. Furthermore , four significant flood

490 events were reported in this period and none were anticipated by any advisory, whilst 0%, 5% and less than 20% of all recorded flooding of any magnitudes was preceded by advisories in each of 2015-2017 respectively. We conclude then that it is unlikely that conducting preparedness actions based on advisories between 2015-2017 would have effectively reduced flood or heavy rain impacts.

However we note evidence of an improvement in the potential utility of advisories in the more recent period 2018-2019 recent years of 2018 and 2019, where they were more frequently issued. Notably these years had particularly wet seasons, March-May 2018 and October-December 2019. More than half of the advisories led to at least For a two week action lifetime, preparedness at county level based on advisories in 2018 and 2019 would have anticipated 40% of all people warned receiving more than 50mm accumulation. In addition, all three of the periods and 70% of all 363 recorded county-level flooding in these years, whilst the three periods which saw significant mortality directly associated with heavy rainfall which were well-warned by

500 advisories. We conclude then that advisories issued across 2018-19 were particularly skillful at anticipating heavy rainfall, and that preparedness actions based on these could have led to reductions in the impacts of the worst floods in this period. If the performance of advisories over this period is indicative of future performance, then they have the potential to effectively warn of all-anticipate significant flooding impacts in Kenya.

One factor in the for the improved hits rate in 2018 and 2019 may be the higher frequency of issuance. However this does

- 505 not explain the fact that infrequent early advisories were not generally followed by significant rainfall as noted above. This poor performance in the early period may be might instead be related to the novelty of the system. The first advisories were issued in 2015 and it may have taken some time to develop the systems and expertise and gain confidence in issuing advisories. Another explanation for the change in skill is the evolving access to forecast information from global models at KMD.
- In mid-2016, KMD was granted a two year trial license to ECMWF '*eccharts*' through the SWFDP which is reported to have 510 been crucial in informing the advisories released during that period (Mary Kilavi, personal communication), and particularly so during the long rains 2018 (advisories J-Q). In addition the GHM in use since August 2017 has provided a multi-model easyto-interpret visualization of potential severe weather. Evaluation has shown that multi-model forecasts outperform individual models for extreme precipitation (Robbins and Titley, 2018). The availability of a higher skill multi-model forecast at KMD in an easy-to-interpret format may then be a factor in the significant improvement in skill of advisories during 2018 and 2019.
- 515 Indeed , it is reported that the GHM was a key source of information for the advisories which were issued in advance of all three significant heavy rainfall impacts reported during 2018 and 2019 (figure 7e-g). See also Kilavi et al. (2018) for analysis of the GHM forecasts use during the 2018 '*Long rains*'.

Overall we demonstrate here in the first systematic verification conducted of the HRA that they have skill. We find that an increase in skill over time, and that they have and that the HRA anticipated the most significant flood events during 2018 and

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2019. However, we also find they lack spatial precision on the precise location of heavy rainfall impacts, which may limit their use as a trigger in KRCS EAPs.

4.2 Recommendations

Though the HRA have skill, their likely utility will clearly depend on the specific context of use. Their In order to fully ascertain appropriate actions which could be triggered by the HRA, an econometric analysis of the costs and avoided losses of a range 525 of preparedness actions is necessary (and recommended). We note here however that their intended purpose is to alert county governments, other agencies and the general public of the possibility of heavy rainfall. For this purpose they are effective: they are widely disseminated, the text identification of counties under advisory requires no technical knowledge to understand - and most importantly, they have skill. Indeed, Kilavi et al. (2018) note dissemination and use of HRA during the *Long Rains* 2018. As a source of information for a systematic FbAFbF/F-A system for flooding -the advisories have several useful character-530 istics for KRCS: they are produced by the national mandated agency for weather forecasting, they are readily available at no cost, and being text-based, they require no specific knowledge for interpretation. However it is likely that they are not suitable for triggering a KRCS EAP for flood. The county-scale warning limits the spatial precision of interventions and the frequency of the triggering per county is likely to be too high for FbAFbF/FA, which is intended to target extreme events with a return period of one in five years or greater. In addition, the HRA only provides a general picture of potential flood impacts, without taking into account any local hydrological conditions. However given the clear skill of HRA found here - there is clear scope 535 of KMD to develop these in the context of Impact-based Forecasting (WMO, 2015): here we make some recommendations for improving the HRAs and the flood forecasting from the perspective of stakeholders such as KRCS.

4.2.1 Developing the HRAs

The Improvement of the probabilistic information in the HRA should be improved would make them more fit for the purpose
 of FbF/A. A single category 33-66% is issued in nearly all advisories which limits options for preparedness actions. More diverse and precise probabilities would allow a range of increasing levels of preparedness activities, where high-cost actions

are only triggered for the highest probabilities. Of course it is essential that these probabilities are reliable, and a relatively low frequency of subjectively developed forecasts makes this aspect of the forecast difficult to evaluate. However the use of historical forecasts and hindcasts from ensemble forecasting systems used in the GHM (Robbins and Titley, 2018), currently

545 in use at KMD, would help to establish the reliability of probabilities and provide a scientific basis for issuing more specific heavy rainfall probability forecasts. Analysis of these dynamical models should also evaluate their performance for the four flooding events in the early period of the KMD advisories (figures 7a-d) to see if these systems did capture these events.

The heavy rain warning area could also be more precise , by providing it as a free-shape rather than administrative county boundaries. Whilst naming counties in the advisory is essential for communication to the public and to county government disaster risk management structures , the precise area of heavy rainfall areas will not align with administrative boundaries and

so warning whole counties will tend to overestimate the total area expected to experience rainfall. Such warning polygons are generated by the GHM - already in use at KMD and forecasts could be based upon this. KRCS could then overlay these with maps of population exposure and vulnerability to flood risk -in order to further narrow down targets for intervention. This would then provide the building blocks of an Impact-based Forecasting system, following WMO guidelines WMO (2015).

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Finally many preparedness actions are limited by the lead-time of the HRA. They are often issued in the morning of or the day before the expected start to the rainfall, leaving a small window to coordinate and implement preparedness. A longer lead heavy rainfall forecast would extend the scope of preparedness actions. Currently the time afforded by existing 7- and 5-day forecasts from KMD could be used by KRCS to prepare higher-cost higher-cost actions, which are finally triggered upon the issuance of a HRA for the next few days. This approach would be analogous to the ready-set-go approach of the Red Cross designed to integrate seasonal forecasts into decision making, adapted to a much shorter overall anticipation window (Bazo 560

et al., 2019).

However the provision of forecasts at even longer lead-time could further enlarge the window for preparedness. -For instance, subseasonal forecasts have been shown to have skill out to several weeks ahead (Vitart et al., 2017) and there is clear potential for warnings on this timescale to inform humanitarian preparedness (White et al., 2017). Evaluation of these

565 timescales is being carried out as part of the ForPAc project which has identified potential utility over Kenya and these subseasonal forecasts are currently being trialed at KMD after being made available in real-time as part of phase two of the S2S project (Kilavi et al. 2019, MacLeod et al. in preparation). (Kilavi et al., 2018; MacLeod et al., submitted). The longer lead time of these rainfall forecasts can afford KRCS more flexibility and potential for early preparedness.

Having made these suggestions for the HRA we must acknowledge the importance of balancing detail with wide interpretability.

In this case although users such as KRCS may prefer to see more spatial detail in the advisories, in their current form the 570 text-based county-level format means that no technical knowledge is required to correctly interpret the information. This facilitates understanding and easy dissemination (e.g. through radio, translation to local languages and in-person broadcasts to communities). To add additional information may limit the ease with which they are disseminated and their interpretability and accessibility. Ensuring an optimal balance for all stakeholders is a challenge for KMD and indeed for NMHS in general.

4.2.2 Improving flood forecasting 575

Explicit modelling of local hydrology is necessary to provide accurate forecasts of flood risk, rather than reliance on rainfall forecasts alone. Although here we do find that HRAs warn of the most significant flooding events (consistent with the analysis of Robbins and Titley (2018), who also find a good relationship between precipitation forecasts and heavy impacts across the globe), it is unlikely that flood impacts will always be felt after heavy rainfall. Or indeed it is not the case that heavy rainfall

A unified national flood modelling and forecasting system would would provide KRCS with a standardized view of flood risk across the country, however KMD do not yet have such a system and different approaches are being followed in different basins.

is always necessary to trigger flood impacts, which can occur with 'normal' rainfall if the soil is already saturated (MacLeod 580 et al., in preparation). (MacLeod et al., submitted). Accurate characterisation of flood impacts requires consideration of nonmeteorological and non-hydrological factors.

- 585 Flood forecasting is most developed for the The Nzoia basin of western Kenya currently has the only operational flood forecast, where a three-day forecast produced by a basin-scale hydrological model based on monitoring of basin is used to generate a three-day discharge forecast using basin-average rainfall and soil moisture observations along with a short range rainfall forecast. Substantial new investment is being made in flood forecasting in Kenya, notably under the World Bank-supported Water Security and Climate Resilience project, which . This will both upgrade the Nzoia flood forecasting system with a new
- 590 hydrological model software and will support an extension of river flood early warning systems to other main river basins of Kenya, including upgraded hydro-meteorological observation networks supporting hydrological flood forecast models. This will help to provide more targeted relevant flood forecasts, and as the hydrological monitoring network is expanded this will help to evaluate the background level of flood risk, supported by new hydrological model simulations. The work will also help to strengthen institutional links between KMD with the mandate for forecasting in Kenya and the Water Resource Authority
- 595 (WRA) with the mandate for flood risk mapping; close collaboration between KMD and WRA is essential to ensuring effective and coherent flood risk management and forecasting in the region. Other parallel related activities include: the SHEAR HiPac project, which for the Nzoia river basin will map inundation risk in high resolution and link this to forecasts from the existing system;-, and the EU-supported ECHO project developing flood risk assessment and forecasting for the Tana River.
- In the absence of readily available flood forecast information from the NMHS covering the entire country, some na-600 tional Red Cross societies are now considering the use of ECMWF GloFAS flood forecasts (see Alfieri et al., 2013, and www.globalfloods.eu) to trigger flood EAPs. In Kenya , GloFAS may be an appropriate product whilst the basin scale flood forecasting remains under development in Kenya and there remains no unified national flood forecasting system. Whilst Glo-FAS is advantageous as it is freely available with national coverage, the GloFAS forecasts are unable to take advantage of real-time local hydrological observations to initialise the model, limiting the forecast skill. A locally-calibrated model which 605 assimilates initial hydrological states would likely provide the optimal basin-scale flood risk forecast. In addition the need for
- GloFAS forecast verification remains outstanding for most basins. KRCS should work with relevant organisations to undertake this analysis. Further, use of GloFAS should be sensitive to issues of national ownership of warnings systems.

Ultimately the evaluation of HRA presented here should be put in the context of flood preparedness systems such as the KRCS flood hazard EAPs. It points to the need, now widely recognised, for strengthened co-production of forecast informa-

- 610 tion and products which support the effective uptake of forecasts into risk management systems. In Kenya , recent projects exemplify this approach including ForPAc, WISER SCIPEA and W2SIP, whilst the national Early Warning-Early Action platform convened by KRCS in September 2019 brought together relevant national actors. Co-ordinated verification of existing forecast products such as the HRA presented here will help to integrate these into systematic preparedness activities. Whilst in this case the current form of the HRA may preclude their use as a trigger for the KRCS EAPs, they are able to effectively warn
- 615 of heavy rainfall and should therefore take a key role in a seamless approach toward mitigating the risk from risks associated with heavy rainfall across Kenya.

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Author contributions. All authors collaborated on the development of the verification strategy and contributed to the manuscript. MK, EM and DM digitized the advisories, EM provided the KRCS flood record, MO prepared exposure data and PR extracted flood impact data from EM DAT. DM as ardirected the study corrigid out the exclusion and unsta the trut.

620 EM-DAT. DM co-ordinated the study, carried out the analysis and wrote the text.

Competing interests. The authors declare no competing interests.

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Kenya Meteorol Departm	
A Hear	vy Rain & Storm Advisory
Message Type:	Heavy rain /storm
Message Update No.:	One
Date of Origin:	13 th January 2016, 1200 UTC
Validity:	15 th to 17 th January 2016
Severity:	Mild to Moderate
Certainty:	Probability of occurrence (33%)
Message Description:	Painfall of more than 30 millimeters is likely to occur over some areas of Mount Kenya and South Rift Regions on 15 th and 16 th , including Nairobi and Kiambu on 17 th January 2016.
Area(s) of Concern:	These areas include Narok, Bomet, Kericho, Nakuru, Nyahururu, Nyeri, Muranga, Embu, Meru, Kiambu and Nairobi.
Instructions:	Residents in these areas are advised to be on the lookout for sudden downpours which may cause flash floods. They are advised to exercise caution especially if these rains persist for a long time in one place. Further advisories will be issued as we follow up on the progress of this weather event.
Message Addressed to:	Media, County Directors of Meteorological services in affected areas and other emergency response institutions.
Originator:	Director, Kenya Meteorological Department-Headquarters Nairobi

Figure 1. An example of a heavy rainfall advisory issued by KMD.

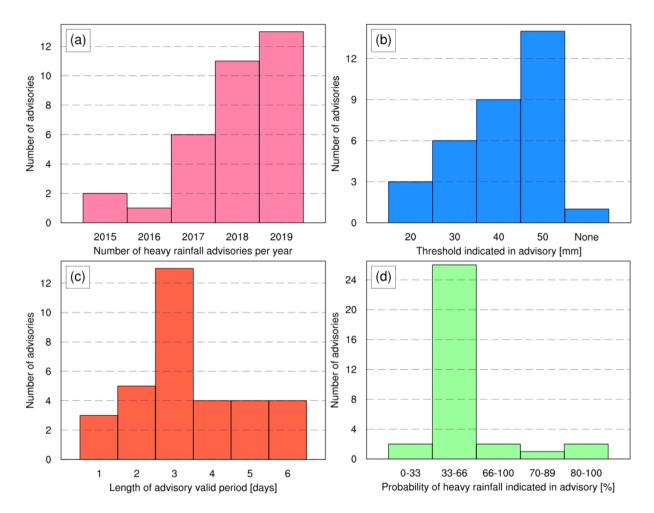
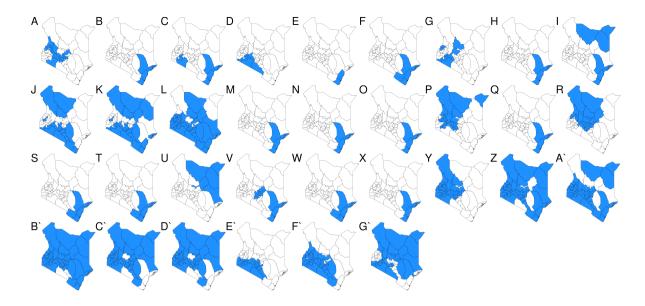


Figure 2. Summary statistics of advisories issued over 2015-2018. <u>2015-2019 detailed in Table 1.</u> Showing (a) the number of advisories issued per year, (b) the rainfall threshold mentioned, (c) the length of the valid period and (d) the probability mentioned.

(a) Counties warned in each advisory



(b) Accumulated rainfall during each advisory window

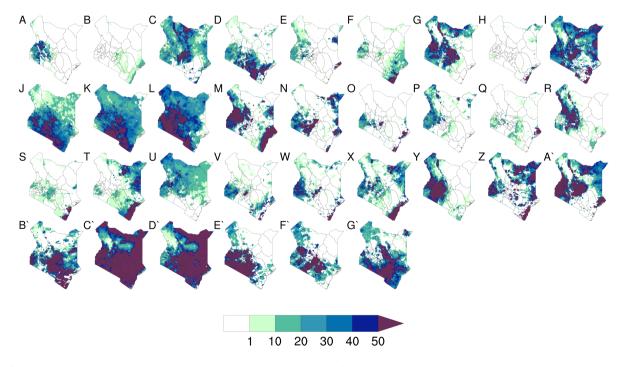
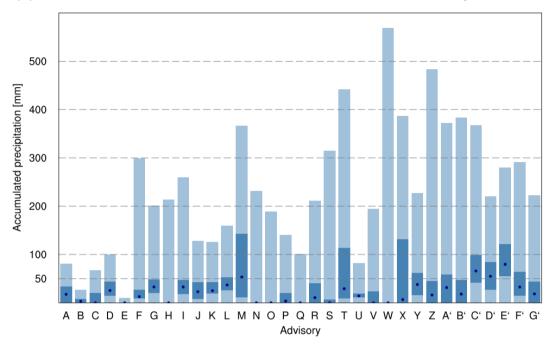


Figure 3. (a) Counties with active warnings for each of the 33 heavy rainfall advisories issued by KMD during 2015-2018 2015-2019 (advisory details are given in table 1). (b) Rainfall accumulations (mm) during each advisory window, based on CHIRPS.



(a) Distribution of accumulation across the area under advisory

(b) Percentage of advisory area receiving threshold accumulation

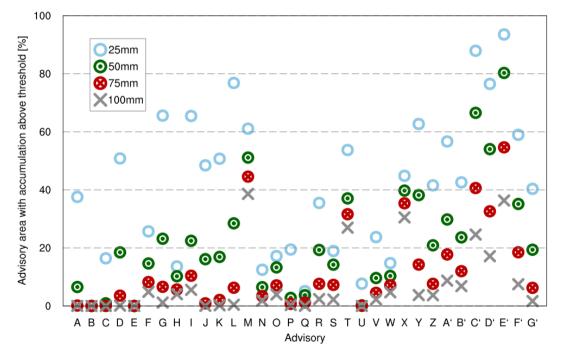


Figure 4. How much rain fell in counties under advisory? (a) Rainfall accumulation during advisory window, showing distribution over all 5km square gridpoints within counties mentioned in advisory (dark/light/dark shading shows innerthe range/outer quartiles interquartile range of the distribution, and the dot indicates the median). (b) Percentage of each advisory region where rainfall accumulation was above 25, 50, 75 or 100mm. 26

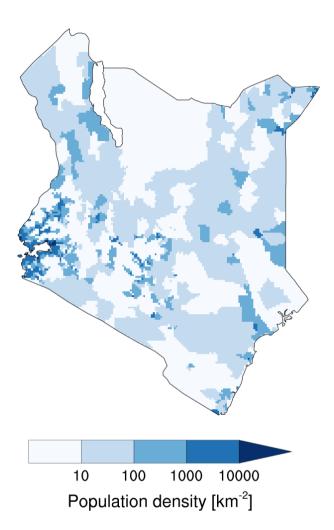
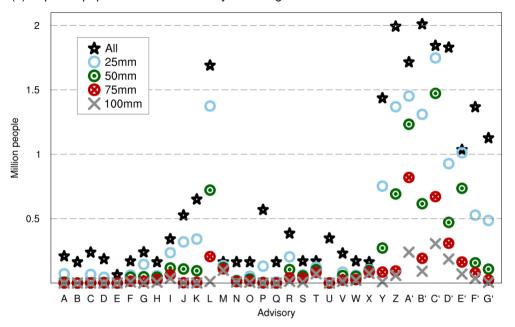


Figure 5. Population density over Kenya, from the Gridded Population of the World Database produced by NASA SEDAC CIESIN (2018) (CIESIN, 2018)



(a) Exposed population under advisory receiving threshold accumulation



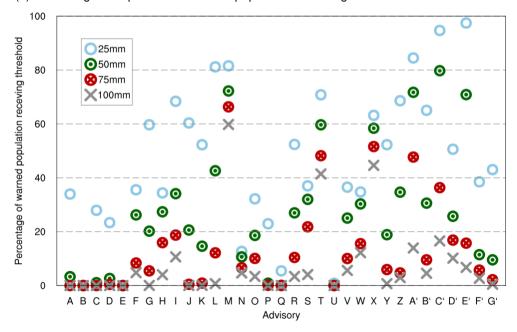
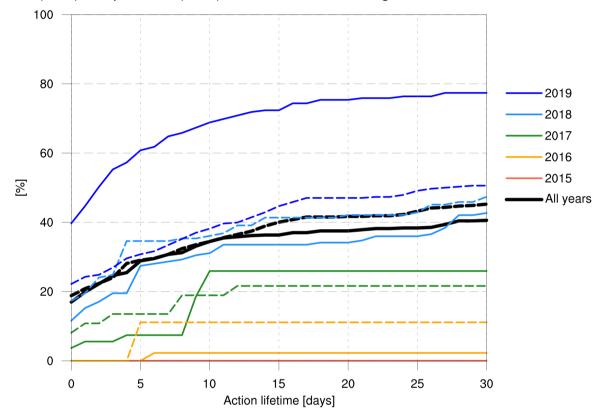


Figure 6. What is the extent of preparedness action implied by advisories? (a) The total population living in the warning region (black star) and the number living in that region also receiving at least 25, 50, 75 or 100mm rainfall over the advisory window. (b) Percentage of the population living in the advisory region and also receiving above-threshold rainfall.



Hit rate (solid) and precision (dash) of advisories, verified against recorded flood events

Figure 7. Skill statistics of the advisories when verified against observed flood events at county level. The hit rate shows the percentage of events which were preceded by an advisory in that county (solid line), whilst the precision shows the percentage of county warnings which were followed by an event (dashed line; NB, precision is equivalent to 100% minus the false alarm ratio). Statistics are calculated for all years (black line) and each year separately (coloured lines), across a range of 'action lifetimes', such that theoretical action based on each advisory is assumed to have a lifetime, so is still considered a 'hit' as long as the flood event occurs within the lifetime of the action.

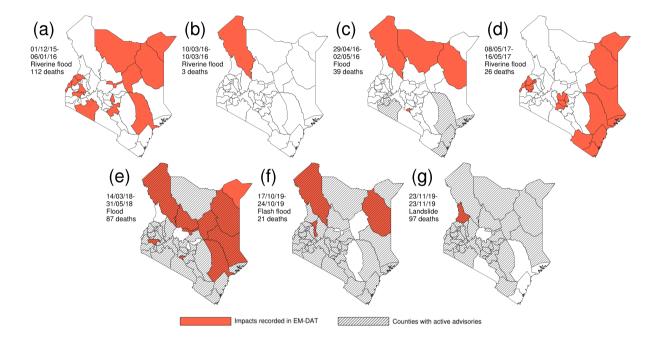


Figure 8. Were the most significant impacts of heavy rainfall preceded by advisories? Showing all seven relevant events extracted from EM-DAT across the advisory period (see section 2.3 for details of event selection). Counties reporting impacts are shown in orange, whilst hatching indicates counties for which warnings were active when the impact was recorded to have begun.

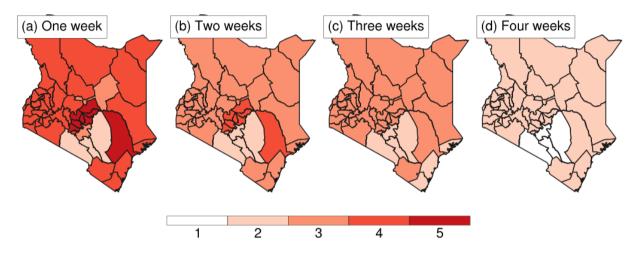


Figure 9. How many times per year might an FbAFbF/F-A system based on advisories trigger? Showing the number of potential triggers per county during 2019: here we assume that an action is triggered if an advisory is issued, as long as no action had already been triggered in the preceding one, two, three or four weeks (a-d).

Table 1. Summary of all advisories 2015-2019 evaluated in this study

Label	Issue date	Period length (days)	Largest rainfall threshold mentioned	Probability indicated
A	2nd June 2015	2	50mm	33-66%
В	2nd July 2015	2	50mm	0-33%
С	25th April 2016	2	50mm	80-100%
D	18th April 2017	2	50mm	33-66%
Е	28th April 2017	1	50mm	70-89%
F	18th September 2017	3	50mm	80-100%
G	11th October 2017	3	50mm	33-66%
Н	30th October 2017	2	50mm	33-66%
Ι	2nd November 2017	4	30mm	66-100%
J	27th February 2018	3	50mm	33-66%
Κ	9th March 2018	4	40mm	0-33%
L	15th March 2018	4	50mm	66-100%
М	27th April 2018	5	40mm	33-66%
N	2nd May 2018	3	50mm	33-66%
0	7th May 2018	3	50mm	33-66%
Р	20th May 2018	1	50mm	33-66%
Q	30th May 2018	1	30mm	33-66%
R	4th June 2018	3	40mm	33-66%
S	24th September 2018	3	50mm	33-66%
Т	23rd October 2018	3	40mm	33-66%
U	25th March 2019	3	30mm	33-66%
V	3rd May 2019	4	40mm	33-66%
W	7th May 2019	5	30mm	33-66%
Х	22nd May 2019	3	40mm	33-66%
Y	31st May 2019	6	40mm	33-66%
Z	10th October 2019	5	20mm	33-66%
A'	14th October 2019	5	40mm	33-66%
B'	23rd October 2019	6	20mm	33-66%
C'	18th November 2019	6	40mm	33-66%
D'	23rd November 2019	3	30mm	33-66%
E'	28th November 2019	6	30mm	33-66%
F'	3rd December 2019	3	None	33-66%
G'	6th December 2019	3	20mm	33-66%