

# **CREWS Operational Procedures Note N°2**

## **Monitoring and Evaluation**

Adopted by the CREWS Steering Committee on 9 November 2016.

Revised by the CREWS Steering Committee on 6 September 2017 to accommodate for the CREWS Operational Procedures Note N°3 on Gender-Sensitive Programming.

The objective of the CREWS initiative is to significantly increase the capacity to generate and communicate effective impact-based, multi-hazard, gender-informed, early warnings and risk information to protect lives, livelihoods, and assets in Least Developed Countries (LDCs) and small island developing States (SIDS).

### CREWS Members



Australia



France (Chair)



Germany



Luxembourg



Netherlands

### CREWS Observers



Canada



Japan



New Zealand



Norway



Switzerland



USAID



ACP

### CREWS Implementing Partners



## CREWS Operational Procedures Note N°2 - Monitoring and Evaluation

1. The CREWS Steering Committee, at its First Meeting on 12 September 2016, requested the Secretariat to develop draft operational procedures on monitoring and evaluation for review by the Steering Committee at its second meeting.
2. The roles and responsibilities of, respectively, the Steering Committee, the Implementing Partners, the Secretariat and the Trustee, regarding monitoring and evaluation are found in the CREWS Governance Document adopted by the Steering Committee on 12 September 2016. Any modifications would need to be reflected in the CREWS Governance Document and approved by the Steering Committee.
3. The modalities for financial reporting are included in the Contribution Agreement (CA) between the Trustee and the Contributors and in the Financial Procedures Agreement (FPA) between the Trustee and the Implementing Partner. Any modifications would need to be reflected in the CA and FPA templates and approved by the Steering Committee.
4. The terms used in this Note are compliant with the Glossary of Key Terms in Evaluation and Results Based Management of the OECD DAC Working Party on Aid Evaluation.<sup>1</sup>
5. The CREWS results-based management system will assist the Steering Committee to oversee project results, assess the overall impact of the CREWS initiative, promote accountability for resources used and understand the development impact of the Trust Fund.
6. A monitoring framework for CREWS is included as Annex 1 to this Note. CREWS will be monitored against its overall objective, the outcomes and outputs contained in the CREWS programming framework and the CREWS project proposals.
7. The CREWS Monitoring Framework uses a combination of quantitative and qualitative information that aims to capture impacts beyond basic aggregation of results' indicators. The Monitoring Framework will attempt to demonstrate the broader contribution of CREWS to sustainable development, disaster risk reduction and climate change adaptation.
8. Gender disaggregation for the indicators will be applied where possible. Based on the CREWS Operational Note N°3 on Gender-Sensitive Programming, indicators to more explicitly integrate gender into CREWS monitoring were developed and included in the CREWS Monitoring Framework.
9. Implementing Partners will be responsible for the monitoring and evaluation of their CREWS-funded projects and will report accordingly to the Steering Committee through the CREWS Secretariat.
10. During the project implementation period, the minimum reporting requirements for the Implementing Partners for each project will be semi-annual narrative reports of activities and an annual results-based report. The reports will align with the procedures set out in this Note. CREWS policy is to communicate in English.
11. The Secretariat will report annually (by calendar year) to the Steering Committee on the performance of CREWS. The Annual Reports will be available, at the latest, 3 months after the end of the calendar year. The short Annual Reports will draw information from CREWS Project progress reports, received from the

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<sup>1</sup> <https://www.oecd.org/dac/evaluation/2754804.pdf>

Implementing Partners during the reporting period, and will include information on progress in implementation, potential risks and lessons learned.

12. Annual Reports will review the quality of the deliverables, include baseline studies, and measure changes in outcome and impact indicators. Excerpts of the CREWS Annual Report can be included in the Implementing Partners' respective annual reporting to reflect their contributions to the CREWS objectives.
13. The CREWS Secretariat will develop simple information management systems, such as an integrated online platform, to capture documents in the monitoring and reporting cycle and allow Implementing Partners to report online.
14. The monitoring framework will be iteratively enhanced with specifics such as technical definitions, baselines, data sources, calculation methodologies, reporting formats and targets where required.
15. Wherever possible, the CREWS Secretariat will align the CREWS monitoring framework with indicators used by other financing mechanisms such as the World Bank (IDA, PPCR, etc.), the Green Climate Fund, the Global Environment Facility and other development partners.
16. The Steering Committee may commission independent evaluations such as a midterm review of the CREWS portfolio and efficiency of its operational modalities, as well as possibly other reviews that help assess the quality of implementation and results. Through these efforts, the Steering Committee will gain insight into the performance of the portfolio in addition to project-based reporting.
17. More detailed guidelines, reporting templates and standard TORs for evaluations may be developed at the request of the Steering Committee and added as annexes to this Note.
18. Regarding the risk management of CREWS, the Secretariat will inform the Steering Committee at its regular meetings, or as requested by the Steering Committee, of risks related to projects and the overall performance of CREWS using a simple color coding (e.g. green, orange, red), related respectively to low, moderate and high risk.
19. The Secretariat will also present to the Steering Committee the project activities with high-risk rating to identify jointly with the Implementing Partners whether potential remedial measures are necessary.
20. The Steering Committee may arrange site visits in coordination with the national counterparts and the Implementing Partners.
21. CREWS is a continuously learning initiative. The results, indicators and associated methodologies will be refined and adapted as needed based on good practices and lessons learned. CREWS' lessons learned on monitoring and evaluation will also be made available to all interested parties.

**ANNEX 1 – DRAFT CREWS MONITORING FRAMEWORK**

<b>Result Level</b>	<b>Indicators</b>	<b>Reporting Responsibility (Annual Reporting)</b>	<b>Notes by the Secretariat for Information</b>
<b>Objective</b>			
Substantially reduce global disaster mortality by 2030, aiming to lower average per 100,000 global mortality rate between 2020-2030 compared to 2005-2015 (Sendai Framework for Disaster Risk Reduction Target A)	Number of deaths and missing persons, in LDCs and SIDS, attributed to hydro-meteorological hazards, per 100,000 people	UNISDR as part of Sendai Framework monitoring	Indicators to measure the Sendai Framework target have been approved by the “Open-ended Intergovernmental Expert Working Group on Indicators and Terminology Relating to Disaster Risk Reduction (OIEG)” and are monitored by countries against the Sendai Framework and the SDGs
<b>Final Outcomes</b>			
Significantly increase the capacity to generate and communicate effective, impact-based, multi-hazard early warnings and risk information to protect lives, livelihoods, and assets in LDCs and SIDS (Aligned with Sendai Framework Target G)	Number of people per 100,000 that are covered by early warning information through local governments or through national dissemination mechanisms in LDCs and SIDS (subset of Sendai Framework Indicator G-3)	UNISDR as part of Sendai Framework monitoring	Indicators to measure the Sendai Framework target have been approved by the OIEG and are being monitored by countries against the Sendai Framework and the SDGs
<b>Intermediate Outcomes</b>			
Increased prioritization of and investment in early warning	Number of LDCs and SIDS that adopt and implement national disaster risk reduction strategies that include early warning systems, in line with the Sendai Framework (Sendai Framework Indicator E-1)	CREWS Secretariat	The inclusion of early warning in national disaster risk reduction plans is not currently a measured criterion nationally or globally. It will need to be included by UNISDR as part of the Sendai Framework Monitor
Increased accuracy and timeliness of weather forecasts and early	Number of LDCs and SIDS demonstrating increased accuracy and timeliness of	CREWS Secretariat	While currently this indicator is not systematically

Result Level	Indicators	Reporting Responsibility (Annual Reporting)	Notes by the Secretariat for Information
warning	weather forecasts and early warnings		measured, a number of reviews are planned. For example, WMO is planning a global review of early warning systems and GFDRR has included this indicator as part of its annual reporting (GFDRR Pillar 3 outcome indicator)
<b>Outputs</b>			
National			
1. Assessment of institutional capacities of National Meteorological and Hydrological Services (NMHSs), user needs, ongoing and planned programmes, and socioeconomic benefits of hydromet services and early warning	Number of national capacity assessments (including staff gender distribution) carried out in LDCs and SIDS	Implementing Partners	Information will need to be drawn from CREWS project reports
2. Hazard and risk information of exposed populations and assets to guide early warning systems and climate and weather services	Number of national risk assessments in LDCs and SIDS with information on vulnerable population disaggregated by gender	Implementing Partners	Information on risk information relevant to early warning systems is not currently collected. It will need to be drawn from CREWS project reports
4. Improvement of NMHSs' service delivery	Average increase in WMO Service Delivery Progress Model (SDPM) level across CREWS countries	WMO	SDPM self-assessment supported by GFDRR and WMO (Country Profile Database)
5. Development of long-term service delivery strategies and development plans for NMHSs	Number of NMHS service delivery strategies and development plans in LDCs and SIDS	WMO	Based on information in WMO Country Profile Database
6. Procurement and installation of high priority observation and	Number of items installed and operational, divided by type (Automated	Implementing Partners	Information will need to be drawn from CREWS project reports

Result Level	Indicators	Reporting Responsibility (Annual Reporting)	Notes by the Secretariat for Information
information and communications technology (ICT) equipment	Weather Station (AWS), visualization software, etc.)		
7. Preparedness for response plans with operational procedures for effective early warning dissemination, readiness to act with regular simulation exercises	Number of preparedness for response plans with operational procedures for effective early warning dissemination in SIDS and LDCs tailored to women, men, girls and boys Number of SIDS and LDCs with regular disaster simulation exercises inclusive of women, men, girls and boys	TBD	Indicators not currently measured. Consultations will be held with the Inter Agency Standing Committee (IASC) and other partners to identify data sources
8. Targeted education and public awareness programmes available for warning systems and related public action	Number of education and awareness programmes tailored to women, men, girls and boys developed through CREWS projects and number of beneficiaries of these programmes disaggregated by gender	Implementing Partners	Information will need to be drawn from CREWS project reports
9. Activities promoting gender equality in all aspects of early warning systems	Number of activities targeting women's equality developed through CREWS projects and number of beneficiaries of these activities disaggregated by gender  Number of subactivities (e.g., outreach to women's groups, transportation to meetings) taken to ensure women's equal participation in CREWS project activities and number of beneficiaries of these activities	Implementing Partners	Information will need to be drawn from CREWS project reports
Regional			

Result Level	Indicators	Reporting Responsibility (Annual Reporting)	Notes by the Secretariat for Information
Assessment of institutional capacities of regional centers to meet NMHSs' needs in LDCs and SIDS	Number of capacity assessments (including staff gender distribution) carried out	Implementing Partners	Based on information provided by WMO
Training for regional WMO and intergovernmental organizations to provide regional climate/ weather services to LDCs and SIDS	Number of regional organizations staff trained disaggregated by gender	Implementing Partners	Information will need to be drawn from CREWS project reports
<b>Global</b>			
Investments are increased and better coordinated to address early warning service delivery gaps	Number and amount of investments leveraged by CREWS projects	CREWS Secretariat	Information will need to be drawn from CREWS project reports



## ANNEX 2 – Reporting Timelines for CREWS Implementing Partners and Secretariat

This note details the deadlines for **operational reporting requirements** specified in paragraphs 10 and 11.

When	Who Reports	Report to be Delivered	Details
1 May every year	CREWS Implementing Partners	Project status reports delivered to the Secretariat	The status report will be presented using the “Template for CREWS Project Status Report” (Annex 3).
June every year; (two weeks in advance of the CREWS Steering Committee meetings)	CREWS Secretariat	Aggregated status report of all CREWS projects	
1 November every year	CREWS Implementing Partners	Project results report delivered to the Secretariat	The project reports result will be presented using the “Template for CREWS Project Results Report” (to be developed)
1 March every year	CREWS Secretariat (based on financial information provided by Implementing Partners through the Trustee)	CREWS annual report	The annual report will comprise substantive operational information

As a reminder, **financial reporting requirements** between Implementing Partners and the Trustee are set out in the Financial Procedures Agreement under section 10, “Records and Reporting,” as follows:

10.2 The Implementing Partner shall provide the following information to the Trustee, prepared in accordance with the Implementing Partner’s accounting and reporting procedures and provided in a form and means agreed with the Trustee:

- (a) Within thirty (30) calendar days after the end of each semester of each CREWS Fiscal Year (or such other frequency as may be agreed with the Trustee) the dates of approval and amounts approved by the Implementing Partner of Projects...
- (b) Within thirty (30) calendar days after the end of each CREWS Fiscal Year (or such other frequency as may be agreed with the Trustee), the dates and amounts of the Cancelled Funds from Projects and Administrative Fees...
- (c) Within thirty (30) calendar days after the end of each semester of each CREWS Fiscal Year (or such other frequency agreed with the Trustee), (i) the date on which all financial obligations owed by or to, as applicable, the Implementing Partner under a Project are satisfied, and (ii) the final amount disbursed/used and the amount of any Unused Funds from such Project...
- (d) Within sixty (60) calendar days after the end of each CREWS Fiscal Year (or such other frequency as may be agreed with the Trustee), statements of: (i) Investment Income earned on the Trust Fund resources transfer to the IP Trust Fund for Projects; and (ii) Investment Income returned to the Trustee, substantially in the form attached to this Agreement as Annex H;
- (e) Within six (6) months after the end of the relevant Implementing Partner’s fiscal year, a financial statement of the IP Trust Fund;
- (f) Within six (6) months after termination of this Agreement, a final financial statement for the IP Trust Fund...