

Programme Evaluation Series

Real-time evaluation of FAO's response to the desert locust upsurge 2020–2021 Phase II

Annex 1. Country case study frameworks

Phase II of the real-time evaluation (RTE) includes five country case studies, looking at results achieved in the following countries of operation:

- i. Kenya
- ii. Somalia (Somaliland and Puntland)
- iii. Ethiopia
- iv. Sudan
- v. Pakistan

Each case study produced a short report (10 pages max.) presenting the following information:

- i. Country context:
 - location and severity of locust swarms evolving over time since January 2020;
 - history of desert locust activity;
 - profile of pre-existing locust control and surveillance capacity;
 - food security data (e.g. population living at IPC3+); and
 - access constraints and governance arrangements.
- ii. Portfolio analysis:
 - financial analysis of funds channelled in country through FAO in response to the desert locust upsurge;
 - timeline and spread of activity types; and
 - profile of partner organisations undertaking surveillance, control and capacity-building measures.
- iii. Findings:
 - **Timeliness and relevance:**
 - extent to which surveillance, control, forecasting and communication efforts were supportive of increased preparedness, pre-positioning and planning (1.3); and
 - extent to which livelihood support has been tailored to different stakeholder groups including pastoralists, agriculturalists, refugee populations, all genders, ages and abilities, and those facing specific protection risks (1.5).
 - **Results observed:**
 - contribution of FAO to reduced threat from desert locusts, and early-phase results concerning reduction of food insecurity, livelihood protection and resilience of affected communities (3.1-3.3);
 - integration of health, safety and environmental concerns in FAO's activities (3.4); and
 - unintended consequences of FAO's activities observed in country (3.5).
 - **Enabling factors and constraints:**
 - enabling factors in FAO's response (4.1);
 - constraints faced in terms of data collection and analysis, procurement, stock management and human resource capacity (4.2); and
 - COVID-19 pandemic and insecurity on locust response operations and mitigation measures observed (4.3).

- **Coordination and complementarity:**
 - complementarity of desert locust response with pre-existing pest control and livelihood support activities in-country (2.1); and
 - degree to which FAO has coordinated its activities with other actors, including bilateral donors, multilateral institutions, regional commissions and national/local government response, as well those of local and international NGOs in-country (2.3-2.4).
 - **Innovation and learning:**
 - examples of innovative approaches being deployed in locust surveillance, control or livelihood support activities (5.1); and
 - examples of learning from other countries or regions being deployed in-country (5.2).
- iv. Conclusions and recommendations for improving the response.

Data Collection Tools

The questions outlined above were approached through the following mix of data collection tools: **Literature review:** documentation relating to locust surveillance, control and livelihoods measures in the case study countries was reviewed by the RTE team. Documents considered for review included:

- i. FAO project and programme documents relating to all activities undertaken in the case study countries;
- ii. FAO policy and briefing papers including those related to funding appeals, GRP modifications, and periodic briefings;
- iii. documentation related to response coordination and planning including relevant cluster meetings and notes from meetings of the regional commissions;
- iv. media coverage of the locust upsurge in the affected countries;
- v. academic and grey literature published on relevant innovations, including biopesticides, innovative solutions to surveillance and control, forecasting and data management, and analytical methods such as ROI calculations and crop damage measurement; and
- vi. academic studies on the prevalence and movement of the desert locust swarms, and impact on food security and livelihoods.

Key informant interviews: the RTE team conducted semi-structured interviews with key stakeholders including FAO country teams, country-based surveillance and control teams, livelihoods and farmer-re-engagement officers, country-based M&E officers, donor and partner offices in case study countries (including local and international NGO partners), national and local authorities. Stakeholders were sampled on a purposive basis and a snowball approach utilised to expand the interview base in real-time as the RTE was conducted. Where feasible, appropriate, and permissible in light of country-specific movement restrictions resulting from the COVID-19 pandemic response, affected farmers and households were consulted.

Secondary data collection: information was collected from the FAO's Desert Locust Information Service, RIMA database on resilience, as well as relevant external databases tracking swarm development and location, agricultural indicators, indicators of food security and resilience. Where feasible and relevant, media articles were reviewed and big data sources investigated, including available satellite imagery and relevant environmental monitoring data sets.

Partner survey: electronic surveys were used to gather feedback from FAO partners across the case study countries. Staff from partner NGOs, RC/RCM member organisations, other UN agencies, donors, regional commissions and national and local governments will be surveyed. Where useful and feasible, survey of affected persons and/or community groups were conducted.

Site visits: onsite visits to facilities, activity sites and affected populations. These were conducted by field-based teams and included the following sites, where possible given COVID-19 restrictions and access constraints:

- i. equipment and pesticide storage facilities;
- ii. control operation headquarters;
- iii. farming communities affected by locust invasions; and
- iv. recipients of livelihood support and farming re-engagement packages.

The following table maps each of these tools against the evaluation questions and sub-questions:

		Lit review	KIIs	2 nd ry data	Survey	Site visits
EQ1	To what extent did FAO's leadership, management and technical capacity support a relevant, timely and effective system-wide response to the desert locust upsurge?					
1.3	To what extent were the early surveillance, control, forecasting and communication efforts supportive of increased preparedness, pre-positioning and planning in both frontline and invasion countries?	X	X			X
1.5	To what degree have the actions of FAO and its partner organisations supported a targeted and appropriate response for different stakeholder groups including pastoralists, agriculturalists, refugee populations, all genders, ages and abilities, and those facing specific protection risks?	X	X			X
EQ2	To what extent was the response coherent with FAO's other operations and those of other actors?					
2.1	How successfully did the response to the desert locust upsurge complement pre-existing pest management operations in affected countries?	X	X			
2.3	How effectively did FAO's partnership approach support the response of the regional commissions, national governments, NGOs and other relevant actors responding to the upsurge?	X	X		X	
2.4	How well did FAO coordinate its activities with those of other actors?	X	X		X	
EQ3	What were the positive and negative, intended and unintended results of FAO's actions in terms of food security, livelihoods and resilience of affected households and communities?					
3.1	How has FAO contributed towards reducing food insecurity in affected countries?	X	X	X		X
3.2	How has FAO contributed towards protecting livelihoods of farming communities affected by the locust upsurge?	X	X	X		X
3.3	How has FAO contributed towards building resilience of affected countries, communities and households in affected regions?	X	X	X		X
3.4	To what extent did FAO succeed in integrating – and encouraging partners to integrate – health, safety and environmental concerns in the response to the desert locust outbreak?	X	X		X	X
3.5	What additional, unintended, consequences can be observed in relation to FAO's actions?	X	X	X		X
EQ4	What have been the enabling factors and limiting constraints on the effectiveness of FAO's response?					
4.1	What factors have enabled FAO to respond in a more timely and effective manner to the upsurge?	X	X		X	X
4.2	What constraints have been faced by FAO in the areas of data collection and analysis, procurement, stock management and human resource capacity?	X	X			X
4.3	How did the COVID-19 pandemic and insecurity in locust-affected countries affect the locust response operations, and how did FAO and its partners mitigate these impacts?	X	X	X		X
EQ5	To what extent did FAO's processes support innovation and learning across the affected regions?					
5.1	How effective were FAO's learning mechanisms in transferring lessons across countries and regions?		X		X	
5.2	What challenges were faced by FAO and partner organisations in deploying, using and scaling-up innovative solutions to the desert locust upsurge in 2020-2021?	X	X			

Operating modalities

Each case study will be conducted using a blended team, consisting of:

- i. **remote team:** the RTE Team Leader, Desert Locust Expert, and FAO Office of Evaluation team; and
- ii. **in-country team:** a two-person consultant team covering desert locust and livelihoods expertise.

The roles and responsibilities for each case study will be allocated as follows:

Task	Responsible
Designing the evaluation framework and data collection tools	RTE Team Leader
Identifying in-country interview participants	RTE Team Leader and FAO Office of Evaluation
Compiling country portfolio analysis	RTE Team Leader and FAO Office of Evaluation
Compiling national history of desert locust activity and profile of control capacities	Desert Locust Expert (remote team) in cooperation with National Desert Locust Expert
Conducting remote interviews	Remote team
Conducting on-site visits to DL surveillance and control operations, and storage facilities	National Desert Locust Expert
Conducting on-site visits to recipients of livelihood support and farming re-engagement packages	National Livelihoods Expert
Providing completed interview notes and records of site visits	National Desert Locust Expert National Livelihoods Expert
Drafting preliminary findings	Remote and in-country teams
Drafting preliminary conclusions and recommendations	Remote and in-country teams
Providing final country case study reports	Remote team

Where possible, the RTE team will also leverage ongoing data collection activities in-country including, e.g. food security assessments or third-party monitoring activities. This will be decided on a country-by-country basis, in discussion with the FAO Country Office.

Due to travel restrictions in the Islamic Republic of Iran, no in-country team will be recruited for this case study. Instead, the case study will be conducted entirely remotely using data provided by the Iranian government on request of FAO Country Office, covering surveillance and control operations and, where possible, livelihood activities.

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