



**FOOD AND AGRICULTURE ORGANIZATION OF THE
UNITED NATIONS**

**COMMISSION FOR CONTROLLING THE DESERT LOCUST IN THE
WESTERN REGION**

**THE EMERGENCY PREVENTION SYSTEM FOR TRANSBOUNDARY
ANIMAL AND PLANT PESTS AND DISEASES (EMPRES)
PROGRAMME IN THE WESTERN REGION**

**INSTITUTIONAL STUDY TO ENHANCE THE ROLES AND
RESPONSIBILITIES OF THE DESERT LOCUST CONTROL
COMMISSIONS ESTABLISHED UNDER ARTICLE XIV**

FINANCIAL GOVERNANCE

FINAL REPORT

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ACRONYMS AND ABBREVIATIONS

AELP	Africa Emergency Locust Project
AGP	Plant Production and Protection Division
AfDB	African Development Bank
CERF	Central Emergency Response Fund
CIRAD	<i>Centre de coopération internationale en recherche agronomique pour le développement</i> (International Cooperation Centre in Agronomic Research for Development)
CLCPRO	<i>Commission de lutte contre le criquet pèlerin dans la région occidentale</i> (Commission for Controlling the Desert Locust in the Western Region)
CRC	Commission for Controlling the Desert Locust in the Central Region
DLCC	Desert Locust Control Committee
DLIS	Desert Locust Information Service
ECLO	Emergency Centre for Locust Operations
EMPRES	Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases
EMPRES-WR	EMPRES – Western Region
FAO	Food and Agriculture Organization of the United Nations
FASA	<i>Fonds d'appui à la sécurité alimentaire</i> (Support Fund for Food Security) (Burkina Faso)
FCD	<i>Fonds commun des donateurs</i> (Common Donor Fund) (Niger)
FGEF	French Global Environment Facility
IFAD	International Fund for Agricultural Development
NLCU	National Locust Control Unit
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
PSMS	Pesticide Stock Management System (FAO)
RAMSES	Reconnaissance and Management System of the Environment of <i>Schistocerca</i>
SFERA	Special Fund for Emergency and Rehabilitation Activities
SVDN	<i>Système de veille des dispositifs nationaux de lutte antiacridienne</i> (Monitoring System of National Locust Control Mechanisms)
SWAC	Commission for Controlling the Desert Locust in South-West Asia
TCES	Emergency Operations Service (FAO)
TCP	Technical Cooperation Programme (FAO)
USAID	United States Agency for International Development

INTRODUCTION

1. Following the recommendations of the Evaluation Mission of the 2003–2005 Desert Locust control campaign and within a wider framework of strengthening the autonomy of the statutory bodies, FAO/*Commission de lutte contre le criquet pèlerin dans la région occidentale* (Commission for Controlling the Desert Locust in the Western Region) (CLCPRO) commissioned a study with the aim of enhancing the roles and responsibilities of the Desert Locust Control Commissions, established under Article XIV of FAO's Constitution. An additional aim was to prepare a sustainable global governance and financing framework for the control of this pest. The study was assigned to two consultants, one to work on the institutional aspects and the other, the financing aspects.

2. This document is part of the study on the financial aspects, whose terms of reference (ToRs) are presented in Annex 2. According to the ToRs, the study must propose the financing instruments that would cover intervention needs at the national, regional and international levels as well as a system of governance ensuring a sustainable management of Desert Locust control. It was agreed with FAO/CLCPRO that this study would be structured in two parts:

- The first part must result in a proposal of financing instruments, which would include various scenarios according to the options studied. These proposals will be shared with the actors concerned at FAO and in the Commissions, who will provide recommendations on the proposal of instruments.
- The second part will be based on the recommendations of the actors and will result in a final report presenting both the financial instruments selected and their accompanying frameworks of governance.

3. This report therefore constitutes the first part of the study. It then reviews the current methods of Desert Locust control financing, as well as the main lessons learned from experience. It then proposes a financing system modelled on the different stages of the Desert Locust population dynamics, with financing instruments adopted for each of the stages, which will be activated in a chain reaction.

4. This document is based on a first series of consultations held at FAO headquarters, with the heads of the Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases (EMPRES) programme and the services responsible for mobilizing emergency aid at the French Development Agency, the French Ministry of Foreign and European Affairs, and the *Centre de coopération internationale en recherche agronomique pour le développement* (CIRAD, International Cooperation Centre in Agronomic Research for Development). A second series of consultations took place: in Agadir with the CLCPRO Executive Secretary and the Director of the National Locust Control Centre of Morocco; in Nouakchott, with the Director of the National Locust Control Centre of Mauritania and his team, as well as with the CLCPRO technical assistant, then based in Nouakchott; and with the Commission for Controlling the Desert Locust in the Central Region (CRC) Secretary and the heads of the Locust Departments of the Ministry of Agriculture of Egypt. A series of final consultations were later held at FAO headquarters, where the CLCPRO Executive Secretary also participated together with the consultant in charge of the institutional study. A list of persons met is provided in Annex 3.

1. CONTEXT

A. THE POPULATIONS DYNAMICS OF THE DESERT LOCUST AND CONTROL OPERATIONS¹

5. The Desert Locust usually lives in an isolated state in a very vast area, the area of recession, which covers the arid and semi-arid areas of Africa, the Middle East and the Arabian and Indo-Pakistan peninsulas. In its solitarious phase, it poses no particular danger; however, under favourable rainfall conditions, the locusts can gather together in reduced surface areas that provide better vegetation. When the multiplication of the populations and their concentration exceeds a certain density threshold, a gregarization process is triggered, which will gradually (taking more than three generations) lead to the gregarious phase. The locusts then form hopper bands and swarms of very mobile-winged individuals that breed very quickly and, in order to satisfy their large appetites (they daily consume their own live weight in food), cause enormous crop damage.

6. **Periods.** The Desert Locust population dynamics is characterized by four periods, defined commonly as follows:

- *the recession period* in which the Desert Locust has a low population density and is found in arid and semi-arid areas and the permanent habitat areas that are distant from the main agricultural regions. Here, it does not cause significant damage to crops, and the hopper bands and swarms are completely absent.
- *the outbreak period* corresponding to a significant increase of the number of locusts for several months due to their multiplication, concentration and transformation, which, if not controlled, can lead to the formation of small hopper bands and winged groups, even small swarms. The infestations remain localized.
- *the upsurge period*, which is the result of successful breeding over several generations by the initially small populations. In each generation, the Desert Locust population as well as the size and cohesion of hopper bands and swarms increase. They move and cover increasingly larger areas, generally within a single region, as the upsurge develops.
- *the plague period* corresponding to a period of one or several years of serious and widespread infestations of hopper bands and swarms. A widespread plague occurs when two or several regions² are simultaneously affected.

7. In reality, the passage from one period to another is gradual. Even if the criteria allowing to characterize each period are known, it is not easy to determine the moment of passage from one to another due to the difficulty that the surveillance teams have in covering all the areas concerned in the country or a given region. Nevertheless, the distinction between the periods is useful because it makes it possible to characterize the seriousness of a situation (in terms of risk or impact) and to mobilize increasingly greater capacities according to the level seriousness. It is on this basis that FAO's Desert Locust

¹ This section is based on Duranton and Lecoq, 1990 and on FAO *Desert Locust Guidelines* – 2001.

² The locust plague area is divided into three main regions: Western, Central and Eastern (see para. 12).

Information Service (DLIS) has established four alert thresholds, which are communicated through the *Desert Locust Bulletin*³:

- *The recession period or green alert threshold*: a calm situation, without threat to the crops or pasturelands. In order to prevent the phenomenon of gregarization, survey operations are conducted in the field to ensure the monitoring of breeding areas that have become potentially favourable for the breeding of the Desert Locust following heavy rainfall. Treatment operations may be necessary for the locust populations exceeding a certain threshold, in particular, in the gregarization sites. These operations are carried out over vast desert or semi-desert areas, with low populations, which are often difficult to access. They therefore require experienced teams, equipped with qualified personnel, and adapted and well-maintained equipment (vehicles, spraying equipment, camping gear) which are supported by efficient logistics and administration.
- *The outbreak period or yellow alert threshold*: caution, potential threat to crops. An increased vigilance is required. The same operations are needed but their scope increases. The number of appropriately equipped survey and treatment teams must be increased. This increased strength must be accompanied by rapid mobilization of additional financial means, including those needed for preparing the following period should it develop despite the efforts undertaken.
- *The upsurge period or orange alert threshold*: threat, threat to the pastoral resources and to crops. The field operations are increased further and are supplemented by aerial operations, which require the implementation of new capacities (airplanes, experienced crew and aerial bases). Greater quantities of pesticides are needed.
- *The plague period or red alert threshold*: danger, serious threat to crops and sylvo-pastoral resources.

8. **The 2003–2005 plague.** The last major crisis took place in 2003–2005, beginning in the Western Region and extending to 24 countries. This very severe crisis highlighted the insufficiency of human, material and financial resources of the national locust control services in the Sahel countries, which were not able to conduct efficient preventive control or to respond rapidly to the development of emergency situations. The crisis also showed the important role of regional solidarity and, in particular, of the Maghreb countries (Algeria, Libyan Arab Jamahiriya and Morocco). Wishing to avoid the plague in their respective agricultural areas, and in response to CLCPRO's call, they were the first to provide their assistance and supported a large part of the costs of control operations. Finally, this crisis highlighted the considerable mobilization time of international aid. Although Mauritania and CLCPRO launched the warnings in October 2003, FAO launched an appeal for international aid only in February 2004, and it was only around September 2004 that international assistance was actually mobilized. In the meantime, the emergency took on an entirely different dimension, requiring a much more massive and costly response. It is estimated⁴ that the cost of control operations alone (without including reparation of damages) reached US\$570 million. The accumulated cost of control operations carried out during the two last emergencies (1986–1989 and 2003–2005) largely exceeded US\$1 billion⁵.

³ www.fao.org/ag/locusts/en/info/info/index.html.

⁴ FAO, interview with the Plant Production and Protection Division (AGP).

⁵ Presentation by Thami Ben Halima at the Meeting of Ministers on the Locust Plague, Dakar,

9. Drawing on lessons learned from the crisis, FAO, the Regional Commissions and the Member States made considerable efforts to improve both national and regional capacities to carry out preventive locust control and to strengthen the preparation and response capacities of all actors. Thus, equipped national autonomous centres with trained officials and agents were set up instead of Desert Locust Control Services of Plant Protection Departments in a certain number of countries, in particular, in the frontline countries in the Western Region, that is, the countries in which the main areas of breeding and gregarization are concentrated (Mauritania, Mali, Niger, Chad). These efforts were the result of collaboration between CLCPRO, the national locust control units and the EMPRES Programme⁶. Moreover, FAO set up the Locust Emergency Toolkit (eLert)⁷, a dynamic and interactive database designed to improve the response capacities of all the actors in case of crisis. It includes information on the critical issues such as registered and available locust pesticides in the various countries, the technical specifications of the equipment needed for the control, a list of the suppliers, contract modules for aircraft rental, and a list of qualified consultants and contacts, amongst others.

10. Regular access (in calm situations) and rapid access (in crisis situations) to the necessary capacities for conducting continuous survey and control operations are an indispensable complement to these initiatives; otherwise, they would lose most of their impact. This report aims to contribute towards these efforts.

B. ORGANIZATION OF DESERT LOCUST CONTROL

11. **National level.** The agreements on the establishment of three Regional Commissions for Locust Control all refer to the obligation of the Member States to have national monitoring and control services⁸. National Locust Control Units (NLCUs)⁹ have been set up in 19 countries, of which six took the form of a national centre that has administrative and financial autonomy, and that guarantees them access to resources that are expressly allocated to them and which they control. In the other countries, the units are included within the organizational chart of the Ministry of Agriculture, generally within the department in charge of plant protection. The NLCUs are in charge of locust survey and control operations, which include regular monitoring of rainfall, ecological conditions and locust populations, the dissemination of information, forecasts and alerts, the design and implementation of annual action plans, and recently locust contingency plans, the design, implementation and assessment of control operations, and the mitigation of negative impacts from locust control on the environment. Most of the NLCUs also conduct research activities. Furthermore, an information service on the Desert Locust (Locust Information Service) was set up in all the countries of the Western Region and in the recession area countries in the Central Region, specifically to operate the computerized Reconnaissance and Management System of the Environment of *Schistocerca* (RAMSES) geographic information system developed by FAO.

Senegal, 30–31/8/2004.

⁶ See also below, *Funding in routine situations, Regional Level*.

⁷ <http://sites.google.com/site/elertsite/Home>.

⁸ Article VI of the Agreement on the Establishment of CLCPRO, Articles II of the Agreements on the establishment of CRC and SWAC.

⁹ This generic term used by FAO, irrespective of the administrative status of the service, is used in this report.

12. **Regional level.** The Desert Locust area of distribution was divided into three main regions: the Western, Central and Eastern Regions. The Western Region includes 23 countries from northwest Africa and West Africa. The Central Region is composed of 27 countries of Eastern Africa, the Near East and the Arabian Peninsula. The Eastern Region includes six countries of south-west Asia, from Iran to Bangladesh. Three FAO Regional Commissions, established under Article XIV of the FAO Constitution, are currently engaged in Desert Locust control:

- CLCPRO includes ten West and North-West African countries: Algeria, Burkina Faso, Chad, Libya, Mali, Morocco, Mauritania, Niger, Senegal and Tunisia;
- CRC includes 16 countries from East Africa, the Near East, and the Arabian Peninsula: Saudi Arabia, Bahrain, Djibouti, Egypt, the United Arab Emirates, Eritrea, Ethiopia, Iraq, Jordan, Kuwait, Lebanon, Oman, Qatar, Sudan, the Syrian Arab Republic and Yemen;
- The Commission for Controlling the Desert Locust in South-West Asia (SWAC) includes Afghanistan, India, Iran and Pakistan.

13. The general competences of the Regional Commissions include information-sharing, the harmonization of preventive control activities, awareness-raising among the political leaders of the Member States, the promotion of activities common to Member States, and technical support to these states.

14. **International level.** The mission of the Desert Locust Control Committee (DLCC) is to globally coordinate Desert Locust control plans. It is made up of representatives of countries that host the main gregarization and plague areas, as well as countries that contribute to the financing of locust control. DLCC meets once every two years and has these main responsibilities: (i) monitoring the evolution of the locust situation; (ii) coordinating Desert Locust control campaigns in the affected areas; (iii) promoting coordination of national and regional locust control commissions; and (iv) encouraging the coordination of national and international policies on locust control and research from a preventive action approach. Further, FAO hosts the DLIS, which constantly analyses the information received from survey and locust control teams on the situation of the ecological environment and the Desert Locust infestations in all the countries concerned. It publishes monthly bulletins of the locust situation and forecasts, and provides alerts. Finally, the Emergency Centre for Locust Operations (ECLLO) was created in the 1980s to manage the 1986–1989 campaign, and was activated in August 2004. This mechanism was substituted by the Emergency Centre for Transboundary Plant Pests, a Unit that was activated by FAO's Director-General in case of severe crisis, which is in charge of coordinating the mobilization of emergency aid provided by donors.

2. CURRENT FINANCIAL SYSTEM

15. The current financing system is not explicitly in line with the population dynamics of the Desert Locust. In general, two situations may be identified:

- *an ordinary or routine situation*, which corresponds to the recession period. The financial instruments used in this situation are: (i) at the national level – the national budget, the support projects, the financing of regional commissions and bilateral cooperation in the regional framework; and (ii) at the regional level – trust funds

established and managed by FAO (replenished by the contributions of Member States), the regular FAO programme and the support projects;

- *extraordinary circumstances or a crisis situation* in which the national units can no longer cope with the challenges of Desert Locust control with their regular financial instruments due to large infestations of Desert Locust. This situation applies to the periods of outbreaks, upsurges and plagues. The financial instruments used therefore include: (i) an increase of resources funded from national budgets, including emergency funds; (ii) the mobilization of regional aid in cash or in kind; (iii) international bilateral aid; (iv) FAO's Technical Cooperation Programme (TCP); (v) Central Emergency Respond Fund (CERF); (vi) FAO's Special Fund for Emergency and Rehabilitation Activities (SFERA); (vii) multilateral emergency aid channelled by FAO; and (viii) in-kind aid in the form of pesticides.
16. The different financial instruments are detailed below.

A. FUNDING IN A ROUTINE SITUATION

National level

17. In a routine situation, the NLCUs are funded by four categories of instruments:

- the National budget
- the support projects
- the Regional Commissions
- bilateral regional cooperation.

18. **National budget.** The national budget is the first financing instrument of the NLCUs and their intervention mechanisms.

19. In the **Western Region**, the 2003–2005 crisis brought to light the insufficiency of the national mechanisms in the four frontline countries (Mauritania, Mali, Niger and Chad) and the lack of annual budget allocations. Significant effort was made to strengthen the mechanisms, both institutionally and in terms of budget. Each of the four countries now has an autonomous National Locust Control Centre established by law, which guarantees the inclusion of an annual budget in the national budget law.

20. Since 2008, CLCPRO has collected information on budgets and the expenditures of the national units, and presents them to the Steering Committee of the regional support project EMPRES-Western Region (WR). The detailed figures for all the countries are available starting from 2009. These data should, however, be considered with caution:

- *The indicated figures* represent estimates that are sometimes very approximate, because: (i) the national public budgets are organized according to budgetary nomenclatures that only partially correspond to the CLCPRO format, and the NLCUs generally do not have software for tracing costs¹⁰; (ii) in the countries where the NLCU are still part of the Department of Plant Protection, it is difficult to distinguish the

¹⁰ In reality, the countries that have benefitted from the AELP project funded by the World Bank (see below) have been provided with TOMPRO software with a multi-donor licence, which would allow to adapt the presentation of the budgets according to different formats. However, the software is only used for the needs of project's accounting.

expenditures specifically earmarked for Desert Locust control; (iii) in some countries, the Ministry of Public Administration is responsible for staff salaries, and the National Units do not have the corresponding information:

- *The format used does not distinguish the expenditures related to the routine situation or the crisis situation, which does not make it possible to identify the part of the regular budget of the Units and the extent to which this budget evolves;*
- *Since it does not aggregate the investment and operating expenditures in a separate budget line, it is not possible to distinguish the part of the operating expenditures and the part of the investment agreed by the States, nor to compare their respective developments.*
- *It is not accompanied by a fill-out form guide, which implies that the types of expenditures reported under different categories can vary from one country to the next according to the interpretation, even from one year to another for the same country, which makes comparisons difficult.*

21. Nevertheless, the expenditures thus collected by CLCPRO provide an approximation of expenditures incurred by the NLCUs. Table 1 shows a summary of investment and operating expenditures financed by the budget of each of the countries in 2009–2010, determined from the available figures.

Table 1 – Expenditures of the NLCUs from the National budget of the Western Region (US\$)

	Chad	Mali	Mauritania	Niger	Algeria	Libya	Morocco	Senegal	Tunisia
Investment 2009	0	359 501	0	0	1 689 000	935 000	285 800	96 039	0
Investment 2010	113 607	361 956	0	142 940	283 000	170 000	406 900	437 500	22 222
Operations 2009	0	759 063	253 666	0	1 054 758	512 080	341 000	95 606	92 064
Operations 2010	78 057	614 294	437 276	100 625	1 093 858	513 500	542 200	122 349	93 320
Total 2009	0	1 118 564	253 666	0	2 743 758	1 447 080	626 800	191 645	92 064
Total 2010	191 664	976 250	437 276	243 565	1 376 858	683 500	949 100	559 849	115 542

Source: Reports from the Fifth and Sixth Meetings of the EMPRES-WR Steering Committees

22. In Mauritania, Niger, Morocco, Senegal, Chad and Tunisia, the total expenditures increased from 2009 to 2010, and at times significantly. By contrast, in Mali, Algeria and Libya, they dropped from 50–75 percent. In the Sahel countries, in particular, the variations are not necessarily linked to a decrease or increase in NLCU activities, but rather, are due to the availability budgetary funds of the States. Faced with a multitude of priorities and globally limited resources, it can be difficult for a government to justify the allocations of considerable amounts to locust control activities whose impact is not actually visible, in particular, where there are support projects that can contribute to it.

23. The comparison of budgets planned by the national units and the amounts effectively received and spent are shown in Table 2. It also compares the different situations from one country to the next, and from one year to another.

Table 2 – Comparison of effective budgets and expenditures in the NLCUs in the Western Region, 2009–2010 (US\$)

	Chad	Mali	Mauritania	Niger	Algeria	Libya	Morocco	Senegal	Tunisia
Budget 2009	0	1 030 780	356 676	590 904	985 714	0	687 200	3 256 544	0
Expenditures 2009	0	1 118 564	253 666	0	2 743 758	1 447 080	626 800	191 645	92 063
Difference		+9%	-29%	-100%	+178%		-9%	-94%	
Budget 2010	0	1 506 134	253 666	1 178 270	1 371 858	932 140	760 000	29 425	119 047
Expenditures 2010	191 667	976 250	437 276	243 565	1 376 858	683 500	949 100	559 849	115 542
Difference		-35%	+72%	-79%	0%	-27%	+25%	+1803%	-3%

Source: FAO EMPRES

24. The lack of resources, the changes in budgetary priorities, and even insecurity (which leads to a reduction of the number and size of the programmes) are some of the factors that could explain the large differences and their fluctuation. These variations, in particular in the frontline countries, show the NLCUs' difficulties in carrying out regular monitoring and treatment activities with the national resources. In the absence of projects contributing to the EMPRES-WR programme and of the Africa Emergency Locust Project (AELP) (see above), which are coming to completion, complementary and sustainable funding must necessarily be ensured in order for NLCUs to fulfil their responsibilities of preventing major infestations just as they have been doing since 2005.

25. In the **Central Region**, there are no recent figures available on the budgets and on the expenditures allocated to Desert Locust control. The attempts to obtain them at the time of the implementation of EMPRES in this region have revealed difficulties similar to those mentioned for the Western Region. An additional constraint arises from the fact that, with the exception of Egypt, none of the countries have administratively and financially autonomous locust control units. It is therefore even more difficult to identify the expenditures involved in locust control in the routine situations, since they are not differentiated from those of the Departments that are responsible for it, i.e. generally the Plant Protection Departments.

26. Moreover, it should be noted that the available information **in the two regions**, although it is not comparable, does not allow to determine a cost structure¹¹ in the routine situation. Except for the Western Region, information is no longer available on the unit cost of the main operations conducted by the national units: for example, what is the average unit cost per hectare for surveying or treatment? The calculation of these costs should be useful for the NLCUs themselves, notably for the preparation of their budgets, the monitoring of their costs, assessing their efficiency, but also for facilitating the preparation of detailed and reliable locust contingency plans (see para. 69 below). This information would also be very useful in negotiations with donors. However, this would require the set-up of an analytical accounting system and personnel trained in financial management within the national units, which would be difficult to achieve in the NLCUs that are not autonomous.

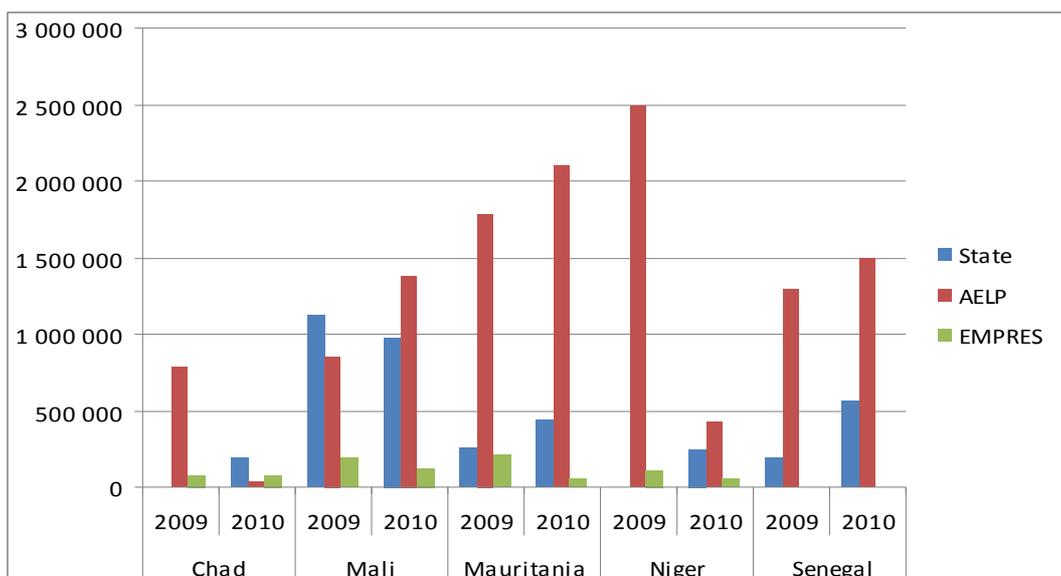
¹¹ That is, the fixed costs of a NLCUs, which must be incurred irrespective of the scope of survey and treatment operations. It covers, in particular, the salaries of personnel other than the field teams, rental fees, office supplies, maintenance and renovation of computer equipment and vehicles at the central level, and communication costs, etc.

27. **Regional support projects.** In the **Western Region**, two projects have been implemented to strengthen the locust prevention and crisis management systems, in particular, in the frontline countries:

- The *EMPRES Programme*, which includes a component specifically dedicated to the Desert Locust. Implemented by FAO, it first targeted the Central Region and has been covering the Western Region since 2006 (EMPRES-WR), with financing from the African Development Bank (AfDB), France (Priority Solidarity Fund, and French Global Environment Facility), the United States Agency for International Development (USAID), International Fund for Agricultural Development (IFAD), FAO and CLCPRO, for a total of US\$15.5 million. The first phase ended in 2010, and the remaining funds allowed activities of the second phase (2011–2014) to start while waiting for new funding.
- *AELP*, funded from March 2005 to May 2011 by the World Bank for a total of US\$60 million. It is composed of seven national projects (Burkina Faso, Chad, the Gambia, Mali, Mauritania, Niger, Senegal) with similar characteristics, which were jointly implemented.

28. The two projects have had an important role in implementing the approach adopted by the EMPRES-WR Programme, whose objective is the building of new capacities in the frontline countries – human, institutional and material. It has allowed the small locust control units integrated within the Ministries of Agriculture to become financially and administratively autonomous National Locust Control Centres, adequately provided with buildings and hangars, vehicles and treatment materials. It has also allowed strengthening of the teams and the development of competence through training, exchanges and travels, study grants and research projects. The AELP project in particular has financed considerable larger amounts than the national budgets, as shown in Figure 1.

Figure 1 – National and projects funding in the CLCPRO member countries, 2009–2010 (US\$)



Source: CLCPRO/EMPRES¹²

¹²The amounts for EMPRES correspond to the AfDB contribution, which is almost 80 percent of total funding.

29. Therefore, in 2009, the project resources of the five countries shown in Figure 1 were five times higher than that of the national NLCU budgets; and in 2010, the 2009 national budgets were multiplied by 2.5.

30. Project financing had very positive results: it allowed for the development of national locust control capacities and was a catalyst in the development of national budgets, which were almost inexistent prior to the beginning of EMPRES. However, there is the risk of a negative impact since it could act as a disincentive for states from assuming the operating costs. Indeed, although they have contributed very little to the operating costs of the national units (for the AELP project, 2 percent in 2008, 14 percent in 2009 and 6 percent in 2010), they have played an important role in financing equipment and training. And yet, while they are indeed investments, these expenditures are of a recurring nature (equipment wears out and must be renovated, and refresher training is needed regularly), thus requiring a more sustainable assumption of responsibility than that which could be ensured by temporary projects. If it is agreed that the countries, particularly the frontline countries, require external aid, even in a routine situation, to face the responsibilities that they assume for their subregion, even the whole Western Region, it is important to calibrate this aid so that it does not affect the capacities to mobilize the national resources of these countries.

31. In the **Central Region**, the EMPRES programme has played a positive role in capacity building of the countries in this region. Three phases were completed between 1997 and 2006, for a total financing of US\$11.3 million, which was provided mainly by the Netherlands, USAID, Switzerland and Germany. EMPRES financed the capacity building of the NLCUs in the frontline countries (only one of which is autonomous today), their equipment, particularly, for setting up information systems on locust infestations, the training of personnel, the carrying out of research programmes and the issuance of numerous publications.

32. The last progress report of the last phase of the project¹³ questions the capacity of the countries to completely assume the regular requirements of preventive control without donor assistance. In addition, EMPRES should be considered a permanent programme aimed at preventing international crises, considering that some key countries in the central region are among the most vulnerable in the world.

33. **National support projects.** Bilateral funding is also regularly mobilized for the countries in order to complete their mechanisms, in particular, the frontline countries. Therefore, Egypt was a beneficiary of a US\$500 000 project financed by the AfDB through FAO, which allowed it to strengthen its network of NLCU bases, as well as its equipments. In 2004, Mauritania received US\$354 400 in European Union funding to purchase equipment and pesticides.

34. **Regional Commissions.** Since most the activities financed by the Regional Commissions from their budget (see below) are of regional interest, some activities directly benefit a Member State and can therefore be considered a contribution of the Commission towards the funding of national mechanisms in the routine situation, which is essentially for training. According to the CLCPRO Executive Secretary, these expenditures benefit the Sahel countries above all. This mechanism promotes regional solidarity since the funding of preventive control is not the exclusive responsibility of the countries that

¹³ EMPRES/CR, *Progress report*, GCP/INT/817/SWI, January–December 2006.

have Desert Locust breeding areas; insofar as the locust control benefits the whole region, its funding is the responsibility of the region as a whole. Such an approach is even more justified since numerous frontline countries have limited resources, which is true for all the frontline countries of the Western Region and at least half of the frontline countries of the Central Region. The Regional Commissions, which receive the contributions of all the Member States, can also become an instrument for equitable sharing of costs of preventive control among all the benefitting countries. Nevertheless, these contributions are still modest. Therefore, if they represent around 40 percent of the CLCPRO 2010 budget (i.e. US\$112 000), in reality they only amounted to 0.04 percent of the total national budgets for that year.

35. CRC also plays a role in supporting fragile states so that they can continue to ensure that survey and control operations that would normally be required in their breeding areas. The provision of assistance is justified not only for regional solidarity, but also to prevent the lack of preventive actions from leading to serious consequences for the neighbouring countries and for the region as a whole. Therefore, CRC provided assistance to Somalia (vehicle rental, per diem for the surveillance teams, the purchase of pesticides and the organization of storage on Ethiopian territory), with the support of the Desert Locust Control Organization for Eastern Africa (DLCO-EA).

36. **Bilateral regional cooperation.** Bilateral regional cooperation, that is, the contribution to the financing of national mechanisms by third countries, is above all active in a crisis situation, but there are also examples where it was implemented in a routine situation. Therefore, Saudi Arabia financed equipment for a total amount of US\$300 000 for Eritrea in 2005, which allowed the latter to re-establish national locust control capacities. Morocco annually finances refresher training for those responsible for locust control in the Western Region, as well as post-graduate training scholarships.

Regional level

37. In routine situations, the Regional Commissions are financed by the following resources:

- the contributions of Member States
- the support projects
- the FAO regular programme
- the interests on the trust fund.

38. **Contributions of Member States.** Due to the agreements on the establishment of the Regional Commissions, each Member State must provide an annual contribution to the budget of the Regional Commission, in accordance with the scale adopted by a two-thirds majority of the members of the Commission¹⁴. Only SWAC provides the possibility of partially financing the contribution in kind.

39. The scales of annual contributions per country were established at the time of the set-up of the Commissions and did not change until 2010. Thus, the set contributions vary:

- to CLCPRO, from US\$12 000 (Burkina Faso, Chad, Niger) to US\$46 000 (Libya), for a total of US\$227 000 per year for the ten Member States;

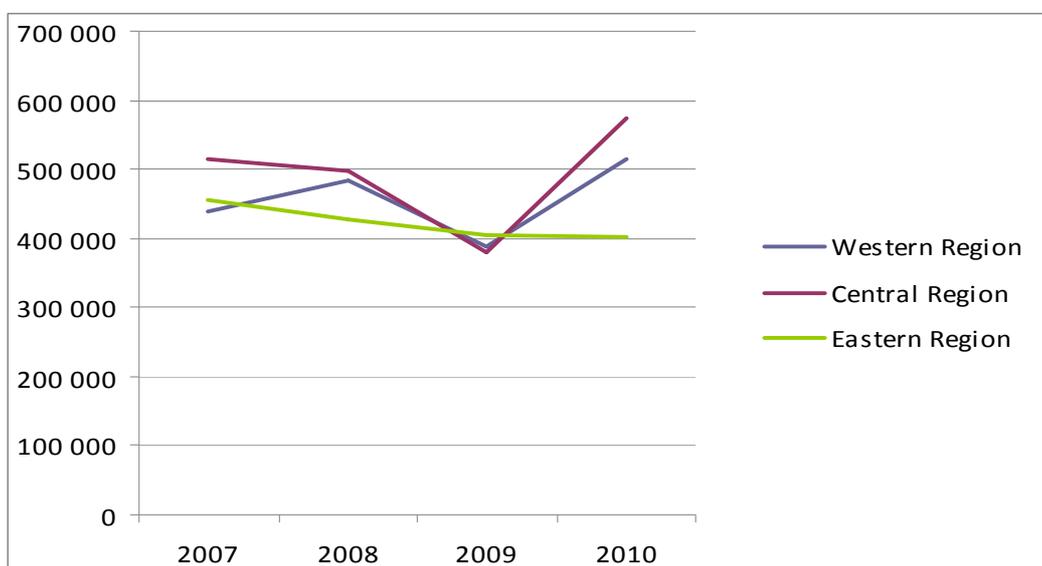
¹⁴ Articles XIV (CLCPRO), XII (CRC) and X (SWAC).

- to CRC, from US\$1 100 (Djibouti) to US\$44 035 (Saudi Arabia), for a total of US\$266 850 per year for the 16 member countries;
- to SWAC, from US\$2 750 (Afghanistan) to US\$27 000 (Pakistan), for a total of US\$71 450 per year for the four Member States.

40. Member States' contributions to the financing of their Regional Commission are paid into a trust fund established by FAO for each of the three Commissions.

41. In reality, numerous countries do not pay or only partially pay their annual contributions. Figure 2 shows the significant amount of contribution arrears of the three regions as well as their trend.

Figure 2 – Trends in arrears in annual contributions, 2007–2010 per region (US\$)

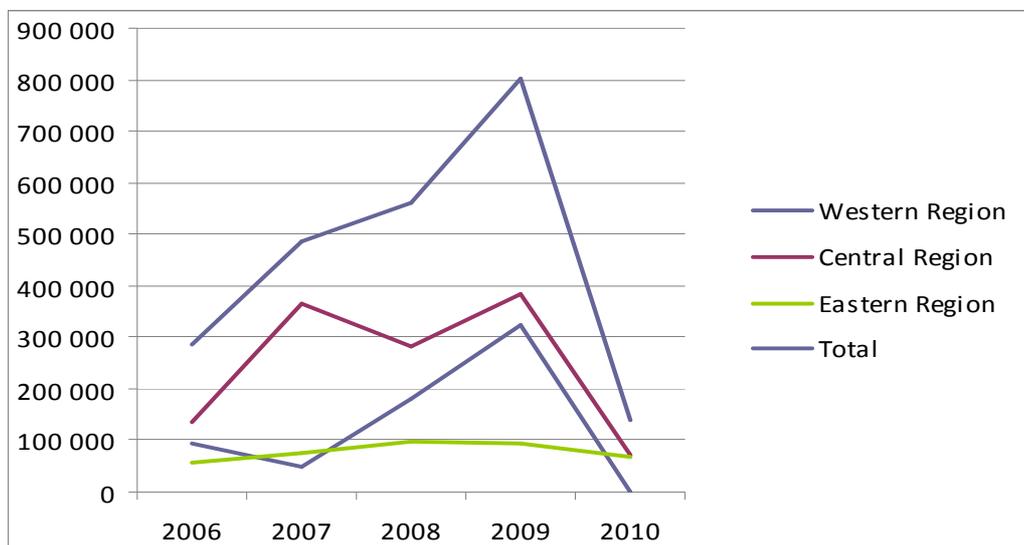


Source: FAO

42. The arrears amount to over twice that of the amount of annual contributions due to CLCPRO and CRC (US\$516 000 and US\$575 000, respectively); US\$402 000 in arrears for SWAC have been accumulated by a single country, which since then, nevertheless has been paying its annual contribution.

43. Different variations explain the accumulation of arrears: some countries do not pay the contributions at all, others pay regularly but are unable to settle the total amount of old arrears, while others still settle their old arrears dating back several years in one payment but create a new one the following year. This situation does not facilitate the planning of the Regional Commissions, because the amount of contributions received each year seems completely unpredictable and very highly varies, as shown in Figure 3.

Figure 3 – Trends in Member States’ contributions to the Regional Commissions, 2006–2010 (US\$)



Source: FAO

44. In observing an overall increasing trend for CLCPRO and CRC, it can also be observed that after the 2009 peak (CLCPRO and CRC), the trend drops again.

45. In the **Western Region**, the Ministers of Agriculture of ten Member States who met in Bamako in March 2009 committed themselves to regularly settle their contributions and recommended an increase in membership fees of the Member States on the basis of agricultural gross domestic product (AGDP). A new scale, applicable from 2011, was approved during CLCPRO’s Fifth Session in 2009, which multiplies the previous contribution scale by three – from a total of US\$227 000 to 639 000. However, it can be noted that in 2010, only three countries out of ten paid their contributions and less than half of the expected resources according to the former scale still in force have thus been made available to CLCPRO.

46. In the **Central Region**, an increase in the contribution scale is envisaged, but has not yet been decided. In a communication prepared by DLCC in 2011, the CRC Secretary indicated the “irregularity in settling contributions of a number of member countries and accumulated arrears endangers activities and efficiencies of the Commission”.

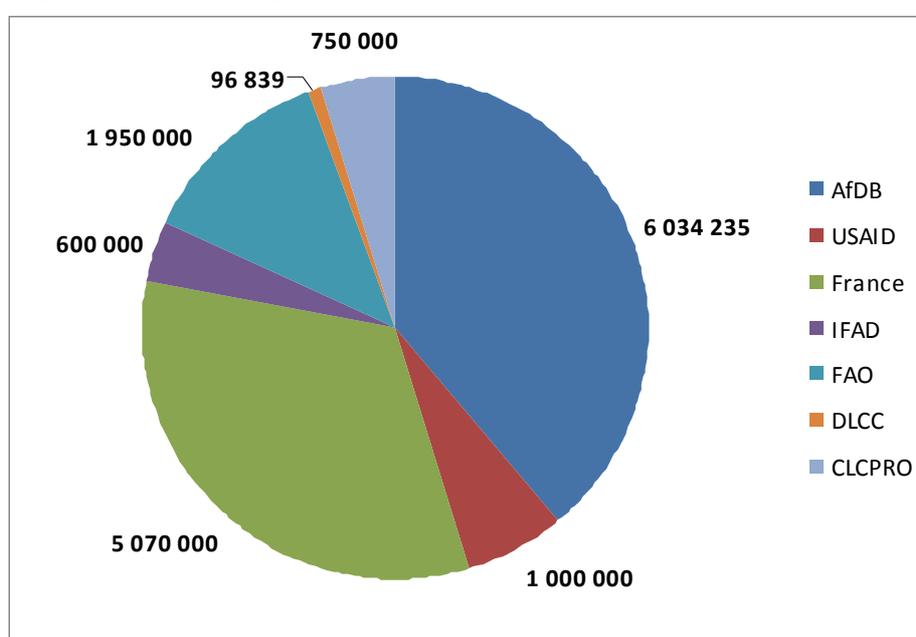
47. In **South-West Asia**, the scale of contributions has not changed since 1960.

48. It is possible that the States may finance contributions above those they must pay on the basis of established scales. In this case, the additional contributions are accounted the same as regular contributions. In contrast, the value of the in-kind contributions does not figure in the summary of the contributions of the Member States. Therefore, in the **Western Region**, Algeria provides CLCPRO with premises, administrative personnel, operational capacities and two vehicles, for a total value of US\$26 000 per year.

49. **FAO's Regular Programme.** This programme finances the positions of the Executive Secretaries of CLCPRO and CRC (around US\$150 000 per year)¹⁵, as well as supports personnel, missions and operating expenditures for CLCPRO. FAO's annual contribution to CLCPRO is US\$390 000 and is included in the calculations of the EMPRES funding sources below (Figure 4). This amount is over 10 percent of the amount budgeted by CLCPRO from the contributions of its members for 2011.

50. **EMPRES.** This programme, which was first implemented in the Central Region, today exclusively concentrates on the Western Region. It is financed by eight different sources¹⁶, for a total of US\$15.5 million (2006–2010), as shown in Figure 4. The contributions of different donors are paid into a fund managed by FAO. CLCPRO activities are covered directly by these funds, without having to go through the trust fund that receives the contributions of the Member States.

Figure 4 – Funding sources for EMPRES-WR, 2006–2010 (US\$)



Source: FAO

51. EMPRES funded three categories of costs, first in the Central Region and then in the Western Region:

- *activities of regional interest*, such as training, publications, research activities. Moreover, it is EMPRES that funded in the Central Region and today funds in the Western Region the development of contingency and crisis management plans at the regional and national levels;
- *international technical staff* responsible for supporting the coordination of the EMPRES programme, which was assigned to the Regional Commissions for their respective regions. There are currently two international technical assistants financed,

¹⁵ The role of the Executive Secretary of SWAC is ensured by the head of DLIS at headquarters.

¹⁶ France contributed through two different financing sources: the Priority Solidarity Fund and the French Global Environment Facility.

respectively, by the French contribution (Priority Solidarity Fund) and the contribution of the AfDB to the EMPRES programme;

- the *operating costs of the Regional Commissions*, such as the costs of personnel missions and operating expenditures.

52. EMPRES funding plays a key role in maintaining the dynamism of the Regional Commissions. Therefore, the CRC Secretary underlines in its report to DLCC 2011¹⁷ that the lack of external funding after the end of EMPRES/CR affected the implementation of the Commission's responsibilities and that, due to the lack of technical assistance¹⁸, the implementation of activities initially supported by EMPRES, such as the contingency plans and the promotion of biological control, are problematic. These constraints are also linked to the difficulties of some member countries to regularly pay their contributions to the Regional Commissions (see para. 42 above, and following). Similarly, the CLCPRO Executive Secretary stresses that it is imperative to maintain international technical personnel beyond the end of Phase I of the EMPRES programme. Since the costs covered by EMPRES are recurrent in nature, alternative sources of funding must be found in order to ensure the long-term financing of recurrent costs at the end of the programme.

53. **Other financing.** Additional financing can occasionally be available to cover activities of regional interest. They can:

- *be made available to a Regional Commission*: thus, in 2008, FSP funded a "Subsidy for the set-up of financial mechanisms" of US\$208 333 for CLCPRO, which was released against CLCPRO trust fund managed by FAO.
- *be directly ensured by a project*: This is the most common case. For example, an emergency project financed by Japan funded joint surveys in the Central Region (Eritrea, Ethiopia, Sudan and Yemen).

54. **Interest on FAO trust funds.** The portfolio of the resources deposited into FAO's trust funds is placed in the instruments that offer a zero risk or extremely limited risk, in line with the objective of the Organization, which is to ensure the conservation of resources allocated to it by its Member States. The interest rates vary from year to year, but remain, in all hypotheses, extremely low. The interest distributed in 2009 for FAO trust funds as a whole was 0.44 percent.

55. **Budgets.** The budgets of the Regional Commissions are established every two years and approved by the representatives of Member States during the biannual sessions. It can be noted that:

- *the budgets do not show the different sources of funding that contribute to the activities of the Commission*: they are, in theory (see below), based solely on the financial contributions of the members and do not take into account other sources of financing, such as contributions of FAO's regular programme or the expenditures assumed by EMPRES;
- *they do not correspond to the amount of expected annual contributions*: therefore, in the Western Region, the amount budgeted for 2010 is 12 percent higher than the

¹⁷ Desert Locust Control Committee, Fourtieth Session, FAO Desert Locust Control Commission in the Central Region, AGP: DLCC -11/13.

¹⁸ It must be noted that there are two technical assistants that work for both CLCPRO and EMPRES implementation (80%).

amount of expected contributions; by contrast, the amount budgeted for 2011 is only 55 percent of the total expected contributions. In the Central Region, the amount budgeted for 2010 is 64 percent higher than the total of annual contributions, and the budget for 2011 is 30 percent higher. According to the Executive Secretaries of the two Commissions, these differences are explained by the presence of reserve funds from which additional resources can be drawn in addition to the annual contributions of the Member States;

- *they do not reflect the reserves constituted by the Commissions:* each of the two regions gradually formed a reserve within the trust funds, notably by having recourse to EMPRES financing rather than to contributions of Members to cover certain expenditures. The amount of the reserve is communicated to the Members during the CLCPRO sessions, but it does not appear in the budgets (see also below, para. 58).

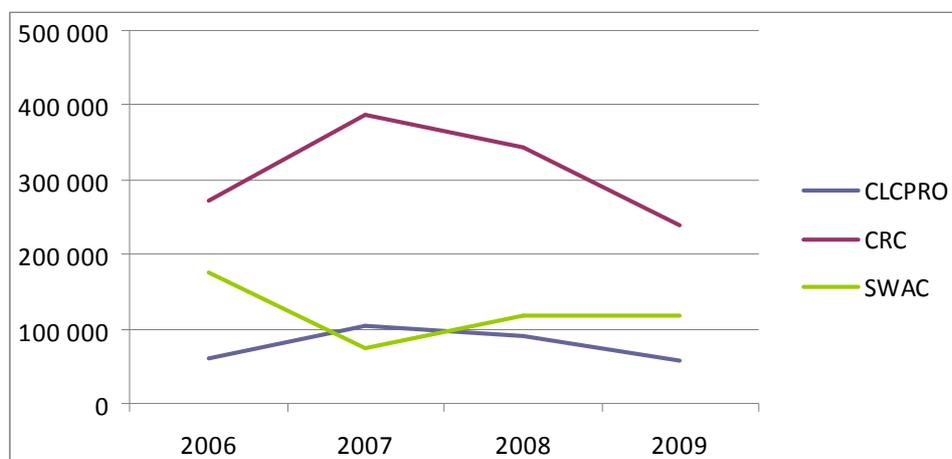
56. Further, the variations that exist in the budgets from one year to another seem to indicate that there is no definition of a standard set of activities or services to finance by the Commissions in the recession period.

57. **Expenditures.** The expenditures of the Regional Commissions cover three types of costs: (i) various activities in support of the NLCUs (training, joint surveying, research...); (ii) administrative costs (travels, organization of meetings, administrative support...); and (iii) small purchases (software, scientific subscriptions, etc.). Moreover, FAO's support costs reach 13 percent of the total of annual expenditures.

58. The budgets of the Regional Commission are presented by the respective Executive Secretaries to the sessions that took place every two years. The analysis of the 2006–2009 expenditures shows that:

- *The total annual expenditures is substantially less than the total amount budgeted.* In the Western Region, the expenditures are on average 25 percent of the budget, and in the Central Region, 65 percent.
- The amount of annual expenditures varies greatly from one year to another, as shown in Figure 5.

Figure 5 – Annual expenditures of the Regional Commissions (US\$)



Source: FAO

- *Reserves have been created in the three regions:* Despite payment defaults of annual contributions, careful management and resorting to alternative sources of funding (EMPRES in the Central and Western Regions) made it possible to save and to have available unused resources that accumulated in each Commission's trust funds. These reserves can be substantial: at the end of 2010, they amounted to US\$124 000 in the Eastern Region, US\$1.34 million in the Western Region and US\$2.19 million in the Central Region. These savings make it possible to cover operating expenditures beyond the annual amount of available contributions, but also to cover unexpected expenditures in a crisis situation, or in the case external financing is not renewed (Western Region). Nevertheless, it can be observed that the prolonged accumulation of these resources at a rate of pay granted by FAO's conservative management can lead to devaluation in the long term. Also, it can be noted that they are mentioned in the CLCPRO biannual reports, but do not appear in a budgetary item in the budgets nor in the annual budget reports. Finally, the building of these resources can indirectly contribute to maintaining a level of contributions below the planned scale, because it reduces the portion of the contributions that are allocated to the Commissions' regular expenditures.

59. **Financial management.** In compliance with the Constitutions of the Regional Commissions, the trust funds receiving the contributions of the Member States are managed by FAO, according to the financial rules of the Organization. The expenditures, if proposed by the Executive Secretaries, can only be paid by the manager of the trust fund to FAO, i.e. the budget holder. According to the opinion of the two Executive Secretaries, the procedure is, however, quick, and if, rather, it were delegated to the Secretary, an increase in personnel would be required, which would not be desirable, given the above financial problems (see chapter 5 – *Towards strengthening the role of the Regional Commissions*).

International level

60. **Trust Fund.** The DLCC brings together countries affected by the Desert Locust (i.e. the 30 member countries of the Regional Commissions plus five other countries that are not members of any commission), the donors and FAO. It serves as a means for information-sharing and dialogue among countries, but also between countries and donors. DLCC also carries out some activities of common interest, which are funded by its Trust Fund, managed by FAO.

61. **Contributions.** Each year, the DLCC Member States contribute, through membership fees, to an international trust fund. A contribution scale was established that sets the annual contributions ranging from US\$920 to 20 000, with an average of around US\$6 000 per country and an annual total of US\$208 000. The contributions received amounted to US\$113 000 in 2006, US\$258 000 in 2007 and US\$119 000 in 2008. Just as for the Regional Commissions, there are significant arrears on the contributions to the DLCC: in December 2008, they amounted to US\$1.48 million, i.e. over seven times the total amount due annually.

62. The fact that the countries have to contribute separately to the Regional Commission of which they are members and to DLCC is sometimes a cause for confusion, and at times payments may be channelled into the wrong account. This then requires efforts to find them and set the records straight, which is time-consuming and fastidious.

63. **Expenditures.** The annual amount of DLCC expenditures varies greatly: thus, in 2006, they amounted to US\$311 000, whereas in 2008, they amounted to US\$77 000. In

addition to the organization of the biannual meeting of the Committee, the main activities financed are of general interest: training and scholarships, publications, consultations of experts as well as support funds for projects, including to the EMPRES programme. Some activities are directly linked to a region, for example, a research scholarship to analyse the environmental impact of pesticides used in Desert Locust control, allocated to a researcher from Niger.

B. FUNDING IN A CRISIS SITUATION

64. The crisis situation includes all the situations in which the national Desert Locust teams are no longer capable of responding to the increase in Desert Locust populations with their regular capacities. These situations generally correspond to the cases of major outbreaks, upsurges and plagues. Additional funds are then needed for pesticides, aerial spraying, aerial reconnaissance and if necessary spraying by helicopter, expertise and equipment, and the protection of human health and the environment. Funding is also required to bring humanitarian assistance to populations whose crops or pasturelands have been affected by the Desert Locusts. These resources must be rapidly available as soon as the crisis develops.

65. The financial instruments that are mobilized include:

- the increase of capacities financed by national budgets, including through emergency funds;
- the mobilization of regional aid in cash or in kind;
- FAO's TCP;
- CERF;
- SFERA;
- international emergency aid mobilized by FAO;
- international aid in kind in the form of pesticides.

66. **Activation.** In the current system, these financial instruments are not explicitly linked to any specific situation, and there is no approach organizing the activation of one instrument following another according to predefined criteria. FAO's DLIS has developed a locust risk assessment system, based on four levels of risk, corresponding to four situations resulting from the evolving population dynamics of the Desert Locust (see above para. 7). This system is not, however, linked to the activation of particular financial instruments; rather, it seems that it shifts from a routine situation during a recession period to a global crisis situation. The trigger threshold of this overall situation essentially refers to alerts triggered by the countries and DLIS, as well as when the available national capacities in the recession situation are no longer sufficient to respond to the new situation.

67. FAO's Plant Production and Protection Division (AGP) underlines that the triggering of an alert is the result of a delicate balance between, on the one hand, the need to recognize an emergency sufficiently ahead of time to be able to organize the response, and on the other hand, the concern to preserve FAO's credibility by avoiding the triggering of an alert that is too early or to forecast a crisis that will not materialize later on. In finding this balance, there may be a risk of triggering an alert too late in a situation where the response speed is a key factor for success. A more organized and gradual process of triggering alerts (according to the situations of the development of risk) would provide for better preparation and credibility, and would ultimately save precious time.

68. **Locust contingency plans.** The locust contingency plans are being prepared in the Western and Central Regions. They aim at defining the mechanisms and the necessary capacities for preventive control in the recession period and to respond to crisis situations. Therefore, the plans must allow improvements in the efficiency of the preventive mechanisms. However, they must also allow strengthening in the preparation and capacities to respond to crises by estimating in advance the extent of the resources needed, regulating the methods of organization and coordination, and by identifying the situations in which the resources that complement the national resources should be sought. In this case, they should also serve as an instrument capable of facilitating rapid mobilization of these resources from the donors.

69. The formats adopted for the locust contingency plans differ in the two regions. In the Western Region, the plan consists of two components: the Locust Risk Prevention Plan, which is applicable as long as the NLCU is capable of responding with its own resources to the locust situation, and the National Locust Emergency Plan, which covers the three other situations without distinction. The contingency plans are available in Mali, Mauritania and Senegal. Furthermore, the *Système de veille des dispositifs nationaux de lutte antiacridienne* (SVDN, Monitoring System of National Locust Control Mechanisms) allows for a regularly updated situation of the mechanism in each country. In the Central Region, Egypt, Saudi Arabia and Sudan have an emergency plan¹⁹. Egypt's emergency plan defines three levels of risk on the basis of the number of infested hectares,²⁰ with a rough estimate of the capacities to mobilize at each level.

National level²¹

70. The instruments for funding emergency situations that are nationally mobilized include:

- the National budget;
- the emergency funds allocated to Desert Locust control;
- the balanced emergency funds.

71. **National budget.** The first response to an increase in Desert Locust populations and the development of an outbreak situation is increased mobilization of national funds. Therefore, outbreaks experienced in Mauritania in the last three years led to the rapid mobilization of additional capacities through the national budget. In 2009, the Government mobilized around US\$120 000 (i.e. 41 percent of the 2008 budget of the NLCU) in a few days, which allowed to immediately treat a surface area of 14 500 ha and to control the outbreak. In 2009, the number of survey and control teams was increased from 6 to 20, without the need for the county to call for external funds. The success of operations certainly benefitted from the creation in 2006 of an autonomous National Locust Control Centre, which made it possible to hire and maintain trained personnel and operational equipment that can be immediately mobilized. It is also the result of the government's greater awareness and proven capability in rapidly mobilizing the necessary

¹⁹ The plans of Saudi Arabia and Sudan have not yet been approved at the ministerial level, which is a necessary condition for recognition and efficiency.

²⁰ Low risk: less than 20 000 ha; high risk: between 20 000 and 40 000 ha; very high risk: over 40 000 ha.

²¹ This section is based in particular on the very comprehensive study of Sylvie Tiller (FAO-TCIS), conducted within the framework of the Africa Emergency Locust Project (AELP) (financed by the World Bank), « *Mécanisme de financement national de la lutte d'urgence contre le criquet pèlerin: Etude sur son opportunité et les modalités possibles de mise en place* », June 2009.

funds from the national budget within a context where the memory of the 2003–2005 crisis is still very much alive.

72. It can be expected, however, that such a favourable situation could not be duplicated in all instances. Indeed, the procedures for re-allocating funds from the national budget and then their release generally entail heavy administrative bureaucracy that is generally incompatible with the very rapid mobilization required for responding to an outbreak situation. In order to prevent a real risk of not being able to have rapid access to the necessary resources in case of crisis, some countries have recourse to emergency funds, which can be classified in two categories: the emergency funds allocated to locust control and the balanced emergency funds.

73. **Emergency funds earmarked locust control.** A first approach consists in creating a fund that would specifically be earmarked for financing locust control in case of crisis. Therefore, in 1988, Morocco created a special Fund for Locust Control. Administered by the Ministry of the Interior²², it is credited with a minimum amount of US\$2 million, deposited into a blocked account generating profit. Egypt has an emergency fund consisting of a minimum amount of US\$2 million, which can only be mobilized by order of the Minister of Agriculture. Other countries, such as Algeria, Libya, Saudi Arabia, Kuwait, Oman and Iran have set up locust control emergency funds.

74. **Balanced Emergency Funds.** Other countries have recourse to the emergency funds that are more generally aimed at responding to the situations of food crisis or agricultural disaster. This type of instrument is more appropriate in the poorer countries, for which the set-up of a fund especially earmarked for locust control that has blocked resources is hardly viable in a context characterized by a scarcity of budgetary resources and where there are so many and such diverse needs to be funded in all domains.

75. Therefore, on several occasions, *Niger* used the *Fonds commun des donateurs* (FCD, Common Donors Fund) established within National Food Crisis Prevention and Management System for locust control emergencies. During the 2004 locust crisis, FCD released around US\$800 000 to finance field operations while waiting for external aid. Since 2010, FCD has provided around US\$100 000 annually to the National Locust Control Centre, for carrying out escorted surveys in the gregarization areas affected by security problems, within the framework of the "Fund specifically dedicated to the Desert Locust" created within the FCD. *Burkina Faso* has an analogous mechanism, the *Fonds d'appui à la sécurité alimentaire* (FASA, Food Security Support Fund), which is mainly provided by the donors and whose resources are blocked in term deposits at commercial banks. FASA financed the purchase of equipment and vehicle repair during the 2003–2005 crisis. *Senegal* mobilized the *Fonds de calamités agricoles* (Fund for Agricultural Disasters) up to CFAF 3 billion (around US\$3.8 million) during the last crisis, in 2004. *India and Pakistan* also have balanced emergency funds that can be mobilized in case of Desert Locust crisis.

Regional level

76. The financing instruments for locust crises mobilized at the regional level include:

²² It is also the Ministry in charge of the National Locust Control Centre, which is under *Gestion des catastrophes et de la protection civile* (Disaster Management and Civil Defense), and not, as in most of the countries, the Ministry of Agriculture.

- regional bilateral aid;
- financing of the Regional Commissions on Locust Control.

77. **Regional bilateral aid.** In case of crisis, the regional solidarity between the countries of the same region mobilizes assistance in-kind or in financial resources, which can be very significant. Therefore, during the 2003–2005 crisis, *Saudi Arabia* provided US\$2.3 million to Sudan and Eritrea in the Central Region, and US\$3 million to Morocco, Mauritania and Senegal in the Western Region in order to strengthen locust control capacities. Morocco, Algeria, Libya, Tunisia and Senegal provided aid in kind, including the teams, pesticides, vehicles and equipment to countries affected in the Western Region (see details in Annex 4).

78. More recently, in 2009, during high outbreaks in Mauritania, the CLCPRO Executive Secretary convened a meeting of experts in Member States of the Commission to assess the locust situation and to develop a regional action plan to respond to it. Following the meeting, Libya supplied Mauritania with US\$100 000 in aid. Although it had initially proposed the dispatch of teams, Libya accepted to convert this aid into financial resources to cover operational costs of Mauritanian teams, which made it possible to save time and to increase efficiency on the field. While Mauritania again faced outbreaks in 2010, Morocco positioned two aircraft at the border, ready to intervene in case of request by Mauritania. The latter, however, did not need it. In the Central Region, Saudi Arabia provided around US\$1.1 million to the Locust Control Centre of Yemen during the 2008 outbreak.

79. **Regional Commissions.** In case of crisis, CLCPRO and CRC have the possibility of channelling funds to the affected countries through available resources from their trust funds within the framework of reserves (see above, paragraph 55.). This mobilization is an expression of regional solidarity with countries facing an outbreak or upsurge. It can be rapidly mobilized because only a decision of the Commissions' bodies is needed and allows the countries affected to have access to additional resources while waiting for the external aid, which is greater but slower to mobilize.

80. The methods used by the two commissions differ. In 2008, **CRC** established an Emergency Fund, which was recently increased to US\$300 000 without, however, having this amount included in the Commission's budget. These resources can be mobilized by joint decision of the Chair of the Commission and the Chair of the Executive Committee. For **CLCPRO**, the decision is taken on a case-by-case basis. During the 2009 outbreak in Mauritania, the meeting of experts convened by the Executive Secretary (see para. 79) recommended that US\$100 000 in aid be financed by CLCPRO. The funds were made available to Mauritania in 48 hours and allowed to purchase fuel and cover operating costs of the additional field teams.

International level

81. The locust crises financing instruments mobilized at the international level include:

- bilateral international aid;
- FAO's TCP;
- United Nations' CERF;
- SFERA;
- multilateral aid channelled by FAO;
- the provision of pesticides (assistance in kind).

82. **Bilateral international aid.** This is mobilized through contacts directly established by the countries affected with the donors who want to contribute to the control efforts. Therefore, during the 2003–2005 crisis, Morocco received a total of nearly US\$10 million from USAID, Spain, the Netherlands, Republic of Korea and Italy. Japan very quickly mobilized almost US\$3 million for Mali, Mauritania and Chad.

83. **FAO's Technical Cooperation Programme.** TCP was set up in 1976 for financing small operational field projects of up to US\$500 000. In the absence of a central financing mechanism for emergency response, the TCP funds were the main source of FAO funding to respond to locust emergencies, in particular during outbreaks and upsurges. During the 2003–2005 crisis, FAO approved 22 TCP projects for a total amount of US\$6 million. These funds allow to cover financing needs in the first stages of the crisis and to ensure the transition until greater aid arrives. The provision of funds nevertheless requires, in addition to the request of the country concerned, the formulation and approval of a detailed project document, which can take several weeks — and yet speed is an essential factor for the success of locust crisis response.

84. **CERF.** Set up in 2006 by the United Nations, CERF's objective is to finance rapid responses to emergency situations. It includes two components: a loan facility for US\$50 million and a grant facility for US\$450 million. The CERF financing is allocated to United Nations agencies and programmes, in collaboration with the States concerned, for a maximum amount of US\$30 million per humanitarian emergency. The grant requests are prepared by the United Nations agencies together with the United Nations resident/humanitarian coordinator. CERF guidelines specifically identify the financing of "initial contributions that are needed in controlling pest infestations (for example, Desert Locust, etc.)" among the actions that are eligible for grant financing.

85. CERF funds can be very rapidly released (in one to two weeks, maximum), but are subjected to other constraints that adapt poorly to locust crises: (i) they can only be allocated in cases where human lives are in danger in a proven emergency situation (and not for preventing an emergency situation); (ii) they can only be allocated for countries and not for regions; and (iii) they have to be used within three months. Nevertheless, collaborative practice and a trust relationship have been developed between FAO and CERF, and these rules are being relaxed. Therefore, in 2007, when Yemen was affected by the worst Desert Locust infestation in 15 years, CERF provided a funding that made it possible to prevent the swarms from migrating towards the major agricultural areas and affecting the food security of the country. Moreover, in Madagascar, CERF funded US\$4.7 million, which was used over six months during an upsurge of the Migratory Locust (*Locusta migratoria*), which, if it had not been contained, could have become a major upsurge that could have affected food security of almost half a million rural households. Finally, in 2009, CERF funded interventions to stop the infestations of migrating locusts in the United Republic of Tanzania, Malawi and Mozambique. Here, one single grant request was prepared, which grouped together three national funds. The new CERF guidelines, which are in the process of being approved, increases the time that the funds must be used to six months.

86. **Appeal to donors.** When the financing sources mentioned above are clearly no longer sufficient to respond to a crisis, FAO launches a call for funding to donors. The Director-General deploys the Emergency Operations and Rehabilitation Division/Food Chain Crisis-Emergency Management Unit (TCE/FCC-EMU). This includes one subsection, *Plant Pests*, which is responsible for locust management and which brings together

technical experts from AGP Division and personnel from the Emergency Operations Service (TCES). Its mission is to oversee the development of the locust situation, engage in dialogue with the donors, and coordinate assistance.

87. During the 2003–2005 crisis, FAO’s Director-General successively launched three calls for funds to the international community (February, April and July 2004), for US\$9 million, US\$17 million and US\$30 million, respectively; the needs rapidly increasing as the plague developed. In July 2004, the necessary funding was already estimated at US\$58 to 83 million. The first funds were released at the end of July 2004, but the larger amount of financing only arrived in September 2004 when the extent of the crisis had become even worse. For the entire duration of the crisis, the total of the funds contributed through this channel amounted to around US\$80 million. Both the donors and the affected countries estimated that the costs of control and the impact of the locust plagues would have been considerably less had the interventions began earlier²³.

88. The evaluation of the 2003–2005²⁴ crisis brought to light the factors that contributed to slowing down the provision of funds, in particular:

- *the lack of crisis management plans in the affected countries*, which made it more difficult to evaluate the necessary capacities, delayed field operations and affected the coordination of aid (For example, in Senegal, there were 20 aircraft in mid-October 2004, while the spraying targets had already been considerably reduced because the swarms had migrated into Mauritania and Maghreb);
- *complex procedures*, based on the guidelines adopted for the call for funds by the Inter-Agency Standing Committee, of which FAO is a member. These guidelines describe the different logistics steps of the analysis of the crisis under way, the needs assessment, the development of scenarios, the setting of objectives, the identification of roles and responsibilities, and the response planning;
- *a poor determination of the needs* of activities to be carried out and of their costs, and the poor consideration of the concerns related to human health and the environment;
- insufficient communications between FAO and the donors in the countries concerned: the Humanitarian Liaison Working Group and/or coordination sessions with the major partners in the humanitarian domain — The Office for the Coordination of Humanitarian Affairs (OCHA), World Food Programme (WFP) and the United Nations Joint Logistics Centre — could have focused on the humanitarian nature of the crisis and encouraged donors to commit themselves more on the field, while decisions concerning the mobilization of resources for obtaining aid are generally taken locally.

89. In addition, to date, the diversity of needs and interests of donors concerning the format and content to be given to the project profiles presented to them varies from one donor to the next, which lengthens the time of preparation and negotiation. The provision of these funds still requires additional time (but which can now be compensated by recurring to SFERA, see above).

90. During the DLCC 2009, FAO indicated that: [a]n evaluation had also been carried out of FAO’s managerial, administrative and operational constraints in its emergency operations. This had recommended many areas in which FAO could streamline its

²³ FAO Desert Locust Control Committee, Thirty-eighth session, Rome 11–15 September 2006, AGP: DLCC – 06/3.

²⁴ Desert Locust Control Committee, Thirty-eighth Session, Rome, 11–15 September 2006, *Multilateral Evaluation of the 2003–2005 Desert Locust Campaign*.

operations in respect of flexible funding mechanisms for large multi-country programmes and the establishment of Framework Agreements for procuring repetitive inputs. In this context, rosters had been established of important stakeholders in locust affected countries, national/international experts, technical specifications of materials, list of suppliers and aerial operators. Enhanced inter-agency cooperation had also been fruitful in implementing pesticide triangulation deliveries, mainly with WFP help (see below).

91. According to a recent study on FAO's emergency response capacity, it takes between 139 to 149 days from the time of procurement planning and receipt by beneficiary countries, which corresponds to the duration of the development of over two generations of locusts. During its session in 2009, DLCC recommended that FAO consider establishing security stocks of equipment on the field, which would be stored in warehouses for WFP's humanitarian interventions. The set-up of such a mechanism would also require external funding.

92. Finally, it should be noted that the transboundary threats to production, health and the environment are one of FAO's seven priority domains²⁵ on which efforts to mobilize external resources are concentrated as a priority.

93. **SFERA.** Set up in 2004 by FAO, SFERA includes three components: (i) a revolving fund to support FAO's technical participation in needs assessments, the development of programmes and rapid deployment of the Emergency Coordination Units (up to US\$500 000); (ii) an advance fund allowing to commit resources as soon as there is a funding agreement with a donor, while waiting for funds to be released by the latter — as soon as they are made available, SFERA is reimbursed; (iii) a framework programme for financing interventions in major crises, in particular, transboundary crises, which rely on multi-donor trust funds. SFERA has received US\$97 million since its establishment.

94. With the exception of a limited intervention of the first component in 2005²⁶, SFERA has not yet been applied to a locust emergency. Nevertheless, the second component provides a particularly interesting approach in case of a call for funds by FAO's Director-General, because it then allows for very rapid access to aid for which there is already a funding agreement. Moreover, the third component provides a flexibility that is particularly adapted to locust emergency because it pools the resources within a single account to reallocate resources to activities and countries according to pest movements. Therefore, this would avoid the burdensome and lengthy procedures involved in the preparation, negotiations, approval and monitoring of individual operations.

95. **Provision of pesticides.** Lessons learned from the 2003–2005 crisis also highlight the difficulties in coordinating the provision of pesticides financed by the bilateral grants, the grants channelled by FAO and local purchases, as well as the problems in managing stocks for these highly toxic products. FAO has implemented two complementary approaches to improve the situation:

- *improvement of stock management:* An inventory of available stocks, where they are stored, and the duration of their validity, as well as empty containers and contaminated soils was carried out by FAO beginning with Mali, Mauritania, Niger and Senegal. This inventory allowed to establish a pesticides database, the Pesticide Stock Management Systems (PSMS), at FAO headquarters, which is managed in coordination

²⁵ Impact Focus Areas-EMPRES (IFA-EMPRES).

²⁶ Allocation of a liaison officer to the Emergency Coordination Unit in Dakar and the mission to assess the impact of the Desert Locust on food security, for a total of US\$ 100 000.

with the NLCUs. Moreover, in the **Western Region**, a contract was signed with a Belgian laboratory to ensure quality control of the stocks and provide a certified guarantee for the pesticides in compliance with the specifications required by FAO/World Health Organization (WHO). All the CLCPRO member countries were supplied with equipment for managing the empty containers, and appropriate technologies for the remediation of contaminated soils were developed. Improving the stock management allowed Mauritania to intervene rapidly during the outbreaks of 2009 and 2010 by relying on internal stocks.

- *Triangulation*: When the stocks are not available in the countries, FAO supports the set-up of operations known as triangulation. Rather than resort to purchasing pesticides, FAO identifies the adapted and available stocks through the database and facilitates the channelling of the needed quantities towards the beneficiary country; WFP ensures the logistics and the transport. To implement the triangulation, it is necessary that: the available pesticides in the donor countries be licensed for use in the beneficiary country and adapted to its needs; they are also in compliance to FAO/WHO specifications; and that the containers be in good condition and suitable to be transported. This approach of pooling existing stock²⁷ allows to limit the overall increase in pesticide stocks, whose management is very costly, which requires the set-up of secured warehouses and entails high risks for the environment due to the toxicity of the products. It also make it possible (as long as the transportation distances are not excessive) to limit costs²⁸ and mobilization time, particularly at the beginning of a crisis. Triangulation also makes it possible to reduce the risks of creating obsolete stocks by establishing priorities for use. It has already been applied several times, notably from Mauritania and Mali to Yemen and the United Republic of Tanzania, from Mali and Morocco to Georgia, or from Sudan to Eritrea. The system is currently well-established and can be mobilized very quickly (in one to two weeks).

96. It should be noted, nevertheless, that there are considerable recurrent costs that must be covered to ensure the management of quality stocks. These costs must cover:

- *quality control of stocks* by an accredited laboratory, which is often not found in the countries. For instance, the contract signed with the laboratory certifying the stocks in the CLCPRO countries amounted to US\$300 000 per year; the cost of the annual contact signed by Morocco with a local laboratory is approximately US\$3 000 per year;
- the *stock management costs*, which include renewal and maintenance of tanks, as well as for security guards in the adapted warehouses. In 2010, this amounted to US\$150 000 for Mali, Morocco, Mauritania and Senegal;
- the *stock management monitoring costs* in the countries, including training.

97. **Virtual pesticide bank.** Triangulation is not always possible: (i) because: the nature of the political relations between the donor and beneficiary countries does not allow it; (ii) because of the cost of transportation; or (iii) because available stocks do not respond to the requirements of the situation, cannot be transported or are not certified in the beneficiary country. The purchase of pesticides is therefore necessary. In order to shorten the supply times, the set-up of a virtual pesticide bank was envisaged. FAO (AGP) held discussions with CropLife International, an association that groups together the main worldwide manufacturers of pesticides and fertilizers. The concept of the virtual bank is based on the signing of a contract with one or several suppliers who will accordingly commit themselves to supplying a determined quantity of pesticides within a very short

²⁷ AGP estimates that 7 000 tonnes of pesticides remained at the end of the 2003–2005 crisis.

²⁸ It is estimated that the cost of destroying pesticides is US\$ 3 000 to 4 000 per tonne, and the purchase cost is US\$ 5 000 to 6 000 per tonne.

time span (maximum three weeks) as soon as FAO submits the request. In exchange, FAO will make an advance payment to the suppliers.

98. This approach is unfeasible, however, both for the manufacturers and for FAO. Indeed, the former normally produce on a just-in-time basis according to an annual production plan, and going into production in order to respond to an emergency would upset their regular production. Moreover, FAO cannot earmark funding for a private firm to cover a future and hypothetical production.

99. **Prior calls for tender.** The launch of “preventive” tenders is an alternative option to a virtual pesticide bank, at least partially, and is currently envisaged by FAO. In a crisis situation, the calls for tender, the evaluation and the awarding of the tenders consume precious time. The duration of the limited validity of the tenders leads to repeating the same process several times. If the valid prior calls for tender launched each year would have a one-year validity, this would allow to shorten the procedures, to have information on the qualities and quantities available at suppliers, as well as delivery times, and in case of a crisis, to quickly proceed with procurement.

3. MAIN CONCLUSIONS AND LESSONS LEARNED FROM PREVIOUS CRISES

100. The main conclusions from the analysis and lessons learned from previous crises²⁹ can be summarized as shown below.

On the general characteristics of the current financing system

- The current financing system is based on a great variety of financing sources. This leads to a multiplication of accounts, and budgeting and management procedures, which makes it difficult to have an overall picture of all the available resources and expenditures at the regional level.
- The predictability of resources is very limited, which affects planning, both by the NLCUs and the Regional Commissions. In the most recent major crisis of 2003–2005, there were major delays between the time where the regular national resources were not sufficient anymore to cover needs, and the time where the international aid funds were effectively available.

On accessing financial resources in the recession period

- EMPRES and the donor contributions have undeniably contributed to setting up locust control mechanisms with competences and equipment that ensures their sustainability. These funds have also given the NLCUs greater importance, or, in any case, a visibility and credibility that has facilitated the mobilization of additional resources at the national level.
- Despite these advancements, in a number of countries, the variation in the resources made available at the national level as well as in the amount of funds provided to the Regional Commissions seem to indicate that locust control is still largely a budgetary adjustment variable and is not recognized as a priority issue needing regular financing. This limitation reflects a real lack of resources in the poorest countries and the

²⁹ From Bradley, 2006 and interviews carried out for the preparation of this study.

difficulty in making budgetary decisions for prevention activities that have invisible impacts — and yet there is a dire need for financing in all sectors.

- Taking into account these limitations, at least in the poorest countries, additional resources are necessary to ensure prevention in the recession period. The amount and allocation of these additional funds should be determined so as to prevent them from having a negative impact by replacing funds that could be mobilized from national budgets. However, it seems indispensable to ensure a supplement to the operating expenditures assumed by the states for funding extraordinary expenditures (for example, for renewing equipment, re-training and strengthening competences, acquiring new technologies, carrying out quality control of pesticide stockpiles, or even promoting biological control).

On budgeting and expenditures during the recession period

- The great variability of resources made available to the NLCUs and the Regional Commissions, regardless of origin, make it more difficult to regularly develop the prevention programmes, which take into account overall needs, i.e. both ongoing operating costs and the less frequent expenditures, as indicated above.
- The available funds are not reflected in the consolidated budgets. This limits the visibility of the resources, does not facilitate coordination, and affects the ability to present a clear and complete picture to both to the national regulatory authorities and donors.
- There is no information on the unit cost of the main operations to be conducted by the NLCUs in the recession period (except in the Western Region for the field operations). This information is necessary, however, for preparing their budgets, monitoring costs, measuring their efficiency, preparing detailed and reliable locust contingency plans, as well as for supporting negotiations with the donors to obtain additional resources.
- Regional Commissions' budgets are not established with funding constraints (they do not correspond to available or expected resources), and are not based on the standardized models identifying all the activities or services that should be provided by the Regional Commissions in the recession period. These characteristics reduce the possibility of identifying the unmet needs as well as the portion of the additional resources that would be needed.
- The practice of earmarking reserves by the Regional Commissions should allow to cope with unforeseen situations, but it can also contribute to an irregular level of contribution provided by the Member States.

On the cross-border nature and regional and international solidarity

- The development of locust crises is a cross-border phenomenon, which could reach several countries in a few months. In addition, the efforts made in the frontline countries directly benefit other plague countries by protecting them against the risks of infestation, and protecting their agricultural sectors and the populations that live there. For the purposes of efficiency, it is essential that locust control efforts be based on a regional and international approach, relying on transnational structures (Regional Commissions, DLCC), information-sharing (Inter-Countries network, Commissions,

DLIS), national, regional and international contingency plans, as well as a sharing of financial responsibilities.

- Regional solidarity with the frontline countries already exists for preventive control and during crises, and is facilitated by the Regional Commissions. In case of a crisis, however, there is no mechanism that organizes regional solidarity, but rather, the latter occurs in a rather ad hoc manner.
- The international aid resources are an indispensable complement of available resources at the national and regional levels, not only in situations of crisis, but also to ensure effective preventive control.

On access to financial resources in situations of crisis

- The locust contingency plans should be an essential instrument of locust crisis management, yet: (i) they are only available in a few countries; (ii) they do not follow a harmonized format for all of the regions; (iii) they generally do not have a figured estimate of needs corresponding to the different periods of the evolving populations dynamics of the Desert Locust; and (iv) there is no consolidated regional plan, yet regional management should be an essential element of the management of a cross-border phenomenon.
- Speed is an essential success factor in the organization of responses to locust crisis. As previous crises have shown, there is a delay of several months between the time when a crisis occurs and the time when the international aid funds become available. The factors that should allow to increase the speed in accessing financial resources in case of crisis are: better planning of the necessary capacities according to the periods of the locust's evolving population dynamics through the locust contingency plans; a better predictability of resources; advanced preparedness for mobilizing different financial instruments; and resorting to new dedicated emergency funds, which are CERF and SFERA.
- Triangulation and pooling of existing pesticide stocks limit their overall increase of and reduce the risks of forming obsolete ones. They also allow (as long as transportation distances are not excessive) to limit mobilization costs and time, particularly at the beginning of a crisis.

4. TOWARDS A NEW FINANCING SYSTEM

101. A enhanced financing system is outlined below. It corresponds to a certain number of strategic principles, which are based on lessons learned from the current financing system. It is organized according to the periods of the evolving Desert Locust population dynamics.

A. STRATEGIC DIRECTIONS

102. **A financing system is modelled on the locust population dynamics.** The scope of locust control operations increases with each of the situations of the evolving Desert Locust population dynamics. The financing instruments should allow to monitor this trend, according to an organized and gradual process of issuing warnings and mobilizing resources.

103. **Predictable resources.** The speed in adapting the locust control mechanisms to the changing situation in the field is an essential factor in the success of control operations. This intervention speed is based on the existing technical and organizational capacities within the national mechanisms, but also on the available adapted financing instruments, which can be rapidly used according to known and previously agreed on methods.

104. **A global system.** The Desert Locust's progress in space follows a cross-border dynamic: the swarms are developed in the breeding areas in the frontline countries, and then migrate towards the plague countries, where they can cause serious damage to agricultural production, and as a result, to food security, even to export capacities. The quality and speed of prevention and control operations carried out by the countries therefore condition the evolution of the Desert Locust population dynamics, not only on their own territory, but also on the territories of other countries of the region, even, in case of serious crisis (such as in 2003–2005), in the territories of other regions. In order to be efficient, the locust control system must reflect this cross-border character by relying on an overall control mechanism based on transnational structures (Regional Commissions, DLCC), information sharing (national networks, Commissions, DLIS), national and regional contingency plans, as well as a sharing of financial responsibilities.

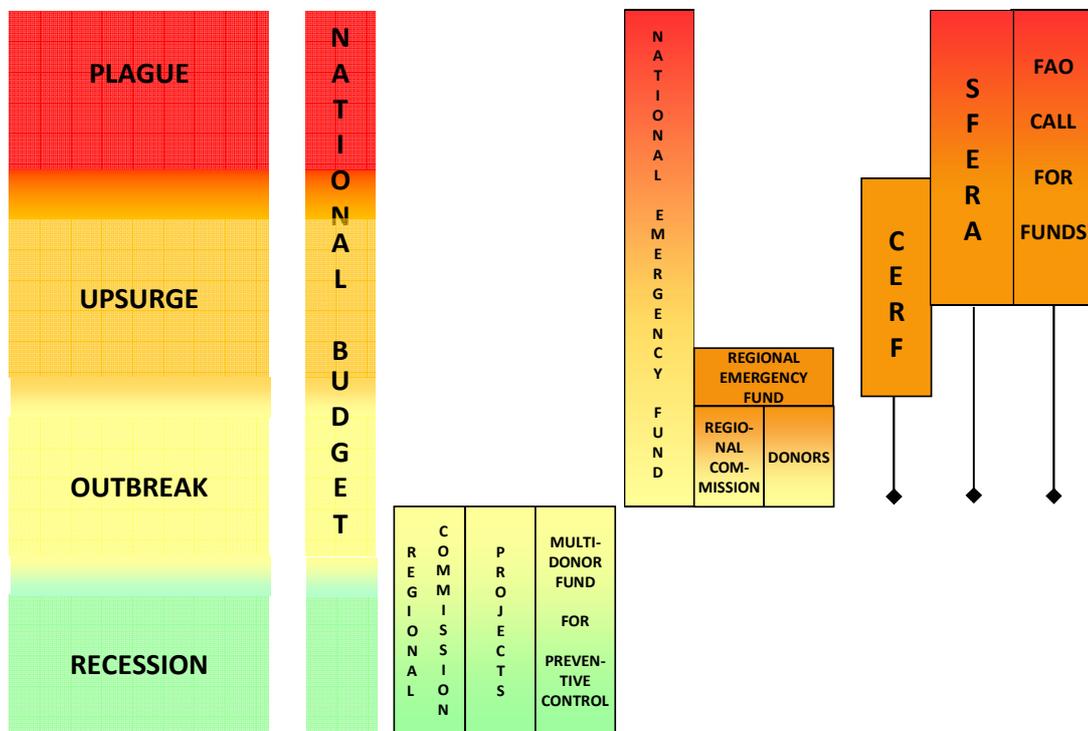
105. **A sharing of financial responsibilities.** The NLCUs are the main entities responsible for locust prevention and control. Prevention and control mechanisms have been set up in all the countries and have gradually improved their early warning and rapid response capacities. In order to ensure an effective response to locust risk, these capacities must be maintained and strengthened following a continuous process, through a global financing system, which shares financial responsibilities among the frontline countries and the plague countries, but also between countries and donors.

106. **A clear and transparent financing system.** The current system combines a diversity of financing sources, whose scope and mobilization do not always follow clear rules. In order to strengthen the efficiency of the system, facilitate the mobilization of funds from the national to the international level, and clarify the levels of responsibility and their assumption by the different actors, the new financing system must be clear, i.e. the resources and their conditions of use must be clearly defined for each financing level (national, regional and international). Similarly, there must be public reports on the use of these resources detailing the financing sources, and the nature and amount of expenditures.

B. ORGANIZATION OF THE FINANCING SYSTEM

107. **Organization by periods.** The proposed financing system includes financing instruments adapted to the needs of each period of the Desert Locust's population evolving dynamics. Most of these instruments can cover several periods, but it is the time of their activation that is specifically linked to a particular period. Figure 6 represents the main financial instruments planned and their distribution by period.

Figure 6 – Financing system by period



The symbol ↓ indicates the state of alert phase of the financial instrument that follows in case of a predicted worsening of the situation

108. It is understood that the boundary between one period and another cannot be precisely defined. The division in periods proposed provides markers indicating the time that a particular instrument can be activated. In the field, each situation or each crisis responds to its inherent characteristics. Also, the precise time of activation will depend on a certain number of predefined criteria, but also, above all, on the way in which they are to be applied in the field.

109. A rough description of each of the instruments is provided in sections C to F below. A more detailed description is provided in the fact sheets developed for each instrument in Annex 1.

110. **Complementarity of financing sources.** The system is designed such that, contrary to what was possible, for example, during the 2003–2005 crisis, there would be no interruption of financing. For each period of the evolving locust population dynamics, there are different and complementary financing sources. When a new period begins, or when the sources of a financing instrument are no longer insufficient, continuation must be assured by a new instrument.

111. **Prior issuance of an alert.** In order to ensure this transition of financing instruments, the system also provides that, beyond the recession period, the activation of a financial instrument be preceded by an issuance of an alert. The aim here is to begin the necessary preparation for deploying the instrument (for example, the preparation of

documents and contracts, etc.) so that at the time where the situation in the field confirms that its activation is needed, it can be very quickly activated.

112. **Locust contingency plans.** In a system that provides for the successive activation of a variety of financial instruments, the locust contingency plans are indispensable tools for efficiency and speed, and for the credibility of the system. Indeed, they must make it possible to: (i) define the indicative criteria that would allow to distinguish the passage from one period to another; (ii) estimate the capacities and resources needed at each of the periods; (iii) foresee how, in the case of a crisis, an addition estimate should be performed; and (iv) specify the methods according to which these capacities and resources will be managed. This information will be needed to trigger the prior state of alert for deploying the financing instruments and their subsequent implementation, which would allow to save precious time in the preparation of project profiles and other documents required to access financial resources. Finally, the plans would allow donors, in particular those from the international community, to assess the countries' preparedness, which would favourably influence their decision making on financing. For the smooth operation of the system, it is therefore essential that all the countries have harmonized locust contingency plans (according to a common format and using standardized concepts and terminologies), which are regularly updated, cleared by the regional Commissions and shared, at the national, regional and international levels.

113. **Dialogue with international donors.** A constant dialogue should be engaged between the donors contributing to control efforts – even more so if they contribute to prevention activities – and the beneficiary countries. This dialogue would focus on the way that allocated funds should be used, and more generally, on the conduct and performance of Desert Locust control, including preventive control. To this end, an annual meeting between representatives of donors and national entities engaged in locust control (NLCU, The Ministry of Agriculture, balanced emergency funds, the Ministry of Finance, etc.) to which the Regional Commission could also participate, should be organized at least in each country involved in preventive control (frontline countries). This arrangement would allow for more regular and more specific exchanges than the DLCC.

C. RECESSION PERIOD

Objective. In the recession period, the financing system must be capable of financing national mechanisms that have the necessary technical capacities and means to ensure surveillance and rapid intervention operations, and which are able to quickly adapt in case of a development towards the successive periods of outbreak, upsurge and plague. In addition, it must finance the regular budgets of the Regional Commissions.

Types of foreseen expenditures. The expenditures include recurrent costs and necessary investments on the one hand, the maintenance of an operational locust control unit, and on the other hand, surveillance and rapid intervention operations.

Financing instruments. In the recession period, financing must be mainly guaranteed by the **budgets of the states** concerned (Fact Sheet 1). Additional support may be necessary, in particular, in countries with scarce resources. This support can come from the **Regional Commission's budget** (Fact Sheet 2) and the international aid budget within the **institutional building projects**, or from the **Multidonor Fund for preventive control** (Fact Sheet 3).

National budget

114. **Objective.** The national budget is the first financing instrument of the NLCUs. It must allow to finance a national Desert Locust control mechanism that has the necessary technical capacities and means to ensure surveillance and rapid interventions operations in a recession period and low outbreak, and which is able to rapidly adopt in case of development towards successive periods of high outbreak, upsurge and plague. It is proposed that each NLCU establish a double budget.

- *an annual reference budget*, which would cover all of the fixed and variable expenditures needed for the smooth operations of the NLCU, i.e. recurrent costs and investments. This budget would serve as a reference to guide the annual planning of activities and, in case of need, to obtain further financing and to negotiate its amount and the contents;
- *an annual budget with budget constraints*, which would be based on this reference budget, but could be of a lower amount, subject to the availability of budget funds.

115. **Budgetary nomenclature.** The wording of the reference budget should be in line with the public budgetary nomenclature. Furthermore, it would be useful to agree on a *nomenclature common to all of the countries* in order to be able to consolidate all the expenditures made in a region and to show, in a harmonized manner, the portion of national expenditures assumed by each country.

116. **Costs.** The exact nature as well as the amount of the related costs during the recession and low outbreak period must be specified in the national locust contingency plans. These costs vary according to the surface areas to be monitored and length of time for which these operations will be needed. Table 3 summarizes the main types of costs to be covered by the national budget.

Table 3. Expenditures of the national mechanisms in the recession period

Objective	Recurrent costs	Investment	Countries concerned
Maintenance of an operational locust control unit	<ul style="list-style-type: none"> - Staff - Maintenance of vehicles and equipment - Maintenance of computer equipment - Property charges - Management of pesticide stocks - Office supplies and operating costs 	<ul style="list-style-type: none"> - Training and re-training - Replacement of vehicles and equipment 	Frontline and plague
Surveillance and prevention operations	<ul style="list-style-type: none"> - Salaries and operating costs of the survey, control environmental protection teams - Maintenance and replacement of survey, treatment, environmental monitoring and camping equipment 	<ul style="list-style-type: none"> - Training and re-training - Acquisition of new technologies 	Frontline and plague countries that host the breeding areas

117. **Unit costs.** It is recommended that each NLCU calculate the unit costs per hectare by type of monitoring and control operation in order to be able to use these data in locust contingency planning, and in case of crisis, to be able to quickly prepare project profiles and financing requests.

Regional Commissions' Budgets

118. **Objective.** The Regional Commissions' budgets aim to finance their regular activities and to provide additional resources to the NLCUs when they do not have access to sufficient national resources to cover their needs in the recession and low outbreak period. Just as with the NLCU budgets, the Regional Commissions would have to have a double budget.

- *A standard budget* listing all the expenditures to cover on an annual basis or at least regularly (investment expenditures). Even if it would not be possible to be funded completely, this budget would serve as a reference to direct annual action plans, and possibly, to obtain complementary financing.
- *An annual budget*, based on the available resources, i.e. the expected contributions and the reserve (indicated as "reserve funds" for the portion that would not be used). The annual budget should also reflect the extraordinary contributions.

119. **Regional solidarity.** The two budgets would include both:

- *activities of a regional character*, such as training, publications, regional expertise, exchange visits, joint meetings, maintenance and updating of information management systems and the regular updating of technologies and equipment for transmitting field data to NLCUs. This item would also include the operating costs of the Regional Commissions (salaries, travels and operating expenses).
- *activities of a national character*, which would complement the national budgets and be determined in close consultation with the countries. These activities would include, for instance, training or joint surveying in the border areas, but could also include equipment or other investment expenditures, even budgetary support. They could also include specific activities for the fragile states.

120. **Scenarios.** This financing from the regional to the national level would allow to channel the contribution of plague countries to the efforts of the poorest frontline countries, as is already the case. This contribution could be made according to three scenarios:

- *Scenario 1: Ad hoc decision.* This is the option used at CLCPRO. Its advantage is that it allows the Commissions to be flexible. Since allocation is not automatic, it is deemed preferable because it does not act as an incentive for countries not to increase their national budgets. This option, however, has the disadvantage that it is not predictable and therefore does not facilitate planning at the national level. Moreover, as long as real prevention efforts are made by the frontline countries, or at least lead to direct benefits for the plague countries, the richest plague countries could contribute to these efforts more regularly. Further, Article IX of the agreement on the establishment of the CLCPRO provides that “[w]hen the situations referred to in Article VII(1)(d) and (e) require that urgent measures be taken during the interval between two sessions of the Commission, the Chairperson, upon the proposal of the Secretary, shall take the necessary measures, after consultation with the Members of the Commission by mail or any other rapid means of communication for a vote by correspondence.”
- *Scenario 2. Allocation following a call for proposals.* A ceiling of annually accessible resources per country is earmarked for some activities and is attributed following a call for proposals from the NLCUs. The advantage of scenario 2 is that it leads to a greater predictability of resources, but is nevertheless limited by the call for proposals approach.
- *Scenario 3. Allocation on condition of performance.* An annual allocation would be determined by the Member States (for example, during the Regional Commission sessions) for the benefit of specific countries. This allocation could vary according to region and year. In order to avoid a negative impact on the allocation of national resources, this allocation would be provided on the condition of good performance of the beneficiary NLCU in the implementation of its national resources budget. The indicators to use in order to verify performance and decide on allocation would include: (i) a percentage to be determined on the disbursement of the budget that is financed by the national resources; (ii) the quality and regularity of information provided to the CLCPRO and the DLIS; and (iii) the financial and administrative autonomy of the beneficiary NLCU – otherwise, the national allocation to the NLCU would be re-directed to other departments of the Ministry. The advantages of the third scenario are that it facilitates the predictability of resources and planning (according to the same argument that leads to ask donors to establish funds to contribute to preventive control, see below) and also provides an incentive for good performance.

121. **Contributions.** The contributions of the Member States are the primary source of financing of the Regional Commission’s budgets. Each Regional Commission is responsible, together with the respective NLCU, for awareness-raising among the Member States to ensure that they pay their annual contributions and settle their contribution arrears. To achieve this, the following means can be used:

- participation in the Executive Committee is subject to the settling of arrears and to regular payment of annual membership fees;
- the re-scheduling of arrears.³⁰

³⁰ It is also proposed that only the NLCUs whose government has settled all the contribution arrears

122. The budgets of the Regional Commissions can also be financed through other financial contributions, which can be:

- *provided by a Member State in addition to its regular contribution.* The additional contribution is paid into the trust fund that receives the regular contributions;
- *funded through a financial agreement with another donor,* for example, through a project, which is the case for EMPRES. The contribution is paid either into the trust fund that receives the regular contributions, but in a different sub-account, or into a separate project account. The amount, the destination, as well as the methods of payment and management are regulated by a funding agreement with the donor. In the current situation, the agreements on the establishment of the Regional Commissions do not allow them to sign any agreements directly with other institutions; this responsibility lies with FAO. Some claim that the Commissions should have this competence, which would be a way of shortening the bureaucratic procedures. The legal aspects of this issue are examined in the legal study, which is linked to this report. It is important to note here that such a transfer of responsibilities from FAO to the Regional Commissions would have considerable consequences on financing and management (staff would have to be recruited to ensure the financial management).

Finally, the contributions in kind (such as personnel or others) by the Member States must also be calculated in the budget of the Regional Commission, based on an estimate of their value.

International Aid

123. **Temporary projects.** International solidarity today is applied through institutional-building projects (EMPRES, AELP, donations from Japan, etc.) that are essentially temporary. The impact of terminating these projects, both at the level of the NLCU and the Regional Commissions, is as follows (underlined above): the activities that could have been undertaken with the resources of these projects have to be interrupted, since the national or regional resources are not sufficient. This is the reason that CPCPRO wishes to benefit from a second phase of the EMPRES project and has prepared a proposal for the donors. The mixed commissions between beneficiary countries and bilateral donors are also a means to gain access to NLCU's institutional-building projects.

124. **Multi-donor funds for preventive control.** The projects could also be complemented by setting up donor funds for preventive control in the poorest frontline countries. Protection against locust plagues is a global public good, since both the resulting benefits and the necessary measures to ensure it extend beyond national borders, even regional borders. The contributions of the donors would make possible to strengthen institutionally the frontline NLCUs, but also to conserve the productive capacity and food security of the agricultural households in the region. The involvement of donors in the recession period would allow a constant dialogue to be established between them and the beneficiary countries, based on shared knowledge of the national mechanisms, their needs and their performance, and would facilitate rapid response in case of crisis.

could benefit from certain regional activities. This option involves, however, a very high risk of excluding some of the NLCUs from participating in activities needed to ensure the required level of capacities at the regional level. This would jeopardize the performance of the exclude NLCUs and, in turn, the capacity of the region to protect itself from uncontrolled Desert Locust infestations.

125. This approach would allow for a better predictability of resources for the beneficiary countries, guaranteeing a greater efficiency in preventive control. The contributions of the donors who would accept to provide this fund would be much smaller than that which would be required in case of an uncontrolled crisis, but at least they would be regular. During the recession period, only the equipment and training expenses would be eligible for funding, whereas in the low outbreak period, all the expenditures for increasing NLCU's capacity to respond to a worsening situation on the ground could be funded.

126. The amount of donor contribution would be established through a dialogue with beneficiary countries, also involving the Regional Commissions, by relying on national reference budgets and on identifying funding gaps. An amount of around US\$300 000 per year³¹ is estimated for the contribution of the Multidonor Fund in the Western Region (presuming that it would assume all the funding gaps for the four frontline countries). The amount of the Fund, both for the Western Region and the Central Region, should be determined a much more precise calculation, supervised by the Regional Commissions.

127. **Scenarios.** The Multidonor Fund could be allocated according to two scenarios similar to those considered for the regional contribution to the frontline NLCUs (para. 121).

- *Scenario 1: Ad hoc decision.* The decision is made on a case-by-case basis by the Fund Manager.
- *Scenario 2. Allocation on condition of performance.* An annual allocation would be determined by the Fund Manager and is provided on condition of good performance of the beneficiary NLCU during the implementation of its national resources budget. The indicators to use in order to verify performance and decide on payment of allocation would be the same as the indicators for obtaining a contribution from the regional budget.

128. The governance system of the Fund would involve: the donors, the Regional Commissions and FAO (AGP). Two scenarios can be envisaged for the implementation of the Multidonor Fund for preventive control:

- *Scenario A: A trust fund at the regional level.* The Fund would be established at the regional level in the form of a sub-account of the trust fund that already exists at each Regional Commission. The advantages of this scenario are as follows: (i) it would allow to secure resources at the regional level; (ii) it could be more easily targeted according to the donors' geographical priorities; and (iii) it could involve the Regional Commissions more closely with the governance of the fund.
- *Scenario B. The trust fund at the international level.* The Fund would be established at the international level in the form of a subaccount of the DLCC trust fund. This scenario would allow a greater mobilization of donors at the international level. It would also allow for the possibility of ensuring the overall management of the funds allocated by the donors in support to preventive control. However, it would have the following disadvantages: (i) it would make the request approval procedure more complex by creating an additional decision-making level; (ii) it would not be in line

³¹ On the following basis: total annual needs of the four countries = 2.2 million (starting from a total estimate presented by CLCPRO at the Meeting of the Ministers of Agriculture, Bamako, 2009), of which around 80 percent would be financed by the national resources (according to 2009 expenditures).

with the decentralization trend encouraged by FAO headquarters; (iii) the donors-NLCU dialogue would likely be less intense.

D. OUTBREAK PERIOD

Objective and financing instruments. During the outbreak period, the financing system must allow the NLCUs to cover the increase in the number of survey and treatment teams as well as the corresponding equipment. These operations target the Desert Locust populations in the phase transformation, on a reduced but dispersed surface, over a total land area of 10 000 to 50 000 ha.

Types of envisaged expenditures. The expenditures correspond to the costs generated by the mobilization of these additional teams, as well as pesticide costs. They must be pre-identified in the locust contingency plans and updated according to the situation on the ground at the time of the outbreak and its likely short-term development.

Financing instruments. The funding would be assured by the budgets of the states concerned, preferably in the form of **national emergency funds** (Fact Sheet 4), as well as a complementary support from the Regional Commission's budgets and international aid through regional emergency funds (Fact Sheet 5).

National emergency funds

129. **Objective.** The emergency funds established at the national level must allow a rapid response to a worsening outbreak situation by having the necessary financial resources to increase field teams, equipment and sprayers when the regular resources of the NLCUs are no longer sufficient.

130. **Scenarios.** National emergency funds already exist, as indicated above (para. 74 and following) according to two modalities:

- *Scenario 1: Emergency funds earmarked for locust control.* This modality allows resources in case of a locust emergency to be secured and makes them rapidly available. On the other hand, this can be difficult to implement in the countries with scarce budgetary resources.
- *Scenario 2: Balanced emergency funds* that finance the responses to a crisis situation or agricultural disasters, which could be mobilized as part of locust control. This type of fund can be more suitable in countries with limited budgetary resources.

131. The implementation of one of these modalities should be pursued at least in the frontline countries, with the support of the Regional Commissions. CLCPRO is already strongly mobilized in this area.

132. The set-up of emergency funds especially earmarked for locust control could be facilitated through an agreement between the supervisory authority of the NLCU (generally, the Ministry of Agriculture) and one or several donors, under which the

remainder of the rural development projects would be allocated to this fund. An automatic contribution, for example, of 1 percent, could even be envisaged for all new projects approved in the rural development sector. Such an agreement would be justified by the fact that the locust control actions in the outbreak period have a direct impact on maintaining the production and income-generation capacities of the rural communities. The management of funds allocated by the national budget follows the procedures established at the national level and in the Constitutions of the funds, in particular, those that are cofinanced by the international donors. The management of these funds must also be supported by measures that facilitate the rapid implementation of allocated resources, which, in addition to the national locust emergency plan, include:

- a decision-making authority at a very high political level;
- an inter-ministerial structure enabling rapid mobilization of institutions and capacities, and facilitating the decisions and coordination of interventions;
- an organized and prepared intervention mechanism, which can be rapidly mobilized;
- deviations from administrative procedures, such as an *a posteriori* control, in order to overcome their inherent slowness.

Regional Emergency Fund

133. **Objective.** The set-up of an emergency fund at the regional level would make it possible to quickly mobilize financing that would complement the national resources in a high outbreak and upsurge period. This fund would cover rapid interventions while awaiting financing of more significant international aid to be mobilized. It would therefore play a transitional role.

134. **Amount.** In 2006, the DLCC examined the possibility of setting up an international emergency fund³². On the basis of lessons learned from the 2003–2005 Desert Locust upsurge, it was estimated that an amount of US\$30 million in funds would be needed to cover the first phases of the control campaign in order to have sufficient resources to immediately purchase pesticides, sign contracts for treatment aircraft, finance operations and recruit international experts.

135. According to CIRAD,³³ the regional fund should be able to cover a duration corresponding to two generations of Desert Locust, i.e. four months, and allow the needs of three countries to be covered simultaneously. This amount should be based on the average surface area treated in past outbreaks and would correspond to a very rough estimate of around US\$5 million according to the CLCPRO³⁴.

136. **Scenarios.** The fund would be financed by three sources: (i) the budget of the Regional Commissions; (ii) the bilateral contributions of Member States of the Regional Commission concerned; and (iii) the contributions of international donors. Two scenarios are envisaged for providing the resources financed by these donors, which could furthermore be combined simultaneously:

³² FAO, Desert Locust Control Committee, Thirty-eighth Session, Rome, 11–15 September 2006, Proposal for the establishment of an Emergency Fund for Desert Locust management.

³³ Interview conducted for this study.

³⁴ On the basis of costs for locust control in the upsurge phase for four months in Mali, Mauritania and Niger, according to Ghaout, 2009 (Annex 7).

- *Scenario 1: Blocked resources.* The funds would be provided by the resources financed by donors during recession periods and blocked until the time of outbreak. This option has the advantage of securing resources and allowing for their rapid mobilization. Nevertheless, it risks being unattractive to donors, because it forces resources to be blocked that remain unused for an indefinite time. Indeed, this argument was valid when preventive control was not applied and thus a calm situation became a plague. However, through the rigorous application of preventive control (such as in the Western Region since 2006) and the systematization of the monitoring, it is acknowledged that outbreaks are more frequent and therefore the funds would be blocked for shorter periods of time.
- *Scenario 2. Funding agreements.* An alternative would consist in establishing funding agreements between donors interested and FAO, represented by AGP and/or the Regional Commission, according to which the donors would contribute when the trigger indicators are attained (see below). The agreements would be signed and approved in advance so that in case of an emergency, the funds could be made available in a few days. The donors may prefer this system that would allow them to keep the promised funding in their own accounts rather than in the emergency funds where they would remain inactive for several years.

137. On the other hand, it does seem feasible to set up a revolving fund, whose capital, financed by the donors, would be invested in the international financial markets to generate interest that would allow to finance emergency actions. Indeed, FAO is obliged to manage trust funds conservatively, which generates extremely low interest (0.44 percent in 2009), and is not capable of ensuring the management of this type of fund. Even in the hypothesis where the Regional Commissions would acquire a legal personality (an unlikely scenario), they would not even have the requisite competences in financial management. A specific mechanism should therefore be set up to raise and manage such a fund, which would presumably have to integrate a contribution from the private sector, which is better equipped to implement this type of mechanism. Finally, even with a dynamic management that generates interests of around 10 percent, considerable amounts would have to be invested to generate the resources that would have to be available in the regional emergency funds and to ensure that cover management costs are covered (the latter of which could reach 20 percent of the capital invested³⁵).

138. Irrespective of the option selected among the two scenarios presented above, two scenarios are again possible to manage the funds, similar to those discussed for accessing international aid in the recession period (see above):

- *Scenario A:* The regional fund is established regionally through a sub-account of the regional trust fund that already exists at the level of each of the Regional Commissions and which is managed by FAO.
- *Scenario B:* The fund would be established at the international level, in the form of a sub-account of the DLCC trust fund.

³⁵ Spergel, 2008.

E. UPSURGE PERIOD

Objective. In the upsurge period, the financing system must allow the NLCUs to fund operations of a larger scope, supported by the aerial operations, and larger quantities of pesticides. On average, the operations extend to three countries. If the ecological conditions are favourable, two regions can be simultaneously affected.

Types of envisaged expenditures. The expenditures correspond to the costs generated by the mobilization of additional teams, as well as the pesticide costs and aircraft operation time. These costs must be previously identified in the locust contingency plans and updated on the basis of the situation in the field at the time of the upsurge.

Financing instruments. The **National Emergency Funds** mobilized in the outbreak period would continue to be used for an upsurge and up to a plague. The **Regional Emergency Fund** would still guarantee the transition, from the beginning of the upsurge period up to the releasing of **CERF** (Fact Sheet 6). This would allow in turn to ensure the transition until, should the situation worsen, FAO's Director-General launches a **call for funds to the international community** and the funds begin to be available. **SFERA** (Fact Sheet 7) provides access to finance advances for amounts already under a funding agreement with the donors.

Central Emergency Response Fund (CERF)

139. **Objective.** In case of a locust upsurge, CERF is a transition fund that must allow to act as a bridge between the time that the regional emergency funds are not longer sufficient to finance the capacities to respond to a crisis and the time where the first contributions issued from FAO's call for funds become available.

140. **Eligibility conditions.** The funds are allocated to United Nations agencies and programmes (in the case of locust emergencies, to FAO), in coordination with the states and the humanitarian coordinators in the countries concerned. The eligibility criteria are as follows:

- *humanitarian emergency as a result of a disaster*, causing human suffering as well as damages exceeding the response capacity of a community or a society with its own resources;
- *life-saving*: the funding requested must cover short-term actions that would allow to limit or avoid losses in human lives, as well as the infringement or threats of infringement on the physical or psychological wellbeing of a population;
- *geographic coverage*: the CERF funding only covers, in principle, one country at a time. The only case where CERF financed a regional project concerned a locust emergency, and this modality could be used again.

141. The CERF guidelines³⁶ specifically include, among the admissible interventions, the "initial contributions to control the problems of transboundary or national pests (for example, locusts), which include "emergency interventions to avoid a disaster or restore livelihoods".

³⁶ CERF, *Life-Saving Criteria*, United Nations, New York, January 2010.

142. **Issuance of alert.** The mobilization of CERF must be prepared as soon as the outbreak period is over on the basis of reliable forecasts of a changing situation from an outbreak to an upsurge, on the basis of scenarios included in the locust contingency plans and on a careful evaluation of the changing locust situation as well as ecological conditions on the ground. Humanitarian Coordinators of the countries concerned as well as with the OCHA Regional Office must be contacted and the request(s) for financing must be prepared in close collaboration with these entities. The Regional Commissions should be closely involved in this process.

143. **Modalities.** CERF financing can reach a maximum amount of US\$30 million. It only takes a maximum of 15 days to have the funds available. CERF funding must be spent within six months from the time of fund disbursement.

The FAO call for funds

144. The call for funds launched by FAO aims to mobilize resources of the international community when a crisis becomes greater and all other sources of funds are no longer sufficient to increase the response capacity. The Regional Commissions should also be involved in this process.

145. The funds are allocated to and managed by FAO. Drawing lessons from the 2003–2005 crisis, FAO has reduced the preparation time needed. Agreement models are ready to respond to the requests of each donor, and TCES currently promotes a programme approach, according to which a single document describing the international programme and all that is needed to finance it is communicated to all the donors. This approach was used successfully in Madagascar in 2010.

146. Parallel efforts can be made simultaneously in the countries concerned in order to mobilize bilateral aid starting from the local level, in consultation with FAO headquarters and with the competent Regional Commission.

Special Fund for Emergency and Rehabilitation Activities (SFERA)

147. SFERA is an internal mechanism within FAO that shortens the time span required to begin intervention by operating as an advance fund that anticipates the disbursement of contributions pledged by international donors. A pre-financing agreement must be provided by the donor so that SFERA can advance the funds.

F. PLAGUE PERIOD

Objective and financing instruments. In the plague period, the financing system must allow the NLCUs to fund even larger operations.

Type of envisaged expenditures. The expenditures correspond to the costs generated through the mobilization of additional teams, as well as the costs for pesticides and aircraft operation time, capacities that are greater than those needed for an upsurge. These costs should be previously identified in the locust contingency plans and updated on the basis of the real situation at the moment of plague.

Financing instruments. International aid, mobilized through the calls for funds launched by FAO, takes over from CERF. SFERA provides access to fund advances for the amounts already established in a funding agreement with the donor. The implementation modalities of these instruments are the same as in the upsurge period.

G. SUMMARY OF FINANCIAL INSTRUMENTS AND SCENARIOS BY PERIOD

148. Table 4 summarizes the financial instruments and the different scenarios envisaged for some of these instruments in each of the periods of the dynamic of the development of the Desert Locust.

Table 4 –Summary of financial instruments according to period

Periods/ instruments	Objectives	Main eligibility criteria	Scenarios	Estimated amount	Issuance of alert
Recession					
National budget	Financing of the national Desert Locust Control mechanism	NLCU/ administrative and financial autonomy is preferable		Variable according to country. Examples in Annex 1, Fact Sheet 1.	Permanent mechanism
Budget of the Regional Commissions	Financing of regular Regional Commission (RC) activities + additional resources for the NLCUs	<p><i>Activities of a regional character:</i> all the Member States</p> <p><i>Activities of a national character:</i></p> <ul style="list-style-type: none"> - NLCU whose reference budget exceeds the real budget - Eligible expenses: investment (recession); all expenses needed to increase response capacity (low outbreak) 	<p><i>Activities of a national character</i></p> <ol style="list-style-type: none"> 1. Ad hoc decision-making 2. Allocation following a call for proposals 3. Allocation on condition of performance 	To be defined in the regional locust contingency plans Depends on the amount of available contributions/measures to undertake to settle arrears	Permanent mechanism
Multidonor Fund for preventive control	Complement the national and regional financing for the NLCUs	<p>Frontline NLCUs of CLCPRO/CRC:</p> <ul style="list-style-type: none"> - whose reference budget exceeds the real budget; - that have received a contribution by the RC; - whose application has been validated by the RC <p>Eligible expenses: investment (recession); all expenses for increasing response capacity (low outbreak)</p>	<p><i>Methods of financing:</i></p> <ol style="list-style-type: none"> 1. Ad hoc decision-making 2. Allocation on condition of performance <p><i>Management:</i></p> <ol style="list-style-type: none"> A. Sub-account in the RC Trust Fund B. Sub-account in the DLCC trust fund 	To be calculated on the basis of reference/real budgets of the RC Member States CLCPRO estimate: US\$300 000 per year	Permanent mechanism

Periods/ instruments	Objectives	Main eligibility criteria	Scenarios	Estimated amount	Issuance of alert
<i>Outbreak</i>					
National budget	As above				
National emergency fund	Rapid response to the worsening outbreak - Increase in capacities of the NLCUs when regular resources are not sufficient anymore	<ul style="list-style-type: none"> - Launching of the national locust emergency plan - Scope of infested surface area - Phasal state 	<ol style="list-style-type: none"> 1. Locust Control Emergency Fund 2. Balanced Emergency Fund 	Minimum amount to be defined according to country. Examples: US\$2 million to Morocco and Egypt	
Regional Emergency Fund	Additional funding resources for an NLCU faced with a high outbreak/upsurge	<ul style="list-style-type: none"> - Activation of the national locust control plan - Alert confirmed by the DLIS - Prior releasing of the national resources - Meeting of regional experts to draft a regional action plan - Favourable notification of the Regional Commission. 	<p><i>Methods of financing:</i></p> <ol style="list-style-type: none"> 1. Ad hoc decision 2. Allocation on condition of performance <p><i>Management</i></p> <ol style="list-style-type: none"> A. Sub-account in the RC trust fund B. Sub-account in the DLCC trust fund 	First estimate: US\$5 million per region	

Periods/ instruments	Objectives	Main eligibility criteria	Scenarios	Estimated amount	Issuance of alert
<i>Upsurge</i>					
National budget	As above				
National emergency fund	As above				
Regional emergency fund	As above				
CERF	Emergency transition funds that must act as a bridge between the end of the resources of the Regional Emergency Fund and the arrival of donor contributions following the call for funding by FAO	Rapid actions for a maximum of 6 months needed to minimize damages to the economic and social assets Possibility of regional projects		Maximum US\$30 million per country	In the outbreak period
FAO Call for Funds	Mobilization of international resources when the crisis becomes greater and when all other funding sources are no longer sufficient	According to donors		According to needs	In the outbreak period
SFERA	Advance on the disbursement of contributions pledged by the international donors	Pre-funding agreement must be provided by the donor		According to donor financing	In the outbreak period
<i>Plague</i>					
National budget	As above				
National Emergency Fund	As above				
FAO Call for Funds	As above				
SFERA	As above				

RC: Regional Commission

5. TOWARDS STRENGTHENING THE ROLE OF THE REGIONAL COMMISSIONS

149. Following the Independent External Evaluation of FAO (IEE) in 2007, the Immediate Plan of Action (IPA) for FAO renewal (2009–2011), adopted by FAO Conference at its Thirty-fifth Special Session, provides that the statutory bodies will be strengthened and will enjoy more administrative and financial authority within the framework of FAO. To this end, the IPA provides that a study be undertaken with the aim of contributing to the necessary revisions.

150. **The role of the Regional Commissions.** Within the financing system proposed in this study, a major role is attributed to the Regional Commissions. Indeed, they are in the best position to ensure the harmonization of locust control interventions within their region, as well as the coordination of financing sources at the regional level. Also, the system proposed provides that the Regional Commissions:

- establish the regional locust contingency plans;
- on the basis of positive lessons learned, contribute to the financing of prevention mechanisms of the NLCU when their resources are insufficient;
- support NLCU efforts in strengthening the budget financed by the state, obtaining a financial and administrative autonomous status, setting up of emergency funds, and developing links with donors at the country level;
- contribute to preventive control in the fragile states;
- validate the financing requests of the NLCUs wishing to benefit from a contribution of the Multi-Donor Fund for preventive control;
- approve the financing requests of the NLCUs wishing to benefit from a contribution of the regional emergency fund;
- be consulted in the processes of mobilizing the resources of CERF and the resources of the international community through the calls for funds launched by FAO headquarters.

151. These competences do not seem to require changes to the Commission's Constitutions.

152. **Financial management and budget holders.** In accordance with the agreements on the establishment of the Regional Commissions, the trust funds receiving the contributions of the Member States are managed by FAO according to its financial regulations. The expenditures are paid by the two budget holders designated by FAO. The Executive Secretaries are budget holders solely for small local expenditures, within an IMPREST account of a maximum of US\$20 000 per year. All the other expenditures are paid by the designated budget holders within the AGP Division. Each expenditure should be subject to a payment request by the Executive Secretary of the Regional Commission. The budget holders are in charge of the commitment and the certification of the expenditure, including at the technical level (see details in Fact Sheet 2), and the payment.

153. **Strengthening the role of the Regional Commissions in financial management.** Two measures can be envisaged to strengthen the role of the Regional Commissions in financial management in accordance with the central position assigned to it within the financing system proposed:

- *overall technical approval:* The technical approval of each expenditure could be replaced by an overall approval given at the beginning of the year on the basis of an

annual work programme and budget prepared by the Executive Secretary, which would be based on a biannual budget approved by the Regional Commission,

- *delegation of responsibility* to the Regional Commission: The Executive Secretary of the Regional Commission could be named the budget holder for some types of expenditures (for example, the travel expenses of agents of the Regional Commission) or certain amounts (below a ceiling to be determined). An arrangement of this type is in force within the trust funds framework accompanying the implementation of the International Treaty on Plant Genetic Resources, whose Secretary is the budget holder for travel expenses, publications and supplies. This option would allow to relieve staff from headquarters of a part of their management responsibilities and to strengthen the autonomy of the Commissions with the perspective of decentralization. Nevertheless, this option does not seem desirable.
- it would involve the recruitment and financing by the Regional Commissions of additional personnel to ensure the financial management of which they would become responsible, and in particular, to ensure the following tasks: financial planning, the issuance of expenditure commitment documents (contracts, travel authorizations, purchase orders, etc.), the implementation and monitoring of expenditures, accounting and the drafting of financial reports. According to the information collected from AGP, these different tasks would require at least the recruitment of a financial officer, or even an accountant. The annual cost of a financial officer amounts to US\$150 000 (P2) to US\$230 000 (P4) per year, which represents: (i) almost 400 percent of the 2009 CLCPRO expenditures and 40 percent of the amount of contributions to pay annually by member states³⁷; and (ii) 100 percent of the 2009 CRC expenditures and 86 percent of annual contributions due. Taking into account the volume of expenditures and even of contributions of the two Commissions³⁸, this solution does not seem economically justified or viable.
- It does not seem that, in the current organization of the system of commitment and execution of expenses, this solution is feasible. Indeed, this would require that the computerized financial management system of FAO, Oracle, be decentralized at the FAO national representations, which, for the moment, is not the case³⁹.
- Finally, the Executive Secretaries of the Commissions consider this current procedure to be efficient and they do not seek change, except possibly concerning the technical approval of the expenditures, as indicated above.

154. The legal implications of these issues are examined in the legal study linked to this report.

³⁷ According to the new contribution scale, which had not taken into account this cost when it was set.

³⁸ The issue does not concern SWAC, whose Executive Secretary is the head of the DLIS within AGP.

³⁹ The Oracle system is only decentralized up to the level of the regional representations.

6. ANNEXES

ANNEX 1: FACT SHEETS ON THE FINANCIAL INSTRUMENTS

FACT SHEET 1: National budget

RECESSION – OUTBREAK – UPSURGE – PLAGUE

1. OBJECTIVES

1. The National budget is the first financing instrument of the NLCUs. It must allow to finance a national Desert Locust control mechanism with technical capacities and the necessary means to ensure surveillance operations and rapid intervention during a recession and low outbreak period. It must also be capable of rapidly adapting in case of a development towards successive periods of a strong outbreak, upsurge and plague.

2. JUSTIFICATION

2. NLCUs that are well-equipped and organized are the pillars of the international locust control mechanism. Although their roles are different, they are also indispensable both in the frontline and in the plague countries:

- *In the frontline countries*, the NLCUs must be able to conduct surveillance and treatment operations in the breeding areas so as to prevent the gregarization phenomenon and to avoid a development towards an outbreak and successive periods. The justification of this objective is economic. On the one hand, the costs of prevention are *infinitely less* than those of a curative control campaign during a high outbreak, upsurge or plague period. One needs only recall the accumulated cost of over US\$1 billion needed for the control operations alone conducted during the 1986–1989 and 2003–2005 crises. By contrast, preventive control allows to avoid damages, whose costs can be considerable. The first affected are the agricultural households in the countries where the agricultural sector is often the primary source of employment either because they lose their livelihoods by losing their crops and livestock, or they lose their employment as salaried farmers, and in both cases, because they have to resort to borrowing. The reduction of production and the degradation of productive capital can also affect the supply to national markets or lead to higher prices, which would also affect the urban populations, in particular, the poorest. Finally, the state experiences a loss of income, which results from a drop of tax revenue from those working in the agricultural sector and by a reduction in export. Moreover, it must commit considerable resources to compensate the damage suffered (compensation for losses, recapitalization of households, unemployment benefits of salaried farmers, environmental cleanup, etc.).
- *In the plague countries*, the NLCUs can play a prevention role in the gregarigenous areas. Even in the countries that do not have such areas, the NLCUs must be perfectly operational in order to be able to rapidly and efficiently respond to the infestations of locusts coming from outside the country.

3. Insofar as the development of locust crises is a transboundary phenomenon, each country assumes collective responsibility for its neighbours and, from a wider perspective, for all of the countries of the Desert Locust distribution area. Indeed, the international mechanism set up can only be efficient if each country involved in it is ready to rapidly and efficiently respond to the threats of infestation and to infestations that have occurred.

4. It is for this reason that each year, the NLCUs must have access to national resources allowing them to fulfill this objective. Nonetheless, that these resources may be insufficient, in which case, it must be possible to complement them by regional resources (see Fact Sheet 2), or even international ones (see Fact Sheet 3).

3. ELIGIBILITY CONDITIONS

5. In each country, the NLCU is eligible for financing through the national budget. The administrative and financial autonomy of the NLCU allows for the greater securing of financial resources because it guarantees access to resources that have been especially allocated to it and over which they have control. It is recommended that the NLCUs, at least in the countries that contribute to preventive control, have such a status. The Regional Commissions should continue their support of the NLCUs that do not yet this status in order for them obtain it.

4. ACTIVATION

6. The resources allowing to finance the NLCU and its surveillance and prevention mechanism in the recession and low outbreak period must be available and implemented each year, independently of the evolving situation of the Desert Locust population dynamics. The NLCU prepares a budget proposal that is validated by the supervisory authority and on the basis of which the Ministry of Finance decides on its allocation. The NLCUs therefore do not directly control the allocation of resources for the implementation of the budget that they have planned. It is their responsibility, however, to raise awareness among decision-makers on national policies, and in particular, the Minister of Agriculture, on the importance of ensuring the financing of a solid preventive control mechanism, including preserving the agricultural sector and the livelihoods of the rural populations of the country. The Regional Commission can play a considerable role in advocating on behalf of the NLCU among policy decision-makers and often it already does.

5. AMOUNT

7. **Types of costs.** Table 1 identifies the main types of costs to be covered by the national budget.

Table 1 – Expenditures of national mechanisms in the recession period

Objective	Recurrent costs	Investment	Countries concerned
Maintenance of an operational locust control unit	<ul style="list-style-type: none"> - Permanent personnel - Maintenance of a fleet of vehicles - Maintenance of computer equipment - Maintenance of transmission equipments - Property charges - Quality control of pesticide stocks - Management of pesticide stocks - Office supplies and operating expenses 	<ul style="list-style-type: none"> - Training and re-training - Replacement of vehicles and equipment 	Frontline and plague
Surveillance and prevention operations	<ul style="list-style-type: none"> - Salaries of the survey and treatment teams (temporary in addition to permanent personnel) - Salaries of the Quality and Environment Survey Teams (QUEST) - Operating costs of the teams - Maintenance and replacement of surveying and treatment materials, environmental monitoring and camping equipment 	<ul style="list-style-type: none"> - Training and re-training - Acquisition of new technologies 	Frontline and plague countries that host breeding areas

8. The precise nature and the amount of costs related to the recession and low outbreak period must be specified in the national locust contingency plans.⁴⁰ These costs vary according to the surface areas to be monitored and the duration of the period in which these operations are necessary. For instance, the annual cost of the prevention mechanism (recurrent costs) in the recession and low outbreak period in the four frontline countries of the Western Region can be consulted in Appendix 1, and the typical composition of the national mechanism teams in the Western Region established in the EMPRES-WR, in Appendix 2.

9. **Unit costs.** The unit costs⁴¹ must be established by type of surveillance and treatment operation so as to be able to use these data in the drafting of the locust contingency plans and, in case of crisis, to be able to rapidly prepare the project profiles and financing requests.

6. METHODS OF FINANCING

10. **Budgeting.** Each year, the NCLUs must submit a budget proposal for which they are responsible. It is proposed that each NLCU should establish a double budget:

- *an annual reference budget*, covering all of the fixed and variable expenditures needed for the smooth operations of the NLCU, both the recurrent costs and the investments. This budget would serve as a reference to guide the annual planning of activities and, possibly, to obtain other funding and negotiate the amount and content.
- *an annual budget with budget constraints*, based on this basic budget. This would have to take into account not only the resources financed by the national budget, but also the external sources of guaranteed funding (regular FAO programme/any projects underway) so as to have an overall picture of all of the available resources.

⁴⁰ See *Main report*, 4.B. *Organization of the financing system*

⁴¹ Presumably, costs per hectare, or cost per team.

11. The allocation of resources by the Ministry of Finance then follows the budgetary planning procedure of each respective country.

12. **Budgetary nomenclature.** The wording of the reference budget should be in line with the public budgetary nomenclature. It would be useful, moreover, to have a common nomenclature for all of the countries, possibly for the same region, making it possible to consolidate all of the expenditures made in a region and to show, in a harmonized manner, the share of the national expenditures assumed by each of the countries. The main elements of this nomenclature are proposed in Appendix 3. They must be fine-tuned and agreed with all of the member states of a region, under the aegis of the Regional Commission. A fill-out form guide must then be prepared, clarifying the definition given to each term of the budgetary nomenclature that is harmonized and provided with examples drawn from the real situation of the countries.

7. MANAGEMENT

13. The management of funds allocated by the national budget follows the procedures established at the national level.

8. MONITORING AND CONTROL

14. The applicable methods of monitoring and audit are in compliance with the national procedures in force for the public administrations.

15. Nevertheless, if the NLCU wishes to have access to additional funds such as the Regional Fund for Preventive Control (Fact Sheet 2) or the Multidonor Fund for preventive control (Fact Sheet 3), it would also have to provide information to the Regional Commissions to which it is responsible, both on the resources allocated to it by the national budget and on their implementation. As a result of the system set up with the support of EMPRES in CLCPRO headquarters (Monitoring System of National Locust Control Mechanisms, or SVDN), it is possible to know at all times what human and physical means are available to the NLCU, on the basis of regular updates.⁴² It is recommended to develop the same system in the central region.⁴³

⁴² SVDN provides nine categories of information: personnel, partnerships, storage warehouses, infrastructures, teams, vehicles, inventory of supplies and equipment, landing strips, and pesticide stocks. The information is updated every 1 to 12 months according to the categories of information.

⁴³ The expenses that this involves would essentially consist in the costs of translations into English and training of one leader per country in collaboration with the CLCPRO.

9. APPENDICES

A. APPENDIX 1 - MAXIMUM ANNUAL COST OF THE PREVENTION MECHANISM IN THE RECESSION PERIOD IN THE WESTERN REGION (US\$)

Country	Survey and treatment		Coordination		Maintenance/logistics		Total
Chad	4 teams/4 months	66 000	1 team over a 2-month period	13 000	1 team/3 months	15 000	94 000
Mali	6 teams/6 months	149 100	1 team over a 2-month period	16 000	1 team/4 months	15 000	180 100
Mauritania	15 teams/2 months, 10 teams/4 months, 5 teams/3 months	254 000	1 team over a 4-month period	19 000	1 team/9 months	28 000	301 000
Niger	5 teams/6 months	128 000	1 team over a 2-month period	15 000	1 team/4 months	18 000	161 000

Source: Programme EMPRES-WR, Rapport de la Première Réunion du Comité de Pilotage (First Meeting of the Steering Committee), FAO, Algiers, 4-6 March 2006 and Ghaout, 2009.

B. APPENDIX 2: TYPICAL COMPOSITION OF THE INTERVENTION TEAMS IN THE WESTERN REGION⁴⁴

1. Composition of a typical survey and light treatment team

Vehicles: 2 light 4x4, 6 cylinder pick-up vehicles (spare parts: annual lump sum of 5 percent of the purchase value of the vehicles for the first two years and 10 percent for the last two years + 12 Sahara tires per vehicle (6 in the first year and 6 in the 3rd year) and standard vehicle kit + 2 galvanized water tanks + 2 galvanized fuel tanks of 200 litres each + 1 tank of 25 litres of pesticides
Standard light treatment material kits: 4 portable battery-operated devices (Micro ULVA+) + batteries and spare parts
Pumping equipment: 1 electric pump and 1 manual Japy pump for fuel
Personal protection equipment
Surveying, positioning and communication equipment: 1 complete Kit (maps, 1 eLocust2 Pack, 2 GPS, 1 digital camera, 1 portable transceiver and 1 VHF (in case of aerial spraying) and 1 renewable small supplies kit)
Camping gear (including 1 05 KVA generator)
Human resources: 1 surveyor, 2 drivers, 2 labourers, 1 guide and 4 escorts (except for Mauritania)
Fuel and lubricants

2. Composition of a typical control team

Vehicles: 2 light 4x4, 6 cylinder pick-up vehicles (spare parts: annual fee of 5 percent of the purchase value of the vehicles for the first two years and 10 percent for the last two years + 12 Sahara tires per vehicle (6 in the first year and 6 in the 3rd year) and standard vehicle kit + 2 galvanized water tanks and 2 galvanized fuel tanks of 200 litres each + 1 tank of 200 litres of pesticides
Treatment material: 1 sprayer mounted on the vehicle (ULVAMAST V3M or Micronair AU8115) + spare parts+ 2 backpack atomizer sprayers AU 8000
Pumping equipment: For pesticides: 1 electric pump with pesticide-resistant accessories; for fuel: 1 electric pump and one manual Japy pump
Personal protection equipment
Quality control material: complete sprayer calibration kit
Surveying, positioning and communication equipment: 1 complete Kit (maps, 1 eLocust2 Pack, 2 GPS, 1 digital camera, 1 portable transceiver and 1 VHF (in case of aerial spraying) and 1 renewable small supplies kit) and 1 kit of treatment control supplies
Camping gear: (including 1 05 KVA generator)
Human resources: 1 team leader, 2 drivers, 2 workers, 1 guide and 4 escorts (except for Mauritania)
Fuel and lubricants

3. Composition of a coordination team

Vehicles: 2 station wagons vehicles (spare parts: annual lump sum of 5 percent of the purchase value of the vehicles for the first two years and 10 percent for the last two years + 12 Sahara tires per vehicle (6 in the first year and 6 in the 3rd year) and standard vehicle kit + 2 galvanized water tanks and 2 galvanized fuel tanks of 200 litres each
Pumping equipment: 1 electric pump and 1 one manual Japy pump
Survey equipment, positioning and communications: 1 complete kit (maps, 1 eLocust 2 Pack, 2 GPS, 1 digital camera, 1 E/R mobile and 1 VHF in case of aerial treatment and 1 renewable small supplies kit)
Camping gear: (including 1 05 KVA generator)
Human resources: 1 coordinator, head of monitoring and evaluation, 2 drivers, 2 workers, 1 guide and 4 escorts (with the exception of Mauritania)
Fuel and lubricants

⁴⁴ Source: EMPRES-WR, Rapport de la Première Réunion du Comité de pilotage (First Meeting of the Steering Committee), Algiers, March 2006

4. Composition of a QUEST quality control team (in charge of verifying the quality of treatments including the calibration of the sprayers and environmental and medical monitoring)

NB: The team is mobilized according to the control activities

Vehicles: 2 station wagons vehicles (spare parts: annual lump sum of 5 percent of the purchase value of the vehicles for the first two years and 10 percent for the last two years + 12 Sahara tires per vehicle (6 in the first year and 6 in the 3rd year) + standard vehicle kit + 2 galvanized water tanks and 2 galvanized fuel tanks of 200 litres each
Pumping equipment: 1 electric pump and 1 one manual Japy fuel pump
Survey equipment, positioning and communications: 1 complete Kit (maps, 1 <i>eLocust2</i> Pack, 2 GPS, 1 digital camera, 1 portable transceiver and 1 VHF (in case of aerial treatment), 1 renewable small supplies kit) and 1 treat control supplies kit and 1 health monitoring supplies kit
Camping gear: (including 1 05 KVA generator)
Human resources: 3 agents (1 from the NLCU, 1 from Environment and 1 from Health), 2 drivers, 2 workers, 1 guide and 4 escorts (with the exception of Mauritania)
Fuel and lubricants

5. Composition of a maintenance team (maintenance and repair) and logistics/supplies

Vehicles: 2 vehicles, including 1 truck and 1 light 4x4 cylinder pick-up (spare parts: annual lump sum of 5 percent of the purchase value of the vehicles for the first two years and 10 percent for the last two years + 12 Sahara tires per vehicle (6 in the first year and 6 in the 3rd year) and standard vehicle kit + 2 to 6 galvanized water tanks + 2 to 6 galvanized fuel tanks of 200 litres each, 2 tanks of pesticides in case where there are control teams on the field, and a set of spare parts and all tools for vehicle maintenance and repair
Pumping equipment: For pesticides: 1 electric pump and 1 manual Japy pump
Communications/positioning equipment: Maps, 2 GPS and 2 portable transceivers
Camping gear (including 1 05KVA generator)
Human resources: 1 team leader, 2 drivers including 1 mechanic, 2 workers, 1 guide and 4 escorts (with the exception of Mauritania)
Fuel and lubricants

C. APPENDIX 3: PROPOSALS FOR A HARMONIZED BUDGETARY NOMENCLATURE

SALARIES AND RELATED PERSONNEL COSTS

Salaries

Director and managers

Administrative staff

Team leaders

Prospectors

Treatment staff

Warehouse keepers

Drivers

Workers

Others

Other personnel costs

Temporary staff

Training

Others

STUDIES

Consultation and study fees

Others

PROPERTY COSTS

Maintenance and repair of buildings

Renovations works

Water, electricity

Telephone and telecommunications

Others

TAXES AND CHARGES

Postal tax and postage costs

Others

FURNITURE, EQUIPMENT AND OFFICE SUPPLIES

Purchase of office furniture and equipment

Purchase of office and computer supplies

Maintenance and repair of office and computer furniture and supplies

Others

MATERIAL FOR PLANNING CAMPAIGNS

Purchase of small tools

Maintenance and repair of equipment

Maintenance and repair of vehicles

Purchase of fuel

Purchase of camping gear

Others

PESTICIDES

Purchase of conventional pesticides

Purchase of biopesticides

Other products

OTHER EQUIPMENT AND PRODUCTS

Purchase of laboratory products

Maintenance and repair of laboratory equipment

Purchase of audio-visual equipment

Other purchases

TRANSPORTATION AND TRAVEL COSTS

Travel costs on the field

Other travel costs

Others

MISCELLANEOUS EXPENSES

Costs of chemical analysis of pesticides

Food

Clothing

Room and board, and reception costs

Communications and publicity

Subscriptions, documentation and publications

INVESTMENT BUDGET

Construction of buildings

Procurement of rolling stock

Procurement of survey and control equipment

Procurement of computer equipment

Procurement of transmission equipment

Procurement of scientific and research material

Procurement of camping gear

FACT SHEET 2: Budget of the regional commissions

RECESSION – LOW OUTBREAK

1. OBJECTIVES

1. The budgets of the Regional Commissions aim to finance their regular activities and to provide complementary resources to the NLCUs when they lack access to sufficient national resources to cover their needs in the recession and low outbreak period.

2. JUSTIFICATION

2. The Regional Commissions were established under Article XIV of FAO's Constitution in order to promote, *inter alia*, Desert Locust surveillance and control activities at the regional level. They receive contributions of Member States to finance both the activities of common interest to them carried out at the regional level (information sharing, joint training, joint surveying, etc.), as well as support activities to the NLCUs, including training and research.

3. The activities that directly benefit a Member State can be considered as a contribution from the Commission for the financing of national mechanisms in the routine situation. This mechanism stimulates regional solidarity, since the financing of preventive control is not the exclusive responsibility of the countries with Desert Locust breeding area, but rather, of the entire region, since locust control benefits the region as a whole. Such an approach is even more justified because a number of frontline countries have limited resources, which is true for all the frontline countries of the Western Region and at least half of the frontline countries of the Central Region. The Regional Commissions, which receive the contributions of all the Member States, can therefore become the instrument for equitable cost-sharing of preventive control among all the countries that benefit from it.

3. ELIGIBILITY CONDITIONS

4. **The regional locust contingency plan.** The types of activities eligible for financing from the Regional Commissions, according to different categories defined below, should be identified in the regional locust contingency plan. It is understood that this document must remain flexible and that it should be able to adapt to the particular situations in the region, and not the contrary. Also, if a situation were to develop in which activities not listed in the plan would need to be financed in order to prevent a locust risk (for instance, of fragile states, see above), it would be the responsibility of the Executive Secretary and the Chair of the Regional Commission to assess the whether it is justifiable to provide financing and to take a decision.

5. **Activities of a regional character.** All the Member States can benefit from joint activities organized by the Regional Commission, according to the programme activities approved during biennial sessions.

6. **Activities of a national character.** By contrast, access by a Member State to resources of the Regional Commission in the name of regional solidarity is subject to the following eligibility criteria:

- *Eligible NLCUs:* The following NLCUs are eligible for a contribution from the budget of the Regional Commission: (i) those whose reference budget exceeds the real budget (see Fact Sheet 1); (ii) those that have undertaken proven efforts to obtain an increase in real budget; and (iii) those that apply to the Regional Commission according to a format to be defined;
- *eligible expenditures in the recession period:* only the expenditures considered investments, i.e. equipment and training costs. The aim of this limitation is to prevent the governments' financing of their regular NLCU activities (recurrent costs) from being subject to the availability of external funding;
- *eligible expenditures in a low outbreak period:* all the expenditures that aim to increase the capacity of the NLCU to respond to a worsening situation on the field, including the costs related to the increase the number of survey and treatment teams, equipment and pesticides.

7. **Activities of a national character in the fragile states.** The fragile states are those with low income characterized by low capacity, poor governance, political instability and/or frequent violence⁴⁵, which could result in a persistent political crisis, a crisis situation or a post-crisis humanitarian situation, armed conflict, etc. Some of these countries cannot ensure survey or treatment operations that would be normally required in their breeding areas. In this case, its Regional Commission must make an effort to maintain dialogue with the structures responsible for locust control, to facilitate the provision of assistance by the Member States and, possibly, to provide targeted financial assistance. The maintenance of ties and the provision of assistance are not only justified in the name of regional solidarity, but also to ensure that the lack of preventive actions do not lead to serious consequences for the neighbouring countries and for the entire region.

8. The eligibility conditions in this kind of situation, which by definition are hard to predict, should be assessed on a case-by-case basis by the Executive Secretary and the Chair of the competent Regional Commission, in liaison with the DLIS in Rome. Nevertheless, the following elements can be taken into account:

- An official request should originate from the country concerned. In the absence of national operational authorities, this request could be issued, for example, by the head of locust control. The Regional Commission acts as facilitator to prepare this request, which, as much as possible, should follow the outline below;
- In addition, the request should specify the methods of payment and of funding implementation.
- If the local conditions do not guarantee the security and preservation of equipment, the expenditures financed by the budget of the Regional Commission can only cover the operating costs (salaries, per diem, car rental, fuel, etc.). The assessment of the local situation is carried out by the Executive Secretary of the Regional Commission in collaboration with the local counterparts.

⁴⁵ World Bank definition.

9. **Validation.** The above criteria must be validated by the Member States during the session of their Regional Commission and could be specified at this time.

4. ACTIVATION

10. **Activities of a regional character.** The planning and implementation of these activities are planned and implemented by the Executive Secretary of the Regional Commission, in line with the biannual work plan and budget approved by the Member States during the biannual sessions (see the following section).

11. **Activities of a national character.** To benefit from financial support according to the above eligibility conditions, a NLCU must make a formal application to the Secretariat of the Commission, which will specify:

- *the object of financing*, i.e. the type of expenses to cover, the detailed budget and the duration;
- *the justification*, i.e. the expected results and the corresponding indicators, the detailed reasons for which the national budget cannot cover the costs for which financing is requested, and the efforts made by the NLCU to obtain an increase of its budget;
- the technical description of the activity(ies) envisaged.

12. The request must be accompanied by the following documents:

- *the national locust contingency plan*, specifically detailing the necessary means and resources in the recession and low outbreak period;
- *the NLCU budget and its implementation over the past three years*, in the two versions "annual reference budget" and "annual budget with budget constraints" (see Fact Sheet 1).

13. Finally, the NLCU must be keep the SVDN updated.

14. The request must be submitted:

- *for funding in the recession period* — as soon as the finance law is voted and the NLCU knows its budget in such a way that the contribution requested can be included in the annual planning of the NLCU;
- *for funding in the outbreak period* — as soon as the development of the field situation shows that there will be a need for strengthening the teams whose cost cannot be completely assumed by the national budget.

15. The Regional Commission will establish a application form to facilitate the submission of requests, and accompany it with a fill-out form guide.

5. AMOUNT

16. The nature and cost of activities to be assumed by the regional budget (including a provision for activities of a national character, by dividing the recession period and the outbreak period) are specified every two years in the biannual work plan and budget (see also below 6B). Moreover, it should be specified in the regional locust contingency plans.

17. As an illustration, the average annual expenses of CLCPRO over the 2005–2010 period reached US\$102 000. As indicated in this main report of this study, this amount is nevertheless affected by the fact that numerous countries do not pay their annual contribution to the Regional Commission or pay it only partially. It is hoped that the set-up of a new financing structure, with the possible support from the international community including in the recession period (see Fact Sheet 3), will be a new incentive for the Member States to assume their financial responsibilities and settle their contributions, which would increase the available resources.

18. **Type of costs.** Table 1 below identifies the main costs to be financed by the Regional Commission's budget.

Table 1 – Costs to be financed from the budget of the Regional Commissions

Item	Recurrent costs	Investment
Activities of a regional character	- Administrative staff of the Secretariat - Administration costs (organization of meetings, administrative support, etc.) - Small purchases (software, scientific subscriptions, etc.) - Office supplies and operating expenses	- Training and re-training - Exchange visits - Regional expertise - Joint surveys
Activities of a national character	Recession period	
	- Surveying costs	- Training and re-training - Purchase of new technologies - Equipment - Research
Activities of a national character in the fragile states	Outbreak period	
	- Costs related to the increase of survey and treatment teams	- Equipment - Pesticides
Activities of a national character in the fragile states	- Costs related to the survey and treatment teams	Only if the security conditions permit - Equipment - Pesticides

6. METHODS OF FINANCING

A. METHODS OF FINANCING THE BUDGET OF THE REGIONAL COMMISSION

19. **Budgeting.** Every two years, each Regional Commission prepares a biennial budget, which is then submitted for approval to the Member States convened in the biennial sessions. It is proposed that each Regional Commission establish a double budget:

- *a reference budget* listing all the expenditures to finance on a biannual basis. This budget would be set at a minimal amount equal to the total of: the contributions to be paid annually by Member States + the sources of guaranteed external funding (FAO's regular programme/possible projects underway/contributions in kind) + the reserve. This budget would serve as a reference, both to indicate to Member States the planned allocation of their contributions and to encourage them to pay them, and possibly, to obtain complementary funding;

- *an annual budget*, based on the available resources, i.e. the estimates of expected contributions and the reserve (indicated as "Reserve Fund" for the portion that will not be used). The annual budget should also reflect the special contributions of the Member States, as well as other sources of funding (including FAO's regular programme and possible projects underway).

20. Each of the two budgets must include both the expenditures related to the activities that are regional in character and the expenditures related to the activities that are national in character (in the form of provisions for the activities that are national in character in the recession period and in the outbreak period).

21. **Contribution of Member States.** The contributions of the Member States are the primary source of funding of the Regional Commissions' budgets. They are set on the basis of a scale adopted by a two-thirds majority of the members of the Commissions. The contributions are to be paid annually.

22. Each Regional Commission is responsible, together with the NLCU concerned, for raising awareness among Member States in order they that will pay their annual contributions and settle their contribution arrears. To facilitate this process, the following means can be used:

- participation of the Executive Committee is subject to the settling of arrears and to regular payment of the annual membership fees;
- rescheduling of arrears.⁴⁶

23. **Other financial contributions.** The budgets of the Regional Commissions can also be covered by other financial contributions, which could either be:

- *provided by a Member State in addition to its regular contribution.* The additional contribution is paid into the trust fund that receives the regular contributions, or;
- *financed through a funding agreement with another donor,* for example, through a project (which is the case for EMPRES). The contribution is paid either into the trust fund that receives the regular contributions, but in a different sub-account, or into a separate project account. The amount, the destination, as well as the methods of payment and management are regulated by a funding agreement with the donor. In the current situation, the agreements on the establishment of the Regional Commissions do not allow the signing of any agreements directly with other institutions; this responsibility lies with FAO. Some claim that the Commissions should have this competence, which would be a way of shortening the bureaucratic procedures. The legal aspects of this issue are examined in the legal study, which is linked to this report. It is important to note here that such a transfer of responsibilities from FAO to the Regional Commissions would have considerable consequences on financing and management (staff would have to be recruited to ensure the financial management).

⁴⁶ It is also proposed that only the NLCUs whose governments had settled all the contribution arrears could benefit from certain activities of a regional character. This option, however, entails a very high risk of excluding some NLCUs from the participating in necessary activities for ensuring the required level of capacities at the regional scale. This would jeopardize the performance of the excluded NCLU and, in turn, the capacity of the region to protect itself from Desert Locust infestations.

24. **Contributions in kind.** The contributions in kind (such as personnel or others) by the Member States must also be calculated in the budget of the Regional Commission, based on an estimate of their value.

B. METHODS OF FINANCING THE REQUESTS SUBMITTED BY THE NLCUs

25. **Funding scenarios.** The funding from the regional to the national level could be transferred according to three scenarios:

- *Scenario 1: Ad hoc decision.* The decision is taken on a case-by-case basis by the Secretary of the Commission. Its advantage is that it provides flexibility to the Commissions, and to the extent that allocation is not automatic, it is deemed preferable because it does not encourage the countries not to increase their national budgets. The disadvantage of this option, however, is that the resources are not predictable and consequently, it does not facilitate planning at the national level. Moreover, since the prevention efforts of the frontline countries are real and in any event, lead to direct benefits for the plague countries, the richest plague countries could contribute to these efforts more regularly. In any case, this scenario seems the most appropriate for the fragile states.
- *Scenario 2. Allocation following a call for proposals.* A ceiling of annually accessible resources per country is set for some activities, which are decided on during the approval of the biannual budget (for example, in the case of CRC, US\$5 000 for training and small equipment, and US\$20 000 for research). The contribution of the Regional Commission is allocated following a call for proposals to the NLCUs. The allocation of resources is therefore conditioned, on the one hand, by the submission of a proposal by the NLCU, and on the other hand, by its acceptance by the Secretariat. The advantage of Scenario 2 is that it leads to a certain flexibility, but the predictability of resources is limited by the call for proposals approach.
- *Scenario 3. Allocation on condition of performance.* An annual allocation would be determined by the Member States during approval of the budget of the Regional Commission for some specific countries. It could vary according to the country and year. To avoid a negative effect on the allocation process of the national resources, this allocation would be paid on condition of good performance of the beneficiary NLCU in the implementation of its national resources budget. The indicators to use in order to verify the performance and decide on the allocation would be: (i) a percentage to be determined of the disbursement of the budget financed by the national resources for the current year; (ii) the quality and regularity of the ten-day and monthly bulletins sent to the Regional Commission and the DLIS for the current year; and (iii) the financial and administrative autonomy of the beneficiary NLCU; otherwise the allocation would be re-allocated to other departments. The advantages of this third scenario are that it facilitates a predictability of resources and planning (following the same argument that should be asked of donors to create a fund to contribute to preventive control, see below), and encourages good performance.

26. **Advantages and disadvantages.** The advantages and disadvantages of each of the scenarios can be summarized below.

Table 2 – Advantages and disadvantages of the scenarios on allocating resources from the regional to the national level

Scenario	Advantages	Disadvantages
Ad hoc decision	<ul style="list-style-type: none"> - Flexibility - Less risk of encouraging a reduction of national budgets - More adapted to the situation of the fragile states 	<ul style="list-style-type: none"> - Unpredictability makes national planning more difficult - It does not favour a regular application of regional solidarity
Allocation following a call for proposals	<ul style="list-style-type: none"> - Flexibility in the established methods - Encouragement to the NLCUs to emphasize certain types of activities defined by the Commission 	<ul style="list-style-type: none"> - Less unpredictability than in the first scenario
Allocation on condition of performance	<ul style="list-style-type: none"> - Allows for regular application of regional solidarity - Encourages good performance of the beneficiary NLCUs - Predictability of resources at the national level facilitates mid-term planning (two years) - It can be targeted for certain types of activities defined by the Commission - The conditionality reduces the risk of encouraging the reduction of the national budgets 	<ul style="list-style-type: none"> - A great risk remains of encouraging a reduction of the national budgets despite the conditionality

7. MANAGEMENT

27. **Processing and validation of the request.** The requests, submitted according to the format indicated above (4. *Activation*) are processed by the Executive Secretary of the Regional Commission, which assesses its justification and the need. If deemed incomplete, he/she requests additional information from the NLCU. When the request is complete, he/she communicates to the Chair a justified recommendation of acceptance (possibly, partial) or rejection. It is then up to the Chair to validate or not the recommendation of the Executive Secretary.

28. If the sum of financial support requested exceeds the budgetary allocation available, it is up to the Executive Secretary to either adjust the budget of the Regional Commission by re-allocating existing amounts (with the validation of the Chair and approval by the Executive Committee) or to submit a proposal for lower allocations than the amounts requested and the reasons, for the Chair's approval.

29. **Funding agreement.** After approval by the Chair, a funding agreement is signed between the NLCU and the Regional Commission, providing for:

- the object of financing;
- the duration;
- the amount;
- *technical description* of the activity(ies) envisaged;
- *methods of payment*: payment in instalments, conditions for amendment and termination, bank account number, etc. Payment in instalments can be stipulated in the case of large amounts. The agreement should then provide that the last payment would not be made until after receipt of the final activities report;

- the details for the technical and financial report (frequency, contents, supply of accounting documents, etc.) and for the audit (usually, according to national procedures in force for the public administrations);
- in the *case of Scenario 3*, the indicators that must be verified to trigger payment.

30. The funds are allocated to the NLCU through FAO's local representation or, if not, UNDP. In the case of Scenario 3, the funds are allocated on the basis of a certificate produced by the NLCU stating that the disbursement indicator conditioning the payment has been verified. This certificate must indicate the amount of the budget disbursed by the Ministry of Finance for the NLCU.

31. **Financial management and budget holders.** In compliance with the Constitutions of the Regional Commissions, the trust funds receiving the contributions of the Member States are managed by FAO, according to the financial rules of the Organization. The expenditures are paid by two budget holders designated by FAO. There may be two possibilities:

- *expenditures other than small local expenditures:* These refer to the majority of expenditures incurred by the Regional Commissions. The budget holders are designated within the AGP Division. Each expenditure must be subject to a payment request by the Executive Secretary of the Regional Commission. The following steps are then applied:
 - entry in FAO's computerized management system (Oracle);
 - verification by the budget holder of the budgetary availability;
 - approval by the budget holder of the technical feasibility of the expenditure, which should be eliminated when there is an increase of autonomy (see below);
 - commitment of the expenditure, through issuance of a document corresponding to the type of expenditure (contract, travel authorizations, purchase order, etc.);
 - certification of the expenditure by the Executive Secretary;
 - payment.
- *small local expenditures:* these expenditures refer to the small purchases for the everyday operations of the Regional Commission: small purchases of computer and office supplies, fuel and insurances. The budget holders are the Executive Secretary and FAO's local representation. These expenditures are funded through an Imprest account of a maximum annual amount of US\$20 000. The account is open in a local bank approved by FAO headquarters and is managed by the Regional Commission, which, every month, sends justification documents to FAO headquarters.

32. **Strengthening of the role of the Executive Secretary.** In the case of expenditure other than local small expenditures, there are two measures envisaged to shorten the procedure:

- *Overall technical approval:* the technical approval of each expenditure could be replaced by an overall approval given at the beginning of the year on the basis of an annual work programme and budget prepared by the Executive Secretary, which would be based on a biannual budget approved by the Regional Commission. The possible adjustments to the annual budget should be previously approved by the Executive Committee. In this option, the budget holders are the same as those who have been designated at FAO headquarters.

- *Delegation of responsibility to the Regional Commission:* The Executive Secretary of the Regional Commission could be designated the budget holder for some types of expenditures (for example, its travel expenses and those of its Regional Commission agents⁴⁷) or certain amounts (below a ceiling to be determined). An arrangement of this type is in force within the framework of the trust fund accompanying the implementation of the International Treaty on Plant Genetic Resources, whose Secretary is the budget holder for travel expenses, publications and supplies. This option would allow to relieve staff from headquarters of a part of their management responsibilities and to strengthen the autonomy of the Commissions in line with the decentralization trend. Nevertheless, this would also have considerable consequences on financing and management (staff would have to be recruited to ensure the financial management). These aspects will be examined in further detail from a legal point of view in the legal study, which is linked to this report.

33. **Procedures manual.** Regardless of the selected formula, it would be useful to have a management procedures manual for each Regional Commission, which would detail the procedures on budgeting, the allocation of resources, financial management and the drafting of technical and financial reports. The manual should be prepared under the supervision of the Regional Commission, with the support of an expert.

8. MONITORING AND CONTROL

34. The Executive Secretary of the Regional Commission drafts a technical and financial report that describes the activities of the Regional Commission and budgetary implementation.

35. The methods of drafting technical and financial reports on funding allocated to the NLCUs are detailed in the funding agreements, in accordance with the procedures manual. The technical reports must, in particular, provide information on the indicators selected in the funding agreement and provide explanations in case of a financial gap.

36. The audit procedures are the same as those applicable to FAO activities.

⁴⁷ Just as this been done in the past for the Central Region.

FACT SHEET 3: Multidonor fund for preventive control

RECESSION – LOW OUTBREAK

1. OBJECTIVES

1. The objective of the Multidonor Fund for preventive control is to complement funding granted by the national budget and the budget of the Regional Commission in the countries that do not have the sufficient resources to ensure the financing of all the necessary capacities for an efficient preventive control.

2. JUSTIFICATION

2. In some countries, the national resources are insufficient to ensure an efficient preventive control, i.e. they do not have the necessary capacities to carry out all the surveillance and treatment operations in the breeding areas. The amount allocated to NLCU is not subject to their competence or their self-motivation, but rather, to the general availability of state resources, the portion of the national budget allocated to the agricultural sector, and to decisions made on its distribution among the various sectoral institutions. In this decision-making process, the NLCUs are disadvantaged by the fact that their activities, when effective, do not provide any visible results. As the memory of a locust crisis fades in time, governments' determination to provide the NLCUs with resources diminishes, since they have to face a multitude of needs with their limited budgetary resources.

3. In case of insufficient national budgetary resources, the primary body responsible for allocating complementary resources is the Regional Commission, in the name of regional solidarity with countries whose efforts in preventive control benefit the entire region (see Fact Sheet 2).

4. However, financing at the regional level does not always suffice, in which case, the Multidonor Fund for preventive control would allow to provide the necessary complementary funding to a NLCU in order to conduct, uninterruptedly, all of the required activities for preventive control. This support by donors from the international community is justified for the following reasons:

- *Support to development:* In addition to its objective to prevent a crisis situation, the international aid would also support the development of the agricultural sector, on the same footing as the combat against desertification or adaptations to climate change. This includes contributing to the maintenance of effective mechanisms to protect the agricultural productive capital – and the livelihoods of families that draw on it for their income – from the occurrence of major crises.
- *Direct impact on food security:* Since the 2008 food price crisis, food security, the development of agriculture to supply domestic markets, as well as the minimization of production risks have become increasingly important in development efforts and are among the financing priorities of numerous aid contributing countries. The Multilateral Evaluation of the 2003–2005⁴⁸ crisis showed how the Desert Locust

⁴⁸ Brader, 2006.

plagues have impacted on the food security of the affected populations in the long term, by increasing poverty and the vulnerability of households that were already living in very precarious conditions. Due to a lack of efficient preventive control, the locust crises are liable to sustainably worsen food security to the extent of entire regions, by causing a series of damages to the agriculture sector at least as dire as the current damages caused by climate change. Accordingly, preventive control deserves to be placed among donor's funding priorities.

- *Global public good:* Protection against locust plagues is a global public good, since both the resulting benefits and the necessary measures to ensure them extend beyond national borders, even regional borders. It therefore requires a global frame of reference based on partnerships between countries of the regions concerned and countries of the North, as well as based on shared responsibilities.
- *An important leverage effect.* The donor contribution to the completion of a frontline NLCU budget would benefit not only the NLCU itself, but also, indirectly, neighbouring countries, even the region as whole. Indeed, preventive control carried out by this NLCU would allow not only to preserve national productive capital, but also and, above all, at times, the productive capital of the countries of the region (for example, in the case of Mauritania). While contributing to efforts of a particular country, the financing of the Multidonor Fund for preventive control would, in reality, cause a much greater impact.
- *Minimization of costs:* Investment granted today to support preventive control efforts reduces the risks of locust crisis, but also the costs that otherwise would be higher due to a crisis. Therefore, it is estimated that the cost of control activities committed to overcome the two last major locust crises of 1986–1989 and 2003–2005 reached US\$1 billion, which could have financed 100 years of preventive control.⁴⁹ This amount does not take into account the costs incurred by compensating for damages, the loss of income and employment, the loss of markets, notably exports or the lost of export tax, etc. A study recently commissioned by CLCPRO⁵⁰ based on a database covering over 60 years (1940–2008), confirms that preventive control is more profitable than curative control, even in the case of a moderate locust crisis. The donors that would accept to provide these funds would be contributing infinitely lower sums than those that would be requested in the case of an uncontrolled crisis, but they would be paid regularly.
- *Dialogue with donors:* The involvement of international donors in the recession period would allow to establish a regular dialogue between them and beneficiary countries, based on shared knowledge of national mechanisms, their needs and their performance, and would facilitate rapid responses in case of crisis.

3. ELIGIBILITY CONDITIONS

5. Access by a Member State to resources from the Multidonor Fund is subject to the following eligibility criteria:

- *Eligible NLCUs:* The NLCUs from frontline countries of the Western and Central Region that are eligible to a contribution from the Multidonor Fund are those: (i) whose reference budget exceeds the real budget (see Fact Sheet 1); (ii) who have undertaken proven efforts to obtain an increase in the real budget; (iii) who have received a contribution from the Regional Commission; and (iv) who submit a request to the Regional Commission according to the prescribed format.

⁴⁹ Thami Ben Halima, Presentation at the CLCPRO meeting with the Ministries of Agriculture, Bamako, 2009.

⁵⁰ Moussaoui, 2010.

- *eligible expenditures in the recession period*: Only those that are considered an investment, i.e. equipment and training expenses, are eligible. This limitation aims to prevent governments from making the funding of NLCU regular activities (recurrent costs) subject to the availability of external funding.
- *eligible expenditure in the low outbreak period*: All the expenses aimed to increase the capacity of the NLCU to respond to the worsening situation on the field are eligible, including costs related to the increase the number of survey and treatment teams, equipment and pesticides.

4. ACTIVATION

6. To benefit from financial support according to the eligibility criteria above, a NLCU must make a formal request addressed to the fund manager (see below, *7. Management*). The information that must be included in this request is very similar to that required for benefitting from a contribution from the Regional Commissions, i.e:

- *the object of funding*, that is, the type of expenditure to cover, the detailed budget, the duration;
- *justification, that is*: (i) the expected results and the corresponding indicators; (ii) the detailed reasons for which the national budget cannot cover the costs for which the funding is requested; and (iii) the contribution received from the Regional Commission and the use that will be made of it;
- *the technical description of the envisaged activity(ies)*;
- *the bank account of the NLCU*.

7. The request must be accompanied by the following documents:

- *the national locust contingency plan*, specifically detailing the necessary means and resources in the recession and low outbreak period;
- *the NLCU budget and its implementation over the last three years*, in the two versions, "annual reference budget" and the "annual budget with budget constraints" (see Fact Sheet 1);
- *a favourable and justified notification of the Regional Commission* validating the NLCU request (only in the case where the fund manager is not the Executive Secretary of the Regional Commission, see below *6. Methods of Financing*, and *7. Management*).

8. Finally, the NLCU must keep the SVDN updated.

9. The request should be submitted:

- *for funding in the recession period* – in the last months of the year preceding that for which the contribution is requested, so that it can be taken into account in the annual planning of the NLCU;
- *for funding in the outbreak period*, as soon as the development of the situation on the field indicates that the teams need to be strengthened and that this cannot be covered entirely by the national budget.

10. The eligibility criteria above as well as the procedure will have to be validated (and eventually completed) by the States and the institutions that finance the Multidonor Fund, as well as the States likely to benefit from it. The Regional Commission will issue a form to facilitate the submission of requests and will provide together with it, a fill-out form guide.

5. AMOUNT

11. As part of the dialogue among the beneficiary countries, also involving the Regional Commissions, the amount of the Multidonor Fund should be determined for each region on the basis of an annual estimate of the financial gap between, on the one hand, the sum of the resources needed for frontline NLCUs to carry out preventive control (adding the reference budgets) and, on the other hand, available resources (adding real budgets and the total of the regional contribution to the budget of these NLCUs as well as that of any ad hoc projects). Since there are currently no reference budgets at present, nor information on the real budgets for the NLCUs of the Central Region, it is not possible to obtain this estimate.

12. An amount of around US\$300 000 per year⁵¹ is estimated for the contribution of the Multidonor Fund in the Western Region (presuming that it would assume all the funding gaps for the four frontline countries). The amount of the Fund, both with respect to the Western Region and the Central Region, should be the result of much more precise calculations, supervised by the Regional Commissions.

13. Table 1 below identifies the main costs that could be financed by the Multidonor Fund.

Table 1 – Costs to be financed by the Multidonor Fund for preventive control

Item	Recurrent costs	Investment	Countries concerned
Presence of an operational locust control unit		- Training and re-training - Replacement of vehicles and equipment	Frontline
Surveillance and prevention operations	Additional costs for: - Salaries of the survey and treatment teams - Salaries of the Quality and Environment Survey Teams (QUEST) - Operating costs of the teams - Maintenance and renewal of survey and treatment equipment, environmental monitoring equipment, and camping gear	- Training and retraining - Acquisition of new technologies	Frontline

6. METHODS OF FINANCING

A. METHODS OF FINANCING THE MULTIDONOR FUND

14. The Fund would be financed by the donor contributions of the international community. The amount and destination of the resources would be regulated by a funding agreement signed by FAO and the donor. It could include:

- a global contribution to the Fund, which would be preferable;

⁵¹ On the following basis: total annual needs of four countries = 2.2 million (starting from a total estimate presented by CLCPRO at the Meeting of the Ministers of Agriculture, Bamako, 2009), of which around 80 percent would be financed by the national resources (according to 2009 expenditures).

or

- a contribution for particular countries or certain types of activity, according to the priorities of the donor.

15. In the current situation, the agreements on the establishment of the Regional Commissions do not allow to sign agreements directly with other countries and donor institutions; this is FAO's responsibility. Some claim that the Commissions should have this competence, which would be a way of shortening the bureaucratic procedures. The legal aspects of this issue are examined in the legal study, which is linked to this report. It is important to note here that such a transfer of responsibilities from FAO to the Regional Commissions would have considerable consequences on financing and management (staff would have to be recruited to ensure the financial management).

A. METHODS OF FINANCING THE REQUESTS SUBMITTED BY THE NLCUs

16. **Financing scenarios.** The Multidonor Fund could be financed according to two scenarios:

- *Scenario 1. Ad hoc decision.* The decision is taken on a case-by-case basis by the Fund Manager. The advantage of this option is its flexibility and, since the allocation is not automatic, it is considered preferable because it does not encourage the countries not to increase their national budgets. Its disadvantage, however, is that it is not predictable and therefore does not facilitate planning at the national level.
- *Scenario 2. Allocation on condition of performance.* An annual allocation is determined by the Fund Manager at the beginning of the year on the basis of requests submitted by the applicant NLCUs. This allocation could vary according to the countries and years. To avoid an undesirable impact on the allocation of national resources, this allocation would be provided on condition of good performance of the beneficiary NLCU within the implementation of its budget from the national resources. The indicators to use in order to verify the performance and decide on payment of the allocation would be the same as those for accessing the contribution of the regional budget (Fact Sheet 2). They would include a percentage to be determined of the disbursement of the budget financed by the national resources for the current year; and the quality and regularity of the ten-day and monthly bulletins sent to the Regional Commission and the DLIS for the current year. An additional condition of payment of this allocation must be the financial and administrative autonomy of the beneficiary NLCU; otherwise, the allocation would be re-allocated to other departments. The advantages of this second scenario are that it facilitates the predictability of resources and planning, and also encourages good performance.

17. **The advantages and disadvantages.** The advantages and disadvantages of each of the scenarios can be summarized as follows.

Table 2 – Advantages and disadvantages of scenarios on allocating resources by the Multidonor Fund for preventive control

Scenario	Advantages	Disadvantages
Ad hoc decision	- Flexibility - Less risk of encouraging a reduction of the national budgets	- Unpredictability, making national planning more difficult
Allocation on condition of performance	- It encourages good performance by the beneficiary NLCUs - Resources at the national level are predictable - It could target certain types of activities or certain countries according to the priorities of the donors or the priorities defined by the Commission - The conditionality reduces the risk of leading to a reduction in the national budgets	- The risk of leading to a reduction of the national budgets remain, even if it is mitigated by conditionality

7. MANAGEMENT

18. **Scenarios.** The governance system of the Fund would involve: state contributors, the Regional Commissions and FAO (AGP). Two scenarios are envisaged for the implementation of the Multidonor Fund for preventive control:

- *Scenario A. Trust Fund at the regional level.* This Fund would be set up at the regional level in the form of a sub-account of the Trust Fund already existing at each Regional Commission. In this case, the simplest formula for implementation would consist in following the procedures similar to those proposed for the allocation of regional contributions for financing the NLCUs (Fact Sheet 2). The requests are processed by the Executive Secretary of the Regional Commission, which assesses its justification and the need, and possibly, asks for additional explanations. He also verifies the availability of resources and, possibly, proposes a reduction of allocations requested, on the basis of previously established prioritization criteria, in agreement with the donors and the eligible states. He communicates to the Chair of the Regional Commission a recommendation for approval (possibly partial) or rejection. The Chair may or may not validate the recommendation of the Executive Secretary. If not, he determines the funding agreement with the NLCU. In addition, a steering committee, consisting of representatives of the donors, of the Regional Commission (with all the Member States) and of FAO, would meet every two years when the Regional Commission meetings are convened. It would discuss and approve the technical and financial report, and the estimates of the contributions and expenditures for the following two years. Also, it would also allow to establish a dialogue between the donors and the NLCUs on the success and the constraints of preventive control, the prospects for increasing national resources, etc. The advantages of this scenario are as follows: (i) it would allow to secure resources at the regional level; (ii) it could be more easily targeted according to the donors' geographical priorities; (iii) it would allow donors be closer to the beneficiary NLCUs, which would facilitate dialogue between them; (iv) it would facilitate coordination of funding sources at the regional level; and (v) it would strengthen the legitimacy and credibility of the Regional Commission by assigning it a new important role.

- *Scenario B. The Trust Fund at the international level.* The Fund would be established at the international level in the form of a sub-account of the DLCC trust fund. In this case, the applications would still be processed by the Regional Commission, as above. In case of a favourable notification, it would then transmit the request together with its justified recommendation to the budget holder of DLCC Trust Fund, who would then verify the availability of resources and decide on their allocation. The steering committee would consist of representatives of the donors, the three Regional Commissions (with all the Member States) and FAO. It would have the same responsibilities as in Scenario 1, and would meet every two years, when the DLCC meetings are convened. This scenario would allow a wider mobilization of donors at the international level and would also make it possible to ensure a general management of funds allocated by the donors in support of preventive control. On the other hand, it would have the following disadvantages: (i) it would make the request approval procedure more complex by creating an additional decision-making level; (ii) it would not be in line with the decentralization trend promoted by FAO headquarters; and (iii) the donors-NLCU dialogue would likely be less intense.

19. **Advantages and disadvantages.** The advantages and disadvantages of each of the scenarios can be summarized as follows.

Table 3 – Advantages and disadvantages of scenarios on the management of the Multidonor Fund for preventive control

Scenario	Advantages	Disadvantages
Trust fund at the regional level	<ul style="list-style-type: none"> - It secures the resources of the region - It is targeted according to donors' geographic priorities - Donors are in close proximity with the beneficiary NLCU and dialogue is facilitated - Coordination of the sources of financing is facilitated at the regional level - The legitimacy and the credibility of the Regional Commission are strengthened 	
Trust fund at the international level	<ul style="list-style-type: none"> - It allows for a greater mobilization of donors - It allows for general management by donors 	<ul style="list-style-type: none"> - There is an additional decision-making level in the approval procedures for the funding - It is not properly in line with FAO's decentralization trend - There is less intense dialogue between donors and the NLCU

20. **Criteria for allocating resources.** In the two scenarios, the criteria for allocating resources will have to be established in such a way as to distribute available resources in an equitable and transparent manner. These criteria can be based on, by example, the establishment of budget envelopes per country or of ceilings.

21. **Funding agreement.** Once the decision for allocation is taken, a funding agreement is signed between the NLCU and the fund manager, providing:

- the object of financing;
- the duration;
- the amount;
- *the technical description* of the activity(ies) envisaged;
- *the methods of payment*: payment by instalments, conditions of adjustment and termination, etc. Payment by instalments can be stipulated in case of large amounts. The agreement should then provide that the final payment cannot be carried out until after receipt of the final activities report;
- *the methods of the technical and financial report* (frequency, contents, provision of accounting services, etc.) and of the audit (usually according to national procedures in force for the public administrations);
- *In the case of Scenario 2* (allocation on condition of performance), the indicators that should be verified to trigger the payment.

22. The funds are allocated to the NLCU through FAO's local representation or, if not, then UNDP's. In the case of Scenario 2, the funds are allocated on the basis of a certificate produced by the NLCU confirming that the disbursement indicator conditioning payment has been verified. This certificate must indicate the amount of the budget disbursed by the Ministry of Finances for the NLCU.

23. **Procedures manual.** The methods of governance and management should be specified during the establishment of the Fund, in agreement with the donors and the other stakeholders. It would be useful to have a procedures manual detailing, in particular, the procedures concerning the conditions of access, the allocation of resources, financial management and drafting of reports.

8. MONITORING AND CONTROL

24. The Fund Manager drafts a technical and financial report that accounts for the allocation of resources of the Fund and their use by the beneficiary NLCUs.

25. The methods of preparing technical and financing reports on the funding allocated to the NLCUs are detailed in the funding agreements, in accordance with the procedures manual. The technical reports should in particular inform the indicators selected in the funding agreement and provide explanations in case of a gap.

26. The audit procedures are the same as those applicable to FAO's activities.

FACT SHEET 4: National emergency fund

STRONG OUTBREAK – UPSURGE – PLAGUE

1. OBJECTIVES

1. The emergency funds established at the national level must allow to respond rapidly to a worsening outbreak situation by having the necessary financial resources to increase field teams, equipment and capacities for locust control when the regular NLCU resources are no longer sufficient.

2. JUSTIFICATION

2. The main justification for setting up an emergency fund at the national level is the speed in mobilizing the funds in order to quickly adjust the response capacity on the field. The decision-makers at the national level are familiar with the stakes involved (especially if the NLCU has regularly worked towards dialogue and awareness raising with the managers of emergency funds), and the procedures are designed for rapid deployment. The emergency funds must therefore play an essential transitional role between the time when the resources of the regular budget of the NLCU (possibly increased by the regional contribution and the contribution of the Multidonor Fund for preventive control) are not longer adequate to respond to the situation on the field and the time when the other instruments (e.g. the regional emergency fund and CERF) disburse additional resources.

3. ELIGIBILITY CONDITIONS

3. The eligibility criteria for financing a national emergency fund should be established in the national locust contingency plan, and, if it is a balanced emergency fund (see below), in the agreement signed between the NLCU/its supervisory authority and the management structure of this fund.

4. The main criteria will be insufficient means and available resources for responding to a worsening situation. Other criteria can be based on one or several of the following elements:

- the forecast scenarios on the development of risk and a definition of the level of risk from which point the emergency fund intervention would become necessary;
- the extent of the infested surface areas;
- the phase state of the locust population.

5. **Eligible expenditures.** All the expenditures aimed at increasing the response capacity of an NLCU to the worsening situation on the field are eligible, which include operating costs and investment costs. These expenditures could therefore cover the costs for increasing the survey and control teams, equipment, costs of aerial operations, and also pesticides.

4. ACTIVATION

6. The emergency funds become available as soon as the Desert Locust emergency mechanism is activated: the launching of the national locust emergency plan⁵² and the activation of the national locust crisis management structure (according to the country, the Locust Control Ministerial Commission, the National Command Center, the Steering Committee, etc.). This mechanism must be activated early enough to take into account the time needed for providing the resources and acquiring the complementary capacities. It must be prepared by a previous estimate by the NLCU of the development of the situation on the field and by elaborating various, possible scenarios on locust development, whose results would be made available to all the stakeholders in the management and implementation mechanisms of the emergency fund.

5. AMOUNTS

7. The resources of the national emergency funds are necessary to cover an increase in the locust control means throughout a crisis. However, in numerous frontline countries, the national budgets do not allow to assume all of the locust control expenses during the entire duration of a crisis, especially if this becomes prolonged and extends to several periods. The national locust contingency plan, approved by the Council of Ministers, should indicate the minimum amount that should immediately be made available through the emergency fund on the basis of the forecast scenarios.

8. As an illustration, this amount is US\$2 million in Morocco and in Egypt.

6. METHODS OF FINANCING

9. Two scenarios are possible:

- *Emergency fund allocated to locust control:* The fund is specifically earmarked for financing locust control in case of a crisis. A minimum amount is placed in a blocked account. The method allows to secure resources in case of a locust emergency, making it rapidly available. On the other hand, it could be hard to implement in the countries with scarce budgetary resources and that must finance considerable needs in all domains.
- *Balanced emergency fund:* This is a fund that has more general objectives of responding to food crisis situations or agricultural disasters. Possibly, it could even include an amount earmarked for locust control, for example, during the risk period, but this could be used for other purposes during the rest of the year. This type of fund sometimes involves international donor funding (for example, in Niger or Burkina Faso). It may be more suitable for countries with limited budgetary resources.

10. The methods for using these funds should be specified in FAO's Constitution and should also be indicated in the national locust contingency plan.

11. Numerous countries do not yet have emergency funds, and yet, they are an important element in the financial structure in desert control. It is the responsibility of the Regional Commissions to raise awareness among the countries that do not yet have these funds in order to set them up, with priority given to the frontline countries. The

⁵² This should be included within the national locust contingency plan.

Commissions should also advise them on the most appropriate modalities, taking into account the national contexts and lessons learned.

12. The set-up of an emergency fund especially earmarked for locust control could be facilitated, even in the poorest countries, through an agreement between the supervisory authority of the NLCU (generally, the Ministry of Agriculture) and one or several donors. Under the agreement, the remaining funds for the rural development projects would be allocated to this fund. It could also be possible to provide for an automatic contribution, for example, of 1 percent, of any new approved project in the rural development sector. Such an agreement would be justified by the fact that the locust control actions in the outbreak period have a direct impact on the preservation of production capacities and revenue in the rural environment.

7. MANAGEMENT

13. The management of funds allocated from the national budget follows the procedures established at the national level and in the Constitution of the funds, in particular, those that are cofinanced by international donors. It must also be based on support measures that facilitate rapid implementation of allocated resources, which, in addition to the national locust emergency plan, include:

- A decision-making authority at a very high political level;
- an interministerial structure allowing for rapid mobilization of institutions and means, and facilitating the decision-making and coordination of interventions;
- an intervention mechanism organized and prepared, and which can be rapidly mobilized;
- derogations of administrative procedures (*a posteriori* control) to overcome bureaucratic obstacles that they regularly involve.

8. MONITORING AND CONTROL

14. The applicable monitoring and auditing procedures are the same as those for the national procedures in force for the public administrations as well as those for the procedures provided for in the Constitutions of the Funds, in particular, those cofinanced by the international donors.

FACT SHEET 5: Regional emergency fund

STRONG OUTBREAK – UPSURGE

1. The Regional Emergency Fund aims to provide additional resources to the NLCUs that are faced with a strong outbreak or upsurge in order to fund the increase in the number of survey and treatment teams, as well as the equipment capacities and corresponding pesticides.

2. JUSTIFICATION

2. The Regional Emergency Fund must allow to finance rapid interventions while waiting for larger amounts of funding to be mobilized, through CERF and FAO's calls for funds. It therefore plays a transitional role between the time when the national resources (regular or emergency) are no longer sufficient, and the time when the international resources are available.

3. The setting up of a regional emergency fund is proposed for the Western and Central Regions (one fund per region). This mechanism would be financed both by the Regional Commission and the donors (see 6. *Methods of Financing*). This support, implemented at the regional level, is justified for the following reasons:

- *Direct impact on food security:* Since the 2008 food price crisis, food security, the development of agriculture for supplying domestic markets, as well as the minimization of production risks have assumed a growing importance in development efforts and are among the financing priorities of numerous aid contributing countries. The Multilateral Evaluation of the 2003–2005 Desert Locust campaign⁵³ has shown how the Desert Locust plagues affected the long-term food security of the affected populations, by increasing poverty and the vulnerability of households that were already living in very precarious conditions. Due to a lack of the contribution of regional and international resources for strengthening the capacities of locust control in a high outbreak or upsurge situation, the development of infestations is liable to considerably worsen food security in the entire region.
- *Regional protection:* Even more than in the case of preventive control, the locust control activities carried out by a NLCU in an outbreak situation and beyond benefit neighbouring countries, even the region as a whole, because they aim to prevent infestations from developing and spreading. Therefore, it is in the best interests of the Member States of the Regional Commission that the NLCU activities be as efficient as possible, which entails contributing to their financing when the national resources become insufficient;
- *A global public good:* Protection against locust plagues is a global public good insofar as the resulting benefits as well as the measures needed to achieve them extend beyond national borders, even regional borders. It therefore requires a general reference framework, based on a partnership that involves countries of the regions concerned and countries of the North, as well as on shared responsibilities.
- *Minimization of damages and costs:* The result of regional funding for increasing the capacities of locust control at the national level must be to avoid causing greater

⁵³ Brader, 2006.

damage when infestations develop, as well as the staggering increase of consequent costs. During the 2003–2005 crisis, the delay in the provision of financial resources for increasing national locust control capacities of affected countries has increased the financial needs from US\$9 to 100 million in eight months (January to August 2004) and the total amounted to US\$570 million⁵⁴. The lessons learned from the crisis allowed FAO to improve its capacity to mobilize international aid. Moreover, new emergency funds at the international level also contribute to improving rapid access to the additional financial resources. Nevertheless, on the one hand, these funds themselves are limited and subject to certain constraints and, on the other hand, international emergency aid does not generally mobilize for a disaster risk but a disaster that occurs. The regional fund would therefore allow to increase the possibilities of preventing disasters and considerably reducing the costs of aid in a similar case, as well as damages to the livelihoods of rural households.

3. ELIGIBILITY CONDITIONS

4. **Eligible NLCUs.** The NLCUs that make a financial request to the Executive Secretary of their Regional Commission and that meet the conditions below are eligible for financing from the Regional Emergency Fund:

- activation of the locust emergency mechanism by the countries requiring support from the regional emergency fund;
- issuance of an alert confirmed by the DLIS;
- the existence of a locust contingency plan providing cost scenarios according to the development of the locust situation, in particular, according to the surfaces to be treated;
- prior release of national resources, according to the methods and the amounts previously defined in the memorandum of agreement with the donors;
- organization of a meeting of experts of Member States of the competent Regional Commission to assess the locust situation and develop a regional action plan⁵⁵;
- a favourable notification from the competent Regional Commission.

5. **Eligible expenditures.** All the expenditures for increasing the capacity of an NLCU to respond to the worsening situation on the field are eligible, be it operating costs or investment costs. These expenditures can therefore cover the costs for increasing the number of survey and treatment teams, equipment, aerial operations and also pesticides.

4. ACTIVATION

6. The requesting NLCU should apply for financing to the Executive Secretary of the competent Regional Commission. This application could be transmitted as soon as the situation on the field and the evolution scenarios elaborated by the NLCU are confirmed by the Regional Commission concerned, and the DLIS indicate a probable development from a low outbreak to a high outbreak, a situation to which the national resources would no longer be sufficient to respond to.

7. The request should indicate:

- *situation on the field* and the evolution scenarios;

⁵⁴ According to a conservative estimate given at the meeting of the Ministers of Agriculture in Bamako, in March 2009.

⁵⁵ According to the lessons learned by CLCPRO during the 2009 upsurge in Mauritania, para. 79, of the Main Report.

- *the object of financing*, i.e. the expenditures to cover;
- the duration;
- *the amount*, accompanied by a detailed budget;
- *the justification*: the objectives, the expected results and the corresponding indicators as well as the detailed reasons for which the national budget cannot cover the costs for which the funding is requested;
- *a technical description* of the activity(ies) envisaged.

8. If the eligibility conditions described above are met, the Executive Secretary will immediately organize a meeting of experts from Member States to assess, on site, the locust situation and develop a regional crisis response plan, in collaboration with the NLCU of the affected country.

9. Following this meeting, the request of the NLCU is adjusted if needed. It is transmitted by the Executive Secretary to the Chair with his/her opinion. Following approval by the Chair, a funding agreement is signed between the NLCU and the Regional Commission, providing for:

- object of financing;
- duration;
- the amount;
- *methods of payment*: payment in instalments, conditions for adjustment and termination, bank account number, etc. Payment in instalments can be stipulated in the case of large amounts. The agreement should then provide that the last payment would not be made until after receipt of the final activities report;
- *the details on the technical and financial reporting* (frequency, contents, the provision of accounting documents, etc.) and for the audit (usually, according to national procedures in force for the public administrations).

10. The eligibility criteria above as well as the procedure must be validated (and if possible completed) by the states and institutions financing the regional fund, as well as the states likely to benefit from it. A form should be drafted for the submission of requests, with a fill-out form guide, so as to save as much time as possible with the incomplete requests at the time of emergency.

5. AMOUNT

11. **Amount.** In 2006, the DLCC examined the possibility of setting up an emergency fund⁵⁶. On the basis of lessons learned during the 2003–2005 Desert Locust upsurge, an amount of US\$30 million was estimated to cover the first phases of the control campaign with sufficient resources to immediately purchase pesticides, sign contracts for treatment aircraft, finance operations and recruit international experts.

12. According to CIRAD⁵⁷, the regional fund must cover interventions for a duration of two generations of Desert Locust, i.e. four months, and the simultaneous needs in three countries. It must also be based on the average surface area treated during the past

⁵⁶ FAO, Desert Locust Control Committee, Thirty-eighth Session, Rome, 11–15 September 2006, Proposal for establishment of an Emergency Fund for Desert Locust Management.

⁵⁷ Interview held as part of this study

outbreaks. This would correspond to a very rough estimate of around US\$5 million for CLCPRO⁵⁸.

6. METHODS OF FINANCING

13. The fund will be financed by three sources:

- *budget of the Regional Commissions*: The budget of the Regional Commissions must include a provision for funding emergency actions. These resources would be blocked in a sub-account of the Regional Commission's trust funds (Regional Emergency Funds sub-account, see below, 7. *Management*), until the total amount of funds, including international resources, are obtained. The resources set aside to face emergency situations both with CLCPRO and CRC (US\$1.34 and 2.19 million, respectively) would allow for an immediately initial outlay.
- bilateral contributions of members States of the Regional Commission concerned;
- *contributions of international donors*.

14. Two scenarios are envisaged for the provision of resources funded by these donors, which furthermore could be combined simultaneously:

- *Scenario 1. Blocked resources*. The fund would be drawn from by the resources financed and disbursed by the donors in the recession period, which will be blocked therein until an emergency occurs. This option has the advantage of securing the resources and allowing for their rapid mobilization⁵⁹.
- *Scenario 2. Funding agreements*. An alternative would be to establish funding agreements between the donors concerned and FAO, represented by AGP and/or the Regional Commission, according to which the donors would contribute when the trigger indicators are attained (based on the eligibility criteria shown above) and on the submittal of a call for funds on the basis of a pre-established format (type of project proposal). The agreements would be signed and approved in advance so that in case of an emergency, the funds could be committed in a few days. Each agreement could have a determined duration, for example, of five years. The donors may prefer this system that would allow them to keep the promised funding in their own accounts rather than allocate them to an emergency fund where they could remain inactive for several years.

⁵⁸ On the basis of costs for locust control in the upsurge phase during four months in Mali, Mauritania and Niger, according to Ghaout, 2009 (Annex 7).

⁵⁹ The blocked resources would also generate interest, but for very low amounts, taking into account the conservative management of funds that FAO must follow. For example, the return on short-term investment in 2009 was 0.44 percent (FAO Finance Committee, 2010).

Table 1 – Advantages and disadvantages of the scenarios on the financing of the Regional Emergency Fund

Scenario	Advantages	Disadvantages
Blocked resources	- Securing of resources - Rapid mobilization	- It is possible that the blocked resources will not be used for a long time
Funding agreements	- No blockage of unused resources	- There is a risk of delays in the provision of resources - There is a risk of lack of available resources when they are needed

15. The amount and destination of the resources will be established by the funding agreement signed between FAO and the donor, which could be:

- a global contribution to the fund, which would be preferable; or
- a contribution earmarked for specific countries or certain types of activities, according to the donors' priorities.

16. In the current situation, the agreements on the establishment of the Regional Commissions do not allow for signing agreements directly with the other institutions; this is FAO's responsibility. Some claim that the Commissions should have this competence, which would be a way of shortening the bureaucratic procedures. The legal aspects of this issue are examined in the legal study, which is linked to this report. It is important to note here that such a transfer of responsibilities from FAO to the Regional Commissions would have considerable consequences on financing and management. (Staff would have to be recruited to ensure the financial management.)

17. The fund could be replenished during crises, by including the necessary amounts for its replenishment in the call for funds launched by FAO.

7. MANAGEMENT

18. **Scenarios:** The system of governance of the regional emergency fund would involve: the contributing states and institutions, the Regional Commissions and FAO (AGP). Two scenarios are envisaged for the implementation of the funds:

- *Scenario A: A trust fund at the regional level.* The Fund would be established at the regional level in the form of a sub-account of the trust fund already existing at each Regional Commission. This sub-account would collect the regional and international donor funds, as well as the contribution of the Regional Commission up to US\$5 million. Then, the simplest formula for implementation would consist in following similar procedures to those proposed for the allocation of the regional contributions (Fact Sheet 2) and for the allocation of the contributions of the Multidonor Fund for preventive control for financing the NLCU (Fact Sheet 3). The requests are processed by the Executive Secretary of the Regional Commission, which assesses the justification and the need, and may ask for additional explanations. He also verifies the availability of resources and of previously established prioritization, in accordance with the eligible donors and states. He transmits to the Chair of the Regional Commission a recommendation for acceptance (possibly partial) or rejection. The Chair validates or not the recommendation of the Executive Secretary. If not, it determines the funding agreement with the NLCUs. Moreover, a steering committee, composed of representatives of the donors, the Regional Commissions (with all the Member States)

and FAO, would meet every two years, during the Regional Commission meetings. It would discuss and approve the technical and financial report, and the estimates of contributions, and expenditures for the two following years. The advantages of this scenario are as follows: (i) it would allow to secure the resources at the regional level; (ii) it could be more easily targeted according to geographical priorities of the donors; (iii) it would allow a great proximity of donors to the beneficiary NLCUs, which would facilitate dialogue between them; (iv) it would facilitate the coordination of funding sources at the regional level; and (v) it would strengthen the legitimacy and credibility of the Regional Commission by allocating to it a new important role.

- *Scenario B: Trust fund at the international level.* The fund would be established at the international level, in the form of a sub-account of the DLCC trust fund. Only the resources other than the contribution from the Regional Commission would be placed in this fund, whereas the contribution of the Regional Commission would be placed in a sub-account of the Regional Trust Fund, as in Scenario 1. Then, the processing of the request would still be carried out by the Regional Commission, as above. In case of a favourable notification, it would then transmit the request and its justified acceptance to the DLCC Trust Fund Manager. The verification of available resources and the decision of allocating resources would be made by the latter. The steering committee would be composed of representatives of the donors, the two Regional Commissions (with all the Member States) and FAO. It would have the same responsibilities as in Scenario 1, and would meet every two years, during the DLCC meetings. This scenario would allow a wider mobilization of donors at the international level, as well as a greater flexibility in the allocation of resources because it would allow a global management of the resources, by preventing resources from being blocked for one region that would end up not needing it. It would also facilitate the coordination with the mobilization of international resources by FAO. By contrast, it would make the procedure of approving the requests more complex, by creating an additional level of decision-making, and it would request two different sub-accounts, one within the Trust Fund of the Regional Commissions, and the other, within the DLCC trust fund.

19. **Advantages and disadvantages.** The advantages and disadvantages of each of the scenarios can be summarized as follows:

Table 2 – Advantages and disadvantages of scenarios for managing the Regional Emergency Fund

Scenario	Advantages	Disadvantages
Trust fund at the regional level	<ul style="list-style-type: none"> - The resources of the region are secured. - It is targeted according to geographic priorities of the donors - Donors are in close proximity with the beneficiary NLCU and dialogue is facilitated - Coordination of financing sources is facilitated at the regional level - The legitimacy and credibility of the Regional Commission are strengthened 	<ul style="list-style-type: none"> - It is not possible to use the resources from one region for another region that is more in need.
Trust fund at the international level	<ul style="list-style-type: none"> - It allows a greater mobilization of donors - It allows a global management of funds - Coordination is facilitated by the mobilizing resources through FAO 	<ul style="list-style-type: none"> - There is an additional decision-making level in the approval procedure of the financing requests - Two different sub-accounts are needed (in the regional trust fund and the DLCC trust fund).

20. The funds will be allocated to the NLCU through FAO’s local representation or, if not, then through UNDP.

21. **The procedures manual.** The methods of governance and management should be specified during the establishment of the funds, in accordance with the donors and other stakeholders. It would be useful to have a procedures manual, detailing in particular, the procedures on the conditions of access, the allocation of resources, financial management, and the drafting of reports.

8. MONITORING AND CONTROL

22. The Fund Manager drafts a technical and financial report that accounts for the allocation of the resources of the Fund and their use by the beneficiary NLCU.

23. The methods of drafting technical and financial reports on the funds allocated to the NLCUs are detailed in the funding agreements, in accordance with the procedures manual. The technical reports should, in particular, inform the selected indicators in the funding agreement and provide explanations in case of a gap.

24. The procedures regarding the audit are the same as those applicable to FAO activities.

FACT SHEET 6: The Central Emergency Response Fund (CERF)

STRONG UPSURGE – PLAGUE

1. OBJECTIVES

1. The **Central Emergency Response Fund (CERF)** was established in 2005 by the United Nations General Assembly to improve the coordination of humanitarian assistance, especially in emergency situations. In the case of locust upsurge, it should act as a bridge between the time when the resources of the regional emergency fund are no longer sufficient to cover the response means to the crisis and the time when the first contributions (from donors) from FAO's appeal for funds become available. It is therefore a transition fund financed by the international community and managed by the United Nations.

2. JUSTIFICATION

2. The 2003–2005 crisis showed that a long time period is required for mobilizing international aid in a locust crisis. CERF allows very rapid access to international funds, thus making it possible to respond to the financial needs that emerge when national or regional emergency funds are no longer — or risk being no longer — sufficient, while awaiting to receive larger resources as a result of FAO's call for funds.

3. ELIGIBILITY CONDITIONS

3. CERF resources are accessible if the following criteria are fulfilled:

- *there is a humanitarian emergency resulting from a disaster*, natural or human-induced, causing human suffering as well as material, economic or environmental losses that exceed the response capacity of a community or a society using its own resources;
- *there is a need for safeguarding human life*: the financing requested must cover short-term actions that would make it possible to limit or avoid losses of human lives, as well as the infringement or threats of infringement on the physical or psychological wellbeing of a population;
- *emergency*: the financing requested must make it possible to take rapid actions of a limited duration that are needed to minimize additional losses of human lives as well as damage to economic and social assets.
- *geographic coverage*: the CERF financing in principle only covers one country one at a time. The only case where CERF did finance a regional project was a locust emergency. The regional approach could be used again, under certain conditions indicated below (4. *Activation*).

4. The CERF guidelines⁶⁰ specifically include, among the admissible interventions, the "initial contributions to control the problems of transboundary or national pests (for

⁶⁰ CERF, Life-Saving Criteria, United Nations, New York, January 2010.

example, locusts)”, which includes “emergency interventions to avoid a disaster or restore livelihoods”.

5. The funds are allocated to United Nations agencies and programmes (therefore, for locust emergencies, to FAO) in collaboration with the States and with the humanitarian coordinators concerned. The Regional Commissions should be consulted in this process.

4. ACTIVATION

6. The grant request is prepared by FAO headquarters, in collaboration with the country(ies) concerned, the competent Regional Commission, the local FAO offices (and possibly, the regional ones), as well as the Humanitarian Coordinators of the United Nations of countries concerned. CERF grant request form is provided in the Appendix of this fact sheet. An implementation plan must accompany the request and show the planned measures for all of the funds to be expended in six months.

7. If several countries have to be covered by the financing, the request must be prepared by FAO in coordination with the Regional Commission concerned, the United Nations Humanitarian Coordinator of each country concerned, as well as the Regional Office of the United Nations for Coordination of Humanitarian Affairs (OCHA). A subproject is prepared for each country, which must have the support of the Humanitarian Coordinator concerned. Moreover, in the common sections (sections I and II of the form), the grant request describes the context, the justification and the main characteristics of the activities at the global level, as well as the modalities of transnational coordination.

8. The mobilization of CERF must be prepared starting from the end of the outbreak period, on the basis of reliable forecasts of an outbreak situation developing towards an upsurge situation, by using the scenarios included in the locust contingency plans, and on careful surveillance of the evolving locust situation and the ecological conditions on the field. The contacts must be made with the United Nations Humanitarian Coordinators of the countries concerned as well as OCHA (regional projects). This preparation must allow to avoid any interruption of funding.

5. COSTS

9. CERF funding can amount to a maximum of US\$30 million. The identification of costs to cover through these resources must be based on locust contingency plans at the national and regional level.

6. METHODS OF FINANCING

10. It only takes a maximum of 15 days to have the funds available.

11. The CERF grants must be spent within the six months starting from the disbursement of funds. As a general rule, the unused funds at the end of six months must be returned to CERF.

7. MANAGEMENT

12. The funds are allocated to and managed by FAO. This requires FAO to have rapid procurement procedures, since the funds as a whole must be spent within six months. The

CERF evaluation carried out by FAO in 2010⁶¹ recommends beginning the contracting procedures even before the financing approval by CERF (pre-procurement) so as to be able to make purchases as soon as financing is available. A possible alternative is to have recourse to repeat orders, based on past valid tenders and by having collected a sufficient number of responses from providers.

13. TCE, in collaboration with AGP and Procurement, is currently able to procure very rapidly by preparing the technical specifications and the tender dossiers well in advance.

8. MONITORING AND CONTROL

14. FAO's local representation must provide a report to the local Humanitarian Coordinator describing and analysing the activities carried out and the results obtained with respect to the set objectives, as well as the financial information on the expenditures.

⁶¹ Cossée, 2010.

9. APPENDIX: CERF FUNDING REQUEST FORM

APPLICATION FOR GRANT FUNDS	
I. APPLICANT INFORMATION	
1. Country:	
2. Resident Coordinator or Humanitarian Action Coordinator:	
3. Name and contact information of person to be contacted on matters related to this grant request and subsequent reporting:	Name: Agency: Telephone: Email:
II. OVERALL APPLICATION PRESENTATION	
A. SUMMARY	
4. Category of CERF financing:	<input type="checkbox"/> Rapid Response <input type="checkbox"/> Under-funded Emergencies
Funding	5a. Total amount <u>required</u> for the humanitarian response: US\$
	5b. Total amount <u>received</u> for the humanitarian response: US\$
	5c. Total amount of CERF funding <u>requested</u> : US\$
6. Geographical areas of implementation:	
Beneficiaries	7a. Total number of individuals affected by the crisis: individuals
	7b. Total number of individuals that CERF financing must assist: individuals
8. Are projects included in this request based on a comprehensive needs assessment? (If not, provide an explanation.) <input type="checkbox"/> Yes ⇒ Type (specifically joint multi-sector assessments) and date of assessment(s) undertaken for each project and/or sector, and humanitarian partners involved: <input type="checkbox"/> No ⇒ Explanation:	
9. Does the requesting agency have the capacity for immediate implementation and the timely delivery of assistance (sufficient agency staff, access, clearance received for inputs to be imported, etc.), following the approval of funds by the Emergency Relief Coordinator? <input type="checkbox"/> Yes <input type="checkbox"/> No If not, or in case of expected limitations, please explain:	

B. HUMANITARIAN CONTEXT AND RESPONSE (1 page)

10. Describe the humanitarian situation, including the cause of the crisis, the affected populations (IDPs, refugees, etc.), the main humanitarian consequences, and priority humanitarian needs. (Provide the needs assessment findings, including key data such as mortality/morbidity rates and nutritional status, needs of certain groups (e.g. women, children, other population groups), gender-specific considerations to project implementation, and geographic regions affected).

11. Describe the overall humanitarian response, including the priority humanitarian actions per sector or cluster, indicating any problem that the interventions were unable to respond to and reasons for the gaps (e.g. changes in security phases, inaccessible areas, etc.).

C. GRANT REQUEST JUSTIFICATION (1-2 pages)

12. Please describe the funding gaps for core humanitarian activities that necessitate a CERF grant at this point in time, taking into account resources pledged or committed.

13. Describe the decision-making process for developing this grant request, including information on the coordination structures and rational used for prioritizing projects, and on the involvement of NGOs and the government.

D. PROJECT ALLOCATION TABLE*

Date:

Country:

CERF window: Rapid Response Underfunded Emergencies

	Requesting agency	Project title	Project code of the CAP or Flash Appeal (if applicable)	Cluster/ sector/ or cross-cutting issue	Total project budget	Percentage of funding received to date	Amount requested from CERF	Additional justification (if needed)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

**Fill out one table listing all projects submitted as one grant request.*

N° CERF	
Date	
Type of submission	<input type="checkbox"/> New <input type="checkbox"/> Revised
Sector	

To be completed by the CERF Secretariat.

III. PROJECTS PROPOSED BY AN ENTITY (2 pages each)				
1. Requesting agency:				
2. Project title:				
3. Project code of the CAP or Flash Appeal: <i>Note: Where more than one CAP/FA project code applies to a single CERF project proposal, please also specify in this field the amount of CERF funding requested against each project code.</i>		<i>(Mandatory to provide where an appeal exists)</i>		
4. Cluster, sector, cross-cutting issue				
5. Geographic areas of implementation targeted with CERF funding:		<i>(Be specific)</i>		
6. Total number of individuals targeted with CERF funding (provide a breakdown by sex and age).		a. Women and girls		
		b. Men and boys		
		c. Children <u>under 5</u>		
		d. Total:		
Funding (US\$)	7a. Total project budget:	US\$		
	7b. Total project funding received to date:	US\$		
	8. Total amount of CERF funding requested: Please provide the total amount and include an estimation of the planned breakdown of funds by type of partner: <i>Note: The total requested from the CERF should not be 100% of the total budget for this project, as CERF funding should be complemented by other funding sources.</i>	a. UN agency or IOM:	US\$	
		b. NGO: <i>(please provide amounts individually)</i>	US\$	
		c. Government:	US\$	
d. Total:		US\$		
9. Briefly describe the <u>overall project</u> , including information on how CERF funding will be used to support life-saving/core humanitarian activities. ⁶² Describe the profile of beneficiaries and how gender equality is mainstreamed in project design and implementation (ensuring that the needs of women, girls, boys, and men are met equally). Provide useful assessment data.				

⁶²The CERF Life-Saving Criteria, which specify sectoral activities that the CERF can fund, are available at <http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1163231>

10. Description of the CERF component of the project (2 pages).

- a) **Objective(s)**

- b) **Activities**

- c) **Expected outcomes and indicators (please use SMART⁶³ indicators)**

11. Implementation Plan: Please include information on the mechanisms for implementation, amounts to cooperating partners, the duration for implementing CERF-funded activities, monitoring and reporting provisions.

⁶³ SMART indicators are: specific, to avoid differing interpretations; measurable, to allow monitoring and evaluation; appropriate to the problem statement; realistic and able to achieve; time-bound indicating a specific period of time during which the results will be achieved. Indicators must be designed to enable you to identify the different impacts (intended and unintended) your project has on women, girls, boys, and men.

12. CERF Project Budget

Please use the template below without modifying the section headings. For the CERF component of the project, provide a detailed breakdown of expenditure items (quantities, unit costs) and expected costs for each budget line. Add additional lines, if needed. For further information on budget format, please consult the budget indicated in the CERF grant application guidelines (<http://cerf.un.org>.)

Expenditure break-down	Amount (US dollars)
A. Supplies/commodities/equipment/transport <i>(please itemize operational inputs (e.g. quantity of food, medical supplies, etc., and purchase of durable goods))</i>	
B. Personnel costs (staff, consultants, travel) <i>(please itemize travel costs, salaries and entitlements of UN staff and consultants)</i>	
C. Training of counterparts	
D. Contracts <i>(please list implementing partners and provide cost breakdown for each)</i>	
E. Other direct costs	
Subtotal (costs directly linked to the project)	
Indirect programme support costs <i>(not to exceed 7% of subtotal project costs above)</i>	
Amount of programme support costs	
Total CERF project cost	

FACT SHEET 7: The Special Fund for Emergency and Rehabilitation Activities (SFERA)

STRONG UPSURGE – PLAGUE

1. OBJECTIVES

1. Created in 2004, the Special Fund for Emergency and Rehabilitation Activities (SFERA) is a mechanism within FAO, which includes three components: (i) a revolving fund allowing to advance funds whose financing has been granted by donors, until financing is effectively released by the donor; (ii) a revolving fund financing FAO's contribution to the emergency needs assessments; and (iii) a component allowing to finance large-scale emergency response programmes, including for transboundary crises, by setting up Multidonor Funds.

2. The first two components are included here; the second could be used in a high outbreak/upsurge to finance consultants in order to strengthen the assessments on the field and to determine needs⁶⁴.

2. JUSTIFICATION

3. SFERA allows to shorten the response time by operating as an advance fund that anticipates the disbursement of contributions pledged by international donors.

3 ELIGIBILITY CONDITIONS

4. A financing pre-agreement must be provided by the donor so that SFERA can advance funds.

4. ACTIVATION

5. The authorization to commit the funds is granted by the Director of FAO's Finance Division.

5. AMOUNTS

6. The average amount of advances by project is around US\$500 000.⁶⁵

6. METHODS OF FINANCING

7. SFERA finances advance funds. As soon as the contribution of the donor is provided, it automatically reimburses the amount advanced.

⁶⁴ The second component can be considered, for the needs of this study, as a specific modality for the call for funds launched by FAO – see Fact Sheet 8.

⁶⁵ Report to the Finance Committee 2010.

7. MANAGEMENT

8. The funds are allocated to and managed by FAO. Rapid procedures are necessary for procurement and contracting. TCE, in collaboration with AGP and the Procurement Service, is currently able to carry out procurement very rapidly by preparing technical specifications and tender dossiers well in advance.

8. MONITORING AND CONTROL

9. The local FAO representations concerned must provide a report to headquarters describing and analysing the activities carried out and the results obtained with respect to the set objectives, as well as the financial information on the expenditures.

FACT SHEET 8: FAO's call for funds

STRONG UPSURGE – PLAGUE

1. OBJECTIVES

1. The call for funds aims to provide the necessary resources to countries involved in locust control in order to finance large-scale operations and capacities during a high upsurge or plague period.

2. JUSTIFICATION

2. If the locust crisis has reached a high upsurge or plague period, the amount of resources needed would become too great for their costs to be covered solely by the other funding sources used up to that point, and thus intervention by the international community would be required.

3 ELIGIBILITY CONDITIONS

3. There are no particular eligibility conditions, except that all other funding must have already been released and be about to be depleted. The assessment of the situation is conducted jointly by the NLCUs concerned and the Regional Commission(s) concerned, as well as FAO's AGP and TCE Divisions. All the expenditures that aim at increasing the capacity of an NLCU to respond to the worsening situation on the field are eligible, be it operating or investment costs. These expenditures can therefore cover the costs related to the increase in the number of survey and treatment teams, equipment, the costs of aerial operations or even pesticides.

4. ACTIVATION

4. The call to funds is launched by TCES on the basis of collaboration with the Executive Secretaries of the Regional Commissions concerned and AGP Division. The call should be launched as soon as it is possible to foresee a worsening of the crisis and the forthcoming insufficiency of available resources. Mobilization must therefore be prepared right from the end of the outbreak period on the basis of reliable forecasts of an outbreak situation developing towards an upsurge situation, by using the scenarios included in the locust contingency plans and through careful monitoring of the development of the locust situation and the ecological conditions on the field.

5. AMOUNTS

5. To be determined according to needs.

6. METHODS OF FINANCING

6. The funds granted by the donors who respond to the call for funds are directed to

FAO headquarters, which manages them through their local representations.

7. MANAGEMENT

7. The funds are allocated to and managed by FAO. Rapid procedures are necessary for purchases and contracts. TCE, in collaboration with AGP and the Procurement Service, is currently able to carry out procurement very rapidly by preparing the technical specifications and the tender dossiers well in advance.

8. MONITORING AND CONTROL

8. The FAO local representatives concerned must provide a report to headquarters describing and analysing the activities carried out and the results obtained with respect to the set objectives, as well as the financial information on expenditures.

ANNEX 2: TERMS OF REFERENCE

Under the overall supervision of FAO headquarters (AGPM), the direct supervision of the CLCPRO Secretariat, and in close cooperation with the legal expert international consultant (Chief of Mission to carry out this study, see Terms of Reference) as well as in collaboration with the heads of the National Locust Control Units and the partners of the EMPRES programme, the international consultant will propose an overall framework for the governance and sustainable financing of Desert Locust control. In particular, the consultant will undertake the following duties:

- I. Identify and gather relevant information on the basis of available documentation or documentation provided by the stakeholders (the countries, FAO headquarters, the Commissions, donors and other institutions concerned with the management of the Desert Locust issue).
- II. Take into consideration the works carried out by the legal expert consultant, related to the analysis of the current institutional mechanism and the proposals on the development of the statutes of the Commissions established under the aegis of Article XIV of FAO's Constitution.
- III. Use and analyse the information thus collected in order to respond to the objectives of the study with respect to, notably:

1. Possible financing instruments

- Assess the possible options to ensure the state's own financing, the financing of the NLCUs and their surveillance and control mechanisms.
- Assess all the options to create an emergency fund at the national, regional and/or international levels, and provide a detailed analysis of the advantages and disadvantages at each level.
- Assess the sufficiency and relevance of existing instruments, including those of the United Nations system, such as CERF, SFERA and their synergy with possible new instrument(s).
- Analyse the feasibility, flexibility and practical and rapid implementation of different possible financing instruments to effectively respond to country needs in a locust emergency situation (for example, in case of inadequate amounts of stocks of pesticides and equipment, insufficient financial means or revolving funds, etc.)
- Assess the different options and conditions to establish a "virtual pesticide bank" including biopesticides.

2. Governance

- Define the basic procedures to ensure good governance and sustainable financing of Desert Locust control at the national, regional and/or international levels.
- Propose financial mechanisms to ensure the Secretariats of the Commissions an appropriate and sustainable Desert Locust control management.

More specifically, for the management of emergency funds in a locust crisis situation:

- Define the criteria, terms and conditions for accessing funds and by whom, by taking into consideration emergency scenarios (i.e. permitting an emergency rapid response capacity).
- Define the process of the call for funds, the procedures of candidature and the allocation of aid to countries.
- Define the procedures for better coordinating the different contributions of different sources of national, regional and international funding.
- Define the possible procedures to replenish the fund(s).
- Define the necessary procedures for good management practices and monitoring of the appropriate use of resources.

ANNEX 3: LIST OF PERSONS MET

Rome - FAO

Boyd A. Haight	Director, Office of Strategy, Planning and Resources Management
Peter Kenmore	Principal Officer, Plant Production and Protection Division (AGP), Agriculture and Consumer Protection Department
Christian Pantenius	Senior Officer, Transboundary Plant Pests, AGP
Dominique Menon	Agronomist., EMPRES-WR Programme, AGP
Annie Monard	Desert Locust Officer, AGP
Mohammed Ammati	Coordinator/Senior Pesticides Management, Pesticides Field Programme, AGP
Keith Cressman	Senior Locust Forecasting Officer, AGP
Maria Bonomi	Financial Assistant, AGP
Mona S. Chaya	Coordinator, Food Crisis, Intelligence and Coordination Unit, Agriculture and Consumer Protection Department
Patrick Jaqueson	Senior Programme Officer, Emergency Operations and Rehabilitation Division, Technical Cooperation Department
Abdoul Karim Bah	Operations Officer, Emergency Operations and Rehabilitation Division
Pasquale Rispoli	Technical Cooperation Department
Peter Hillery	International Treaty for Plant Genetic Resources

Paris

Agnès Poirier	Risques sanitaires et phytosanitaires, Ministère des Affaires étrangères et européennes
Philippe Steinmetz	Division Développement agricole et rural, Agence française de Développement (AFD)
Ghislain Rieb	Secretariat, French Global Environment Facility, AFD

Montpellier – CIRAD

Michel Lecoq	Head of Research Unit – Entomologist
Jean-Michel Vassal	

Agadir

Thami Ben Halima	Executive Secretary, CLCPRO and Programme Coordinator EMPRES-WR
Said Ghaout	Director, Centre national de lutte antiacridienne du Maroc

Nouakchott

Mohamed Abdallahi Ould Babah Director, Centre national de lutte antiacridienne de la Mauritanie

Mohamed El Hacem Ould Jaavar Technical Director, Centre national de lutte antiacridienne

Sidi Ould Ely Researcher, Centre national de lutte antiacridienne

Mariam Nour FAO Representative in Mauritania

Lemine Ould Ahmedou Locust Expert, CLCPRO/EMPRES-WR Programme

Cairo

Munir Butrous Secretary of the Commission for Controlling the Desert Locust in the Central Region, FAO Regional Office for the Near East

Lydia Naguib Administrative Assistant, CRC

Moujahed Achouri Deputy Regional Representative for the Near East, Head of the Multidisciplinary Team for the Near East and FAO Representative in Egypt

Ragab Mahmoud Bakri Director, General Department for Locust and Agro-Aviation Affairs, Ministry of Agriculture

Essam Mahmoud Locust Officer, General Department for Locust and Agro-Aviation Affairs

Telephone interviews

René Knellwolf Head of Treasury, FAO

Karen Smith Programme Officer, Rapid Response, CERF Secretariat, United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

ANNEX 4: IN-KIND AID IN THE WESTERN REGION DURING THE 2003–2005 CRISIS

		Beneficiary countries				
		Mali	Mauritania	Niger	Senegal	Chad
Algeria	MA	6 teams	54 600 l pest. 7 teams	13 050 l pest. 3 teams	36 750 l pest. 1 team	25 000 l pest.
	G	60 550 l pest 100 backpack sprayers 100 PPE kits	30 000 l pest. 100 backpack sprayers 100 PPE kits	15 300 l pest. 100 backpack sprayers 100 PPE kits		10 000 l pest. 100 backpack sprayers 100 PPE kits
Libya	MA	5 aircrafts ⁶⁶ 3 teams			5 airplanes 1 team	2 airplanes 2 teams
	G	44 600 l pest.		10 000 l pest.	20 000 l pest.	5 000 l pest.
Morocco	MA		3 PA25 aircrafts 30 894 l pest. 2 teams		3 aircrafts ⁶⁷ 30 894 l pest.	
	G	5 000 l pest.	300 000 l pest. 10 vehicles* 10 ULVAMAST 50 backpack sprayers ** 200 PPE kits	5 000 l pest.	380 000 l pest. 10 vehicles* 50 backpack sprayers ** 200 PPE kits	
Senegal	MA		1 team			
Tunisia	G	5 000 l pest.	10 000 l pest.	5 000 l pest.		

* vehicles equipped with portable transmitters

** Turbine 45 sprayers to be used in emulcifiable concentrate (EC) formulation for crop protection

Legend:

G= grant

PPE = personal protective equipment

MA = made available or loan reimbursed by FAO

Comments:

- All the teams were provided with vehicles provided with treatment equipment.
- Morocco also donated to Mauritania three electric pumps, three manual Japy pumps and three power generators.
- This table does not include Algeria's contribution towards strengthening the Mauritanian mechanism through the set-up of a logistics base in Atar from December 2004 (mobilization of 22 Algerian teams and sending of 20 000 litres of pesticides).

Moreover, teams of the Western Region have also worked with teams of Burkina Faso, the Gambia, Guinea Bissau and Guinea.

Source: Working papers from the Third Session of CLCPRO, Tripoli, Libya, 12–16 June 2005

⁶⁶ Only 2 Cessna aircrafts were used for the Desert Locust control.

⁶⁷ These 3 aircrafts include a C 130 for transport.

ANNEX 5: REFERENCES

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