IAI/IC REPORT

TO THE FIRST MEETING OF THE CONFERENCE OF THE PARTIES

PREFACE

By its very nature global change research is a long–term undertaking of international proportions. In the spirit of addressing global change on a more manageable level, the concept emerged of a regional network that would address issues both unique to the Inter–American region and significant at the global level. This regional initiative was launched in July 1991 at a workshop attended by scientists from the Americas and interested observers. At this first organizational workshop it was agreed that a network of research facilities with a regional focus would be the most suitable framework for: (i) addressing issues of regional relevance; (ii) providing a more coordinated response from the scientific community of the Americas; (iii) optimizing available resources; and (iv) promoting scientific excellence and full and open exchange of data and information.

An international Agreement Establishing the Inter–American Institute for Global Change Research (IAI) was signed in May, 1992, in Montevideo, Uruguay. This Agreement entered into force on March 11, 1994, following ratification by six signatory nations. The Declaration of Montevideo, which accompanied the Agreement, created the Implementation Committee of the Inter–American Institute for Global Change Research (IAI/IC) to develop recommendations to enable the IAI to become opting of the Conference of the Parties, the Institute's governing body. These recommendations are contained in this Report, and address a broad range of scientific, institutional, programmatic, and financial issues related to the operations of the Institute.

This Report is organized according to the list of agenda items recommended for the first meeting of the Conference of the Parties (CoP). Therefore, the IC suggests that the Conference consider these recommendations in the order they appear in the Report.

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ACKNOWLEDGEMENTS

This report represents the combined efforts of many committed individuals over the last 18 months. Deserving of special note are the members of the Implementation Committee and the IAI/IC Secretariat, whose untiring efforts over a series of five IC meetings and many smaller working group and ad-hoc meetings produced the material for this report, along with several other crucial IAI documents.

Special thanks should be given to those members of the IC and the Office of the Executive Scientist who helped with the foreword, the IAI science agenda, the placement of the IAI within the context of international science, and to the leaders of the Working Groups.

FOREWORD

Recognition of the need to better understand the natural and social processes which drive large scale environmental change led to the development of the Inter-American Institute for Global Change Research (IAI). The IAI is a partnership among countries which share a common future.

Responding to a common concern, twenty-six nations from the Americas came together in July of 1991 to develop the Inter-American Institute for Global Change Research (IAI). The Agreement Establishing the Inter-American Institute was signed in May of 1992 and entered into force on March 11, 1994. The speed with which the IAI member nations ratified their signature to the Agreement and their willingness to commit time, personnel and resources to develop the Institute are testimony to IAI member nation support of the initiative.

Participation in this cooperative forum demonstrates member nations' long-term commitment to address trans-boundary and regional issues related to global change. The IAI forges new ground in the field of regional scientific cooperation to advance an interdisciplinary global change research agenda. The Institute hopes to contribute to applications of scientific data for socioeconomic benefit. IAI member nations agree that the knowledge obtained through the IAI is considered common property and accessible to all.

The IAI is envisioned as a distributed research network, which will serve as a vehicle to conduct coordinated global change research in the region. Its structure is designed to optimize the use of and enhance existing scientific resources. Knowledge obtained through the IAI will be considered common property, accessible to all. Participation in and contributions to the IAI shall be distributed equitably throughout the region, taking into account both need and merit.

The IAI provides the Americas with a mechanism to identify, prioritize and exchange critical concepts and information related to global change. The anticipated long-term benefits of the Institute extend beyond the scientific community, as the data and information generated by IAI research programs will provide an invaluable scientific foundation for the sustainable development of the Americas.

The ultimate philosophy leading to the development of the IAI is that "the planet Earth is not an inheritance from our parents, but a loan from our children." The effort is now underway.

1. HISTORY

The Inter-American Institute for Global Change Research (IAI) is a regional initiative to advance our understanding of the earth system and to yield information in a useful format to policy-makers throughout the Americas. The creation of the IAI is part of a broader effort within the scientific and policy-making communities to develop a shared knowledge base. As a regional institute, the IAI is dedicated to global change research in the Americas and to a multinational effort to augment the scientific capacity in the region.

The first IAI workshop was held in July of 1991 in Puerto Rico and brought together scientists from twenty-six countries of the region interested in developing a vehicle to facilitate cooperation in global change research. Governmental support was sought to secure the necessary financial resources and to ensure that the Institute would promote research in the public interest. The group agreed that a primary objective of the IAI is to encourage research beyond the scope of national programs by advancing comparative and focused studies based on scientific issues important to the region as a whole.

Recognizing the need for a new institutional arrangement to assemble existing scientific talent of the region, and to enable this community to participate more fully in international global change research efforts, an implementation strategy was outlined at the first workshop. Based on this strategy, the IAI Interim Working Group (IWG) was tasked with conducting a series of meetings to identify and recommend actions necessary to advance the development of the IAI. The primary products of this effort were: a refined scientific research agenda; a detailed management plan; a draft legal agreement to formally establishing the Institute; and recommendations regarding the Institute's operating guidelines.

One of the first projects undertaken by the IWG was to develop a proposal to the Global Environment Facility (GEF) to support scientific capacity building in the Americas. An ad hoc group met several times over a two year period and worked intersessionally to draft the IAI proposal "Regional Co-operative Activities to Support Global Change Research in IAI Countries." This proposal was submitted to the GEF in conjunction with two other regional proposals prepared by the Global Change System for Analysis Research and Training (START), a non-governmental organization with a similar regional approach to global change research.

This project was approved in December of 1992 as a stand alone project and the project document was sent to IAI nations for endorsement. Over a two-year period, a little under U.S.$. 3 million will be allocated to education and training programs, hardware and software related to GIS systems and other related activities.

The IWG also submitted a report to the Second Workshop for the Development of an Inter-American Institute for Global Change Research held in March 1992 in Mar del Plata, Argentina. Participants, primarily scientists from the region, reviewed the material produced by a group of scientific experts convened in Santiago, Chile earlier that month to develop the initial research agenda for the IAI.

On May 13, 1992, in Montevideo, Uruguay, eleven countries came together to sign the Agreement Establishing the Inter-American Institute for Global Change Research (see Appendix I). In addition to including the IAI Science Agenda, the Agreement established the principle of open access to data collected as a result of institute-sponsored research, and identified all member countries as entities entitled to the full benefits of participation and committed to contributing to the Institute's scientific and financial resources.

The Declaration of Montevideo (see Appendix II), which accompanied the Agreement, created the Implementation Committee (IAI/IC) to develop recommendations to address a broad range of scientific, institutional, programmatic and financial issues related to the start-up and implementation of a fully functional Institute.

1.1. First IC Meeting

Santo Domingo, Dominican Republic
July 15-17, 1992

IC Members from eight countries, three observers from the IAI non-signatory countries (these have since signed), and observers from two international organizations attended the first meeting.

At this first meeting, the IC adopted its Terms of Reference and agreed to operate as an open forum to ensure that all interested countries have access to information and can participate in the development of the Institute. The IC also agreed to operate on the basis of consensus and to set up working groups to address issues of importance intersessionally.

The two working groups which continued throughout the IC process were the Science Working Group (SWG) and the Organization and Management Working Group (OMWG). The SWG was encouraged to take a proactive role in developing the science agenda both thematically and programmatically, while the Organization and Management Working Group covered issues within the Rules of Procedure for the Institute's organs, and relationships with other entities.

The IC recognized the need for a mechanism to distribute information on the IAI, and gratefully accepted Argentina's offer to develop, edit, and produce the IAI/IC Newsletter. The IAI/IC Newsletter provides up-to-date information on developments in the IAI scientific agenda; encourages input to the IC process and carries articles on the latest global change science. The Newsletter serves as an effective forum for communicating information within the inter- and intra-regional IAI community.

1.2. Second IC Meeting

San Jose, Costa Rica
October 8-10, 1992

At its second meeting the IC adopted a white paper confirming the IC's authority to commit financial resources offered by the U.S., in order to conduct intersessional activities. The IC also considered mechanisms to support the development of the IAI science agenda both thematically and programmatically; involve scientific communities of the region in the IAI process; and facilitate outreach to the scientific community. It was agreed that no mechanisms adopted or actions taken by the IC would prejudice the actions or decisions of the Conference of the Parties.

Two mechanisms were proposed and later adopted at the meeting to support short-term activities related to developing the IAI Science Agenda. The first arrangement, the Ad Hoc Steering Group for Science Planning (SGSP), was created to assist in developing the IAI Science Agenda. The SGSP was composed of seven scientists from the region, one to coordinate the relevant scientific communities for each IAI science theme.

The second arrangement suggested was the establishment of he IAI/IC Office of the Executive Scientist (OES) to manage the development of the science agenda. This proposal addressed the need for full time intersessional activity to advance the IAI research agenda, and the need to consider options for development of related issues such as training and education, and to conduct related outreach activities.

The IC also agreed to begin cultivating informal ties with similar regional efforts. The IC thus designated a representative to attend a START meeting in Niamey, Niger and a meeting in Japan related to the development of the Asia Pacific Network.

1.3. Third IC Meeting

Washington, DC, U.S.A.
April 5-7, 1993

At the time of the Third Meeting, a total of fifteen countries had signed the Agreement, and five had ratified. The IC Chairman launched the meeting with a review of recent advances in global change research, a discussion of the IAI network architecture, an update on activities of the Office of the Executive Scientist, the IAI GEF project, and a tentative agenda for the First Meeting of the Conference of the Parties.

While there was agreement that within the IAI

network architecture there should be two basic levels -- the Research Center (IAI/RC) and the over-arching network, several different concepts of an IAI/RC emerged. Recognizing the need to arrive at a common concept of the IAI research infrastructure, the IC created the Ad Hoc Group on RC Architecture. This group was tasked with articulating in greater detail the precise structure of the IAI network as a vehicle for implementing the objectives of the IAI.

The IAI research objectives, stated in Article II of the Agreement are as follows:

The Institute shall pursue the principles of scientific excellence, international cooperation, and the full and open exchange of scientific information, relevant to global change. In order to do so, the objectives of the Institute are to:

a)Promote regional cooperation for interdisciplinary research on aspects of global change related to the sciences of the earth, ocean, atmosphere, and the environment and to social sciences, with particular attention to impacts on ecosystems and biodiversity, socioeconomic impacts, and technologies and economic aspects associated with the mitigation of and adaptation to global change;

b) Conduct or select for sponsorship scientific programs and projects on the basis of their regional relevance and scientific merit as determined by scientific review;

c) Pursue on a regional scale that research which cannot be pursued by any individual State or institution and dedicate itself to scientific issues of regional importance;

d) Improve the scientific and technical capabilities and research infrastructure of the States of the region by identifying and promoting the development of facilities for the implementation of data management and by the scientific and technical training of professionals;

e) Foster standardization, collection, analysis and exchange of scientific data relevant to global change research;

f) Improve public awareness and provide scientific information to governments for the development of public policy relevant to global change;

g) Promote cooperation among the different research institutions of the region;

h) Promote cooperation with research institutions in other regions.

It is envisioned that several multidisciplinary and multinational research consortia will emerge, each addressing a specific IAI science priority. It is expected that research institutions throughout the region with a shared interest in a specific IAI theme will jointly develop a research consortium proposal to address this theme. Furthermore, it is expected that the proposals will identify Research Centers, groups of research institutions within a country or from multiple countries, according to their function within the research consortium. The Ad Hoc Working Group on Research Centers' conclusions are contained in Section 4.10.i.

The Office of the Executive Scientist (OES) began operations on April 1, 1993, with Dr. Ruben Lara Lara serving as the IAI/IC Executive Scientist. The OES, working with the IC Steering Group for Science Planning, has hosted a series of workshops to develop scientific priorities and program goals for the research themes identified in the IAI science agenda. The OES has sought to engage the scientific communities from the region, identifying pressing regional research issues and offering recommendations for disseminating and transmitting scientific information to scientists and policy-makers throughout the region.

The OES has also focused on improving communication between scientific colleagues within the region, facilitating the collection and dissemination of data and information, and training and education activities. An expert consultant will prepare a survey of the human resources capabilities and needs for scientific programs as background for developing education and training programs.

The IC developed a strategy to facilitate the implementation of the IAI GEF project that was approved for funding in December of 1992. IC

Representatives agreed to make themselves available to provide background information to in-country United Nations Development Programme (UNDP) Representatives and corresponding in-country officials responsible for ratification of the project. The World Meteorological Organization (WMO) was selected as the implementing agency for the project. The WMO will select a project director to manage the project and work with Dr. Lara Lara, the IAI/IC project coordinator. The IAI/IC project coordinator will assist in coordinating IAI participation and ensure that the project remains consistent with the IAI objectives.

With five ratifications, the IC turned its attention to the question of the agenda for and participation in the upcoming Conference of the Parties. It was agreed that signatory nations that had not yet ratified would be invited as observers to the first meeting of the Conference of the Parties. The IC reviewed and approved an agenda for the first Conference of the Parties tabled by one of the IC members. *This agenda forms the outline for Chapter 4 of this Report.*

The IC also recommended a process for nomination of the IAI Director whereby each participating country would identify eligible candidates based on general guidelines. Member countries would then put forward their nominations along with complete biographical information to the Conference of the Parties.

It was also suggested that the Implementation Committee to collect information on potential candidates and disseminated background material to for the Conference of the Parties.

It was noted that at least one more meeting of the IC would be necessary to finalize the IC recommendations and to prepare for the Conference of the Parties.

1.4. Fourth IC Meeting

Washington, DC, U.S.A.
February 2-4, 1994

At the fourth IC meeting, the IC was briefed on international and regional global change research. Representatives from the European Network for Research in Global Change Research (ENRICH) and the Asia-Pacific Network for Global Change Research (APN) up-dated the members of the IAI/IC on the recent activities of both these initiatives. In addition, the IC was briefed on activities of the International Group of Funding Agencies and START.

The OES gave a presentation on the first two of the IAI/IC workshops (Comparative Studies of Oceanic, Coastal and Estuarine Processes in Temperate Zones; and High Latitude Processes), the recent SGSP (Steering Group for Science Planning) meeting, and other activities conducted during the preceding 18 months. The OES urged IAI member countries to submit names of individuals to serve as points of contact for the SGSP.

The IAI/IC discussed progress in implementing the IAI GEF project. At the time of the meeting, five countries had endorsed the GEF project document (Costa Rica, Cuba, Dominican Republic, Peru and Uruguay). Some IC Representatives indicated that the endorsement process had been slower than expected since only an English version of the GEF project document had been delivered. The WMO indicated that they would issue a vacancy announcement to hire a project director as soon as possible.

The bulk of the meeting agenda was devoted to reviewing the draft IAI/IC Chairman's Report. It was agreed that the revised version of the report should be renamed the "IAI/IC Report," and that it should be included in the background material for the first meeting of the Conference of the Parties. The IC gratefully accepted Costa Rica's generous offer to translate this Report into Spanish.

Among the most significant decisions taken at this meeting and reflected in this report are the following:

- consensus on the IAI/IC ad hoc group on architecture's report describing the IAI/IC network architecture.

- the creation of an Ad Hoc Task Group on Financial Issues to draft a "White Paper on Financial Issues." This document would be included in the background material to the

Conference of the Parties.

• the selection of the site for the IAI Directorate would take place at the first meeting of the Conference of the Parties (CoP).

• the election of the IAI Director would occur at the second meeting of the CoP. Procedures to select the IAI Director will be in accordance with the IAI Agreement and the Rules of Procedure. Between the first and second meeting of the Conference of the Parties, the IC recommends that the Executive Council (EC) conduct the interview and review processes of candidates for Director proposed at the first CoP.

• the IC agreed that the second meeting of the Conference of the Parties would most likely occur four to five months after the first meeting. The group expected that proposals for IAI Research Consortia would begin to be submitted soon after the First Meeting of the Conference of the Parties.

1.5. Fifth IC Meeting

Kingston, Jamaica
August 2-3, 1994

The Fifth IAI/IC Meeting was held primarily in order to assess the readiness for the First Meeting of the Conference of the Parties, and in order to review programs already in progress within each IAI member nation. In addition to the IC Representatives, observers from the Jamaican Government, several regional organizations, and a representative from ENRICH attended.

The IC Chairman reviewed administrative developments in global change research organizations such as International Council of Scientific Unions (ICSU), the International Geosphere-Biosphere Programme (IGBP), the World Climate Research Programme (WCRP), and the Human Dimensions Programme of the International Social Sciences Council (HDP/ISSC). The Chairman also stressed the need for the IAI to continue developing its ties with essential partners in climate prediction, sustainable development, technology and engineering, and education.

The Office of the Executive Scientist (OES) gave a report on the three workshops held since the last IC meeting (Tropical Ecosystems and Biogeochemical Cycles; Comparative Studies of Temperate Terrestrial Ecosystems; and the El Niño-Southern Oscillation and Interannual Climate Variability). The final workshop in the series of seven, "The Study of Impacts of Climate Change on Biodiversity," took place after the Fifth IAI/IC Meeting. Full meeting summaries from these workshops are to be assembled and edited by a contractor, and 3-4 drafts will be available before the First Meeting of the Conference of the Parties. One- to two-page summaries for all seven workshops will be available and distributed before the CoP.

The OES also reported on an upcoming joint IAI/UNESCO workshop, "Using Integrated Assessment Techniques in Decision-Making for Global Climate Change Mitigation," to be held in Santiago, Chile 20-23, September of 1994. IAI/IC Representatives were urged to check that their government's nominations for candidates had been forwarded to the UNESCO Contact's office.

Each IAI/IC Representative present gave an update on global change research activities in their respective countries as well as reports on the ratification and deposition of the Agreement and other IAI-related activities.

The IAI/IC discussed the search for a Director for the GEF Project, and decided that each IC Representative was to further exert themselves in circulating material for a renewed search. It was agreed that it was of utmost importance to start the Project as soon as possible, but that doing more than Pilot Projects without a Director was unwise.

The IAI/IC discussed the version of the Rules of Procedure proposed by the OMWG Task Group on Rules, and agreed to review them in time for the required translations and verifications to be made before the First Meeting of the Conference of the Parties. It was also agreed that there was no need for an interim set of rules to govern the proceedings of the Conference of the Parties prior to the formal adoption of the Rules of Procedure.

The White Paper on Financial Issues was

approved after a small amendment to the Director's salary and total budget. The IC gratefully accepted Uruguay's generous offer to update the Spanish version.

The IAI/IC agreed that the Ad Hoc Task Group on Financial Issues should begin work immediately on guidelines for member contributions to the IAI Budget. Mechanisms for contribution to organizations similar to the UN, UNESCO, IGBP, OAS, and ICSU are to be considered.

The IAI/IC Chairman advanced several new proposals to maintain the considerable momentum of the IAI as it progressed beyond its formal inception. In order to facilitate the formulation of proposals to the IAI for Research Consortia, the concept of Planning Grants was advanced. These grants would be used to fund travel and support meetings for potential proposing organizations, as well as providing some stipendary support. The review process for these proposals would be coordinated with the OES and the IC (as well as the SAC, when it exists) in order to provide a rigorous system of ad-hoc and panel reviews. The IAI/IC agreed that the Planning Grants were a useful method for encouraging and facilitating proposal development, and endorsed the further development of the program.

The Chairman also announced three proposed workshops that would be U.S. contributions to the IAI, should the IAI/IC agree in concept: a workshop on Climate Change Modeling, proposed by the National Center for Atmospheric Research (NCAR); an Atmospheric Chemistry Workshop, proposed by the American Geophysical Union (AGU); and a Remote Sensing Workshop, proposed by the National Aeronautics and Space Administration (NASA). The IAI/IC agreed that work should go forward on involving the IAI in these proposals. Reports and materials were circulated on the PAGES and GLOBE programs, and the IAI/IC encouraged the active involvement of the IAI in these initiatives where appropriate.

The IAI/IC recognized the importance of open data sharing, and discussed the added importance of sharing the analytical models and tools designed to deal with global change problems. If the IAI is to achieve its goal of contributing to the general welfare of the region, it was agreed that access to these analytical tools and models must be improved.

The Representative from Mexico reported on preparations for the Conference of the Parties Meeting, which is to be held at the Ministry of Foreign Affairs in Mexico City. Invitations will be mailed by the Mexican Government, with informal contacts being made through the Mexican embassies in the respective capitals.

In order that the IAI be able to function during the transition period between the dis ·ition of the IAI/IC and the hiring and insta. ›n of a Director, the IAI/IC recommende· ·at the Conference of the Parties use the me.·.anisms and structures of the IC in the form of a Transition Committee (TC). It was also recommended that the functions of the OES be continued until a Chief Scientist or similar position is in place at the Directorate. Each of the TC and OES functions would be handed over to the Director's office as that office became functional. The IAI/IC suggested that the Chairman of the IC could function as a Director *pro-tem* until the election of the IAI Director at the second meeting of the Conference of the Parties.

The IAI/IC recommended that the following meeting order be used after the First Meeting of the Conference fo the Parties:

CoP I (inaugural, Directorate site)
EC (organizational)
SAC (proposal consideration)
EC (long-range plans, proposals)
CoP II (election of Director)

The IC also recommended that Executive Committee (EC) meetings be held immediately before or after CoP meetings whenever possible, in order to minimize travel. The schedule for upcoming meetings was also altered to allow input from the Regional Scientists' Meeting to the Science Advisory Committee's (SAC) first meeting, to be held during the first quarter of 1995.

The IC recommended that the First Meeting of the Conference of the Parties issue a draft

communiqué, and urged IC participants to comment on the draft presented at the Kingston meeting. It was agreed that the draft presented formed a good starting point, but that input was needed from the IC Representatives for the version to be presented and worked on at the First Meeting of the Conference of the Parties.

2. THE IAI IN THE CONTEXT OF REGIONAL AND INTERNATIONAL SCIENCE

Participants in the IAI's First Workshop in July of 1991 outlined the mission of the Institute and identified its role as a regional entity in a global community. It was intended that the IAI serve as:

• a mechanism to address scientific issues of regional importance;

• a vehicle for regional input to existing international scientific research efforts;

• an information base to be used by countries of the region in defining and meeting the objectives of related international agreements and protocols; and

• a resource for decision makers to address these issues on a local, regional and international level.

The Inter-American Institute is driven by scientific goals designed to establish an information base necessary to meet both the long–term and the near–term challenges presented by global environmental change. To address these challenges, scientists and science managers from the region crafted the initial scientific research agenda. This agenda is intended to be responsive to evolving regional priorities.

In crafting this initial agenda, contributing scientists sought to identify the most pressing scientific issues relevant to the Americas and of interest to the global change research community. At a meeting in March of 1992, natural and social scientists from the region came together to expand information on the research priorities inherent in the seven science themes identified by the IWG.

Within each research theme the following questions should be addressed:

• What is the current state of knowledge ?

• What is the current institutional capacity?

• What equipment and hardware are needed to conduct research and to effectively disseminate and exchange data?

• What are the priorities in education and training?

• What methods can be used to integrate the natural and social science components of this topic?

• What are the relevant existing national, regional or international programs?

2.1. IAI Science Agenda

As stated in the Agreement, the IAI science agenda currently includes seven research themes:

- Comparative Studies of Oceanic, Coastal and Estuarine Processes in Temperate Zones
  OES Workshop: 2-6 Aug., 1994, Montevideo, Uruguay

- High Latitude Processes
  OES Workshop: 13-17 December, 1993, Buenos Aires, Argentina

- Ocean/Land/Atmosphere Interactions in the Inter–Tropical Americas
  OES Workshop: 7-10 February, 1994 Panama City, Panama

- Tropical Ecosystems and Biogeochemical Cycles
  OES Workshop: 4-7 April, 1994, São José dos Campos, Brazil

- Comparative Studies of Temperate Terrestrial Ecosystems
  OES Workshop: 14-17 June, 1994, Boulder, Colorado, USA.

- El Niño–Southern Oscillation (ENSO) and Interannual Climate Variability
  OES Workshop: 12-15 July, 1994, Lima, Peru

- The Study of Impacts of Climate Change on Biodiversity
  OES Workshop: 9-12 August, 1994, Guadalajara, Mexico.

The following brief descriptions of the seven IAI science themes highlight some of the issues to be addressed. A more comprehensive scientific explanation of each topic is available in the reports of each of the topical workshops held under the auspices of the Office of the Executive Scientist.

The IAI theme, "**Tropical Ecosystems and Biogeo-chemical Cycles,**" includes a study of the biogeochemical cycles of a large part of the Americas. Understanding the complexities of such ecosystems as savannas and tropical forests (including the Amazon) is critical to developing resource management and sustainable development strategies. These ecosystems may have significant structural and functional responses to changes in regional and global climate. For example, changes in land use and atmospheric carbon dioxide concentration, may impact the population and distribution of keystone species in these tropical ecosystems. Areas of emphasis include: land-atmosphere and land-water interactions, long-term soil fertility, paleoclimatology, and regional hydrologic cycles.

A significant percentage of the world's biodiversity is found in the Americas, understanding the structure and function of marine and terrestrial communities and predicting the effects of anthropogenic activities on the biodiversity of these ecosystems requires a comprehensive knowledge of genomes, organisms, species and ecosystems. In addition, physical destruction and pollution are profoundly altering these ecosystems, and exploitation has led to a decline in commercially important species for the countries of the Americas and the Caribbean. The IAI theme, "**The Study of Impacts of Climate Change on Biodiversity,**" addresses all of these issues.

Another IAI theme, "**ENSO and Interannual Climate Variability,**" addresses the far-reaching effects of minor fluctuations in climatic variability through the ENSO phenomenon. El Niño is a recurrent phenomenon and an integral part of the tropical Pacific anomalous warming which, when coupled to its counterpart, the atmospheric Southern Oscillation, is referred to as ENSO. The effects of ENSO include fluctuations in regional sea surface temperature, rainfall variations, droughts, flooding, and significant changes in agriculture and fisheries industries in many countries throughout the world. Important commercial fish stock such as sardines, anchovies, and tuna are strongly impacted by ENSO events. For example, some species migrate from their normal habitats during the warm phase of ENSO, and are therefore not accessible for the regular fishing activities. Other species are affected at their egg and larvae stages by ENSO activity, causing populations to vary greatly. Improved understanding of this climatic phenomenon and improves predictive capabilities would provide information for fisheries and other local communities.

The ENSO phenomenon results from the interaction of the natural processes that govern the oceanic and atmospheric systems respectively. The IAI **Ocean-Land-Atmosphere Interactions in the Intertropical Americas** theme is intended to advance our understanding of the interaction between the natural and anthropogenic processes that drive each of these systems.

The possible effects of global change on these processes include: modifications in the frequency of the ENSO phenomenon which could affect the frequency and intensity of tropical storms; changes in sea level which could have such impacts as the reduction of available potable water in the Caribbean and Pacific coast of Central America; the destruction of mangrove swamps and possible negative impacts on such industries as fishing and tourism.

Oceanic, coastal and estuarine regions are especially vulnerable to global climate change

and human activity. Fishing, aquaculture, transportation, and tourism are affected by climate related events such as upwelling, river runoff, storms and eddies. In addition, coastal zones in general, and bays and estuaries in particular, are heavily impacted by human activities since human populations tend to be concentrated in coastal areas. The IAI theme, **"Comparative Studies of Oceanic, Coastal, and Estuarine Processes in Temperate Zones,"** takes advantage of the unique opportunity to study the physical processes and the socioeconomic activities of the buffer zone between land and ocean in the temperate coasts of the Americas.

Many IAI countries are heavily agrarian, depending on agricultural production for both food security and cash crops. A significant percentage of the world's population depends on the large-scale temperate ecosystems of North and South America for grain production. These ecosystems include grasslands, savannas, and dryland zones as well as significant river basins.

Arid and semi-arid lands make up one third of the world's land mass and support one fifth of its population. Drylands account for a significant percentage of the land mass in the Americas. The hydrologic balance of these regions is very delicate, as rainfall is scarce and unpredictable. There is evidence that even minor changes in climate could have devastating effects on these fragile ecosystems and their agricultural productivity. Climate change and population pressures threaten the integrity of dryland ecosystems and the future of traditional agricultural practices in these regions.

Understanding the existing ecosystems of the grain producing regions and the possible impacts of global change on these is of critical importance. This knowledge could be applied to optimize land-use, water resource management and agricultural production in these areas. The IAI theme, **"Comparative Studies of Temperate Terrestrial Ecosystems,"** focuses on the ecosystems in these areas.

Paleoclimatology is invaluable in distinguishing between natural climate variability and anthropogenic induced changes. For example, there is evidence that greenhouse gas warming may be greatest at high latitudes. Thus, anthropogenic climate change may be detectable in sea ice of the polar regions. In addition, data from high latitude sites has provided evidence of past global warming cycles and is used to compare and analyze such patterns as the current trends in global temperature. The IAI recognizes that the high latitudes are key sites for the reconstruction of the history of climate change.

The IAI theme, **"High Latitude Processes,"** focuses on such areas as high altitude glaciers in the tropics and subtropics to provide important data on events such as ENSO, monsoon and anthropogenic emissions; stratospheric ozone depletion in both the Arctic and the Antarctic; and mid-ultraviolet (UV-B) radiation.

2.2. Policy Relevance

The IAI is unique in its mandate to generate data and information to be made available to decision–makers interested in implementing sustainable development policies in the Americas. Effectively bridging the gap between science and policy requires an interactive exchange between all stake holders including the research community, decision–makers, industry and the general public.

An effort to develop mechanisms to provide policy relevant information, the IAI will:

- strive to articulate the linkages between the products of scientific research and the region's most pressing environmental issues and disseminate information on these issues; and

- make (scientific data) available to the international scientific community in a useful format where options can be evaluated in an intelligent and informed manner.

2.3. International Linkages

In response to the demand for scientific information to support decision-making related to environmental conditions, resource

management, and sustainable development, scientific communities have mobilized at many levels. In the past decade, institutional structures and programs have evolved at the regional and international level under both governmental and non-governmental umbrellas.

The IAI recognizes that mutual benefits can be achieved by working with other regional entities and international research programs; and contributing to international protocols and conventions. Through such linkages, the IAI can optimize human, scientific, and financial resources of the region.

2.3.1. Regional Entities

The IAI has already begun establishing relationships with other regional research initiatives. In 1991, in response to a perceived need to address global change on a regional basis, the International Geosphere Biosphere Programme (IGBP), World Climate Research Programme (WCRP) and the Human Dimensions of Global Environmental Change Programme (HDP) established the Global Change System for Analysis, Research and Training (START). START is envisioned as a world-encompassing system of Regional Research Networks (RRN). Like the IAI, START is interested in building scientific capacity through training and education, promoting cooperation among scientists at a regional level and sponsoring exchange of data between regional facilities.

The IAI also anticipates developing linkages with various inter-governmental regional initiatives such as the European Network for Research in Global Change (ENRICH) and the Asia-Pacific Regional Network (APN) for Global Change Research.

Other regional entities involved with global change research which the IAI may eventually work in close coordination with include: the Organization of American States (OAS) Inter-American Center for Environmental Economics (CIEMA), the Scientific Committee on Antarctic Research (SCAR), and the Latin American and Caribbean Environment Action Plan.

2.3.2. International Programs

In addition to establishing relationships with other regional entities, the IAI intends to explore areas of mutual interest with international programs that focus on global change issues. Based on its commitment to the free and open exchange of data, the IAI will focus on ensuring compatibility and dissemination of data in collaboration with existing systems and interested parties.

The International Council of Scientific Unions (ICSU) and ICSU bodies are collaborating with governmental and non-governmental organizations, and international research agenda serves as a template for national programs in structuring national activities. Establishing connections with ICSU could be useful for IAI participating countries interested in establishing national global change research programs.

ICSU and its partners have organized a number of international research programs. Recognizing the need for and the cost associated with observing and monitoring systems, ICSU is working in the design phase of developing three interconnected global observing systems for climate (GCOS), oceans (GOOS) and land (GTOS). These systems will build on existing systems such as the World Meteorological Organization's (WMO) World Weather Watch.

ICSU also hosts major international workshops, such as the International Conference on An Agenda of Science for Environment and Development into the 21st Century (ASCEND 21), which provide an invaluable forum for experts to share ideas on how human economic and social development interact with the evolution of the global environment. Such discussions could be useful in developing the human dimensions portion of the IAI research agenda.

Several ongoing programs may be useful to those participants in the IAI who will study the impacts of global change on biodiversity. The DIVERSITAS program is dedicated to the study of biological diversity of plant and animal

life. The International Union of Biological Sciences (IUBS) and the Scientific Committee on Problems of the Environment (SCOPE) of the ICSU joined with the United Nations Education, Science, and Culture Organization (UNESCO) and the ecosystem studies of IGBP to conduct a major program to study biodiversity on earth.

The World Climate Research Program (WCRP) which focuses on physical climate systems, including the atmosphere, the oceans, ice and snow. The WCRP seeks to determine to what extent climate can be predicted, and how human activities affect climate. WCRP programs investigate the cycles of energy and water vapor driving the climate system, the dynamics of the climate system, and the essential infrastructure and methodology required for productive research.

The International Geosphere-Biosphere Program (IGBP) which focuses on the interactive processes that regulate the earth's system, including physical, chemical and biological aspects. IGBP has further refined its research agenda into 12 core programs in response to six critical questions each addressing critical process of the climate system. The IGBP has organized participation of scientific communities at the national level through IGBP national committees.

The Human Dimensions Programme (HDP) focuses on how human society interacts with its environment. The focus of this program has two tracks: the human role in global change, and the implications of global change for humans. Each IAI science theme will address related socioeconomic issues and human dimensions. Potential areas for collaboration include the social dimensions of resource use; the perception and assessment of the environment; political, economic and social institutions; energy use; industrial growth; land use and environmental security and sustainable development.

The Intergovernmental Panel on Climate Change (IPCC) has been recognized as a primary international forum for assessing the nature and extent of changes to the global climate as well as identifying potential economic impacts and alternative response strategies. Recommendations developed by the IPCC were taken into consideration during the formulation of IAI's science agenda. Many of the IPCC priority areas coincide with the preliminary IAI agenda. They include: sources and sinks of greenhouse gases and aerosols; clouds, especially the feedback process with greenhouse gases; ocean circulation; polar ice sheets and responses to climate change; and land surface processes and feedback.

The Global Environment Facility (GEF) provides environmental grants to developing countries to help them carry out environmental programs to address global problems. The IAI developed a "free standing" proposal in conjunction with a two-part START proposal to address capacity building at the regional level for global change research. The IAI proposal was approved for a grant of $2.7 million, and the project document is currently undergoing in-country review.

2.3.3. International Conventions and Protocols

It is envisioned that the IAI will support research which is directly related to existing international conventions and protocols. Such agreements include the amended Montreal Protocol on Ozone Depletion (1987) as well as the Climate, Biodiversity and other Conventions signed at the United Nations Conference of Environment and Development (UNCED) in June of 1992. The IAI can provide a vehicle to develop the scientific base for response, mitigation and adaptation strategies called for in the Conventions.

Areas of overlap with the Climate Change Convention may include:

- continuing assessment of scientific, socioeconomic and technological aspects of climate change.

- building databases and harmonizing methodologies for monitoring and measuring sources and sinks of greenhouse gases.

- building the capacity of developing countries to participate fully in the work of the Conference of the Parties and its organs, to

take part in the ongoing assessments and reviews and to formulate and implement domestic policies for fulfilling Convention commitments in a manner that is compatible with development needs.

The above list of regional entities, international research programs, and international conventions and protocols on global change issues is by no means exhaustive. As the IAI develops, linkages with these and other global change efforts will be explored further.

3. INSTITUTIONAL ISSUES

3.1. Institute Structure

A distributed network structure is suggested which provides the flexibility to allow nations with varied levels of scientific capacity and institutional resources to participate fully in this regional initiative. Furthermore, the network structure facilitates active participation of the scientific community; the use of existing institutions; optimization of resources; attention to regional environmental priorities; and the development of working relationships between individuals, institutions and governments throughout the Americas. The network structure is also conducive to providing training and education opportunities integrated with the conduct of scientific research.

IAI research will be conducted by topically defined research consortia. Research centers will be created by gathering research institutions together within a country, or in some cases, two or more countries. Research centers will organize themselves into research consortia which will evolve in response to interests within the regions, and in response to the readiness of the relevant communities. It is possible that in the early years of the IAI, only two or three topically defined research consortia will develop.

3.1.1. Organs of the Institute

The Agreement Establishing the IAI specifies the composition and function of each of the IAI organs:

Conference of the Parties (CoP): "...is the principal policy-making organ of the Institute (Article V)." All IAI Member Nations will be entitled to have one representative to the CoP.

Executive Council (EC): is the *"...executive organ of the Institute* (Article VI)." The EC is responsible for executing the policies set by the Conference of the Parties. Up to nine (9) IAI member nations will be represented on the EC at a time.

Scientific Advisory Committee (SAC): is the *"...principal scientific advisory organ of the Institute* , and *...shall be composed of ten members elected by the Conference of the Parties* (Article VII)."

3.1.2. Conceptual Development of the IAI Network

Throughout the Institute's development process, the IAI/IC has focused its efforts on developing informal linkages between institutions and individuals of the regional global change community. It is hoped that these efforts will result in a network of scientists interested in pursuing the development of research centers incorporating institutions throughout the region with the aim of establishing a research consortium for each of the IAI research themes. The following section describes a process through which linkages developed in this period could be formalized under the aegis of the IAI.

- ***Research Consortium Proposal Development***

Individual research institutions interested in an IAI theme organize in accordance with appropriate national mechanisms to work with other groups of interested research institutions to create a multinational, interdisciplinary proposal to establish research centers in the member countries which will join together according to their specific scientific interests to form research consortia. The proposal should include proposed Research Centers (the basic

unit of the network structure identified in the Agreement), a research consortium coordinating committee and a chair. *(See section 4.10 for more detail.)*

It is suggested that each research consortium identify one (in some cases two) research consortium node(s). This node would provide a focus and integrating site for research consortium programs and activities; coordinate such administrative functions as data management and storage and communications; and prepare reports and budget proposals.

- ***Review of the Research Consortium Proposal***

The research consortium proposal is then reviewed for its scientific merit, program feasibility and budget through an iterative process which involves the IAI Director, the Scientific Advisory Committee, the Executive Council, and the Conference of the Parties.

The research consortium proposal should describe the proposed role of the consortium in the IAI research network, identify the role of each participating research institute, and demonstrate multinational collaboration between institutions and individuals at the program, project, and training levels.

- ***Implementation of the Research Consortium Proposal***

If the research consortium proposal is approved, the coordinating committee for the research consortium serves a function similar to that of a board of directors. The Coordinating Committee in close coordination with the IAI Director is responsible for the general management of the research consortium program which includes developing and proposing the annual budget to the CoP and working with the IAI Director and the SAC to determine priorities for that particular IAI science theme. The research consortium program will be submitted to a multi-tiered peer review process every three years.

The coordinating committee will be composed of the RC coordinators for a particular research consortium proposal. In addition to the research consortia, the CoP, the EC, the SAC, and the IAI Director will work to ensure the overarching development of the IAI research network by directing the cross-cutting programs and education and training initiatives.

3.2. Institutional Resources

The scientific and technical community committed to the IAI scientific agenda require stable support in order to facilitate long-term planning and operation. The majority of the monetary resources provided to the Research Centers through the Research Consortia will be acquired at a donors meeting where IAI member nations, affiliates, industry, other nations, and interested parties will pledge monies for the activities of the IAI network.

It is envisioned that IAI Member Nations' contributions will represent the majority of program and core funds. Member contributions may consist of new monies specified for the IAI; contributing programs; or in-kind contributions.

IAI Resources will be divided into three categories: Program, Project and Core funds.

- **IAI Program Funds** are designed to support the Institute's long-term objectives and commitments ranging from 3 to 15 years which address IAI science themes as well as those which support cross-cutting programs. It is envisioned that the bulk of these funds will be contributed by IAI Member Nations.

- **IAI Project Funds** are designed to support short term activities ranging from several months to 5 years. These activities include cooperative, IAI initiated, donor initiated, and national funding agency projects. It is envisioned that outside entities such as foundations, international organizations, non-member countries, public interest groups and other research institutions will provide the majority of the project funds.

- **IAI Core Funds,** representing the smallest portion of IAI total funds, will provide support for administrative and operational costs of the IAI Directorate and some other limited institutional administrative costs. It is

envisioned that these funds will be derived almost exclusively from IAI Member contributions.

The IAI Director will submit an annual report to the CoP detailing expenditures for Core, Project and Program funds and an anticipated budget for the following year. In reviewing annual budgets for IAI activities, the CoP will make allocations based on the performance, scientific merit, and growth potential of the programs.

Funds should be disbursed in an efficient and transparent manner. The IAI should adopt an institute-wide standard accounting procedure, -- a "three account" system (General Account, Payroll Account and Endowment Fund) --, and should require accountability for funds disbursed. *(See section 4.13)*

3.3. Institute Management

The distributed network requires a centralized managerial structure capable of providing an inclusive, science-based decision-making process and the efficient and effective implementation of decisions.

The IAI Director will be responsible for implementing the policies set by the Conference of the Parties and for managing the day to day activities of the Institute; thus, the Director will be accountable for all funds disbursed by the IAI. One of the main tasks will be the administration and management of Institute funds. Once the long-term and annual budget for an IAI theme have been approved by the Conference of the Parties, the IAI Director is charged with overseeing the implementation of the approved proposals in close coordination with the Coordinating Committee.

Other items within the IAI Director's portfolio include: the promotion of an interdisciplinary agenda for themes and cross-cutting issues such as education; information dissemination on long-term program development in science agenda themes; maintenance of institutional data bases, including the peer review data base; standardization and compatibility of communications and information management and retrieval systems; fund raising; and promoting cooperation/information exchange with other efforts in the region and other regional institutions.

4. RECOMMENDED AGENDA FOR THE FIRST MEETING OF THE CONFERENCE OF THE PARTIES

The following agenda for the First Meeting of the Conference of the Parties (CoP) was tabled and approved by the IC at its July 1994 meeting in Kingston, Jamaica. The agenda addresses procedural, organizational, and institutional issues related to both the start-up and the operation of the IAI. It is recommended that the Conference address each item in the order in which it appears on the agenda.

Recommendations 4.1 - 4.5 establish the procedural mechanisms for the First Meeting of the CoP and put in place mechanisms to support the Institute in its initial phases until the IAI Director and the IAI Directorate are operational.

Recommendations 4.6 and 4.7 outline the procedure for the establishment of the Executive Council and the Scientific Advisory Committee; and recommendations 4.8 and 4.9 detail the nomination and selection processes for the IAI Director and the IAI Directorate.

Recommendations 4.10 i - vi consider the process to establish, review, and implement the IAI distributed research network.

Recommendations 4.11 and 4.12 address the designation of IAI Associated Institutions and IAI Affiliated Institutions.

Finally, recommendations 4.13 and 4.14 are concerned with the acquisition and disbursement of IAI Resources.

Recommended Agenda
for the
First Meeting Of The Conference Of The Parties

4.1 Election of the Chair of the First Meeting of the Conference of the Parties (CoP)

4.2 Discussion and Approval of the CoP Rules of Procedure

4.3 Selection of the Secretary

4.4 Election of the Vice-Chair of the CoP

4.5 Approval of the Executive Council (EC) Rules of Procedure

4.6 Election of the members of the EC

4.7 Election of the First Six Members of the Scientific Advisory Committee (SAC)

4.8 Choice of Location for the IAI Directorate

4.9 Submission of Nominations for the IAI Director

4.10 Research Consortium Proposal Development

i IAI/IC Ad Hoc Group on Architecture Report
ii Research Institutions and Research Centers as Part of a Comprehensive Research Consortium Proposal
iii Guiding Principles for Research Consortium Proposals
iv Guidelines for the Formulation of Research Consortium Proposals
v Research Consortium Proposal Review and Research Consortium Program Review

4.11 Guidelines for Designation of IAI Associated Institutions (IAI/AI)

4.12 Designation of IAI Affiliated Research Institutions (IAI/ARI)

4.13 IAI Resources and Allocation

4.1. Election of the Chair for the First Meeting of the Conference of the Parties

• The CoP shall approve by simple majority vote the terms of reference for the Chair (see below).

• The CoP shall elect the Chair to preside over the First Meeting of the Conference of the Parties.

This procedure shall be repeated at the beginning of each meeting of the Conference of the Parties until the Rules of Procedure are adopted.

Nominations will be accepted from the floor and a secret ballot vote shall be held. The individual receiving the majority of the votes shall assume the position of Chair.

The Chair shall:

- open and preside over the meeting;
- present the meeting agenda for approval;
- ensure that order is maintained;
- fulfill duties regarding credentials for the representatives; and
- preside over voting and acceptance of the Rules of Procedure that will govern the First Meeting of the Conference of the Parties and all meetings thereafter.

4.2. Selection of the Secretary

For the purposes of transition, it has been suggested that the IC Chair and the IC Secretariat would be an appropriate candidate for the Secretary until such time as the Director can assume these functions, pending a favorable consensus by the CoP. The IAI Office of the Executive Scientist will continue to serve as an integral part of the interim Secretariat. In this supporting role, the OES will assist the Secretariat in the implementation of activities related to the development of the Science Agenda. Furthermore, the OES will assist with arrangements required to convene meetings of the bodies of the IAI. This arrangement will remain in place until it is replaced by an operating IAI Directorate or until modified by the Conference of the Parties.

If a consensus decision is not reached, nominations will be accepted from the floor and a vote by secret ballot shall be held. The individual receiving the majority of the votes will assume the position of Secretary.

The Secretary shall:

- assume the functions described in the Agreement (under VIII, 5d) until a Director is chosen; and
- record the minutes of the First Meeting of the Conference of the Parties and distribute the report.

4.3. Discussion and Approval of the Rules of Procedure of the Conference of the Parties

The Chair shall conduct the discussion and implement the voting on the Rules of Procedure to be adopted by the CoP.

Each CoP Member will have one vote and the Rules shall be passed by a simple majority vote.

4.4. Election of a Vice-Chair of the Conference of the Parties

The CoP will decide by consensus if a Vice-Chair is desired. If the response is favorable, then nominations will be accepted from the floor. The CoP will vote by secret ballot on the Vice-Chair, who will be selected by a simple majority vote.

The Vice-Chair shall:

- assist the Chair in conducting the meeting; and
- substitute for the Chair as necessary.

4.5. Approval of the Executive Council Rules of Procedure

The CoP will review and approve by a simple majority vote the Rules of Procedure of the Executive Council.

4.6. Election of the Members of the Executive Council

Members of the Executive Council will be elected in accordance with the Agreement and the Rules of Procedure.

4.7. Election of the First Six Members of the Scientific Advisory Committee

Representatives to the Conference of the Parties will elect six members of the SAC who are "scientists recognized internationally for their expertise in areas relevant to the objectives of the Institute..." (Article VII, Section 2 of the Agreement)

i) Identification of Candidates

The IC recommends that prior to the First Meeting of the Conference of the Parties, Representatives work through national, regional, and international scientific advisory bodies to narrow the field of individuals they may wish to support for SAC membership. Representatives should be prepared to support the nomination of a single candidate for each of the seven research areas.

ii) Selection of Six SAC Members by the Conference of the Parties

The IC recommends that the Conference agree that the six elected by the Conference will span six of the seven research areas included in the agenda. This should assure that the SAC is comprised of individuals with a range of expertise in keeping with the breadth of the IAI scientific agenda. The following procedure is suggested:

- Representatives consider a list of candidates arranged by IAI Science themes assembled by the IC. Representatives will have had the opportunity to nominate additional individuals no later than 30 days prior to the First Meeting of the Conference of the Parties. Nomination will also be accepted from the floor at the First Meeting of the Conference of the Parties, but nominations prior to the First Meeting are encouraged to allow for review time.

- The Chairman should lead the group through the process of selecting, by consensus, one individual for each research area. The IC recommends that the Chairman follow the order of the IAI Science Agenda.

- If consensus is reached on an individual for each research area, the Conference should select six of the seven and agree to forward the name of the individual for the research area not included to the SAC with a recommendation from the Conference. The SAC or the Institute's Associates may wish to consider this individual as one of the three SAC-selected nominees.

4.8. Choice of Location for the IAI Directorate

The IAI Directorate will house the IAI Director and staff and shall serve as the primary administrative organ of the Institute. The Directorate will act as Secretariat to the Conference of the Parties, the Executive Council, and the Scientific Advisory Committee.

Procedure for Selection of IAI Directorate

- Parties are nations which have ratified the Agreement.

- Parties interested in hosting the IAI Directorate should have submitted their final proposals to the IC Secretariat no later than ~~May 1, 1994~~ 1st COP.

- Only Parties which have ratified by ~~May 1, 1994~~ 1st COP Sept 12 1994 are eligible to submit proposals.

- Proposals must be submitted in either English and Spanish or English and Portuguese.

- Proposals will be distributed to Parties for review 60 days prior to the Meeting of CoP to allow time for full review and consideration by each member.

- The site for the IAI Directorate shall be selected in accordance with the Rules of Procedure

- All Parties which ratify before the First Meeting of the Conference of the Parties are eligible to review proposals.

Information on the following should be included in proposals to host the IAI Directorate:

- Evidence of the proposing Party's long-term commitment and support for the objectives of the IAI as a regional entity and its ability to provide the means to support the expected activities of such a regional institution.

- Estimates of the financial and in-kind support provided by proposing Party; the availability of logistics support, including office arrangements, computer equipment, administrative staff, and international communication capabilities; specificity of location;

- Ease of accessing, transferring and distributing Institute-related funds to the Institute for outside sources for various institutions, universities and laboratories throughout the region; by the Institute;

- Specificity of location includes information on ease of entry to and exit from the territory of the Party hosting the Directorate, especially for personnel and equipment associated with the work of the Institute.

- Information on local tax and labor laws as they relate to IAI employees.

- Privileges and Immunities to be accorded to the IAI as a nonprofit international organization.

4.9. Submission of Nominations for the IAI Director

The IAI Director will be the principal executive of the Inter-American Institute for Global Change Research. The Director will develop and implement IAI programs which are multidisciplinary in character and contribute to the overall objectives of the Institute. The Director will also be responsible for the Directorate, the primary administrative organ for the Institute. The Director will also coordinate an Institute-wide internal accounting system. In addition, the Director and his/her staff shall act as Secretariat to the Conference of the Parties, to the Executive Council, and to the Scientific Advisory Committee.

The ideal candidate will have demonstrated the following: strong managerial skills in a significant research activity, the ability to effectively coordinate and communicate with representatives from both the scientific and policy-making communities, and the ability to plan large and complex programs in areas related to global change research.

The IC has established an ad hoc group to develop recommendations on the Director's salary, benefits, and qualifications. This group will consult similar institutions to determine an appropriate salary. The recommendations of this group are to be presented to the First Conference of the Parties.

- Nominations for the Director will be made by the Parties at the first Meeting of the Conference of the Parties. There are no restrictions as to the citizenship of the individual nominated other than he/she may not be a citizen of the nation hosting the Directorate. The Conference of the Parties may decide to receive nominations after this date.

- The nominations will include curriculum vitæ and other relevant information.

- The Executive Council will review and consider the list of candidates nominated. The

Executive Council will prepare recommendations for a Director to be presented at the next meeting of the Conference of the Parties.

- The election of the Director will occur the second meeting of the Conference of the Parties.

4.10. Research Consortium Proposal Development

i) Report of the "Ad Hoc" Working Group for IAI Research Centers

We hope to summarize in this report the key issues on the IAI Research Structure as discussed by representatives of Brazil, Argentina, Uruguay and the USA.

It should be pointed out that the focal point of our discussions was the functional aspect of the RC structure, as opposed to the legal identity of the various components. We selected this operational focus in the hopes of achieving consensus on the best mechanism for interaction among the scientific communities and acceptable decision-making and funding procedures. As a consequence, some questions referring to legal matters may still have yet to be raised. Because the spirit of the Agreement has been preserved in this suggested structure, it is expected that these legal matters could be most likely properly solved in the First Meeting of the Conference of the Parties.

- ***We propose the following organizational scheme for the research structure of the IAI:***

Research institutions with an interest in a particular theme of the Science Agenda of the IAI will unite to advance this theme. The group of research institutions within a country working to implement the same theme of the Science Agenda shall be called Research Centers (RCs). An individual will be selected from the RC's participating institutions to coordinate the efforts of the RC and represent the scientific interests of these institutions. At this first level of aggregation, it is also possible to have more than one country involved in a RC.

In general, several Research Centers will be established for a given theme of the Science Agenda of the IAI. Each RC will have a coordinator. The coordinators will join to form a Coordination Committee (CC) on that specific topic. It is the responsibility of this Committee to define the research program of the respective theme of the Science Agenda based on the abilities and interests of the Research Centers and the IAI Guidelines regarding the submission of proposals.

According to this structure, there may be more than one Research Center in each country; however, there may be only one Research Center for each IAI research theme per country. These Research Centers, working under a central coordination on integrated projects related to a particular IAI research theme constitute the second level of aggregation. The group of Research Centers working together to advance an IAI research theme will be called a Research Consortium.

The Coordination Committee will appoint one of its members as the Chairperson who will be the contact with the IAI Director and will report to the SAC, the Executive Committee and the Conference of the Parties. The Committee will also select one of the research institutions to be the nodal institution of the Research Consortium.

We believe that this organizational scheme is satisfactory and meets all the requirements posed by the countries present at the IC meeting last April. Of course, as already mentioned, some legal aspects related to the terminology still need to be considered, but we believe that these are quite strong arguments based on the spirit of the Agreement that allow for the proposed organization.

In order to further clarify the proposed IAI structure, the following terms should be defined:

Research Institution (RI) - An institution committed to participating in the research programs and activities of the IAI through collaboration in a Research Center and an IAI Research Consortium.

Research Center (RC) - A group of research institutions within a country or from multiple countries which take an active role in investigating and implementing a portion of an IAI research program through an IAI Research Consortium. There may be more than one RC in each country; however, there may be only one RC for each IAI research topic per country. Each RC will be coordinated by a RC coordinator.

IAI Research Consortium (RECON) - A union of RCs conducting centrally coordinated research on one of the themes of the IAI's Science Agenda. The number of Research Consortia will correspond to the number of research topics identified as IAI priority. Each Research Consortium will propose and implement Research Programs through a multinational Research Consortium Coordination Committee (RECON/CC).

Coordination Committee (CC) of an IAI RECON - A committee composed of coordinators or appointed representatives of the participating RCs which integrates the elements of the research program of the Research Consortium into a comprehensive proposal to be forwarded to the IAI Director for consideration and funding. The Coordination Committee will be Chaired by one of its members, selected from amongst themselves. The Chair will represent the Research Consortium through ex-officio participation in meetings of the Conference of the Parties, the Executive Council and the Scientific Advisory Committee.

Research Consortium Node - Institution within an IAI Research Consortium designated by the Coordination Committee which provides a focus and integrating site for the research activities conducted under the aegis of the IAI, within a particular theme. In most cases, there will be one Node designated for each theme, but, when deemed desirable, there may be more than one, such as the "comparative studies" themes (each node representative of the underlying differences, i.e., North/South, Pacific/Atlantic). RECON Nodes will be selected based on scientific management capacity, role in research program of the IAI, and adequate infrastructure to perform the administrative functions of data management and storage, communication, operations, preparation of reports and proposals, and management of finances.

IAI Affiliated Research Institution (ARI) - Similar to a Research Institution participating in an IAI Research Consortium, except that the applicable Article of the Agreement is Article X, and that the commitment is associated with a specific research program and for its duration.

ii) Research Institutions and Research Centers as part of a Comprehensive Research Consortium Proposal

The IAI research network is structurally designed to suit the dynamic nature of global change research and future shifts in the region's scientific and environmental priorities in response to the emergence of new issues. It is anticipated that proposals will be tabled in accordance to the readiness of the relevant scientific community and reflect the individual needs of the specific theme. The number of participating institutions is limited only by the degree of interest of the scientific communities and available resources.

IAI member nations are encouraged to participate in the research network to the fullest extent possible. The Institute's research activities and programs will be enhanced by involvement from

the region's scientific communities. In-kind and financial support on behalf of the IAI member nations is vital to the success of the IAI.

IAI member nations are encouraged to develop the most appropriate internal coordinating mechanisms for its participation in the development of an integrated, multinational, interdisciplinary proposal to establish an IAI research consortium. The outcome of the internal organization will be the establishment of Research Centers in IAI member nations. Research Center Coordinators from IAI Member nations interested in an IAI Science theme will join together to craft the research consortium proposal.

Each research institution's proposed involvement in the research consortium should be explicitly summarized in the research consortium proposal -- this should include in-kind, financial and human resources contributions. In addition, each research consortium proposal should detail the functional relationship and scientific program linkages among the various Research Centers and Research Institutions.

At any time a Research Institution or Research Center which has not been included in a Research Consortium in the first phase, is permitted to apply to join a Research Consortium.

The research consortium proposal will be subject to the review process established by the Conference of the Parties. Approval of the initial research consortium proposal establishes the institutional structure and initial scientific program for each Research Consortium based on its particular commitment to advance a portion or portions of the IAI Science Agenda.

Approval of the Research Consortium proposal depends on the implementation of suggested program, budget, personnel, or institutional modifications to any one of the participating research institutions or proposed Research Centers. These suggestions may originate at the level of the CoP, the SAC, the IAI Director or peer review within this iterative research consortium proposal review process.

iii) Guiding Principles for Research Consortium Proposals

The successful implementation of the Institute's Science Agenda depends upon collaborative efforts between individuals, institutions, and governments of IAI Member Nations. The IAI Director shall work with institutions interested in participating in the IAI and the region's scientific communities to ensure that connections are developed among potential participants.

- Groups of institutions that are part of an integrated, multinational, interdisciplinary proposal to establish an IAI research consortium will be considered for designation as Research Centers (RC). This is intended to advance the multinational "spirit" of the Agreement.
- The potential of a Research Institute to contribute to the overall advancement of the objectives of the Science Agenda of the IAI and, in particular, the goals of the research consortium in which it will function, will be the priority focus of the review process.
- The IAI Director will actively seek non-IAI sources of funding and match up potential projects with such sources.
- If two or more Research Centers in different IAI member nations are involved in the same IAI theme they shall propose to form a Research Consortium.

iv) Guidelines for the Formulation of Research Consortium Proposals

Research Consortium proposals shall be submitted in accordance with these guidelines and in the spirit of the Agreement and the Rules of Procedure. It is intended that this begin as early as possible in the implementation of the IAI.

Proposals shall be consistent with the initial research priorities as developed through IAI/IC OES thematic workshops, and include information relevant to the functions and basic requirements described in Article IX, including but not limited to the following:

- The Research Institutions forming Research Centers participating in the IAI research consortium; short and long-term (5-10 years) scientific and program objectives; proposed budget, including anticipated support from participating institutions, non-IAI sources such as national funding agencies, and requested support from the IAI;
- Management plan for the research consortium, including node institution, anticipated participation of Research Consortium coordination committee (including a chair);
- Description of each institution included in the Research Consortium proposal through the corresponding Research Center (e.g., location, current and past research programs, funding level, research and support staff);
- Evidence of a long-term commitment;
- Evidence of supporting the objectives and principles of the IAI, i.e., descriptive material and supporting evidence of past and present activities of the research facilities intended to substantiate the commitment to a program of the IAI, with reference to the individual items of the Institute's objectives (Article IX, section 4 (g));
- Memorandum of Understanding among participating institutions demonstrating their shared commitment to implement the proposed research consortium; and
- Curriculum vitæ of proposed project directors and key participating scientists;
- Evidence of multinational collaboration on a project basis and a timeline for the implementation of the program.

v) Research Consortium Proposal Review and Research Consortium Program Review

In order to achieve its objective of scientific excellence, the Inter-American Institute for Global Change Research (IAI) will ensure that its research programs and activities meet the highest scientific standards. The research consortium proposals should be evaluated on their potential to address an IAI science priority. These proposals should be thematically defined in a comprehensive and interdisciplinary fashion and should be judged for their potential contribution to the development of a regional collection of scientific data and information; and for the opportunities which they provide for training and education. Once the research consortium is established, its programs should be reviewed on an annual basis in the same manner as the initial research consortium proposal, based on timely progress reports.

The research consortium proposal and eventually the research consortium program will be evaluated using a multi-tiered review system in order to ensure that each contributes to 1) the advancement of the discipline's importance to global change science; and 2) the development of an

interdisciplinary IAI Science Agenda which reflects the scientific and environmental priorities of the region.

- ***Step1: Submission of comprehensive proposals to the IAI***

The Research Consortia proposals will be submitted in accordance with the Agreement and the Rules of Procedure. Each proposal will include identification of the scientific and program objectives of the proposed research program and implementation plan, including a budget. The budget shall identify the funds envisioned from non-IAI sources for support of the research consortium and its activities, and an estimation of the resources requested from the IAI.

- ***Step 2: Mail review***

Proposals are distributed to scientific experts for peer review.

Reviewers will consider the following general criteria:

- Technical soundness of the proposed research approach;
- Adequacy of the institutional resources available to implement research programs, based on information provided in the proposal;
- Potential of proposed research to lead to fundamental or substantial advances within the pertinent scientific field, and its contribution to advancing the IAI science agenda; and
- Appropriateness of the budget request for the proposed research program.

- ***Step 3: Review by the SAC and the IAI Director***

(the SAC will forward the mail review): The scientific and program review will be coordinated to ensure that the proposed research programs contribute to the implementation of the Science Agenda; this review will also consider financial resources requested from the IAI. While the primary focus of the SAC review will be the scientific merit of the proposal, the review of the IAI Director will consider the contribution of the program to the overall advancement of the Institute's objectives and the adequacy and availability of resources. The two aspects must be reviewed in an integrated fashion.

Scientific Advisory Committee (SAC)

The SAC will consider proposals in terms of the following:

- contribution to the augmentation of knowledge and scientific capacity in global change research fields;
- promotion of research on the physical, natural and social aspects of global change, conducted in an integrated manner;
- generation of scientific information which may serve as a resource for the development and implementation of effective environmental policies in the region; and
- contribution of data and information to international research initiatives.

IAI Director

The IAI Director will review the proposals to ensure that the proposed Research Consortium programs:

- contribute to the IAI research network;
- advance the Institute's short and long-term research objectives;
- are consistent with the region's scientific and environmental priorities as identified by Member Nations and developed through a series of scientific and program development workshops;
- reflect the IAI Founding Principle of multinational collaboration; and
- meet standardization requirements for data collection and distribution;
- meet IAI requirements for access to research sites;
- provide opportunities for Training and Education activities.

- ***Step 4: Review of Proposal by Executive Council and Approval of the Proposal by the Conference of the Parties***

Based on the Mail Review, the reviews of the IAI Director, and the comments of the Executive Council, the Conference of the Parties will approve or reject the proposal.

- ***Step 5: Notification of Results***

Following the integrated and interactive review of proposals described above, decisions regarding program funding shall be forwarded to the chair of the coordinating committee for each research consortium. A final annual program budget should be developed in consultation with the IAI Director. In addition, each participating research institution should be notified of its status in the review process. Explanation of and justification for such decisions will be forwarded to all applicants.

4.11. Guidelines for Designation of Associates of the IAI

Pursuant to Article XI, Clause 1 of the Agreement, the IAI encourages cooperative projects between the IAI and other entities such as nations from outside the region, regional or international intergovernmental organizations, industries, and other non-governmental and private organizations interested in global environmental change studies. Indeed, it is expected that the IAI will become a center of excellence known for accomplishments in the field of global change studies, and therefore entities with interests in this area will look to the IAI for the purpose of co-sponsoring projects of mutual interest, project funds for the Institute will be provided largely by these sources.

An entity seeking designation as an Associate of the Institute shall prepare, in consultation with the Director, an agreement which clearly describes the:

- areas of the Scientific Agenda that the Associate will support (Article XI, Clause 4);
- level, and terms of contribution to the program;
- executive and administrative participation which both the Institute and the Associate will have in the development of the program; and

- project design and contribution timeline.

Upon approval in accordance with the Rules of Procedure of the Conference of the Parties, the Director may carry out the agreement between the Associate and the IAI.

Associates may send observers to meetings of the Conference of the Parties in accordance with the Rules of Procedure.

Article XI, clause 3 allows Associates to collectively nominate one member of the Scientific Advisory committee.

4.12. Designation of IAI Affiliated Research Institutions (IAI/ARI)

IAI Affiliated Research Institutions (ARIs) are designated as such for a particular project or series of projects and all interested institutions are eligible for designation as IAI Affiliated Research Institutions (Article X).

An eligible institutions interested in being designated as an IAI Affiliated Research Institution shall submit a proposal through the appropriate Party in association with a research consortium/research center to the IAI Director, and in the case of Directorate-sponsored activities, to the Conference of the Parties.

Proposals for designation as an IAI Affiliated Research Institution shall include the following:

- thorough description of the institution interested in receiving IAI funds for particular project;
- statement of agreement of the responsible authority of the Institution concerned; and
- project proposal containing the following elements: title; background; duration; target; specific objectives, rationale for project; inputs; expected outputs; budgetary requirements, other requested support (if applicable), timeline, curriculum vitae of scientific personnel, project manager and institutional and cooperative arrangements.

Proposals will be subjected to the same review process as entities seeking designation as IAI RCs (peer, SAC, IAI Director and CoP review.)

4.13. IAI Resources

i) Program Funds

The IAI research programs are designed to advance the Institute's long-term objectives and represent long-term commitments ranging from 3 to perhaps more than 15 years. Programs are intended to be interdisciplinary, incorporating the physical, natural and social sciences, and multinational in nature.

The primary source of Program funds will be support from participating institutions and voluntary contributions from member countries as pledged at an annual donor session for a three year budget period.

Additional sources such as non-member states, international organizations and foundations will be encouraged to contribute. It is expected that support from outside sources will increase based on the Institute's ability to launch research and related activities with clear benefits for the region.

Program funds represent the largest portion of IAI resources and can be divided into two categories: research consortium funds and directorate managed activities.

- ***Research Consortium Funds***

- The IAI shall support multinational and integrated multi-disciplinary research and training and education programs with these funds.

- Recognizing that IAI will have limited financial resources, priority for program funding shall be based on the scope of multinational collaborative activity and the scientific justification for the individual projects.

- A Research Institution shall contribute to the research consortium/s of which it is a member to the fullest extent possible. The Research Institution shall show how it will effectively use IAI resources to promote the objectives of the Institute. The strategy for such a contribution /collaboration shall be included in the research consortium proposal.

- Each participating Institution shall abide by IAI accounting standards and submit this information freely to the IAI Director and the Conference of the Parties.

- ***Directorate Managed Activities***

- The IAI Director will implement programs which contribute to the multidisciplinary objectives of the IAI, the overall growth of the Institute, and the development of regional capacity in science and technology. In implementing these activities and programs designed by the CoP, the Director should pay special attention to bridging the gap between policy and science issues and promote the application of scientific information for the benefit of society.

- The IAI Director shall prepare an annual report of the Directorate programs in accordance with IAI accounting procedures.

- The IAI Director is responsible for seeking additional funding from outside sources.

ii) Project Funds

Project funds will support projects which are short term activities ranging from several months to five years. If the IAI proves effective it likely will attract partial or complete funding for IAI projects from outside sources.

Recognizing the interest of other parties in issues related to global change research, the IAI will encourage cooperative projects between the IAI and other entities such as industry, foundations, other research institutions, public interest groups and policy groups.

An interested party will submit a proposal for an IAI project to the IAI. This proposal will then be subjected to the complete IAI proposal review and approval process.
The following guidelines will apply to each IAI Project:

- a project manager will be appointed.

- projects over a set amount, to be determined by the Conference of the Parties, will require the approval of the Conference of the Parties / Executive Council.

- a proposal will be developed detailing the cross-cutting nature of the project and its relevance to the objectives of the Institute.

Several types of IAI Projects are envisioned:

- ***Type I Projects***

- In the case of Type I projects, an "official of the Institute" will draft the proposal for outside funding. The proposal will be reviewed and approved by the Director and will be subject to mail review.

- ***Type II or Donor-Initiated Projects:***

- In the case of Type II or donor initiated projects, the donor will notify the Director of its interest in supporting a project. The Director will negotiate the terms of the project and select a project manager. If the project involves a research consortium, the Director must consult with the research consortium coordinating committee. A national funding agency may be considered a donor.

- ***Type III or National Funding Agency Programs***

  A wide selection of national programs promoting global change research currently exist throughout the region, some of which are likely to be highly compatible with IAI priorities. Support for such programs could be integrated into the IAI framework. Scientists associated with the IAI, for example, could submit proposals to such programs to supplement their existing support. The objectives and standards for these programs should be consistent with IAI policies.

iii) Core Funds

The source of Core funds will be voluntary contributions from IAI members in increments of U.S. $5,000. Core support will represent the smallest portion of the total IAI funds.

Core support will provide for the administrative and operational costs of the Directorate and some more limited administrative and operational costs associated with the IAI RC's. This includes: Director's salary, staff support, IAI Organizational Meetings, Financial Management Costs (accounting software, external auditing, training), Communications and Publications.

The funds will be managed by the IAI Director -- a complete record of all transactions and expenditures in keeping with IAI accounting procedures will be provided to the Conference annually.

A more detailed description of these and other related issues can be found in the IAI/IC White Paper on Financial Issues.

4.14. Guiding Principles for IAI Resource Allocation

- IAI resources fall into three categories: Program, Project and Core Funds.

  IAI Program and Project monies shall be allocated on the basis of scientific excellence using simple, well documented mechanisms to transfer funds.

- It is expected that donor sessions of IAI Parties and Associated Institutions will be utilized to collect core and program funds; while project funds may be generated in this manner, it is likely that such funds will be provided by non-IAI sources.

- Special attention shall be devoted to balancing the guiding principle of scientific excellence with the objective of enhancing scientific capabilities in the region.

- Resources shall be allocated on the basis of merit.

- Administrative and operational costs for both the IAI Directorate and the IAI research consortia will be kept to the minimum required to operate effectively.

- Existing Institutions shall be utilized as much as possible to enhance efficient use of resources and to avoid duplication of activities.

- Participating institutions shall minimize overhead" or "indirect costs" on IAI funds. Core funding is intended to cover institute-wide administrative costs.

- Financial records must be kept by every participating institution and forwarded annually to the research consortia nodes and the IAI Director.

- Subsequent funding will be contingent upon demonstrated achievement of goals and objectives, efficient use of IAI Resources, and the provision of all accounting records as requested by the IAI Director.

- Funds shall be disbursed in a timely fashion.

ATTACHMENTS

Attachment A

PRELIMINARY RECOMMENDED DRAFT

A. ISSUES TO BE CONSIDERED BY THE SCIENTIFIC ADVISORY COMMITTEE (SAC)

- Selection of a SAC Chair
- Discussion and approval of SAC Rules of Procedure
- Preparation of a list of candidates to fill three seats on the SAC
- Discussion and approval of recommendations regarding the Scientific Agenda of the IAI
- Discussion and approval of suggestions to long-term plans and to the Institute's annual program
- Establishment of guidelines to the IAI mail (peer) review system

Attachment B

PRELIMINARY RECOMMENDED DRAFT

B. ISSUES TO BE CONSIDERED BY THE EXECUTIVE COUNCIL

- Election of the Board as outlined in the Rules of Procedure
- Discussion and submission to the Conference of the Parties, if appropriate, recommendations for the long-term plans and annual program of the IAI
- Consideration of the proposal on the Institute's staff policy to be submitted to the Conference of the Parties
- Study of a proposed start-up plan for the IAI Directorate to be reviewed by the Conference of the Parties. The plan should include recommendations regarding the number of people necessary to begin the Directorate's activities and possible salary levels
- Study of the financial policy of the Institute to be submitted to Conference of the Parties.
- Study of a proposal of the IAI's annual budget to be submitted to the Conference of the Parties.
- Consideration of proposals for Research Consortia of the IAI, in order to provide analysis useful to the Conference of the Parties.
- The Executive Council will review and consider the list of candidates nominated. The Executive Council will prepare recommendations for a Director to be presented at the next meeting of the Conference of the Parties.
- The election of the Director will occur the second meeting of the Conference of the Parties.

Attachment C

PRELIMINARY RECOMMENDED DRAFT

C. ISSUES TO BE CONSIDERED BY THE SECOND MEETING OF THE CONFERENCE OF THE PARTIES

- Selection of the Chair and other Members of the Board of the Conference.
- Election of the Director of the IAI.
- Discussion and approval of the Scientific Agenda, of the long-term plans and of the IAI's annual program
- Discussion and approval of the staff policy
- Discussion and approval of the organizational structure of the Directorate
- Discussion and approval of the financial policy
- Discussion and approval of the annual budget
- Discussion and approval of the proposals for IAI Research Consortia
- Selection of three members to constitute the SAC

The Conference of the Parties must select the other three members among the candidates presented by the SAC itself.