

DRAFT¹

**Report of the Eleventh Meeting of the
IAI Scientific Advisory Committee**

***Lima, Peru
April 19-20, 1999***

¹ Draft Report: comments by SAC Chair to be incorporated

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***Eleventh Meeting of the Scientific Advisory Committee
April 19-20, 1999 Lima, Peru***

This report is not a chronological record. For completeness, greater clarity, and readability, the IAI Directorate grouped discussions of an agenda item together under the first occurrence of the topic.

April 19, 1999: Morning Session

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|---------|---|
| 09:00am | Opening: Welcome and charge to the Committee
<i>John Stewart, SAC Chair, and Ronald Woodman, Host</i> |
| 09:10am | Introduction of SAC Members and Participants
<i>John Stewart</i> |
| 09:20am | Discussion and Approval of the SAC XI Agenda
<i>John Stewart</i> |
| 09:30am | Discussion and Approval of the SAC X Meeting Report
<i>John Stewart</i> |
| 09:40am | Presentation of the Peruvian National Committee for the Environment - "Comité Nacional del Ambiente" (CONAM)
<i>CONAM President</i> |
| 10:10am | Coffee Break |
| 10:30am | Update on the Collaborative Research Network Program |
| - | Review Process and Approval by the IAI Executive Council |
| - | Negotiations with awarded Principal Investigators |
| - | Appointment of SAC members to specific CRN projects |
| - | Submission of IAI CRN proposal to US National Science Foundation (NSF) |
| - | Planning for the First CRN PIs Meeting (together with next SAC meeting)
<i>Armando Rabuffetti and Brad Wilcox</i> |
| 12:30pm | Lunch |

April 19, 1999: Afternoon Session

- | | |
|---------|--|
| 02:00pm | Presentation and Discussion on the Program to Expand the Scientific Capacity in the Americas (PESCA)
- Summary of the PESCA Working Group (Miami, USA, April 13-14, 1999) |
|---------|--|

Armando Rabuffetti and John Stewart

- 03:00pm Update on the Initial Science Program (ISP)
Brad Wilcox
- 03:30pm IAI-University of Miami Summer Training Institute
- Update on the first Summer Training Course (Summer of 1999)
- Discussion on potential themes for the Summer Institute 2000 and 2001
Otis Brown and Armando Rabuffetti
- 04:10pm Coffee Break
- 04:30pm Report on the recommendations of the Communications Task Force
Armando Rabuffetti
- Annual Report
- Homepage
- Newsletter
- Others
- 04:50pm Update on past and future Scientific Workshops
- American Meteorological Society (AMS) 1999, *Brad Wilcox*
- Industrial Transformation Workshop, *Marcella Ohira*
- Upcoming 1999 Open Meeting of the Human Dimensions of Global
Environmental Change Research Community, *Marcella Ohira*
- Workshop on Climate Variability and Agriculture (CLIMAG), *Armando Rabuffetti*
- 05:10pm IAI Science Forum together with the IAI Executive Council and Conference of
the Parties (June 16, 1999 Canada)
John Stewart and Brad Wilcox
- 06:00pm Adjourn
- 08:00pm Instituto Geofisico del Peru Reception at Club Regatas de Lima, Chorrillos

April 20, 1999: Morning Session

- 09:00am IAI-VAMOS Collaboration
Brad Wilcox
- 09:20am IAI- IGBP/Land-Ocean Interactions in the Coastal Zone (LOICZ) Collaboration
Brad Wilcox
- 09:40am Presentation of IAI principal investigators from Peru
Carlos Llerena and Eduardo Franco
- 10:40am Coffee Break
- 11:00am SAC Rules of Procedures – Conflict of Interest

John Stewart

11:20am Election of SAC members – Conference of the Parties slots
- Recommendation of areas of expertise for future members by the SAC
John Stewart

11:40am Future SAC Meetings: Dates and Sites
John Stewart

12:00pm Adjourn and lunch

April 20, 1999: Afternoon Session

1:30pm Field trip to Jicamarca Observatory and a visit to the Museo de la Nación

2. Opening

John Stewart, chair of the SAC, and Ronald Woodman from the Instituto Geofísico del Perú, welcomed all SAC members and additional participants to the eleventh meeting of the IAI Scientific Advisory Committee.

Ronald Woodman expressed his pleasure to host the eleventh meeting of the SAC in Lima, Peru, and informed participants about a reception offered by his institution to introduce and present the IAI and SAC members to a number of institutions and individuals, who are related to global change issues in Peru – congress representatives, heads of science and technology institutions, universities, etc.

3. Introduction of Participants

SAC members present included John Stewart, Fernando Ortega, Carlos Scoppa, Ronald Woodman, Luiz Bevilacqua, Otis Brown and Ernesto Medina. Also present were Armando Rabuffetti, IAI Director, Brad Wilcox, Scientific Officer, and Marcella Ohira Schwarz, Project Officer, from the IAI Directorate.

The SAC chair conveyed to the participants the unavailability of Diana Liverman, John Robinson and Rubén Lara, who were unable to attend the meeting.

4. Discussion and Approval of the SAC XI Agenda

The SAC approved the agenda with one modification: the presentation of the Peruvian National Committee for the Environment - "Comité Nacional del Ambiente" (CONAM) representative was postponed. Unfortunately, the CONAM representative was unable to attend the meeting.

5. Discussion and Approval of the SAC X Meeting Report

The report of the tenth meeting of the SAC was approved with one modification: the list of CRN projects, which were recommended for funding by the SAC should be listed in numerical order of the proposals.

6. Update on the Collaborative Research Network (CRN) Program

Brad Wilcox briefed the SAC on the status of the CRN program. All of the projects that were recommended for funding by the SAC were approved by the Executive Council. Since January the Directorate has been engaged in negotiations with the individual PI's of each project. On average budgets were reduced by 18% and changes suggested by the SAC were suggested to the PI's. The Directorate also prepared and submitted a proposal to the NSF for formal approval for project funding. At the time of the meeting, the proposal was being externally reviewed. Some internal reviewers within the NSF expressed concern that the SAC was too involved in selection of individual projects given the appearance of institutional conflict of interest. The SAC discussed strategies for future reviews to reduce the appearance of conflict of interest.

The SAC made some recommendations regarding the management of the Collaborative Research Network (CRN) program:

SAC members were assigned to specific CRN projects according to the table below:

Proposal – PI	SAC member	SAC member	SAC member
Luckman	Bevilacqua1		
Magana		Medina2	Lara3?
Campos	Lara1?		
Cornejo	Robinson?	Lara2?	
Nunez	Liverman1?	Robinson2?	
Baumgartner	Brown1		
Silva	Ortega1		
Sala	Medina1		
Vernet		Bevilacqua2	
Tiessen	Scoppa1	Ortega2	
McClain		Stewart2	
Wood	Stewart1		
Franco	Woodman1	Scoppa2	
Confalonieri	Liverman1 ?	Brown2?	

Observations:

- Confalonieri's proposal should have two members assigned, one social and one natural scientist.
- The Directorate should contact Diana Liverman, John Robinson and Ruben Lara to check if they agree with the proposals that have been assigned to them. The Directorate should inform the PIs about the SAC member (s) that will interact with them to assist in the coordination of their CRN projects.
- PIs and their assigned SAC members should communicate as much as possible (by e-mail) to facilitate the exchange of information and the coordination and development of the networks. Communications should be copied (cc) to the Directorate to keep the IAI staff informed. PIs should be informed that the SAC member's role is to facilitate and help in the communication and understanding of the CRN program goals.
- PIs meetings (every other year) will be a good forum for PIs and SAC members to meet and interact. If funds permit, the IAI should hold a PIs meeting every year.
- SAC members should not be proponents of any projects, but only knowledgeable about the projects they will interact with.
- The SAC suggested that IAI's guidelines for the administration of CRN projects should include instructions to the leading institution to minimize, as much as possible, administrative sub-contracts bureaucracies with co-PIs institutions.

7. Presentation and Discussion on the Program to Expand the Scientific Capacity in the Americas (PESCA)

The SAC chair reported to the committee the work of the PESCA working group in the definition of the program objectives, implementation strategy, announcement and guidelines. The SAC agreed with the recommendations made by the PESCA working group regarding the implementation of the PESCA program and suggested only one modification (See document entitled Summary of PESCA working group, April 13-14, 1999, Miami, USA): the proposals submitted under the PESCA program should be sent to peer review (mail) followed by and evaluation by the IAI Directorate. The Directorate should recommend to the SAC the proposals, which should be funded and the SAC will endorse (or not) the Directorate's recommendations.

The SAC also recommended that the IAI make a special effort to link up social scientists to existing IAI projects (PESCA can provide a good opportunity) and that the IAI ask the US representative to investigate possibilities for using IAI resources coming from the US government to fund Cuban institution under the PESCA and other IAI programs. Perhaps it would be possible to repass funds through non-governmental organizations (NGOs) or foundations such as the Smithsonian Institution.

After the discussion on PESCA, Fernando Ortega raised once again his concern regarding the non participation of small islands nations in the Caribbean in IAI activities. The SAC agreed with his concern and hoped that the PESCA program can partially address this problem. Nevertheless, other actions need to be taken to improve the islands' participation.

Regarding the association of new member states and small inslands in the Caribbean to the IAI agreement, the best would be to include these nations in a regional network association, e.g. CARICOM to become an associate to the institute. In addition, IAI could strengthen the links with some countries such as France and the Netherlands regarding the participation of some island colonies in the region: Suriname, Guianas, St. Maarten/St. Martin, Guadalope,

Martinique, etc. Fernando Ortega will prepare a document for the next meeting of the SAC addressing this problem to be further discussed by the committee.

8. Update on the Initial Science Program (ISP)

Brad Wilcox presented a summary of the Initial Science Program. The summary included a listing of publications published, submitted and in progress. In addition a listing of meetings where IAI sponsored results were presented was included as was a partial listing of students supported under IAI research.

The SAC made the following recommendations regarding the Initial Science Program (ISP) program progress reports:

- a) PIs should acknowledge the IAI in all publications;
- b) PIs should inform the IAI about any citation of their publications;
- c) Include the progress reports in the IAI homepage;
- d) Classify the publications per category (i.e. peer reviewed, etc);

Provide additional information about the students, who have been supported in each project (i.e. students' nationality in addition to their institution/affiliation).

9. IAI-University of Miami Summer Training Institute

Otis Brown presented an update on the first summer institute. He informed the SAC that there is a huge demand for this kind of course, but limited funding is a constraint. The summer institute this year will support 20 participants, but a higher number of participants 20-25 would be workable and possible, if funding would allow. He also informed the SAC that a number of professionals from institutions such as NASA, NOAA, universities, etc were very interested in the course and willing to participate in the course paid by their own institutions.

The SAC discussed the following potential topics for the next year Summer Institute course:

- a) Land use and cover change;
- b) Coastal zones (potential collaboration with LOICZ?);
- c) Disaster prevention (hurricanes, El Nino disasters);
- d) Biodiversity - Ecosystems restoration (CO2 sinks).

The IAI and the Summer Institute organizers should consider enlarging the number of students up to 25, if funding allows.

It was then suggested that Land use and cover change would be the theme for next year's summer institute and Coastal zones the following year. Therefore, during the 3 years of the summer institute, the three major areas of global change would be covered: atmosphere, land and oceans.

The SAC will suggest names of potential natural and social science coordinators and lecturers for next year's course, as well as their contact numbers to Otis Brown. In addition, the SAC also recommended potential collaboration with other international programs in the area of land use such as IGBP's Land Use and Cover Change (LUCC) and GCTE.

10. Report on the Recommendations of the Communications Task Force

Armando Rabuffetti reported on the advancements of the Communications Task Force. The third meeting of the Communications Task Force was held from April 15-16, 1999, in Miami, USA and had the following participation: the EC representative of Cuba (Barbara Garea) as chair, the IAI Director (Armando Rabuffetti) or the IAI Project Officer (Marcella Ohira Schwarz) as alternate, and one representative from each of the following: IAI Newsletter (Carlos Ereño), and IAI/GEF Project (Eduardo Banús).

The Director then provided the SAC with an updated on the various communications and dissemination mechanisms:

Annual report: The IAI 1997-1998 Annual Report was published and presented a more scientific approach focusing on El Niño, in addition to information related to the institutional, scientific and programmatic developments of the IAI. The Director asked the SAC to recommend potential themes for this year annual report?

Homepage: The IAI Project Officer informed the SAC that a new IAI homepage has been underconstruction and should be available by June 1999. The IAI Data and Information System (DIS) manager has been working on refining the layout of the homepage and in developing automatic links with the IAI Newsletter and other IAI projects and international programs homepages.

Newsletter: the IAI newsletter has been the main mechanism of dissemination of information and publicity. The task force agreed that the newsletter should now change in content and presentation, and contain more scientific articles, including articles from other newsletters, reports from PIs and from workshops. The Communications Task Force thanked the two SAC members, Diana Liverman and Fernando Ortega, who have been in the Newsletter editorial board and requested their further support and assistance in the board's contribution to and review of the next issues of the newsletter. It also inquired about their willingness to continue in the editorial board. Editorial board mandate is one year. In response to the request of the IAI Communications Task Force, all SAC members agreed to provide information (i.e. articles, seminars, events, and opportunities) to the IAI Newsletter editor.

Other materials and publications: The Task Force informed the SAC that it would highly recommend that IAI publications be available after scientific meetings, workshops, and as results of scientific projects, as soon as possible. An example of this is the publication of the IAI/IHDP report on Industrial Transformation, which was published about 1-2 months after the workshop was held. In addition, the IAI should urge PIs to publish additional reports (of meetings, workshops, courses, as part of the project activity), in addition to mid-term and final reports.

11. Update on past and future Scientific Workshops

Brad Wilcox summarized the IAI participation in the 1999 annual meeting of the American Meteorological Society in Dallas, Texas. The IAI formally participated and helped organize two sessions linked to IAI supported climate research in the Americas. One session was an IAI Science Session and the other was a joint session with VAMOS. In addition, to these two sessions, IAI supported work was presented in many other sessions at the meeting.

IAI/IHDP workshop on Industrial Transformation: The IAI Project Officer reported to the SAC on this initiative to strengthen the collaboration with IHDP and encourage the participation of

Latin American social and natural scientists in the development of a global network on this theme. This initiative also presents a good opportunity to develop links with the European Community since this effort is lead by some IHDP European institutions and scientists.

Open Meeting of the Human Dimensions Community – The IAI Project Officer reported that an additional initiative to strengthen the human dimensions activites in the IAI is the join support of IAI (US\$ 8,800) and NSF (US\$ 20,000) to sponsor the participation of Latin American scientists in the upcoming meeting of the Human Dimensions Community, which will be held in Shonan Village, Japan, from June 24-26, 1999. The IAI has been approached by the IHDP regarding IAI's interest to co-plan and organize the 2001 meeting of the community in Latin America. The previous meetings were held in North America, Europe and Asia and the organizing committee would like the next one to be held in Latin America or Africa. IAI seems to be the ideal partner for the co-planning and organization of such as meeting, if it is held in Latin America. The question whether IAI can participate in the co-planning and organization will depend on the availability of funds, the cooperation of a local partner to coordinate the efforts, and some local support staff to take care of all the necessary logistical arrangements. The SAC endorsed the IAI iniatives and efforts to support human dimension activities and its collaboration with IHDP and decided to further discuss the issue of the 2001 open meeting in future meetings of the committee.

CLIMAG workshop – The IAI Director reported to the SAC on the participation of IAI in the upcoming START workshop on Climate Variability and Agriculture, which will be held in Geneva, Switzerland (date to be announced). The IAI is planning to support 3 ISP and 3 CRN investigators to attend the meeting. Funds will be made available from NSF.

The IAI Director informed the SAC that he has held conversations with a number of international global change programs such as WCRP, IGBP, IHDP, and that some of these institutions might soon become an associate to the institution. The IAI hopes to be able to sign an agreement with a prospect associate at the upcoming meetings of the EC and CoP in Canada.

12. IAI Science Forum together with the IAI Executive Council and Conference of the Parties (June 16, 1999 Canada)

Brad Wilcox summarized the status of the science forum to be part of the upcoming meetings of the EC and CoP in Ottawa, Canada. Because of limited space and resources, the poster session was scaled back to only a few selected projects. In addition, a search is on for Latin American scientists to present a keynote speech at the event.

Regarding the upcoming IAI Science Forum (June 16, 1999, Ottawa, Canada) the SAC recommended that the science forum focus be broaden to address global change issues rather than climate change alone.

13. IAI -VAMOS Collaboration

In March of 1999, members of the IAI Directorate and Executive Council met with the executive board of VAMOS to discuss potential mechanisms of collaboration. It was jointly agreed that IAI might be able to facilitate VAMOS science objectives by managing a research grants program specifically aimed at meeting the science objectives of VAMOS. For this to

happen, funds would need to be provided by national funding organizations that have an interest in furthering the scientific aims of VAMOS.

The IAI has been approached by a number of global change international programs, such as VAMOS and LBA, to investigate possibilities for IAI managing and administering their research projects. The SAC was pleased to learn that the IAI has been perceived as an “honest broker” and has international credibility to do project management. According to the SAC, this activity could be a very good initiative to interact with other global change organizations and get additional funding.

14. IAI - IGBP/Land-Ocean Interactions in the Coastal Zone (LOICZ) Collaboration

LOICZ has expressed interest in an active collaboration with IAI with the objective of elevating coastal zone research related to global change. LOICZ has a particular interest in strengthening the coastal zone research in the Caribbean region. The SAC fully endorsed the LOICZ/IAI collaboration.

15. Presentation of IAI principal investigators from Peru

Eduardo Franco and Carlos Llerena, two Peruvian scientists involved in separate IAI supported research projects provided an overview of their respective research program. Franco is the PI of a CRN grant that will be focusing on developing a better understanding of disaster management as related to ENSO. Llerena is the PI of an ISP project that is working towards developing a better understanding of hydrological and biogeochemical processes in high elevation mountain watersheds on the eastern flank of the Andes. He is also the Co-PI of a CRN project aimed at establishing experimental watersheds along the Andean fringes of the Amazon basin.

16. SAC Rules of Procedures – Conflict of Interest

The IAI Scientific Officer informed the SAC about the perception of some NSF reviewers about a potential conflict of interest of SAC members in the review and approval of the CRN projects. This perception was based on the fact that SAC members and their institutions have been participating in IAI projects as co-PIs, institutional representatives, etc.

The SAC decided to include as an official rule of procedure of its committee the IAI Directorate’s procedure on conflict of interest, which has been followed in all IAI peer review of past and current programs (CRN, ISP, Start-up Grants). (See IAI Conflict of Interest form attached). In the cases where a conflict of interest existed, SAC members abstained from participating in the discussion and review. The form, which has been signed by all SAC members in all IAI reviews reads:

<p>“I have read the list of affiliations and relationships (listed on this form) which could prevent my participation in matters involving such individuals or institutions. To the best of my knowledge, I have no affiliation or relationship that would prevent me from performing my proposal review duties. I understand that I must contact the IAI Directorate if a conflict exists or arises while I am reviewing IAI proposals. I also will not divulge any confidential information which I may become aware of while I am reviewing IAI proposals. I further understand that I must sign and return this Conflict of Interest Statement to the IAI Directorate together with the review of the proposals.”</p>

The SAC will ratify this new rule of procedure at its next meeting.

The SAC recommended that the IAI Directorate further discusses with NSF and other potential IAI donors the issue of conflict of interest and the SAC's role in the review process of IAI scientific programs.

17. Election of SAC members – Conference of the Parties slots

The SAC chair informed the members that elections for two SAC members will be held at the meeting of the IAI EC and CoP in the year 2000. The nominees for the SAC vacancies are to be made by the parties and not by the SAC for this coming election.

The SAC Chair informed the committee that the two members, whose mandate is up are: Carlos Scoppa and Fernando Ortega. Both members expressed their willingness to continue in the SAC if re-elected.

The SAC then recommended the following areas of expertise and list of potential scientists to be considered: health and the environment, natural hazard reductions (volcanology, earthquakes), climate connections, atmospheric sciences (meteorology, climatology), coastal zone management, interactions between land and sea, estuarine processes, and also scientists with a global view of global change. The SAC also considered that when Diana Liverman's second mandate ends, the committee will need to readdress the human dimensions expertise. Those recommendations are made based on the current composition of the SAC and the areas of expertise that are lacking in the committee.

Areas of expertise for future SAC members and names of potential candidates:

Roger Pilke, Ed Miles (climate and salmon and string flow – social sciences), Sharoosh .?. (hidrology – University of Arizona), Maria Teresa Prosto (dynamics of coastal processes in the amazon - Emilio Goelde), Yara Scheffer Noveli (University of São Paulo), Ezequiel Ezcurra (desertification – Universidad Autonoma de Mexico), Ariel Lugo (terrestrial ecosystems and modeling, tropical forests as CO2 sinks - International Institute of Tropical Forest in Puerto Rico), Joseph ?? (climate variability and terrestrial ecosystems - Smithsonian Institution in Panama), Jaime Cavellier from Colombia (colombian Andes basic hydrology and ecosystems looking at impacts of forest utilization and drugs cultivation), Eugenio Saluensen from Chile (atmospheric chemistry), Carlos Leger (energy planning, mix of social sciences and the environment – Federal University of Rio de Janeiro).

The SAC also decided that it should avoid recommending scientists, who are Principal Investigators of IAI projects for the committee.

Ernesto Medina informed the SAC that he will not run again for SAC re-election in 2001.

SAC members agreed to send additional suggestions of potential candidates to the SAC chair or to the Scientific Officer.

18. Future Meetings: Dates and Sites

The SAC tentatively scheduled the twelveth meeting of the SAC to be held on the first or the second week in November at the IAI Directorate in São José dos Campos, Brazil or in Miami, USA. Once again, Otis Brown was very kind to offer to host the meeting at the University of Miami. Ernesto Medina will also investigate the possibility of hosting future meetings of the SAC in Venezuela. The SAC left it up to the IAI Directorate to decide the meeting site due to considerations of costs and facilities associated with the planning of the SAC meeting possibly with a join PIs meeting and PESCA review.

19. Adjourn

On behalf of the SAC and the IAI the SAC chair thanked all SAC members for their participation in the meeting, and expressed their most sincere thanks to Ronald Woodman and Gloria Chia from the Instituto Geofísico del Perú for hosting the meeting , as well as Brad Wilcox and Marcella Ohira from the IAI Directorate for making all the arrangements for the meeting.

The SAC chair then adjourned the eleventh meeting of the SAC.