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Minutes of the Fifteenth Meeting of the IAI Executive Council (EC)
São José dos Campos, Brazil
June 25-26, 2002

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

15ᵗʰ Meeting of the IAI Executive Council (EC)
June 25-26, 2002 – São José dos Campos, Brazil

AGENDA

Tuesday – June 25, 2002	Day 1

- <u>Morning session (08:30 – 12:30)</u> -

08:30 - 9:00 Registration

Opening ceremony
    INPE Director: Luiz Carlos Moura Miranda
    EC Chair: Antônio Mac Dowell

Approval of the Agenda

Approval of the Report of the 14ᵗʰ Meeting of the EC

Report of the EC Chair: ***A. Mac Dowell***
- *Activities charged to the EC by the CoP at its last meeting;*
- *EC activities, actions and decisions;*
- *EC items to be forwarded to the CoP.*

Composition of the Nominating Committee for the election of the IAI Scientific Advisory Committee (SAC) members

10:30 – 10:45 Coffee Break

Report of the IAI Directorate: ***J. Stewart and the IAI Staff***
- *Overview from the IAI Director (John Stewart);*
- *Scientific progress and results emerging from IAI funded projects (Gerhard Breulmann);*
- *Overview of the financial status and Core Budget for FY 2002/2003 (Silvio Bianchi);*
- *Overview of the Communications, Training and Education Area (John Stewart).*

 Report of the Scientific Advisory Committee (SAC) Chair   ***Gerhard Breulmann***

12:30 Lunch

- <u>Afternoon session (02:30 – 06:30)</u> -

Report of the Working Groups/Task Forces/Committees:
- *Financial and Administration Policy ....Vanessa Richardson*
    Rules & Procedures Standing Committee ....Louis Brown
    - *Approval of the documents "Analysis of the Structure of Internal Controls*
        of the IAI" and "Using IAI Funds to Pay for Delegate Travel to EC and
        CoP Meetings".
- *Fund Raising ....Carlos Ereño*
- *Communications..Bárbara Garea*

04:30 – 04:45 Coffee Break

- *Data Policy and Information System (DIS)...Paul Filmer*
- *(ad hoc) Working Group responsible for the final adjustments in the document "Suspension and Termination Procedures for IAI Projects"...Paul Filmer*
  - *Approval of the document*
- *(ad hoc) Working Group responsible for discussing how to increase the countries' commitment to IAI (ICCWG) + (ad hoc) Working Group to present proposals to the EC with respect to the way the IAI will deal with delays in member countries voluntary contributions in the future ....C.Ereño + P.Filmer*

Cocktail

Wednesday – June 26, 2002	Day 2

- Morning session (10:30 – 12:30) -

Report of the Nominating Committee for the election of SAC members

Report of the IAI Director Selection Committee   ***A. Mac Dowell***

Update on the composition of the IAI External Review Committee   ***G. Taylor / P. Filmer***

Approval of the items to be forwarded to the CoP   ***A. Mac Dowell***

Approval of the Action List of day 1   ***A. Mac Dowell***

Future sites and meetings

Adjourn

- Afternoon session (02:30-04:00) -

Meeting between the EC Chair and the IAI Directorate as necessary.

Meetings of Working Groups as necessary.

- -

1.   Opening Session

The representative from Brazil, Antônio Mac Dowell, opened the Fifteenth Meeting of the Executive Council (EC).
On behalf of the Government of Brazil, Dr. Luiz Carlos Moura Miranda (INPE Director - National Institute for Space Research) welcomed the EC delegates. He pointed out the importance of international cooperation for INPE and commented on the several activities the Institute has been carrying out under the collaboration of different countries.

The EC Chair, Antônio Mac Dowell, welcomed all the participants and thanked the government of Brazil for hosting the Fifteenth EC Meeting in São José dos Campos.

Participants at the meeting were:

EC Country Representatives
- Argentina: Carlos Ereño
- Brazil: Antônio Mac Dowell
                 Mary Kayano
- Canada: Michel Béland
- Costa Rica: Eladio Zárate
- Cuba: Bárbara I. Garea Moreda
- Panama: Emilio Sempris
- Mexico: - - - - -
- United States: Margaret Leinen
                 Paul Filmer
                 Vanessa Richardson
                 Louis B. Brown (also representing APN)
- Uruguay: Raúl Michelini

Observers:
- Chile: Renato Quiñones (CONICYT)
- Jamaica: Gladstone Taylor (International Centre for Environmental and Nuclear Sciences)
- Venezuela: Danilo Lopez (FONACIT)
- APN: Louis B. Brown (also representing the USA)

Invited Scientists:
- Valdir Innocentini (INPE, Brazil)

IAI:
- Directorate: John W. B. Stewart   Gerhard Breulmann   Silvio Bianchi
                 Luis Marcelo Achite   Eduardo Banús   Luciana Q. Ribeiro
                 Ligia Fróes   Isabel C. Vega
- Support: Elvira Gentile

2. Approval of the Agenda

The EC approved the agenda of its Fifteenth Meeting with one modification:
➢ The SAC report would be presented by the Scientific Officer, Gerhard Breulmann, instead of the SAC Chair, Luiz Bevilacqua *(Action 1 – Day 1).*

3. Approval of the Report of the Thirteenth EC Meeting

The EC approved the Report of its Fourteenth Meeting with no modification (*Action 2 – Day 1).*

4. Report of the Executive Council Chair

The EC Chair, Antônio Mac Dowell, reported on the:
- *Activities charged to the EC by the CoP-VIII (Panama);*
- *EC activities, actions, and decisions after EC-XIV (Havana);*
- *EC items to be forwarded to the CoP-IX (SJC).*

1) Activities charged to the EC by the CoP-VIII (Panama)

- Although CoP-VIII had authorized the EC to approve the document "Suspension and Termination Procedures for IAI Projects" (19.ECXIII/CoPVIII/DWD/Eng/May 28, 2001) at its 14th meeting in Havana, the EC-XIV agreed that the document needed further discussion. The EC Chair informed that the Chair of the working group responsible for the final adjustments in the document, Paul Filmer, would present their report in the afternoon session of the meeting.

- The CoP-VIII approved the IAI Directorate's initiative to make an open call for proposals to co-fund "Summer Institute activities" between IAI and proponent institutions with the remaining funds from the PESCA Program. The EC Chair said that the IAI Director would report on this issue during the Directorate presentation.

- Although the CoP-VIII had authorized the EC to elect the 10th SAC member (nominations from the Associates of IAI with expertise in "Changes in the Composition of Atmosphere, Oceans, and Fresh Waters") at its 14th meeting in Havana, the EC-XIV decided to postpone this election to its 15th meeting in São José dos Campos. The EC Chair reported that this postponement was due to the fact that a second vacancy in the SAC was created by the departure of Dr. John Robinson.

2) EC activities, actions, and decisions after EC-XIV (Havana)

- Immediately after the Fourteenth EC meeting, the IAI Director Selection Committee met in Havana. The Committee felt that the number of candidates who had applied for the IAI Director position was not enough (only 3) and proposed to reopen the position announcement and continue with the selection process. Consequently, the EC and CoP meetings were postponed from February 2002 to June 2002, until the whole selection process was finished and an Interim Director had to be hired. After e-mail consultations with EC members, one candidate was indicated by the USA, Dr. John Stewart (former SAC Chair). Dr. Stewart started a six month appointment as Interim Director on April 1, 2002.

- The EC-XIV had requested that both the *(ad hoc) working group responsible for discussing how to increase the countries commitment to the IAI (ICC)* and the *(ad hoc) working group responsible for presenting proposals to the EC with respect to the way the IAI will deal with delays in member countries voluntary contributions in the future*, meet in order to prepare a joint document. The EC Chair informed that this report would be presented in the afternoon session by the Chairs of the working groups: Carlos Ereño and Paul Filmer.

- The EC-XIV had requested that comments on the document "Using IAI funds to pay for delegate travel to EC and CoP meetings" be sent to the Chair of the FAWG (Vanessa Richardson). The EC Chair informed that Vanessa Richardson would present a report on this issue during the meeting.

- The EC-XIV had requested the IAI Directorate to prepare documents for each country: 1) showing IAI's investments in each member country versus their contribution to the IAI and 2) presenting the practical scientific results emerging from the projects supported by the IAI. The EC Chair said that the IAI Director would report on this issue during the Report of the IAI Directorate.

- The EC-XIV had requested the Rules and Procedures Standing Committee to work on the definition of the relationship between the IAI Directorate and the EC Bureau. The EC Chair informed that the Chair of the Committee, Louis B. Brown, would report on this issue during the Report of the Rules and Procedures Standing Committee.

3) *EC items to be forwarded to the CoP-IX (SJC)*

According to the EC Chair:

- The following documents would have to be discussed and approved by the EC to be forward to the CoP:
  - "Analysis of the Structure of Internal Controls of the IAI" (document 10_ECXIV/DID/November 14, 2001);

- "Using IAI funds to pay for delegate travel to EC and CoP meetings" (document 11_ECXIV/DWD/November 14, 2001);
- "Suspension and Termination Procedures for IAI Projects" (document 19_ECXIII/CoPVIII/DWD/May 28, 2001);
- "Core Budget Request for the fiscal year 2002/2003" (document 9_ECXV/CoPIX/DWD/June 6, 2002);
- "IAI Financial Statements for the fiscal year 2000/2001" (document 10_ECXV/CoPIX/DID/May 10, 2002);
- Annual Program (June 2002 – July 2003) (document 11_CoPIX/DWD/June 4, 2002).

- The following documents would have to be discussed by the CoP (not for approval yet):
  - Amendments to the IAI Rules of Procedure (distributed by L. Brown during the meeting); and
  - the joint report prepared by the ad hoc working groups responsible for discussing how to increase the countries commitment to the IAI (ICC) and the one responsible for presenting proposals to the EC with respect to the way the IAI will deal with delays in member countries voluntary contributions in the future

- The EC would have to create a Nominating Committee for the election of the new SAC members, which would have to report on the work of the group and present their recommendations to the EC. After the EC approval, the recommendations would have to be forwarded to the CoP.

- The IAI Director Selection Committee would have to present a report to the EC and the CoP regarding the election of the IAI Director. Based on this report, the CoP would have to elect the new IAI Director.

5. Composition of the Nominating Committee for the election of SAC members

The EC approved the composition of the Nominating Committee for the election of SAC members. The group was composed of:
➢ 2 members of the EC: Eladio Zárate (Costa Rica) and Mary Kayano (Brazil);
➢ 1 member of the CoP: Danilo López (Venezuela);
➢ 1 member of the SAC: Gerhard Breulmann (IAI Scientific Officer representing the SAC);
➢ 1 scientist from Brazil: Valdir Innocentini (CPTEC-INPE).

The EC requested the Committee to meet in the afternoon to elect a Chair and to present a report in the second day of the EC meeting *(Action 3 – Day 1)*.

6. Report of the Directorate and the IAI Scientific Advisory Committee (SAC) Chair

The IAI Interim Director, John Stewart, started his report paying tribute to the dedication of Dr. Armando Rabuffetti, the first IAI Director, who had completed 6 years of service as IAI Director on March 31, 2002. He emphasized the importance of Dr. Rabuffetti's devotion to the Institute during this period.

The IAI Interim Director explained that his report covered the period from the last EC meeting in Havana (November 2001) and reminded the audience that during this period the IAI had two Directors. He pointed out the fact that, for the first time in two years, the IAI Directorate finally had a full complement of IAI Officers as: Silvio Bianchi (IAI Financial Officer) started in January 2001, Gerhard Breulmann (IAI Scientific Officer) started in November 2001 and Marcella Ohira Schwarz (IAI Human Dimensions and Communications Officer) returned from her maternity leave in February 2002.

John Stewart said that the IAI Directorate report would be presented by himself and the IAI Officers. Gerhard Breulmann would present the Science Agenda items including the Scientific Advisory Committee (SAC) Report on behalf of Luiz Bevilacqua; Silvio Bianchi would present the Financial Report; and himself would present information for Marcella Ohira Schwarz on Communications Training and Education and would also present the CRN progress.

John Stewart commented on the IAI Directorate's attempt to report on the CRN progress through three different formats: 1) the posters located at the entrance of the building; 2) a written report (document 8_ECXV/CoPIX/DID/June 19, 2002); and 3) some slides that he could present if requested and if there was enough time to present them. In addition, he informed that the CRN projects reports of year 2 are posted on the IAI Website.

The IAI Interim Director gave an overview of his report to the EC (Document 6_ECXV/CoPIX/DID/June 3, 2002):

▪ Actions pending from EC XIV:
  - *Formal report showing IAI investments per member country versus their contributions* –Report attached to the IAI Directorate Report and posted on the IAI Website.
  - *Practical results emerging from Science Agenda* – This item had not been reported on formally. It would be included in the CRN presentation and further details could be seen in the posters displayed at the entrance of the IAI Directorate building. The IAI Directorate has been carefully following the results of the CRN projects and they have been documented for later publicity.

▪ Finances:
  - NSF continues to be the IAI's main supporter.
  - CRN Program - parallel funds (not handled by IAI) continue to grow and increased by US$ 2M. IAI has an important role to play in the fund management for multilateral projects in the Americas.
  - Brazil, Canada, Chile, Costa Rica, Mexico, and Peru have fulfilled their voluntary contributions but these gains in budget status are offset unfortunately by the problems Argentina is currently facing with its agreements regarding CRN and voluntary contribution.

The IAI Interim Director invited the IAI Financial Officer (FO) to present his financial report (IAI financial status - actual as of May 31, 2002 - estimates up to June 30, 2002).

In his presentation, the IAI FO showed the Institute's Financial Status and the IAI Scientific Programs Budget.

- *Financial Status*: By comparing the total of the voluntary contributions expected and paid for the fiscal years from 1994/1995 to 2002/2003, the FO concluded that: 4 countries had paid all contributions (Brazil, Canada, Mexico, and the USA) and that 2 of them had paid their contributions in advance (Brazil and Mexico). He then presented the forecasted cash flow below, which is detailed in document (9_ECXV/CoPIX/DWD/June 6, 2002).

	2001/2002
Initial Cash Balance	210,000
Country Contributions **(as of 31/May/02)**	1,353,266
Bank Interests	5,170
Expenses (Actual + Estimates)	(760,000)
Surplus/Deficit	**598,436**
Estimated Final Balance **30/June/2002**	808,436

- *Scientific Program Budgets*: the FO presented the budget status of the following programs: CRN, ISP-III, and PESCA.

CRN

a) Research Funds:
Contributions

USA:	9,797,885
Argentina (received)	210,755
Argentina (committed)	820,515

Total	10,829,155
Commitments/Expenses	
Selection Panel	(26,976)
Grants Approved	(10,446,439)
2nd Year Argentina (not paid)	(236,475)
Unallocated Funds	119,265

b) Management Funds:

Contributions

USA (Initial)	300,000
USA (1st. Supp)	59,600
USA (2nd. Supp)	59,600
Total as of FY 2001/02	419,200

Expenses

As of 31/March/2002	277,400

The FO stated that during the second year of the CRN program, the IAI did not receive the contribution committed by the Argentinean Agency for the Promotion of Science and Technology, which agreed to provide 1,000,000 USD for the 5-year period. Anyway, the IAI Directorate was able to entirely support the second year of the CRN Program. However, the situation for year 3 was quite different. Because of the known economic crisis in Argentina, the IAI did not expect to receive the contribution of the Agency in the near future. In addition, at that moment the IAI had no possibilities to increase the funding basis of the Program, then entirely based on the grant awarded by the NSF to the IAI. As a result, the IAI took the decision to proportionally reduce the third year budget of all projects to account for the reduction of the CRN Program support. That meant a reduction of approximately 9% in all projects. As there is no clear idea of what will happen in the future with the Argentinean contribution, future reductions can also happen in years 4 and 5. This would mean a deficit of US$ 700,000 approximately.

   o *The delegate from Argentina, Carlos Ereño, took the opportunity to express his gratitude to IAI as the Institute decided to take the decision to proportionally reduce the third year budget of all projects to account for the reduction of the CRN Program support instead of taking a decision that would affect only the projects with Argentinean investigators involved. He also informed that the Director of the Argentinean Agency for the Promotion of Science and Technology has reiterated the Agency's willingness to keep their commitment to the CRN Program.*

ISP-III

Contributions

USA	1,878,984
Non-US Core Budget	45,636
Total	1,924,620

Commitments / Expenses

Grants Approved (USA funds)	1,493,344
Grants Approved (Non-US Core Budget)	45,636
Associated Costs	197,914
	1,736,894

Unallocated Funds (USA)	187,726

The FO informed that the ISP remaining funds will cover the costs to produce the IAI ISP Synthesis Book as well as to pay for the services of the scientific writer.

PESCA

Contributions

USA	300,000
Non-USA Core Budget	79,423
Total	379,423

Commitments

Grants Approved (USA funds)	194,100
Grants Approved (Non-US Core Budget)	79,423
Associated Costs	16,832
	290,355

Unallocated Funds (USA)	89,068

According to the FO, at its 18th CoP meeting in Panama, the CoP approved the IAI Directorate's initiative to make an open call for proposals to co-fund "Summer Institutes activities" between IAI and proponent institutions using the remaining funds of the PESCA Program. The IAI Interim Director said the PESCA remaining funds could also be used in a number of initiatives either related to the Small Grant Program or to the Communications area or they could even be used as seed money to co-fund "Summer Institutes activities" with a strong Human Dimensions component.

- o *The EC Chair reminded the IAI Directorate that they would have to ask NSF's permission to use the PESCA remaining funds in activities not related to the program. The FO said he had reported on the plans the IAI Directorate has for the unallocated funds and that authorization would be requested to NSF when appropriate.*

The IAI Interim Director continued with his presentation. He reported on the IAI - Future Science Agenda. He commented that the ISP III and PESCA programs were almost finishing, most CRN projects were starting the year 3, and the Small Grant Program was ready to start in 2002.

He reported on the CRN progress: 1) 2nd CRN PI's meeting held together with the 16th SAC meeting in Rio de Janeiro in October 2001; 2) CRN peer review followed by SAC review to be held in Mendoza, Argentina, in January 2003; 3) 3rd CRN PI's meeting in conjunction with the IGBP Scientific Committee and the 18th SAC meeting to be held in Mendoza, Argentina, in January 2003, and 4) Senior Scientist synthesis required.

He then invited the IAI Scientific Officer (SO), Gerhard Breulmann, to report on the Small Grant Program and the SAC Report on behalf of the SAC Chair, Luiz Bevilacqua.

First, the SO made a presentation on the status of the Small Grants Program launched on Nov 8, 2001. He informed that the deadline for submission of proposals was February 25, 2002, and that 38 proposals were submitted under the Small Grant Program (3 categories: 26 research, 11 workshop, 1 technical report). The proposals were evaluated in a 3-step review system: Mail, Panel, and SAC reviews. Priority was given to: topics under Theme 4 of the IAI Science Agenda (Human Dimensions), collaboration of at least three IAI ratifying countries, and participation of young scientists. The Panel Review was held in Mexico City on May 21-22, 2002. The panel composed of 6 panelists (3 external and 3 IAI SAC members) and 1 Observer (Paul Filmer) recommended 16 proposals ranked "good" or above for funding (Research 11, Technical Report 1, and Workshop 4). The total amount required to fund these proposals was US$ 385,000. After the Panel Review, the SAC also met in Mexico City on May 23-24, 2002. The

SAC agreed with the results of the Panel and recommended the 16 proposals for funding. In addition, the SAC confirmed the 3-step peer review adopted by the IAI Directorate as appropriate and fair, indicated that 2 proposals could not be funded with US funds, and required the IAI Directorate to look for some additional funds to complement the resources available.

The SO then presented the report of the 17th Meeting of the SAC held in Mexico City on May 23-24, 2002 (7_ECXV/CoPIX/DID/June 3, 2002) on behalf of the IAI SAC Chair, Luiz Bevilacqua.

The SAC discussed the following issues during the meeting:

- Review of IAI Scientific Agenda: Despite the fact that the IAI Agenda has supported excellent science, the SAC agreed to revise the IAI Agenda considering that it had only one adjustment in 1997 (Ottawa) and the global change science has made a substantial progress over the last years. The deadline for SAC members' comments is September 1st, 2002.

- Small Grant Program: The SAC agreed that there is a necessity to increase the contribution to the program and agreed to prepare a document to promote IAI, to find other funding sources, and to establish priority activities to support (research, workshops, technical reports). The SAC also emphasized that the CRN reports are excellent marketing material.

- CRN Progress & Review:
− Each SAC member has been assigned to be the liaison with at least one CRN project but new assignments need to be made due to the new SAC composition.
− The CRN needs a peer-review by external reviewers to guarantee an in-depth evaluation. Potential candidates are supposed to be approached by mid 2002 and the review is planned to finalize before next CRN PI meeting (January 2003);
− Final funds will be released only after peer-review is conducted;
− Current NSF contribution to the IAI Research Budget confirmed for next year(s). This contribution will possibly increase if other member countries commit some funds to the budget.

- 3rd CRN PI Meeting: Preparations are in progress to hold the meeting in Mendoza, Argentina, on January 27-28, 2003, in conjunction with the IGBP Scientific Committee meeting. Invitations to be sent to other organizations related to Global Change.

- IAI/START Initiative & IHDP:
− Discussion on the invitation from START to endorse and co-fund a new initiative: "Young Scientists Conference" to be held in October 2003, TWAS, Trieste, Italy. This activity will be held every 4 years.
− IAI's participation in co-planning and co-organizing the 2003 Open Meeting of the International Human Dimension Community to be held in Montreal, Canada.

- IAI/University of Miami Summer Institutes:
− At the SAC meeting, Guillermo Podestá, University of Miami (UM), made a presentation on the past Summer Institutes held in UM. The SAC agreed that the work done by UM was excellent and recommended the IAI to continue cooperation with UM and organize future Institutes.
− A list of persons/institutions interested in working with IAI on T&E or Summer Institutes was produced by the IAI Directorate. The SAC discussed the needs for solid funding and partners and recommended the Institute to continue and expand this activity. The idea is to have two Summer Institutes per year one each in the Northern and Southern hemispheres. The IAI Directorate will initiate further discussions on potential locations, themes, and funding options

- Others:
− Two science presentations were made during the meeting by two Mexican based CRN PIs;
− The next SAC meeting will be held on 29 January 2003 in conjunction with IGBP or late 2002, if required by new IAI Director. Luiz Bevilacqua, current SAC Chair, agreed to attend the next meeting

and orient the new SAC members.

Some points were raised by the Parties and other participants during the SO presentation:

o *The delegate from Cuba, Bárbara Garea, commented that IAI is indeed giving emphasis on the work that the scientists of the region have been developing. She also recommended involving investigators of other IAI programs in future CRN PIs' meetings.*

o *The delegate from Chile, Renato Quiñones, asked the SO if IAI had any statistics regarding the amount of publications derived from IAI funded projects, specially the ones related to top scientific journals.*

o *The IAI Interim Director, John Stewart, said the IAI Directorate had listed the publications of each CRN project in the CRN Report to the EC. He also said that, instead of providing a complete list of publications in the next IAI Annual Report, this information would be made available on the IAI website and would be updated in a regular basis.*

The IAI Interim Director then reported on the Communications, Training & Education area on behalf of the HD&C Officer.

- Newsletter:
  − agreement reached with UBATEC regarding funding arrangements for the Newsletter;
  − copies of the IAI Newsletter #27 available during the meeting;
  − plans were in place for continued regular Newsletters.
  The IAI Interim Director requested the help of the member countries representatives in the distribution of the IAI Newsletter.

- Annual Report: as the IAI did not have an annual report last year, because the staff was not complete, the Institute would produce a biannual report (2000-2002) by November 2002.

- Homepage and database: The DIS Manager, the HD&C Officer and the SO are discussing more user friendly formats.

- Montevideo + 10 book: This book will report the scientific impact of IAI after 10 years of existence. The SAC highly recommends the publication of this book and suggests that it be a synthesis of the IAI work by the themes of the IAI Scientific Agenda. The best format to write the book is being analyzed and a science writer to write it will be selected. Funds to support the book are still not provided.
- IAI brochure and portfolio: They have been distributed to member country representatives to use them when publicizing IAI.

- Summer Institute: a) the SAC reviewed previous SIs held in conjunction with the University of Miami and recommended that attempts be made to continue with this activity; b) the SAC also recommended that similar Institutes be developed for South America and that they be held in conjunction with CRN PIs or Institutes with high standing; c) initial discussions are taking place with the University of Buenos Aires.

- Training & Education activities:
  − support organized around the four broad themes of IAI Science Agenda;
  − support at all levels (undergraduate, graduate, and post-doctoral), examples: scholarships, fellowships, training workshops, etc;
  − seven participants from six IAI member countries were supported to attend the "Third International HD Workshop" in Bonn, Germany, from June 3-14, 2002;
  − the ISP program supported in excess of 25 BSc, 60 MSc, and 20 PhD;
  − the CRN program currently supports 45 BSc, 111 MSc, and 107 PhD;

- the CRN program has developed training facilities in several countries, i.e., CRN 03 (B. Luckman) has established one dendrocronology laboratory in each of Peru, Bolivia, and Mexico.

The IAI Interim Director then reported on his activities:

- Meetings with Parties in sequential order:
    - Canada - Environment Canada – April 2002;
    - USA - National Science Foundation (NSF) and National Oceanic and Atmospheric Administration (NOAA) – April 2002;
    - Mexico – Universidad Nacional Autónoma de México (UNAM), Instituto Nacional de Ecología (INE) - May 2002;
    - Brazil (Conselho Nacional de Desenvolvimento Científico e Tecnológico (CNPq), Ministry of Science and Technology, Ministry of Foreign Affairs, Agência Espacial Brasileira (AEB), Fundação de Ciência, Aplicações e Tecnologia Espaciais (FUNCATE) – June 2002;
    - Argentina – Agencia Nacional de Promoción Científica y Tecnológica (ANPCyT) and UBATEC – June 2002.

- Working Groups Meetings:
    - Financial and Administrative Working Group – April 29-30, 2002;
    - Communications Task Force – May 1-2, 2002;
    - Data and Information Policy Working Group – May 1, 2002;
    - Ad hoc working group on suspension and termination Procedures for IAI Projects – May 3, 2002.

- Other Meetings:
    - Meeting with ICSU – May 2002 (ICSU meets in Brazil in September 2002);
    - Meeting with SCOPE/ICSU – May 2002 (Plans are in place for the "Rapid Assessment of Biogeochemical Cycles" – October 2002 and arrangements are in place for "Rapid Assessment Meeting on Options for Energy Use and Carbon Cycle" in Brazil in February 2003).

The IAI Interim Director made a few remarks about IAI governance rules and regulations which he believed were of importance as IAI was preparing to appoint a new Director and to engage in an External Review. He said that 1) the reporting system to the EC and the CoP was cumbersome and repetitive because the groups attending both meetings were practically the same; 2) the EC and CoP meetings procedures should be simplified in order that the meetings be more efficient; 3) there was a necessity to analyze the existence of the excessive number of working groups; and 4) there was a necessity to analyze the extra expense of holding working groups meetings between EC meetings.

Some points were raised by the Parties after the IAI Interim Director's presentation:

o *The delegate from Brazil, Mary Kayano, asked if the MSc and PhD students supported by the CRN were supported to get their degrees or only to participate in training courses. The IAI Interim Director explained that the IAI supported them to get their degrees because they worked with the CRN PIs.*

o *The delegate from the USA, Paul Filmer, endorsed the comment that the IAI Interim Director made regarding the existence of excessive number of working groups. He suggested that a working group be dissolved once its task is completed. He also suggested that the EC analyze carefully the number of working groups needed.*

The EC then endorsed the IAI Director's recommendation to consider the dissolution of those working groups that have completed their missions *(Action 4 - Day 1)*.

The US delegation restated their commitment to support the IAI Small Grants Program and informed that the US would increase their contribution from U$S 300,000 to U$S 340,000 to the Program *(Action 5 – Day 1)*.

The EC endorsed the SAC recommendation and approved the 16 projects ranked "good" and above for funding under the program Small Grants Program (SGP) (see table in document 7) and will forward it to the CoP for approval. As the total amount of funds needed to support the 16 projects is of U$S 385.000, the IAI Directorate will seek for additional money to complement the available resources to fund them all. U$S 45.000 will be required from non US sources *(Action 6 – Day 1)*.

7. Report of the Financial and Administration Policy Working Group (FAWG) – *Chair: Vanessa Richardson*

The Chair of the FAWG, Vanessa Richardson, began her report complimenting the IAI staff, specially the IAI FO, Silvio Bianchi, and the IAI Interim Director, John Stewart, for their outstanding work in the financial and administrative matters of IAI. She reminded that the IAI Directorate had received the visit of NSF auditors last year, who had identified some potential weaknesses in the financial and administrative management of the Institute. A report regarding this issue had been presented by the FAWG in the last two EC meetings in Panama City and Havana.

She then reported on the last meeting of the FAWG held at the IAI Directorate on April 29-30, 2002 (document 14_ECXV/DID/May 10, 2002) which covered:

- Review of the Third Quarter Financial Statement (Core and Program);
- FY 2002/2003 Core Budget Request;
- Selection of External Auditors for the FY ending June 30, 2002;
- Support for the publication of the IAI Newsletter;
- Internal Control Recommendations;
- Travel Policy for Non-IAI Staff;
- Update on the Status of Management Issues;
- Revisions to the Employee Manual;
- Review of the CRN Project Management; and
- Recommendations Regarding Payment of Core Budget Contributions.

During the presentation, the delegate from Chile, Renato Quiñones, announced that the Minister of Education of Chile had approved the payment of approximately US$ 15,000 to the IAI Core Budget.

The EC had a long discussion regarding the recommendations of the FAWG to the EC regarding payment of core budget contributions:

− That the IAI adopt an exceptional, one-time policy in an attempt to increase support for the IAI. The Parties, currently in arrears, that pay the two past fiscal years (2000/2001 and 2001/2002) in addition to the 2002/2003 fiscal year before June 30, 2003, would have the outstanding balances from prior years forgiven.

− That, beginning in fiscal year 2003/2004, only Parties that have paid the previous year's Core Budget Contributions be elected to the EC, serve on EC Working Groups and nominate members for the SAC. Participants proposed by representatives of countries in arrears would not be eligible to be supported in scientific activities funded by the Core Budget.

o *The delegate from Chile, Renato Quiñones, said it would be important that the member countries current in arrears paid the due contributions and, to facilitate the payment, he suggested that they be made in installments.*

o *The delegate from Costa Rica, Eladio Zárate, requested more explanation on how the contributions are registered. He commented that Costa Rica had paid part of its due contributions and wanted to know to which FY the contributions made were related.*

o *The delegate from Cuba, Bárbara Garea, said that, despite she had already discussed this issue at the FAWG meeting, after hearing the delegate from Chile, she changed her opinion. She said that it would be unfair for countries like Chile and Costa Rica, that had just paid due contributions, if*

other countries had their outstanding balances forgiven. She took the opportunity to say that, despite Cuba had regularly paid the voluntary contributions to the IAI Core Budget, they could not pay the contribution of the FY 2001/2002, and that she was going to present a letter from her Government at the CoP meeting explaining the reasons of that . She also recommended that procedures to guide countries facing temporary financial difficulties and that cannot contribute to the IAI Core Budget for a certain period of time be discussed.

o *The delegate from Argentina, Carlos Ereño, claimed that the reasons of member countries delay in paying the voluntary contributions are different. He suggested that in future IAI visits to member countries with due contributions, their difficulties be identified so that they can be brought for discussion in the next EC meeting, with the presence of the new IAI Director.*

o *The Chair of the FAWG, Vanessa Richardson, clarified that the FAWG had already discussed the cases of Chile and Costa Rica. She claimed that if the FAWG's recommendations were approved, special considerations would be given to the countries that did make a three- year payment in the current fiscal year. She emphasized that this would be a one-time policy in an attempt to increase the support for the IAI, as the FAWG believes that the possibilities of Parties being able to pay in full outstanding contributions was quite low based on previous experience.*

o *The delegate from Uruguay, Raúl Michelini, said that, as the delegate from Cuba, he had discussed this issue at the FAWG meeting but after hearing the comments of the several delegates he agreed with the position of the delegate from Argentina.*

o *The IAI Director expressed his discontentment concerning the second recommendation of the FAWG, that beginning in FY 2003/2004 only Parties that have paid the previous year's Core Budget Contributions may be elected to the EC, serve on EC working groups and nominate members of the SAC. He is afraid that financial barriers complicate the participation of younger scientists in IAI activities, what is considered totally against the basic principles of the Institute.*

o *The Chair of the FAWG, Vanessa Richardson, explained that the FAWG had no intention to block the science and restrict the funding of scientists because of delay in voluntary contributions.*

The FAWG recommendation to the EC/CoP that the Parties, currently in arrears, which pay the two past fiscal years (2000/2001 and 2001/2002) in addition to the 2002/2003 fiscal year before June 30, 2003, will have the outstanding balances from prior years forgiven, was not approved at this time. The EC endorsed the recommendation of the delegation of Argentina to postpone a decision on this until further study. It was recommended that this be discussed with the new Director after his election. He would also be asked to discuss voluntary contributions with Member Countries representatives *(Action 9 – Day 1).*

The FAWG Chair then reported on behalf of the FAWG and the Rules & Procedures Standing Committee on the status of the documents "Analysis of the structure of internal controls of the IAI" (document 10_ECXIV/DID/November 14, 2001) and "Using IAI funds to pay for delegate travel to EC and CoP meetings" (document: 11_ ECXIV/DWD/November 14, 2001).

The FAWG Chair informed that the document "Analysis of the structure of internal controls of the IAI" (document 10_ECXIV/DID/November 14, 2001) had been distributed in the 14th EC meeting in Havana not to be approved but as background information. In the 13th EC meeting in Panama City, the EC charged both the FAWG and the Rules & Procedures Standing Committee to consider a new structure for the IAI Directorate. She said that the FAWG had reviewed all the procedures in place and the various IAI manuals and that the working group felt comfortable with the internal controls but that the Rules & Procedures Standing Committee was going to propose some modifications, which, would need to be analyzed by the current and the future IAI Directors.

Regarding the document "Using IAI funds to pay for delegate travel to EC and CoP meetings" (document: 11_ ECXIV/DWD/November 14, 2001), it was presented as an action item in 14th EC meeting in Havana. As instructed in the 14th EC meeting, she sent out the document to the IAI member

country representatives for additional comments and represented it at the 15th EC meeting for potential forwarding to the CoP. She emphasized that she had received only one comment from the representative of Costa Rica, which did not require a change in the document.

She said that this proposal have two parts: 1) Travel expenses of country representatives to meetings of the EC and CoP continue to be the responsibility of country members, therefore the IAI Core Budget funds should not be used to support the attendance of country member representatives to IAI's institutional meetings. 2) The CoP consider at its next meeting redefining the definition of "quorum" in the Standing Rules of the EC (Rule 27) and Standing Rules of the CoP (Rule 24) so that the quorum is defined to be "the majority of Parties having paid their Core Budget contributions in full or part during the previous fiscal years".

- o *The delegate of Argentina, Carlos Ereño, said this decision had to be consistent with the decision regarding payment of core budget contributions.*

- o *The delegate of Chile, Renato Quiñones, commented that after listening to the recommendations, it was not clear for him what was the incentive for the member countries to pay the voluntary contributions and what were the arguments to be used to convince the authorities of the member countries to do so.*

- o *The Chair of the FAWG, Vanessa Richardson, said that, even if there was a problem in approving the second recommendation, the working group would like at least to have a position regarding the first recommendation.*

- o *The delegate from Cuba, Bárbara Garea, said that the article XIII, Financial Provisions, of the Agreement Establishing the IAI should be modified and that the meaning of "basic support" for the IAI Directorate, the SAC and the EC should be better defined.*

- o *The delegate from Argentina, Carlos Ereño, agreed with the delegate from Chile and suggested that the Parties that have not paid the voluntary contributions of the previous FYs participate in the meetings and make suggestions but do have the right to vote.*

The EC continued a long discussion about the first recommendation of the document and decided to take a decision on the second day of the meeting. Several delegates expressed their concern for the contradiction between this recommendation and the Article XIII-Financial Provisions, paragraph 1 of the Agreement Establishing the IAI regarding the meaning of "basic support" for the IAI Directorate, the SAC, and the EC.

On the second day of the meeting, the EC approved the suggestion of the EC Chair that the Rules and Procedures Standing Committee prepare a preliminary proposal defining the meaning of "basic support" for the SAC and EC (Art. XIII-Financial Provisions, paragraph 1 of the Agreement Establishing the IAI). The Committee will present the preliminary proposal to the Parties by the end of August 2002. The Parties will submit their comments to the RPSC until the end of September so that the final proposal be ready by the end of October to be distributed to the Parties and discussed and approved in the next EC meeting. *(Action 6 – Day 2)*

8. Report of the Rules & Procedures Standing Committee – *Chair: Louis B. Brown*

The Chair of the Rules & Procedures Standing Committee (RPSC), Louis B. Brown, presented the "Report on proposed amendments to the IAI Rules of Procedure regarding the arrangements through which the IAI Director reports to the EC and the CoP" (document 17_ECXV/DID/June 25, 2002). The document suggests modifications in the reporting arrangements.

He apologized for having not distributed the document in advance but only on the first day of the meeting. Then, he commented that the document was proposing amendments to the IAI Rules of

Procedure because any amendment to the Agreement establishing the Institute would need ratifications from member countries, which would be difficult and not pragmatic.

The Chair of the RPSC took the opportunity to suggest that: 1) The EC strongly encourage the member countries to designate additional members to the RPSC; and 2) The existent working groups follow the example of the FAWG and provide the RPSC with their inputs on the IAI Rules of Procedures.

o *The IAI Interim Director expressed the view that the proposed regulations were not necessary. To him, the reporting relationship seems quite clear. He understands that it is necessary to consult with the EC Chair from time to time on the ongoing program and if the EC Chair is not satisfied, he could call an EC meeting and solve the problem.*

After more discussion, the information was received but no decision was taken on accepting or amending the Rules of Procedures.

9. Report of the Communications Task Force (CTF) – *Chair: Bárbara Garea*

The Chair of the Communications Task Force, Bárbara Garea, informed that the CTF was created in 1997 to continually analyze and evaluate the communications mechanisms of IAI in order to improve their efficiency and to discuss and analyze a strategy to disseminate the Institute's activities.

According to the CTF Chair, the group has been trying to use the current communications mechanisms (Newsletter, Homepage, Annual Report, and other materials) to disseminate the different activities of the Institute: scientific results, capacity building activities, etc. In the future, the group is planning to produce videos, CDs and to contact TV networks.

She then reported on some recommendations made by the CTF to the EC and the IAI Directorate:
- The IAI Director should give priority to the Annual Report. He should give support to the IAI Communications Officer in her work of editing the report and request the IAI Directorate staff's collaboration in this effort.
- All the member country representatives should help IAI to complete the list of National Institutions and help in the distribution of the IAI Annual Report.
- The Editorial Board of the IAI Newsletter should be composed of: B. Garea (CTF Chair), the IAI Director, the IAI Scientific Officer, the IAI SAC Chair, the IAI Communications Officer, and one member of the SAC, in addition to the editor: Carlos Ereño.
- The annual budget for the publication of the IAI Newsletter should be adjusted.
- A brief presentation on the IAI homepage should be done in the EC meeting.
- The relationship and communications with other organizations should be improved, especially with those organizations that have not been participating in the last CoP meetings.
- A book to celebrate 10 years of IAI (Montevideo + 10) should be produced within a year. The IAI Directorate should be responsible for preparing a plan and selecting a writer and an editor.
- A link between the IAI database and the IAI Newsletter database should be made in order to have only one functional and updated database to be used to organize the distribution of all the announcements and information from the Institute.
- The IAI should attend in the World Summit Meeting in Johannesburg to publicize the work of the Institute.
- A new integrated marketing strategy should be developed when the new IAI Director starts to work.
- The EC should authorize to change the status of the CTF from Task Force to Standing Working Group, since it has been working for five years with positive results for the Institute.
- The EC should include in its meeting agenda the necessity to discuss and revise the mandate of all the Working Groups and their efficiency to achieve their objectives.

o *With respect to the recommendation of the CTF to change its status from Task Force to Standing Working Group, the IAI Director suggested that it should continue as a task force. The CTF Chair then suggested having a meeting with the Chairs of all the working groups to analyze their current situation and propose a new plan for them.*

The EC endorsed the suggestion of the delegation of Cuba that the Chairs of all IAI EC Working Groups meet during the EC meeting to inform each other of their current work in order to increase the interactions among them and to decide on the necessity of dissolving some of them. *(Action 8 - Day 1)*

Following the CTF Chair presentation, the IAI DIS Manager, Luis Marcelo Achite, made a presentation on the new IAI homepage. The modifications made in the previous homepage were reported as below:

- The site layout was redefined in order to enhance the user-friendly characteristic as well as to introduce an up to date graphical design.
- The button "What is the IAI?" was included to help people that know nothing about IAI to obtain information quickly.
- Four links (beside the globe)were created to show relevant information about IAI.
- Fast access to project articles and information were made available: FTP Server (ftp://disbr1.iai.int/iai), IAI-DIS System (http://disbr1.iai.int), and project homepages.
- The documents for the scientific and institutional meetings are now being distributed through the website (there is a restricted access for the documents of institutional meetings).
- Information from IAI and outside organizations (opportunities and links) were included in to show the importance of the relationship between IAI and other organizations (the information is divided by Research, Training and Education, and Employment).
- Member countries information could be easily identified by clicking over "Member Countries".
- The statistics for the site was implemented (http://www.iai.int/stat.htm).
- The Local Search is now based on Google Portal.

L. M. Achite also commented on the future actions for the homepage. He said that the IAI Directorate is working with Henry Lansford, an American Consultant, in order to update the textual aspects of the homepage as well as modify the menu items. The idea is to enhance the user-friendly characteristics of the page.

10. Report of the Data Policy and Information System (DIS) Working Group – *Chair: Paul Filmer*

The report of the Chair of the DIS working group, Paul Filmer, on the recent activities of the group covered the following items:

The DIS Situation:
- Governments and the Scientific Community understand the importance of a DIS system, but they are not participating on the process.
- The pilot nodes were installed in Brazil, Costa Rica, and Uruguay, but the system is actually working only in Brazil.
- The machines in use are totally obsolete.
- The Brazilian node has approximately 120 metadata created with pointers to actual information (e.g.: presentations, articles, posters, reports) from IAI Programs in PDF format.
- To date, only one PI (José Paruelo from ISP3-77) has submitted metadata, despite three letters from the Directorate. The other metadata was created by IAI.

Comments about the DIS project:
- The group understands that the DIS is an important mechanism to provide information and access to the IAI's scientific products.
- All the IAI staff, especially the SO and the Director, as well as the political bodies of the IAI and the representatives themselves must actively support the objectives of the system.
- The group recommends that all IAI announcements for programs must continue to contain specific rules in order to force the dissemination of information produced on each project.
- The group recommends that no CRN project be allowed to be closed without fulfilling the obligation of disseminating information through the DIS system. The control of this issue must be closely followed by the Directorate.
- The group recommends that a Workshop should be defined in order to train personnel from CRN in the metadata and DIS systems.

- The group recommends that the Uruguay and Costa Rica node be officially closed, since the only active node is the Brazilian node.
- The group noted that no agreements have yet been formalized with the Associates. So, it recommends action.
- The group fully recommends that the DIS system be updated to a newer version, considering software compatible with LBA-DIS, a DIS system from LBA program (INPE/CPTEC). Since there will be necessary one year for this migration, the group also suggest that IAI borrow a new machine to act as the DIS server during that time, since the current machine is obsolete and slow.

Final Comments:
- The system is up and running in the Brazilian node, on which metadata that reference actual information from IAI programs can be found.
- To use the system, people have to access "http://disbr1.iai.int";
- To contact the IAI DIS working group, use the e-mail "iaidis@dir.iai.int".

  o *The IAI Interim Director said that in the LBA-DIS, the researchers have to share the data because they are working in one specific project. In IAI's collaborative research network case, the sharing of data is not a requirement for an investigator to do his research. Only a few CRN PIs are currently linked and sharing data. He also highlighted that despite some investigators have expressed their interest in using the system, they do not know how to use it and that most members of the IAI Directorate do not know it either. Anyway, he believes the system will become appropriate as time goes by. The IAI Interim Director thanked the working group for their report and welcomed and endorsed the suggestions presented.*

The EC approved the recommendation of the DIS working group that the nodes in Uruguay and Costa Rica be closed and that only the node in Brazil be maintained *(Action 7 – Day1)*.

11. Report of the Working Group (ad hoc) responsible for the final adjustments in the document "Suspension and Termination Procedures for IAI Projects" – *Chair: Paul Filmer*

The Chair of the ad hoc working group, Paul Filmer, commented that the group met in Panama during the 13th EC meeting (July 2001) and at the IAI Directorate on May 3, 2002, in order to further discuss the issue forwarded by previous IAI meetings (SAC-XIII, EC-XII, EC-XIII, and EC-XIV) regarding recommended policy and procedures for project suspensions and terminations (document 19_ECXIII/CoPVIII/DWD/May 28, 2001). The group recommended that the EC reviewed and forwarded for approval the suggested policy and procedures contained in the new version of the document. After its approval, the ad hoc working group would then be dissolved.

The ad hoc working group noted the following points and brought them to the attention of the EC:
- The ad hoc working group agreed that the fundamental principles underlying the policy and procedure document adhere to the SAC's recommendations, and that most objections arose from misunderstanding of English-language legal terminology, a Spanish translation not done by legal experts, and some differences between case- and codex-based legal systems.
- The policy document formed only a small part of the documentation covering the IAI's projects selection and management process. The ad hoc working group strongly suggested that the remaining documentation be elaborated and integrated into the IAI's management and information dissemination activities.
- Current program contracts and grant documents may contain sections that are incompatible with the draft document; the ad hoc working group recommended that the version presented be used in the future.
- Should the ad hoc working group's mandate be extended, the Scientific Officer should be a member.
- The ad hoc working group noted that there was little to no Institutional discussion on record of precise definitions of the terms "grants," "contracts," or even for the precise meaning of "financial support." The legal obligations under each of these terms between the IAI and other institutions should be defined.

- The ad hoc working group further noted that the policy and procedure did not address issues of the disposition of physical or intellectual property that may result from project termination. The EC should further explore these areas.
- Accurate translation of the document by personnel familiar with the material, as well as legal review by the IAI Parties was strongly encouraged.
- Finally, the ad hoc working group noted that the policy, if approved, required a modification of the Rules of Procedure for the EC and the Directorate in order for the Chair and Director to be authorized to act as described in the document.

Comments made by the ad hoc working group on IAI's Peer Review and Program Management System, while strictly outside its mandate, were:

- First, the ad hoc working group noted that the IAI Agreement gives the SAC explicit responsibility for directing the IAI's peer review system.
- The ad hoc working group noted that while all past programs administered by the IAI, which have involved peer review, have apparently applied the principles of non-disclosure of reviewer information, privacy of proposal information, conflict of interest, mid-term and/or independent reviews, there was no single document that described this start-to-finish process from either a descriptive, procedural, or policy viewpoint. Such a set of documents would be essential to a clear understanding of IAI operations by the public, by the scientific community, and by the member countries. The ad hoc working group strongly recommended that the IAI develop such a set of documents, to be integrated into the document and information dissemination strategies.
- The ad hoc working group noted that while in the document the section 3.2, "Role of IAI Grantees", applies strictly to misconduct in science, such a set of obligations for the IAI and its grantees should be explicitly stated for regular operations of financial support. The SAC and the EC should consider a policy commonly applied by other funding agencies that obligates supported scientists to serve in the future as reviewers.

After some discussion, the EC approved the document "Suspension and Termination Procedures for IAI Projects" and forwarded it to the CoP *(Action 12- Day 1)*.

12. **Report of the Funding Raising Working Group** – *Chair: Carlos Ereño*

The Chair of the FRWG reported on the document 15_ ECXV/DID/June 25, 2002. (Please see composition, charter and actions of the working group in the document.)

He commented that the working group was not holding regular meetings anymore as the group came to the conclusion that no strategy to seek outside funds to broaden the funding base of the IAI programs and activities could be successful as many IAI member countries were in arrears with their voluntary contributions. As a result of this conclusion, the EC had established an ad hoc working group responsible for Increasing Country Commitment to the IAI.

13. **Report of the Working Group (ad hoc) for Increasing Country Commitment to the IAI (ICC) + Report of the Working Group (ad hoc) responsible for presenting proposals to the EC with respect to the way the IAI will deal with delays in member countries voluntary contributions in the future –** *Chairs: Carlos Ereño and Paul Filmer*

The Chair of the ICC working group, Carlos Ereño, covered the following points of his report (document 16_ECXV/DID/June 25, 2002):

- Composition of the group.
- Objective:
  - to identify and analyze the possible causes of the decrease or lack of participation in IAI among countries of the Americas and
  - to recommend strategies to increase active participation in and commitment to the IAI.

- Proposed methodology:

The Working Group organized its task around several categories:
  - Overall participation**;**
  - IAI Member Countries that have never contributed financially**;**
  - Countries that have made partial contributions**;**
  - Countries that have signed the Agreement but have not ratified**;**
  - Non-signatory countries in the region**;**
  - Other countries with declining participation, as appropriate**.**

- Accomplished activities:
  - Preliminary information presented at the 14th EC meeting;
  - To analyze individually the situation of each of the IAI member countries;
  - Each member of the group was assigned a group of countries;
  - A list of issues to be analyzed was prepared.

- Country distribution:
  - L. Castro: Panama, Mexico, Ecuador;
  - A. Chen: Jamaica, Dominican Republic, Colombia;
  - C. Ereño: Argentina, Chile, Paraguay;
  - L. Farrow: USA, Canada, Uruguay;
  - B. Garea: Cuba, Venezuela, Peru;
  - E. Zárate: Costa Rica, Guatemala, Brazil.

- Topics analyzed in each country:
1. Voluntary contributions to the Core Budget
2. Contributions to IAI Project/Programs
3. Support to IAI activities
4. Participation of students and scientists in T&E activities and/or IAI Projects/Programs
5. Training and Education Activities
6. Diffusion of IAI activities in the country
7. Suggestions to increase country participation in IAI activities that were not mentioned before.

- General Comments Based on the Analysis of the Obtained Information
  - There is a need to look for mechanisms of dissemination of information on IAI activities. IAI visibility in member countries has to be substantially improved.
  - The debt of contributions to the core budget in some countries does not reflect a lack of resources but a lack of interest. Special strategies have to be developed case by case.
  - Some countries have never paid their annual contribution. It was suggested to try to start again with zero debt. Another suggestion was that the IAI should adopt a similar scheme to the one foreign debt creditors will put into practice, which includes a deduction, but not the cancellation of the whole debt.
  - There have been some concern on the use of IAI-GEF donated computer facilities. In some countries they are been installed in inappropriate places.
  - Some countries did not participate in any T&E activity. That could be partially due to lack of information and lack of interest.
  - There is a need to urgently enhance institutional capabilities though training new scientists.
  - The IAI should develop training activities directed to government institutions too, even when it is recognized that the IAI was established to do and promote science and research including participation of Government Officials in the highest level.
  - The contacts initiated at the Conference/Workshop on the Caribbean Countries and the IAI (a conference arranged to encourage Caribbean countries to join IAI) in the summer of 1997 should be resumed. Several countries expressed an interest in doing research with the IAI, but it was very difficult to maintain the momentum, especially without money.
  - Some countries do not know who is the IAI representative.

- The Country IAI representative should be an individual who is deeply interested in IAI activities. He or she could be a researcher at a university or scientific institution. The representative should be in a position to influence government decision. This is particularly important for financial support of IAI activities.
- If there were a mechanism for appointing such a representative and for supporting the attendance of this representative at the meeting of parties, the spirit of cooperation would be enhanced.
- The change of government in IAI countries makes it necessary to renew the standing commitment to the IAI. Some countries seem to have lost interest in IAI (Mexico). The IAI Director would have to take decided steps in this sense.
- Some institutions that could contribute know nothing about the Institute. It was suggested that could be due to the limited dissemination of IAI goals and activities.
- IAI Director visits to the countries have been not always effective. In some occasions institutions were visited individually when organizing a general meeting would have been more appropriate. Ministers and high government authorities do have to be visited individually.
- The new Director should visit government authorities, but also institutions related with Global Change.

Carlo Ereño informed that the ICCWG has not generated any expense for the IAI Directorate and that the group suggested making a final meeting (with NOAA funds) to make a complete report for the IAI External Review Panel.

Paul Filmer said that when these ad hoc working groups were established, the fundamental problems of IAI were the lack of country contributions to the IAI core budget and the need to have material to improve the visibility of the Institute. He commented that since then the situation of the Institute had considerably changed as the CTF and the IAI Directorate had worked on materials to publicize the Institute and the problem of lack of country contribution had been somewhat ameliorated (some countries had even made payments above their regular dues). He highlighted that this positive changes were not only related to the work of the working groups but mainly related to visits of members of the IAI Directorate and friends of IAI to several member countries.

o *The delegate from Chile, Renato Quiñones, requested more information about the problems the IAI was facing in receiving member country contributions and in getting outside funds.*

o *Paul Filmer explained that IAI had approached several of the foundations listed by the FRWG and that, even being interested in IAI's mission, they all made the some question: why should a foundation provide funds to IAI if its member countries are not interested in it? As a result, the IAI was trying to solve this specific problem before approaching other sources again. He took the opportunity to say that perhaps these two ad hoc working groups could be dissolved as the existent working groups like the FRWG, the FAWG, and the CTF could cover this issue.*

o *The delegate from Venezuela, Danilo López, commented that the main problem of IAI is its lack of visibility and gave as example of it the very few number of candidates that have applied for the IAI Director position. He also highlighted the problem of having the IAI representatives indicated by Governments, which could mean different representatives attending IAI meetings giving no continuity to the tasks assigned to their countries, having a representative not accepted by the scientific community, etc. He recommended that IAI seeks mechanisms to increase the Governments' commitment with the Institute and that the new IAI Director schedule visits to the IAI member countries meeting not only members of their Governments but also members of the local scientific communities.*

The EC then approved the recommendation in Document 16 "Report of the Working Group for Increasing Country Commitment to the IAI" that after one additional meeting to prepare a full report to the EC and the External Review Committee, the group would then be dissolved *(Action 11 – Day 1)*.

14. Report of the Nominating Committee for the election of SAC members

The Chair of the Nominating Committee for the election of SAC members, Danilo López, reported on the work of the group and presented their recommendation to the EC:

    I.   Nominated by the SAC:
- Silvia L. Garzoli
- Maria Assunção Dias
- Michael Brklacich

    II. Nominated by the CoP
- Alejandro Castellanos

    III. Nominated by the IAI Associates
- Gary Wynn Yohe

The EC approved the recommendation of the Committee and forwarded it to the CoP *(Action 1 – Day 2)*.

The EC Chair clarified that in one of his communications to the EC and the CoP, he had informed that two SAC members from nominations received from the Parties had to be voted in order to replace Walter Fernandez (Costa Rica) and Omar Masera (Mexico). Anyway, he clarified that only one SAC member from nominations received from the Parties had to be voted, as Walter Fernandez's mandate ended only in 2003.

15. Update on the Composition of the IAI External Review Committee

The Chair of the IAI External Review Committee (ERC), Gladstone Taylor, presented an update on the composition of the committee. He reported on the criteria used to compose the committee as well as on the review areas, work plan, and methodology to be used.

- TOR for ERC Membership:
    - High international visibility and credibility.
    - More than half of membership to be without direct IAI involvement.
    - Senior individuals with international perspectives.
    - Collective experience in international global change science.
    - Include persons with previous but not present involvement with IAI.

- Selection Process:
    - The aim was to try to achieve a "balance" in the team;
    - "Balance" was defined in terms of:
        - geographical distribution;
        - size;
        - gender;
        - IAI connection;
        - Professional expertise;
        - Willing and able to serve.

- Geographical Representation:
    - North America;
    - Central America and the Caribbean;
    - South America.

- Size:
    - Large Countries: Argentina, Brazil, Canada, Mexico, and the USA;
    - Small Countries: Costa Rica, Jamaica, Uruguay.

- Regionally and Size (geographical distribution):

- Large – North America: USA and Canada; Central America and the Caribbean: Mexico, South America: Brazil and Argentina;
- Small - North America: ?; Central America and the Caribbean: Costa Rica and Jamaica, South America: Uruguay.

- Gender distribution (on the list provided there were two women):
  - Cynthia Rozenweig (NASA Goddard Institute of Space Studies, NY – Soil Scientists – Global Change Expertise and knows IAI);
  - Anne Whyte (Worked/works with the LEAD program – was in the START Steering Committee for capacity building expertise and knows IAI but has little exposure).

- Country Representation:
  - Jamaica (Chair) - 1
  - North America (USA and Canada) – 2
  - Central America and the Caribbean (Mexico and Costa Rica) – 2
  - South America (Brazil, Argentina, and Uruguay) – 3
    Total 8 members

- Composition of the proposed IAI ERC:
  - Dr. Cynthia Rosenweig (USA) - NASA Goddard Institute of Space Studies, NY
  - Dr. Anne Whyte (Canada) – Mestro Associates, Russel, Ontario
  - Dr. Daniel Pinero (Mexico) – Director of the Institute of Ecology at UNAM – biodiversity expertise – early exposure to IAI.
  - Dr. Guy de Teramond (Costa Rica) – current Minister of Science & Technology of Costa Rica – expertise in Internet/computing – has done scientific reviews/panels for IAI.
  - Dr. Gylvan Meira Filho (Brazil) – current Science Advisor to the President of Brazil – very active in the formation of the IAI and a supporter – presently very active in climate negotiations for Brazil.
  - Ambassador Raúl Estrada Oyuela (Argentina) – Official in the Argentine Foreign Affairs Ministry.
  - Dr. Federico García Brum (Uruguay) – Past IAI EC Chairman – still active in forecasts in agriculture.

- Status of ERC Membership:
  - Ambassador Raúl Estrada Oyuela (Argentina) – agreed to serve
  - Dr. Federico García Brum (Uruguay) – agreed to serve
  - Daniel Pinero (México) – agreed to serve
  - Dr. Anne Whyte (Canada) – further information requested
  - Dr. Guy de Teramond (Costa Rica) – further information requested
  - Dr. Gylvan Meira Filho (Brazil) – further information requested
  - Dr. Cynthia Rosenweig (USA) – invitation sent

- Review Areas:
  - Institutional Development:
    - Evaluation mechanism for IAI Terms of Agreement;
    - Mechanisms for self-analysis;
    - Vision, mission, and goals of IAI;
    - Evaluation and extent of country participation;
    - Promotion and level of cooperation among IAI "family" members;
    - Executive organs and effectiveness;
    - Funding base for research;
    - Management structure and effectiveness;
    - Communications systems.
  - Programmatic Development:
    - Establishment of priorities;

- Mechanism for program evaluation;
- Scientific capability and research infrastructure in IAI member countries;
- Effectiveness of major projects;
- Measures of scientific productivity;
- Networks and networking developments.

- Work plan
  - Development of Work Plan
  - Preliminary work on Program Development
  - Assessment of Preliminary Work
  - Work on Institutional Development
  - Assessment/Evaluation of Work Completed
  - Preparation of preliminary report
  - Final steps of work
  - Preparation of final report

- Methodology:
  - Discussions with Director and senior staff members of IAI, members of the IAI family, etc;
  - Documentation such as Annual Reports, Publications, Newsletters;
  - Minutes of meetings of IAI Committees;
  - Minutes and Reports from meetings and the CoP;
  - Review of IAI Foundation Documents such as the Scientific Agenda;
  - Consultations with clients and stakeholders of IAI;
  - Review of projects undertaken in the IAI family;
  - Site/country visits;
  - Institutional visits;
  - Examination of funding;
  - Review of management structure and operation;
  - Review of physical facilities;
  - Review of communication systems;
  - Sectorial consultations and reviews;
  - Review of research projects and project outputs indicating use of data;
  - Scientific infrastructure of IAI membership;
  - Project selection and prioritization;
  - Measures and scope of scientific productivity;
  - Review and examination of regional cooperation;
  - Review of networks within the IAI;
  - Questionnaires;
  - Surveys.

  o *The delegate from Cuba, Bárbara Garea, thanked Dr. Taylor for his excellent presentation and suggested two Cubans to compose the ERC: Sergio Pastrana (Director of International Collaboration of Cuban Academy of Science) and Dr. Fabio Fajardo (Vice-Minister of Science, Technology and Environment), who were involved in the establishment of IAI. She also suggested that the ERC consider the study of the 1st phase of the marketing strategy designed by the Communications Task Force called the "Development of a Diagnosis of the Current Situation".*

  o *Dr. Taylor said he had no objection in considering the two suggestions of the delegate of Cuba and requested her to provide him with the contact information of two Cubans.*

  o *Because the delegate from Canada, Michel Béland, made several questions regarding scientific excellence, timing, and composition of the ERC, the EC Chair had to clarify that the "Terms of Reference" of the External Review Committee were already approved in the last CoP meeting in Panama.*

o *The delegate from the USA, Paul Filmer, thanked Dr. Taylor for his presentation and for accepting the chairmanship of the ERC. He said that the Terms of Reference of the ERC approved in Panama were an answer for the points raised by the delegate from Canada and that they were being used by the ERC Chair as a reference. He remembered that during the EC/CoP meetings in Panama, the USA had renewed their commitment to support the work and the expenses of the IAI External Review Committee. He said he hopes that the ERC presents a final report at the next 10th CoP meeting.*

16. Core Budget Request for FY 2002/2003 and Financial Statements 2000/2002

The IAI Financial Officer, Silvio Bianchi, presented the documents Core Budget Request for FY 2002/2003 (document 9_ECXV/CoPIX/DWD/June 6, 2002) and the IAI Financial Statements 2000/2001 (document 10_ECXV/CoPIX/DID/May 10, 2002).

The EC approved and forwarded to the CoP-IX the IAI Core Budget Request for the FY 2002/2003 (document 9_ECXV/CoPIX/DWD/June 6, 2002) and the IAI Financial Statements 2000/2001 (document 10_ECXV/CoPIX/DID/May 10, 2002). *(Action 2 and 3 – Day2)*

17. Approval of the items forwarded to the CoP

The EC approved and forwarded the following decisions to the CoP-IX:
1. The recommendation of the Nominating Committee for the election of SAC members to elect: Silvia L. Garzoli, Maria Assunção Dias, Michael Brklacich (nominated by the SAC); Alejandro Castellanos (nominated by the CoP); and Gary Wynn Yohe (Nominated by the IAI Associates).
2. The recommendation of the SAC to approve the 16 projects ranked "good" and above for funding under the Small Grant Program (SGP).
3. The document "Suspension and Termination Procedures for IAI Projects".
4. The document IAI Core Budget Request for the FY 2002/2003 (document 9_ECXV/CoPIX/DWD/June 6, 2002).
5. The document IAI Financial Statements 2000/2001 (document 10_ECXV/CoPIX/DID/May 10, 2002).

18. Report on the meeting of the EC Working Groups Chairs

The delegate from the USA, Paul Filmer, on behalf of the Chairs of the Working Groups, reported on the meeting they have held to analyze the existent EC working groups. He informed that the existent working groups are:
1. Accreditation Committee;
2. Communications Task Force;
3. Increasing Country Commitment to the IAI;
4. Working Group responsible for presenting proposals to the EC with respect to the way the IAI will deal with delays in member countries voluntary contributions in the future;
5. Data Policy and Information System (DIS) Working Group;
6. IAI Director Selection Committee;
7. Financial and Administrative Policy Working Group;
8. Fund Raising Working Group;
9. Working Group responsible for the final adjustments in the document "Suspension and Termination Procedures for IAI Projects";
10. IAI External Review Committee (not necessary to discuss as its rules are clear);
11. EC Bureau (not necessary to discuss as its rules are clear).

He emphasized that in the Agreement establishing the IAI and in the EC and CoP Rules of Procedure, the working groups are considered as advisory committees and, as such, they are supposed to transmit recommendations to the EC and to the IAI Director. He then made the following recommendations:
- that the decision of keeping the necessary working groups should be discussed with the IAI Director, as he is the one responsible for allocating the IAI Directorate staff time to do the tasks

recommended by the working groups and, in some cases, allocating budget for the working groups meetings;

- that the communications of these working groups be through the EC Chair or the IAI Director and not directly from the working groups to the IAI Directorate staff;
- that the Chairs of the working groups count on the consensus of the Parties or at least know the opinions of the individual Parties when making a presentation to the EC/CoP.

He asked the EC's authorization to send a letter to all the EC working groups Chairs requesting the Terms of References of all the working groups. After collecting them, the intention would be to carry out an analysis regarding whether their responsibilities are complete or incomplete, whether their time is expired or still active, whether the memberships are complete or if there are vacancies to be filled, and whether the Chairs are rotating or non-rotating. Based on this analysis, it would be clearer whether there are overlaps of responsibilities between all these working groups.

o *The delegate of the USA, Margaret Leinen, thanked Paul Filmer for the complete report and for the helpful suggestions and emphasized the necessity to include the new IAI Director in this process.*

The EC approved the recommendation of the Chairs of the Working Groups presented by the delegate of the USA, Paul Filmer, regarding the analysis of existing working groups. Paul Filmer will request input from the Chairs of all working groups regarding their terms of reference and estimated costs. Based on an analysis of the tasks and responsibilities, the EC will decide in its next meeting the dissolution of some groups. The IAI new Director and the Interim Director will be consulted during this process *(Action 4 – Day 2).*

19. Report of the IAI Director Selection Committee

The staff of the IAI Director Selection Committee distributed a confidential report on the Selection Process for a new IAI Director. On the second day of the meeting the EC met in closed session to discuss this report *(Action 13 – Day 1).*

20. Approval of Action Lists

The EC approved the Action List of June 25th with two minor modifications already incorporated in it. *(Action 5 – Day2)*

21. Future Sites and Meetings

The EC accepted Panama's offer to host the Sixteenth Meeting of the EC in Panama city in November or early December 2002. *(Action 7 – Day2)*

22. Adjournment of the Meeting

Antônio Mac Dowell (EC Chair) thanked the Government of Brazil for hosting the meeting and all the EC representatives and Observers for their presence.

Fifteenth Meeting of the IAI Executive Council (EC)
June 25-26, 2002 - São José dos Campos, Brazil

Action List

Day 1: June 25

1. The EC approved the agenda of its Fifteenth Meeting with one modification:
➢ The SAC report will be presented by the Scientific Officer, Gerhard Breulmann, instead of the SAC Chair, Luiz Bevilacqua .

2. The EC approved the Report of its Fourteenth Meeting with no modification.

3. The EC approved the composition of the Nominating Committee for the election of SAC members. The group is composed of:
➢ 2 members of the EC: Eladio Zárate (Costa Rica) and Mary Kayano (Brazil);
➢ 1 member of the CoP: Danilo López (Venezuela);
➢ 1 member of the SAC: Gerhard Breulmann (IAI SO representing the SAC);
➢ 1 scientist from Brazil: Valdir Innocentini (CPTEC-INPE).
The EC requested the Committee to meet in the afternoon to elect a Chair and to present a report in the second day of the EC meeting.

4. The EC endorsed the IAI Director's recommendation to consider the dissolution of those Working Groups that have completed their missions.

5. The US delegation restated their commitment to support the IAI Small Grants Program and informed that the US would increase their contribution from U$S 300,000 to U$S 340,000 to the Program.

6. The EC endorsed the SAC recommendation and approved the 16 projects ranked "good" and above for funding under the program Small Grants Program (SGP) (see table in document 7) and will forward it to the CoP for approval. As the total amount of funds needed to support the 16 projects is of U$S 385.000, the IAI Directorate will seek for additional money to complement the available resources to fund them all. U$S 40.000 will be required from non US sources.

7. The EC approved the recommendation of the DIS Working Group that the nodes in Uruguay and Costa Rica be closed and that only the node in Brazil be maintained.

8. The EC endorsed the suggestion of the delegation of Cuba that the Chairs of all IAI EC Working Groups meet during the EC meeting to inform each other of their current work in order to increase the interactions among them and to decide on the necessity of dissolving some of them.

9. The FAWG recommendation to the EC/CoP that the Parties, currently in arrears, which pay the two past fiscal years (2000/2001 and 2001/2002) in addition to the 2002/2003 fiscal year before June 30, 2003, will have the outstanding balances from prior years forgiven, was not approved at this time. The EC endorsed the recommendation of the delegation of Argentina to postpone a decision on this until further study. It was recommended that this be discussed with the new Director after his election. He would also be asked to discuss voluntary contributions with Member Countries representatives.

10. The EC endorsed the recommendation of the US delegation that the EC defer until the second day any final decision on the issues of IAI payment for delegate travel to EC meetings. This would permit informal consultations among delegates in the evening.

11. The EC approved the recommendation in Document 16 "Report of the Working Group for Increasing Country Commitment to the IAI" that after one additional meeting to prepare a full report to the EC and the External Review Committee, the group would then be dissolved.

12. The EC approved the document "Suspension and Termination Procedures for IAI Projects" and will forward it to the CoP.

13. The staff of the IAI Director Selection Committee distributed a confidential report on the Selection Process for a new IAI Director. Tomorrow the EC will meet in closed session to discuss this report

Fifteenth Meeting of the IAI Executive Council (EC)
June 25-26, 2002   São José dos Campos, Brazil

Action List

Day 2: June 26

1. The Chair of the Nominating Committee for the election of SAC members, Danilo López, reported on the work of the group and presented their recommendation to the EC. The EC approved the recommendation and will forward it to the CoP.

    IV. Nominated by the SAC:
    *   Silvia L. Garzoli
    *   María Assunção Dias
    *   Michael Brklacich

    V. Nominated by the CoP
    *   Alejandro Castellanos

    VI. Nominated by the IAI Associates
    *   Gary Wynn Yohe

2. The EC approved and will forward to the CoP-IX the IAI Core Budget Request for the fiscal year 2002/2003 (document 9_ECXV/CoPIX/DWD/June 6, 2002).

3. The EC approved and will forward to the CoP- IX the IAI Financial Statements 2000/2001 (document 10_ECXV/CoPIX/DID/May 10, 2002).

4. The EC approved the recommendation of the Chairs of the Working Groups presented by Paul Filmer regarding the analysis of existing working groups. Paul Filmer will request input from the Chairs of all working groups regarding their terms of reference and estimated costs. Based on an analysis of the tasks and responsibilities, the EC will decide in its next meeting the dissolution of some groups. The IAI new Director and the Interim Director will be consulted during this process.

5. The EC approved the Action List of June 25th with two minor modifications already incorporated in it.

6. The EC approved the suggestion of the EC Chair that the Rules and Procedures Standing Committee prepare a preliminary proposal defining the meaning of "basic support" for the SAC and EC (Art. XIII-Financial Provisions, paragraph 1 of the Agreement Establishing the IAI). The Committee will present the preliminary proposal to the Parties by the end of August 2002. The Parties will submit their comments to the RPSC until the end of September so that the final proposal be ready by the end of October to be distributed to the Parties and discussed and approved in the next EC meeting.

7. The EC accepted Panama's offer to host the Sixteenth Meeting of the EC in Panama City in November or early December 2002.