

**INTER-AMERICAN INSTITUTE FOR  
GLOBAL CHANGE RESEARCH**



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# **Report of the IAI Directorate to the 19<sup>th</sup> Meeting of the Executive Council and the 11th Meeting of the Conference of the Parties**

Buenos Aires, Argentina

## **Introduction**

This report describes the Directorate's accomplished or on-going activities, new initiatives and related actions for the period July 2003 - June 2004, with emphasis on actions accomplished during the period December 2003 - June 2004, following the 18<sup>th</sup> EC meeting held in San José de Costa Rica (December 4-5, 2003).

Other IAI staff members will present more information on some items briefly reported here.

The actions and activities described were guided by the six major strategies proposed by the Scientific Advisory Committee and endorsed by the EC-XVI. For easy of reference we can recall that they are related to the:

- 1) consolidation and enlarging of the CRNs by encouraging integration, by increasing funding through external sources or in-kind support and by fostering links and interactions with other regional and international projects;
- 2) regular renewal for project requests and the definition of new science agenda giving priority to projects clearly focusing on integrating global change research with sustainable development;
- 3) targeting of scientifically weak member countries for more sustained and focused capacity-building efforts;
- 4) facilitation of studies synthesizing and assessing the state of knowledge of issues vital to the region and to under-studied sub-regions;
- 5) improvement of IAI's capabilities to disseminate research results – through more publications and media ensuring their regional availability to decision makers and the public;
- 6) increase of IAI profile by expansion of its activities to include offering of expertise, information contacts to other institutions in the region and offering to administer appropriate projects for outside agencies and organizations.

In addition to the consideration of the above mentioned strategies the Directorate, when implementing its actions, is also taking into account, as charged by EC-XVI, the recommendations made by the Working Group for Increasing Country Commitment to the IAI in its final report. In particular those related to the fostering and reactivation of Memoranda of Understanding/agreements and the diffusion of IAI activities.

## **Recommendations from the previous EC meeting**

EC-XVII charged the IAI Director with developing a strategy to solve the problem of outstanding contributions in a year term. At present the approach is to motivate the members in arrears by showing the advantages of being part of and supporting the IAI, particularly by explaining the benefits received. With the support of the Ad Hoc Committee on Relations with Member States letters were drafted and sent to all IAI Member countries requesting Core Budget contributions (both current and arrears). Contacts were made by phone by the Directorate and some members of the Ad Hoc Committee also arranged for personal visits to Member states. Portfolios showing the benefits received – in terms of research, training and education and capacity building - for participation in IAI were prepared for a few selected countries. As a result of the above-mentioned contacts several Members paid or engaged to pay their contributions this year.

Following a recommendation from EC-XVIII, originated in a proposal of the EC Chair and the SAC Chair, the Directorate sent letters (draft with the guidance of the Ad Hoc Committee) to the highest level possible in each IAI Member country requesting country priorities on global change research. One hundred fifteen letters were sent and 21 replies from 10 Member states were received. Although it was not possible to consolidate major lines due to the low number of replies all responses indicated as priority subjects related to Theme I of the IAI Science Agenda “Understanding climate change and Variability in the Americas”, with particular emphasis in the area of scenarios, impacts, vulnerability and adaptation. The second most frequent subjects were those related to Theme IV “Understanding the human dimensions and policy implications of global change, climate variability and land use” with emphasis on health and environmental issues and vulnerability of human settlements. Then comes Theme II “Comparative studies of ecosystems, biodiversity, land use and cover, and water resources in the Americas” focusing on impacts of global change in biodiversity and Theme III “Understanding global change modulations of the composition of the atmosphere, oceans and fresh waters” with some emphasis on coastal processes.

There were general comments related to the Science Agenda asking for “more integration of the different dimensions of global change” and “more relevance to education and training”. Also that “Perhaps greater attention and support for inter-American science assessments, as the bridging mechanisms between science and policy, could be strengthened in future science agendas. The science assessment documents also serve as effective communication and outreach documents”.

## **Visibility of IAI**

A number of visits to international, regional and national institutions and participation in events were accomplished, aiming to interact with as many organizations, institutions or individuals involved in global change as possible, in order to improve IAI’s visibility and to strengthen existing links or to initiate new ones (actions related to the recommendation of the Working Group for Increasing Country Commitment asking for a fostering of the diffusion of IAI activities).

Brief accounts of visits and participation in events as well as lectures delivered are given in Appendix I.

The participation at the *Young Scientist Global Change Conference*, November 16-18, Trieste, Italy, organized by START and sponsored by the Earth System Science Partnership in collaboration with IAI, APN, ICSU and other institutions merits a special comment.

This event aimed at offering a prestigious platform to young (less than 35 years) scientists to present their research findings in Global Environmental Change to their peers and leading scientists in the field. Participants were selected from all regions of the globe and IAI supported the participation of scientists from the Americas. Invited by the organizers the IAI Director and the IAI Scientific Officer chaired sessions of the Conference.

The quality of the great majority of presentations was very high, particularly those IAI supported participants from the Americas. As a result a team of scientists involved in IAI projects won the Paul Crutzen Prize, awarded to the best presentations. Moreover the best poster was also awarded to a team from Latin America. It was a very positive event, helping to very much improve the visibility of IAI among the community of young scientists. Moreover two IAI summer Institute participants were awarded START fellowships.

### Local visibility

A series of conferences was initiated on subjects related to global environmental changes issues by invited Brazilian scientists related to IAI and taking place at the Brazilian Instituto Nacional de Pesquisas Espaciais (INPE). The idea is mainly to encourage the interaction among these Brazilian scientists and to obtain more visibility of IAI with-in the Brazilian scientific community, in particular at INPE, which hosts the IAI Directorate

Three conferences were implemented: The first one took place on August 29, 2003, on the subject “O papel do IPCC (Intergovernmental Panel on Climate Change) na Convenção - Quadro das Nações Unidas sobre Mudanças do Clima” (“The role of IPCC in the UNFCCC”) and was delivered by Dr. Thelma Krug. The second conference on September 26, 2003, on the subject “Simulações do clima e sua variabilidade com o Modelo de Circulação geral do CPTEC - aplicações no projeto PROSUR / IAI” (“Simulations of climate and its variability with the CPTEC general circulation model – applications to PROSUR/IAI Project”) was delivered by Dr. Iracema F. A. Cavalcanti, INPE/CPTEC. The third one, on March 26, 2004, was delivered by Dr. Lucí Hidalgo Nunes (UNICAMP) on “Interações entre a Atmosfera e a Sociedade - em Busca de Novas Perspectivas.” (“Interactions between the atmosphere and society – exploring new perspectives”). All lectures were very well attended and we have several candidates in the “waiting list” for future deliveries by the second half of this year.

### **Interactions and agreements with other organizations**

The following describes the interactions and agreements with other organizations implemented or under implementation (actions related to the recommendation of the Working Group for Increasing Country Commitment asking for a fostering and reactivation of Memoranda of Understanding/agreements and the diffusion of IAI activities):

- MoU between the IGBP and IAI officially signed on October 30, 2003, at the IGFA meeting in South Africa.
- MoU with CIIFEN (Centro Internacional de Investigación del Fenómeno El Niño), Ecuador, signed on 9 June 2004.
- MoU with WMO under discussion.
- MoU with APN in preparation.
- Interest of IILA (Istituto Italo Latinoamericano) to become an associate of the Institute.
- Discussion with INPE to have CPTEC/INPE as an Affiliated Research Institution. A proposal will be presented to these EC/CoP meetings.
- Initial contacts with the MIT Joint Program on the Science and Policy of Global Change exploring the possibility for IAI to become an “affiliated” institution to this Program. The reaction of MIT was positive, as they are interested in the involvement of Latin-American scientists in this program. Possibility of participation at the Science Policy Forum of the IAI-IHDP Institute on Food Security and Globalization.
- Two MoUs have been signed with collaborative institutions, which are co-organizers and sponsors of the Global Environmental Change Institute on Globalization and Food Systems: Scientific Workshop” (October 24 – November 6, 2004). The collaborators are: the University of Costa Rica - Foundation for Research (FUNDEVI); The National Centre of Advanced Technology Foundation (FUNCENAT); The National Academy of Science of Costa Rica (NAC-CR); the Centro Mesoamericano de Desarrollo Sostenible del Trópico Seco (CEMEDE) of the National University of Costa Rica (UNA) and the International Human Dimensions Programme (IHDP). These agreements assign the responsibilities around the organization of the Institute.
- Initial contacts and exchange of information with the International Virtual Institute on Global Change of the Federal University of Rio de Janeiro (IVIG/COPPE/UFRJ).

## **Science Activities**

The Scientific Officer will report on the science activities (related to strategies 1 and 2). He will provide an update on the projects under the first round of the Small Grant Program (SGP-I), the launching of the SGP-II and preparations for CRN-II. The list of approved proposals and additional information of the SGP-II can be obtained at the Info sheet No. 23, released in February 2004.

The present status of the CRN program implementation, including detailed statistics on additional or parallel funds leveraged by the different CRN projects, the students’ involvement, the publications and the number of scientists and or institutions related to the CRN program is reported in Document 7 and will be presented by the CRN Manager at the EC meeting. NSF has approved a request for a no cost extension of this program until May 2005.

An analysis will be presented of possible timetables for the launching of a new round of CRN taking into account suggestions from different bodies, the present activities developed by the Directorate and the availability of funds. The related issue of hiring of a full time Program Manager to support the Scientific Officer in all projects, initiated by the SAC, will be discussed

in connection with the financial issues, given the impact in the Core Budget (EC-18 requested the Directorate to study this implications and report to the present meeting).

Regarding the preparation of an “IAI Project Management Manual” for future IAI programs we had discussions with the Officers to establish a basic framework. The major sources were previous materials available at the IAI in connection with the science programs, particularly the recent SGPs, although some manuals established and applied by science institutions with similar programs were also collected to serve as examples. A preliminary draft is under finalization (June 2004).

The SAC Chair, Dr. Walter Fernandez, will present a report of the IAI Scientific Advisory Committee (SAC) activities.

### **Training, Communications and Outreach Activities**

The Training, Communications and Outreach (TCO) Officer will report on her activities in detail.

Since the last CoP three IAI Summer Institutes were successful implemented in 2003, as follows,

- 1) Land Cover-Land Use Change in the Amazonian Region: Patterns, Processes and [Plausible] Scenarios (October 13-24, 2003, Cachoeira Paulista, Brazil).
- 2) Vulnerability associated with Climate Change and Climate Variability in Central America and the Caribbean (October 26-November 8, 2003, Santo Domingo, Dominican Republic);
- 3) Warming and Global Climate Changes: Causes and Mitigation Alternatives (November 10-22, 2003, Piracicaba, Brazil);

All IAI Member countries from Latin America participated in the IAI Institutes implemented during 2003. Even countries non members of the IAI participated, such as El Salvador, Honduras and Nicaragua. See Appendix III for participating countries in these Institutes.

The Institute on vulnerability, in particular, received a considerable financial support from UNDP (60 K dollars) and from the OAS (20 K dollars). (This activity, implemented in a scientifically less developed country, is particularly related to strategy 3).

Since the end of last year the TCO Officer has worked on the planning and fundraising of two capacity building activities in Latin America in collaboration with partner organizations. The goal is to promote capacity building in several themes of importance of the IAI science agenda with strong human dimensions approach:

1. IAI-IHDP 2004 Global Environmental Change Institute on Globalization and Food Systems - Scientific Workshop and Science-Policy Forum (October 24-November 6, 2004, Nicoya and San Jose, Costa Rica);
2. IAI Institute on Urbanization and Global Environmental Change in Latin America (September 27-October 8, 2004, Mexico City, Mexico)

In addition, initial contacts have been made to start planning T&E activities for 2005 with organizations in Paraguay, and other potential partner institutions.

The Training, Education and Communications Officer has worked on a series of fundraising efforts to complement the funding of IAI training activities, which otherwise could not be developed without these complementary funds:

The Institute on Food Systems and Globalization, in particular, received a considerable financial support from IHDP (20K dollars), Research Council of Norway (about 20K dollars), and APN (about 20K dollars).

In addition, Costa Rica's institutions (University of Costa Rica - Foundation for Research (FUNDEVI); The National Center of Advanced Technology Foundation (FUNCENAT); The National Academy of Science of Costa Rica (NAC-CR); the Centro Mesoamericano de Desarrollo Sostenible del Trópico Seco (CEMEDE) of the National University of Costa Rica (UNA)) will contribute with important in kind contributions to the IAI Institute on Food Systems and Globalization. This contribution will cover costs of local arrangements such as auditorium, equipment, local staff, material and supplies, etc.

The Institute on Urbanization received a financial support from IHDP (10K dollars, which will be transferred directly to IAI) and Mexico's National Institute of Ecology (INE) (10K dollars) in addition to complementary in kind contributions. Other fundraising efforts are under way through contacts with UNEP in Mexico and Canada's International Development Research Centre (IDRC) in Uruguay to co-sponsor this activity.

The Institute on Urbanization will be jointly organized with the National Institute of Ecology of Mexico (INE), which will also serve as host and local organizer. INE has greatly supported this activity and has participated very actively in the planning process.

TCO submitted a proposal to NSF requesting 300K (dollars) to support IAI Institutes for the period 2004-2005.

The TCO Officer has also worked on the production of the Spanish version of the recently released IAI Anniversary Book to celebrate 10 years of the Institute, the publication of the Annual Report 2002-2003 and the ongoing production of the IAI Annual Report 2003-2004 (to be available by December 2004), interactions with the Newsletter editorial staff; production of and update of IAI Info sheets and a new design of the IAI website.

### **IAI Data and Information System**

The Information Technology Officer is at present working in the implementation of a full upgrade of the system in ORNL (Oak Ridge National Laboratory) in order to improve the following features: a) Make the system more "user-friendly", b) Participate in an international consortium of projects who share costs and benefits, c) Integrate the new DIS with external systems, like LBA-DIS (Large Scale Biosphere-Atmosphere Experiment in Amazonia) and NBII

(National Biological Information Infrastructure) and d) Preserve standard protocols and formats used worldwide by different institutions.

The signature of contract between ORNL and IAI is imminent. The Project will be implemented during the 3rd and 4th quarters of 2004 and the liberation to the community is planned by January 2005. It is planned to define a clear Data Policy Rules to be used with the new system and work with the PIs/CoPIS in order to obtain information from the scientific projects as metadata format in a regular basis. It is also planned to have, after the official liberation to the community of the upgraded system, (fund permitting) a two day workshop with the PI/CoPIS in order to present the new system to the researchers, to clearly inform them about the new data policy rules, and to begin the first actions in order to create metadata for each project.

The current DIS metadata is now integrated with NASA's Global Change Master Directory (GCMD). The main objective of this integration is enabling external users to locate and obtain access to Earth Science information through that portal. This service is working in parallel with the IAI-DIS project in order to expand the identification of scientific information from the IAI. The DIS GCMD Portal is already available at ["http://gcmd.gsfc.nasa.gov/Data/portals/iaidis/"](http://gcmd.gsfc.nasa.gov/Data/portals/iaidis/).

### **Financial Matters**

The Financial and Administrative Officer will provide an overview of the financial status of the Core Budget for FY 2003/2004, Budget for FY 2004/2005, Auditors Report as of June 30, 2003, and Country Contribution for 2004/2007

We forecast to close this fiscal year with savings of \$100,000 in our core budget expenses. This has been the result of strong efforts in the control of the expenses due to the uncertainty in the collection of the contributions from the member countries.

As a result of these efforts, plus the collection of 94% of the expected contributions, our cash flow for the fiscal year 2003/04 will close with a positive balance of \$50,000

### **Administrative Matters**

Starting this fiscal year the Performance Appraisal Review process is fully implemented (already reported to the last EC in Costa Rica).

With reference to the internal controls and administrative processes:

- Administrative and financial controls over scientific/training activities managed by the Directorate, improving the old controls, are now in place;
- A more consistent criterion to number the grants approved has been adopted. It facilitates the link between the project information and the financial information;
- Standard forms for Consultancy Contracts and Allocation of Fund Contracts were developed and implemented;
- Internal forms were updated;

- An external consulting firm was hired to perform the Job Classification and a Salary Survey for the international positions. A draft report is expected to be received by end June.

With reference to the project cost accounting, and following the recommendations of our external auditors (KPMG), changes were made in order to comply with the US GAAP.

## **Newsletter**

The updating of the Terms of Reference of the IAI Newsletter Editorial Board, and renewal of its membership, based on short, clear and concise guidance has resulted in a much-improved collaboration among the parties involved. As a result, during the year 2003 all issues were released on time (actions related to the fostering of the diffusion of IAI activities). However, due to financial shortages, we were forced to reduce the frequency of the Newsletter from quarterly deliveries to three numbers per year for 2004, in order to maintain the costs within the available funds without affecting the quality, presentation or content of the publication. The CoP is requested to endorse this measure.

## **Resource Mobilization**

The fundraising efforts made in the area of Training were reported in the TCO section above.

Following a recommendation of EC-XVIII draft fund-raising strategies were presented to the first meeting of the Ad Hoc Working Group on Relations with Member States, SJC, February 5-6, 2004. An excerpt of the document presented at the Committee is attached as Appendix II.

With reference to the standard pattern presented in the document we may comment that:

- Regarding point 1 (consistent profile) the IAI has a clear mission and objectives. Moreover the recent identification by some members of priorities in global change research and the expected results of the Forum, providing guidance on future lines of actions, will surely help on focusing the IAI aims and profile.
- Regarding point 2 (publicity/visibility) although some reinforcement is needed several efforts were and are being made in this area (such as the wide distribution of the Anniversary Book, IAI info sheets and Reports, participation in events, improvement of the Website)
- Regarding point 3 (partnerships) very positive results were obtained with institutions such as IHDP, DIVERSITAS; IGBP, UNDP, OAS through common undertakings.
- Regarding point 4 (leveraging) with some encouraging results on the previous points and with the possibility of launching a major program in the near future the time is appropriate to explore additional sources from international funding agencies or foundations, focusing on IAI activities that fit the objectives of these institutions. The next CRN initiative, if materialized, would provide an excellent base for the immediate initiation of contacts for the leveraging of funds.

## **Internal Issues**

Regarding the IAI local staff the situation foresaw and discussed during the previous EC meeting finally materialized, in spite of all the efforts the Directorate made in numerous meetings and discussions to negotiate a “status quo” with the parties involved. Due to financial difficulties originated in the limitations of INPE to pay the level of salaries of the staff, the foundation hiring the local staff decided to terminate its contract with INPE dismissing all staff by end March 2003. A bid was launched by INPE and the winner company offered salaries about 40% below the previous levels. The administrative staff has no other choice that to accept this enormous reduction of wages. In addition the social benefits were also reduced. Due to legal restrictions IAI is not in a position to cover additional payments, such as complements to salaries, food and transport allocations, etc. as this could be considered as fraud to the bid with serious legal consequences. Notwithstanding we were able to negotiate with the Director of INPE the inclusion of the IAI staff in the group medical insurance used by INPE, allowing a much lower premium to be paid by the incumbents.

The present situation of the administrative local staff is very unsatisfactory and, understandably, the morale is at a quite low level. No concrete assessment has been done yet to evaluate the impacts of this unfortunate change on the work of the Directorate, although we envision several potential negative consequences resulting from this salary reduction and benefit cuts. In other words, the salaries offered are so low that, in case of a need for replacement it will be practically impossible to find local candidates with the level of skills and knowledge required by IAI. We initiated discussions with the local authorities to explore possible ways to ensure a stable and continuous administrative support to IAI, aiming to avoid future similar damaging situations as the one we are facing now.

Regarding basic procedures for the use of IAI staff the IAI Employee Manual is in its final phase. Some adjustments could be needed following recommendations from the FAC. In connection with the assessment of salaries for international staff an external consultant is finalizing a survey of salaries in “comparable” non profit international institutions located in Brazil.

The Director of INPE detached Dr (Mrs.) Raquel A. Paviotti Corcuera to IAI on a full time basis for two years, from 1 April 2004. Dr. Paviotti is a scientist with majors in nuclear physics and artificial intelligence and worked in Argentina, France, USA and Brazil. She recently retired from the IAEA (International Atomic Energy Agency), Austria, where she was in charge of technical cooperation activities and coordinated international research programs. We plan Mrs. Paviotti to provide help in the science area and in our local and external fund raising activities.

## **Future activities**

The major planned activities for the year to come will be partly discussed by the IAI Officers.

In the Science area they will concentrate in the finalization of the SGP-I, the implementation of the SGP-II, the finalization of the CRN, the planning of regular annual calls for small grants and the planning of the future CRN-II. The considerable amount of work involved in these activities

and the present reduced IAI staff available to handle these issues will require a careful planning and timetable. Different scenarios were considered depending on the availability of funds and the timing of the planned activities. In connection with the eventual launching of a new CRN particular attention will be given to the finalization of a Project Management Manual. The proposal, launched by the SAC, for a Program Manager has financial consequences that are discussed and analyzed under the presentation of Financial Matters. (All actions related to strategies 1 and 2).

The Training, Communications and Outreach area plans to implement two capacity building institutes in 2005, one of which will address vulnerability for South America and could be hosted possibly by Paraguay. A third training event will be explored under the framework of the 2005 Open Meeting of the HD community in October 2005. All three training activities will require major efforts in fundraising and leverage of additional resources, in addition to development of ongoing and new institutional partnerships and collaboration (Actions related to strategies 3 and 5). Yet, in the scope of capacity building activities, new initiatives will be explored to foster the integration of science and policy in the IAI and to promote more participation of policy and decision makers.

New communication and outreach materials will be produced next year such as a new IAI brochure and the publication of the synthesis of the Initial Science Program.

The IT area plans to continue the updating of the ITC hardware and software, improve the IAIDB system in order to allow the controlling of proposals submitted to new scientific programs and also insert new procedures to better control the events and their participants, implement new solutions for Internet and Local Network security and daily operations, as well as the updating of the DIS as indicated in the IAI DIS section above. (Actions related to strategy 5).

The scientific synthesis of the Initial Science Program (ISP) is in process, thanks to the efforts of the IAI Visiting Scientist, Dr. Thelma Krug. A draft version was finalized and is under review. A short article summarizing this scientific synthesis has been published in the last issue of the IAI Newsletter. (Actions related to strategy 4).

National portfolios showing benefits received by the Member for its participation in the IAI will continue to be prepared (recommendation of EC-XVIII)

Based on the strategies for resource mobilization, the implementation of contacts with major funding institutions to enlarge the resource base of the IAI will have a high priority (related to strategy 6).

## Appendix I

### Visits to international, regional and national institutions and participation in events

Director

*July 24-25 2003, San José Costa Rica (on a private visit).* Visiting the following institutions and officers: University of Costa Rica: Dr. Walter Fernandez, Chair of the SAC and Head of the UCR School of Physics; Instituto Nacional de Meteorología (IMN): Lic E. Zarate, IAI Representative and Director of IMN. IUCN Meso-America - UICN Oficina Regional para Mesoamérica: Dr. Enrique J. Lahmann, Director Regional UICN-Mesoamérica.

*September 2-3, Itajaí, SC.* Attendance at a two-day mini-workshop held at Itajaí, Santa Catarina, Brazil, from to 2 to 3 September 2003, to celebrate the closing of the observational phase of the 1<sup>st</sup> International Survey of the NICOP/LAPLATA project.

*September 8-10, 2003, Rio de Janeiro.* Participation at the “3rd Green Meeting of the Americas: Conference of the Americas for the Environment and Sustainable Development “, to receive the Green Prize of the Americas and to deliver a lecture on Global Change.

*September 16-18 p.m., 2003, Sao Paulo.* Attending a series of lectures on the UNFCCC process and the Kyoto Protocol delivered by Dr Gylvan Meira Filho at the IEA, University of Sao Paulo.

*September 22-23, 2003, Buenos Aires.* SECyT, Argentina. Participation in a meeting to discuss national priorities on Global Change research and meeting with Ing. Tulio Del Bono to discuss IAI related matters, particularly Argentina’s contribution.

*September 24, 2003, Sao Jose dos Campos.* Visit to IAI of Dr Ake Rosenkvist, a Swedish scientist working at the Earth Observation Research Centre of NASDA, the Japanese Space Agency

*October 6-7, 2003, Cruzeiro.* Attending the Fourth Meeting of the Principal Investigators of the Project - CRN055 - PROSUR – Cruzeiro. Meetings with PIs and Co PIs of the project, some discussions about present and future activities of the PROSUR Project and delivering a lecture on IAI structure and immediate plans.

*October 9-10, 2003, Brasilia.* Discussions with the Secretary of CGPI (Coordenação-Geral de Privilegios e Imunidades), MRE, Itamaraty, Dr Appio Claudio Acquarone, on the range of privileges and immunities enjoyed by the IAI international staff. Delivering a lecture on Global Environmental Change and Human Health at the PAHO Office, following an invitation from its Regional Representative in Brazil, Dr Jacobo Finkelman.

*October 12, 2003, Cachoeira Paulista, SP.* Opening of the IAI Summer Institute on Land Use and Cover Changes in the Amazonian Region: Patterns, Processes and Plausible Scenarios

*October 14-15, 2003, Santiago de Chile.* Participation at the GCOS (Global Climate Observing System) Regional Workshop for South America, chairing two sessions, one on “Atmosphere: Status, Deficiencies, and Needs” and a similar one on “Oceans: Status, Deficiencies, and Needs”, and delivering a lecture on “Observational needs for global change”.

*October 16, 2003, Buenos Aires, Argentina.* Stop over in Buenos Aires to participate at a Ceremony organized by the Department of Atmospheric Sciences, FCEyN, University of Buenos Aires celebrating the 50<sup>th</sup> Anniversary of the creation of the Career in Meteorology.

*October 26-27, 2003, Santo Domingo, Dominican Republic.* Opening of the IAI Summer Institute on Vulnerability Associated with Climate Variability and Climate Change in Central America and the Caribbean. Meeting with the UNDP Representative Mr. Nicky Fabianic, the OAS representative Mrs. Bertha Santoscoy and the Secretary of State (Environment and Natural Resources) Eng. Frank Moya Pons. Interviews in a local TV channel and with a local newspaper on the subject of the Seminar and activities of IAI.

*October 29-31, 2003, Cape Town, South Africa.* Participation at the Annual IGFA (International Grouping of Funding Agencies of Global Change) Meeting. Delivering of a presentation on IAI funding schemes. Signature of a Memorandum of Understanding IAI/IGBP with the IGBP Executive Director Dr. Will Steffen.

*November 16-18, 2003, Trieste, Italy.* Participation at the Young Scientist Global Change Conference organized by START and sponsored by the Earth System Science Partnership in collaboration with IAI, APN, ICSU and other institutions, chairing the first session.

*January 26-29, 2004, Washington DC, USA.* Visits to: the US Department of State: Drs Daniel Rifsneyder, Director of the Office on Global Change, and Harlan Watson, Senior Climate Change Coordinator; the START Office: Dr. Roland Fuchs and Hassan Virji; the AGU (American Geophysical Union); Dr Gene Bierly, Senior Scientist; NSF: Drs Margaret Leinen and Paul Filmer, Mrs. Vanessa Richardson (talks with Mr. Gladstone Taylor, who was also visiting NSF) and NOAA/ OGP: Dr (Mrs.) Lisa Farrow

*March 4-6 2004, Campinas, Brazil.* Participation at the Inter American Workshop on Environmental Data Access, CODATA/CRIA, delivering a lecture and chairing one session.

*May 3-7 2004, Antalya, Turkey.* Participation at the WMO 21<sup>st</sup> Meeting of the EC Panel on Education and training, Antalya, Turkey (all costs being covered by WMO).

*May 18-20 2004, SJC :* Invitation by Minister Everton Vargas, Ministry of Foreign Affairs, participation at the meeting of the governmental representatives of the "Brazil-US Workshop on Cooperation in Climate Science and Technology", organized by the Department of Environment and Special Themes of the Brazilian Ministry of Foreign Affairs at INPE. The American Delegation paid a visit to the IAI Headquarters on 20 May 2004.

#### Scientific Officer

*September 2-3, Itajaí, SC.* Attendance at a two-day mini-workshop held at Itajaí, Santa Catarina, Brazil, from to 2 to 3 September 2003, to celebrate the closing of the observational phase of the 1<sup>st</sup> International Survey of the NICOP/LAPLATA project.

*October 28-30 2003, Lima, Peru :* Meeting CRN 062, PI Tim Baumgartner

*November 16-18,2003, Trieste, Italy:* Participation at the Young Scientist Global Change Conference

*December 10-12, 2003, Mar del Plata, Argentina:* Meeting of CRN 061, PI Edmo Campos.

*November 3-5, 2003, Santo Domingo, Dominican Republic:* 19<sup>th</sup> SAC meeting.

*February 11-13 ,2004 Buenos Aires, Argentina:* Visits to UBATEC and PIs Osvaldo Sala and Mario Nunez.

*April 1-2 2004, Ottawa , Canada:* 20<sup>th</sup> SAC meeting.

#### Training, Communications and Outreach Officer

*October 16-18, 2003, Montreal, Canada:* The TCO Officer represented IAI at the opening ceremony of the 2003 Open Meeting of the Human Dimensions of Global Environmental Change Research Community, The meeting was co-sponsored by IAI, CIESIN, IHDP and the McGill University. The TCO Officer was a member of the organizing committee of the event and also participated at parallel sessions on National Committees in HD and on regional networks.

*November 19-21, 2003, Rio de Janeiro, Brazil :*The TCO Officer participated at the opening of the "Inter American Workshop on the Use of Remote Sensing to Control Infectious Diseases" representing IAI (co-sponsor). The TCO Officer took the opportunity to discuss with and brief selected participants from the climate/health research community on IAI aims and activities and with representative of the funding agencies.

*May 27-28, 2004 in Bonn, Germany.* The TCO Officer participated in the First Planning Meeting of the 2005 Open Meeting of the Human Dimensions of Global Environmental Change Research Community, as a member of the International Scientific Planning Committee together with several other organizations.

CRN Program Manager

*July 10, 2003, Campinas, Pilot project on HD, CRN 055 PROSUR*

*August 16-18, October 6 and 22, 2003, IEA/USP, Sao Paulo, Conferences on the Evolution of the International Conventions on Climate Global Change.*

*October, 7-8, 2003, Cruzeiro: 4<sup>th</sup> Co Pis meeting of CRN-055 PROSUR*

*October 26 to November 6, 2003, Santo Domingo, Dominican Republic: Supporting the IAI Summer Institute on Vulnerability Associated with Climate Variability and Climate Change in Central America and the Caribbean.*

*November 3-5, 2003, Santo Domingo, Dominican Republic: 19<sup>th</sup> SAC meeting.*

*November 8-11, 2003, San Jose, Costa Rica : 4<sup>th</sup> Meeting of CoPIs project CRN 031.*

*April 1-2 2004, Ottawa , Canada: 20<sup>th</sup> SAC meeting.*

*June 2, 2004, IOUSP, Sao Paukjllo: 2<sup>nd</sup> Brazilian Symposium on Oceanography.*

IT Manager

*Agosto 12, 2003, Cachoeira Paulista: Meeting on LBA-DIS with Dr. Carlos Nobre and Luiz Horta.*

*September 12-13 2003: Campinas. Participation in a course on IT security.*

*March 4, 2004, Campinas. Participation at the Inter American Workshop on Environmental Data Access, CODATA/CRIA*

*March 25 -26, 2004, Sao Paulo: Participation in an event on Knowledge Management and Corporative Intelligence.*

*May 17- 21, 2004, Campinas: Participation in a Symposium on Digital Libraries. Presentation of a technical article on IAI-DIS.*

*Lectures delivered (some during the above-mentioned visits)*

Director's lectures

*23 July 2003 (private visit), School of Physics UCR, San José, Costa Rica, lecture on "IAI and global change", addressed to Faculty and students.*

*5-6 August 2003, INPE, SJC, lectures on "Applications of remote sensing and GIS to global change" at the international course organized by CRECTEALC, INPE.*

*October 1<sup>st</sup>, INPE, SJC. Lecture on Global Change (and IAI) addressed to students at the Post Graduate Course in Space Geophysics (GES), organized by the Divisão de Geofísica Espacial (DGE), one of the divisions of the Coordenação Geral de Ciências Espaciais e Atmosféricas (CEA) of INPE. The lecture was not only attended by students but also by researchers from the CEA, interested in the subject of global change and, in particular, on the activities of IAI.*

*October 6-7, Cruzeiro. Fourth Meeting of the Principal Investigators of the Project - CRN055 - PROSUR – Cruzeiro. Presentation on IAI structure and immediate plans.*

*October 9-10, Brasilia . Lecture on Global Environmental Change and Human Health at the PAHO Office.*

*October 14-15, Santiago de Chile. GCOS (Global Climate Observing System) Regional Workshop for South America, lecture on "Observational needs for global change".*

*November 4, INPE, SJC.* Lecture on Global Change and IAI activities (followed by a presentation of the sister institution CRECTEALC by Dr Tania Sausen) during a visit to IAI HQ of Dr Luci Hidalgo Nunes, Geosciences Institute of the State University of Campinas (IG/Unicamp) and her students.

*November 19-20, Rome, Italy,* Istituto Italo Latinoamericano (IILA) Rome, lecture on “Research networks on Global Change in the Americas”.

*March 4-6, 2004, Campinas, Brazil.* Inter American Workshop on Environmental Data Access, CODATA/CRIA, lecture on the “Inter-American Institute for Global Change Research Data and Information System IAI-DIS”.

## Appendix II

*Excerpt from a document discussing a draft strategy to mobilize resources and improve the commitment of IAI members and presented by the Directorate to the First Meeting of the Ad-Hoc Committee on Relations with Member States, Sao Jose dos Campos, February 5-6, 2004*

### Background

The IAI Executive Council, at its last meeting (EC-18, San Jose, Costa Rica, December 2003) asked the IAI Director to prepare a document, based on the EC discussions, including strategies to improve country commitment to the IAI, this document to be an input for the present meeting.

An accompanying information document summarizes several previous recommendations and suggestions aiming at improving the countries commitments made by EC and a working group established for this purpose. Among the most salient we can mention: that coercive measures to get the payment of owed contributions should be avoided; that strategies to achieve cancellation of debts in contributions should be made on a case-by case basis; that when negotiating with authorities it is advisable to provide them with detailed information on the benefits the country has received from IAI; that the Directorate should take decisive steps to increase the visibility of IAI.

At the EC-18 meeting the IAI Director presented an analysis on a possible global strategy to attract funds from other institutions or to sensitize contributors to pay their arrears, which includes different options. He also commented on different alternatives for the expansion of resources (international assistance, donated professional services, potential donors, etc.). This document, based on this presentation, expands and complete the suggestions made.

### Mobilizing resources and support

Since a long time, due to the ever-present difficulty in getting adequate funding for their functioning, several governmental and non-governmental organizations and institutions developed strategies to mobilize resources. Based on their experience it can be found that the more successful strategies share a common or standard pattern which can be summarized in four points:

1. **A consistent profile** (*clear mission and objectives that can be shared with potential contributors*)
2. **Intensive publicity/visibility program** (*aiming at regional recognition and credibility*)
3. **Looking for partnerships proactively** (*synergetic common activities and shared objectives*)
4. **Leveraging on the available funds to get more** (*strengthening the financial base*)

What resources are needed in IAI?

Mainly for two functional purposes: *operations* and *programs*. The operations include the administrative work of the Directorate in supporting the running of the Institute (meetings of constituent bodies and related groups; managing of scientific activities; organizing training and outreach activities; providing information). The programs refer to all regional scientific projects, activities and initiatives aiming at developing scientific capacity through the establishment and support of networks.

What resources are already committed to the Institute?

- The *Core budget*, comprising the contributions from Members and providing the basic financial source to cover the operation of the Institute. As the public sector is undergoing structural adjustments and treasuries are under pressure to reduce public spending wherever they can,

governments are seizing any opportunity they can to cut spending and, as a consequence, many of international governmental and non-governmental agencies and institutions are suffering for arrears and outstanding contributions. This is particularly the case with IAI, as presented in the accompanying background document, originating the establishment of the WG on Members Commitment and recently the WG on Relations with Members to help the Directorate in finalizing and implementing an adequate strategy to properly handle the issue.

- *The local (Brazilian) support:* Brazilian authorities provide the building, including the operational expenses, and the administrative staff. This is a quite substantive support to the operation of the Institute. However, as this staff depends from local institutions and rules, the Directorate has limited control in terms of its selection and permanence (at this very moment discussions are intensively pursued with local authorities to maintain the present staff as contracts have to be renewed and no assurance has been given for their permanence).
- *Program funds:* practically the NSF through grants provides the totality of these funds. However some punctual or ad-hoc support has been obtained from international or national agencies (UNDP, OAS, a few IAI members, local foundations-institutions in kind)

Donated professional services and expertise are resources that should not be overlooked. Last year the Brazilian authorities offered the services of a local scientist to work, on a part-time basis, with IAI on science related subjects. This was a very valuable help, as allowed the finalization of pending scientific synthesis of the outcome of previous programs. We hope to have other similar offers in the near future.

Some characteristics or previous activities of the Institute can be related to the above four points or components of the standard strategy.

- *Profile:* since its inception IAI has developed very clear and consistent aims and objectives, as well as a sound and flexible scientific agenda, that could be adapted to regional needs;
- *Publicity/visibility:* last year all the professional staff of the Directorate, including the Director, was heavily engaged in publicizing the Institute's activities through an active participation in meetings, delivering of lectures and distribution of information material at events organized by institutions related to GEC. We can also mention here the award to IAI of a "Green Prize of the Americas" in the area of climate change.
- *Partnerships:* following previous recommendations the Directorate made efforts to strengthen the relations with other sister international organizations, leading to the signature of Memoranda of Understanding or the initiation of steps towards this aim. As examples two MoUs were signed last year: with IGBP and the UN CRECTEALC and discussions are under way with OAS and UNDP for future MoUs. The IILA (Italo Latin American Institute) expressed its intention to become an associated institute.
- *Leveraging:* complementary funds were obtained from other organizations (UNDP, OAS, ISDR) for the implementation of recent training events, allowing an efficient use of the limited available financial resources. In kind contributions were also obtained for these events (from CENA, CPTEC, IRD).

## **Resources expansion**

In addition to the financial resources discussed in the section above there are funding opportunities through other mechanisms and it would be useful to discuss about these possibilities.

What are the trends in international assistance (official development assistance, private foundations and NGOs)? How to develop a successful approach?

International funding agencies have their own policies on how potential support can or should be developed. It is clear that *successful proposals focus on initiatives that fit the objectives of foundations.*

Managing a successful relationship required good capacity in, at least, the following areas: program design and execution, financial management and accounting, and communications. The IAI Directorate during last year initiated efforts to improve its internal structures and procedures. More has to be made in the improvement of financial follow up and monitoring of programs as well as in the establishment of simple, clear and efficient (non-bureaucratic) procedures for the managing and monitoring of projects.

Follow up with reports, thank you letters, publicity and events encourages people to keep giving and stay connected.

We should be clear about what the donor/supporter gets in return for its support and involvement. In this connection the highest levels of an agency must be convinced in principle of the benefits to be gained from working with IAI (the support of the national governments or national government agencies may be necessary).

What stands out from the experience is that successful efforts are often aimed at involving potential donors and contributors in a long-term relationship.

A final important point: *It takes resources to raise resources.* How much money and time can the Institute invest in mobilizing resources? The present Directorate staffing is practically minimal to face and handle the operational requirements as well as the program activities. Some reflections are needed on this matter.

### Appendix III

Number of participants in IAI Summer Institutes 2003 per country and Institute.

Country	Vulnerability	LUCC	GW	
Argentina			1	1
Barbados	1			1
Bolivia			1	1
Brazil		10	4	14
Chile			2	2
Colombia	2	4	2	8
Costa Rica	2			2
Cuba	2		1	3
Ecuador		1	2	3
El Salvador	2			2
Guatemala	2			2
Honduras	2			2
Jamaica	1			1
Mexico	2		1	3
Nicaragua	2			2
Panama	2			2
Paraguay			1	1
Peru		4	2	6
Rep. Dominicana	3			3
Uruguay			1	1
Venezuela	1	2		3
	<b>24</b>	<b>21</b>	<b>18</b>	<b>63</b>