

**27-May-2012**



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

**TWENTIETH CONFERENCE OF THE PARTIES OF THE IAI (CoP-20)**

**June 27-29 2012**

**Strengthening Governance of the Inter-American Institute**

**Draft Proposal for a Tripartite Governance Structure**

**(Submitted by the IAI Ad-Hoc Committee)**

**STRENGTHENING GOVERNANCE OF THE INTER-AMERICAN INSTITUTE**  
Draft Proposal for a Tripartite Governance Structure

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**STRENGTHENING GOVERNANCE OF THE INTER-AMERICAN INSTITUTE**  
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**1. INTRODUCTION**

At their nineteenth meeting on February 15, 2012 in Washington, USA, the Conference of the Parties (CoP) of the Inter-American Institute (IAI) agreed that the IAI Directorate is in need of a greater capacity to provide scientific knowledge to Governments for the development of public policy, to develop future science capacities and directions, and to increase public awareness of global change research conducted under the IAI.

The CoP agreed that the strengthening of the IAI's capacity would be best fulfilled by implementing a distributed Directorate based on a tripartite approach to host the IAI in the three countries of Argentina, Brazil, and Uruguay. Overall coordination and integrated operations for the IAI Directorate would be based in Uruguay, while new science development activities and new science-policy liaison activities for the IAI Directorate would be based in Brazil and Argentina respectively.

The CoP agreed that a stronger structure would be necessary to manage a tripartite IAI Directorate, including the creation of two Director-level positions: one to oversee science development activities and one to oversee science-policy liaison activities. The two Directors would report to the IAI Director General.

The CoP agreed that an Ad-Hoc Committee consisting of representatives from Argentina, Brazil, Canada, Uruguay, and the United States would prepare a detailed proposal for a tripartite governance arrangement that would be compatible with the 1992 Agreement Establishing the IAI. The tripartite governance proposal would be presented to CoP-20 in June 27-29 2012 for consideration and approval.

This proposal is intended to provide a clear, detailed description of the tripartite governance structure being proposed by the Ad-Hoc Committee along with the steps necessary to implement this governance structure and monitor its success.

## **2. OBJECTIVES OF THE PROPOSED TRIPARTITE GOVERNANCE STRUCTURE**

In 1992, the Parties came together to establish the IAI “as a regional network of cooperating research entities” that “shall pursue the principles of scientific excellence, international cooperation, and the full and open exchange of scientific information, relevant to global change.” The IAI has the unique mission to develop the Americas’ capacity to understand the integrated impact of past, present and future global change on regional and continental environments and to promote collaborative, well informed actions at all levels. The intent behind this mission is to enable scientists and decision makers throughout the Americas to jointly address the critical issues associated with global change.

A newly structured IAI Directorate with functions distributed among three South American countries offers new opportunities. A tripartite arrangement among Argentina, Brazil and Uruguay would help overcome a number of existing pragmatic operational obstacles (i.e., staffing and financial regulations) in trying to assist the IAI in achieving its full mandate. A tripartite alliance would also assist in balancing the IAI’s current support structure by increasing the relative participation of countries in the South and by tapping into expertise and capacities provided by member countries and its institutions. In addition, a tripartite structure would fill an existing gap in the capacity to develop the science, assessment and synthesis needed to inform government action.

It is paramount that the proposed tripartite arrangement work to enhance, and not in any way jeopardize, the ability of the IAI to deliver its mission. In line with the decisions taken at the 19<sup>th</sup> CoP of the IAI, it is important that the existing functions of the IAI Directorate remain centralized in a proposed new Integrated Operations and Finance Directorate. The Directorate of Science Development and Directorate of Science-Policy Liaison should take on new functions and responsibilities that will enhance the goals of the IAI, with no duplication of effort. The 19<sup>th</sup> CoP also identified that the new tripartite IAI Directorate should be neutral to the core budget of the IAI.

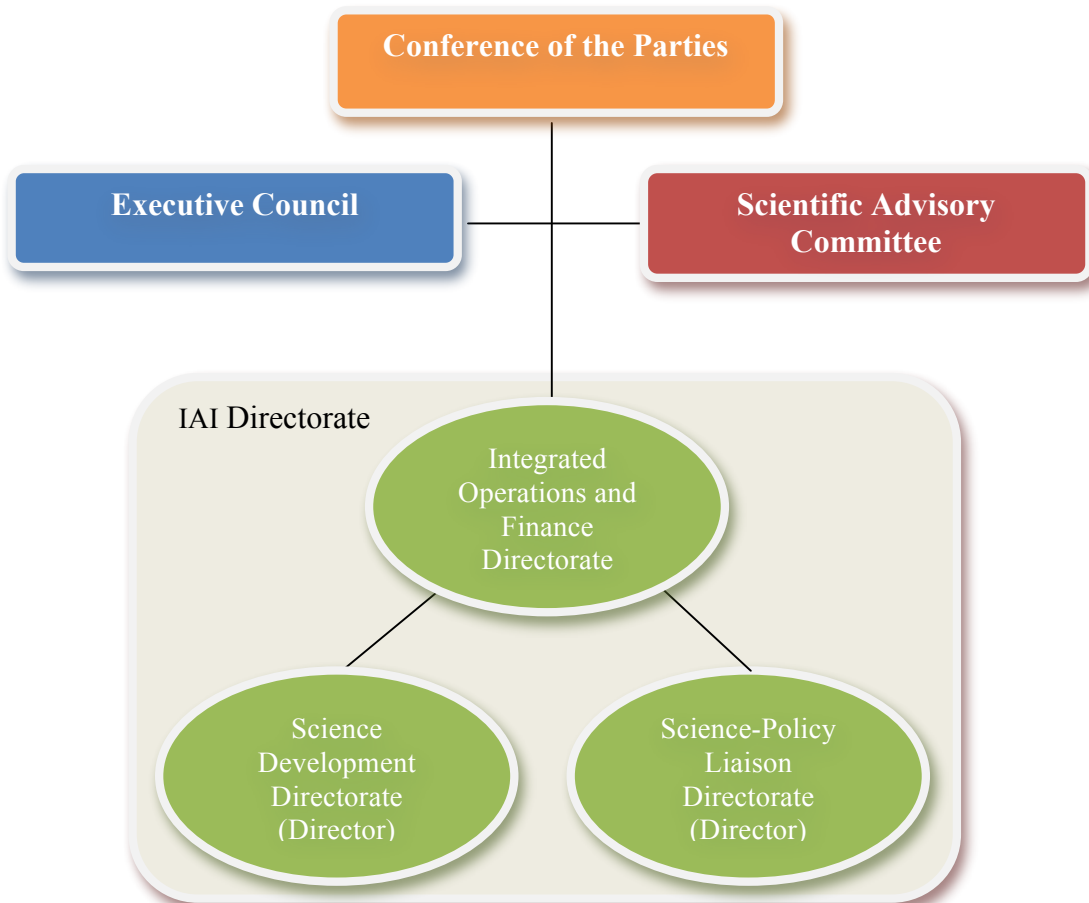
With these considerations in mind, the overall objectives of the proposed tripartite IAI Directorate would be to:

- (a) Serve as the primary administrative organ of the IAI, as per the 1992 Agreement for the Creation of the IAI;
- (b) Implement the scientific direction, strategies and programs of the IAI and strengthen their regional relevance;
- (c) Provide scientific knowledge to governments to facilitate the development of public policy, and to develop future science capacities and directions;
- (d) Improve public awareness;
- (e) Implement country-level agreements to host an IAI Directorate distributed in three countries: Uruguay, Brazil and Argentina.

### **3. PROPOSED TRIPARTITE GOVERNANCE STRUCTURE AND ACCOUNTABILITY**

The proposed IAI governance structure will maintain its existing permanent organs - the Conference of the Parties, the Executive Council, the Scientific Advisory Committee, and the Directorate. Existing and new functions of the Directorate will be distributed among the new Integrated Operations and Finance Directorate in Uruguay, the new Science Development Directorate in Brazil and the new Science-Policy Liaison Directorate in Argentina. These functions will be closely coordinated with existing and new Directorate personnel and functions with a view to enhance and expand the IAI's capacities toward fulfilling its mission. Below is a schematic diagram of the proposed governance structure and accompanying description of organs and accountability:

## Schematic Diagram of Proposed Governance Structure



The **Conference of the Parties**: Comprises all countries ratifying the Montevideo Agreement. As the IAI's principal policymaking organ, it establishes, reviews, and updates the Institute's policies and procedures and evaluates its work and accomplishments. It also reviews and approves the IAI's Scientific Agenda, annual and long-range plans and financial budgets.

The **Executive Council**: Composed of nine members, each of whom is elected by the Conference of the Parties for a two-year term. The Executive Council develops policy recommendations for submission to and approval by the Conference of the Parties, and ensures that policies adopted by the Conference of the Parties are implemented by the Directorate.

The **Scientific Advisory Committee**: Composed of ten members elected by the Conference of the Parties for a three-year term. As the IAI's principal scientific advisory body, it makes recommendations to the Conference of the Parties

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regarding the IAI's Scientific Agenda, long-range plans, and annual program. It also directs the peer review system for evaluating scientific proposals and assesses the scientific results obtained from IAI's funded science programs.

The proposed new IAI Directorate structure and accountability will be as follows:

**Integrated Operations and Finance Directorate (Montevideo, Uruguay)**

The Integrated Operations and Finance Directorate will be the headquarters of the IAI Directorate and will be based in Montevideo, Uruguay. This Directorate will be run by the Director General of the IAI, who is elected by the Conference of the Parties.

**Science Development Directorate (São José dos Campos, Brazil)**

The Science Development Directorate and the Director of Science Development will be located in São José dos Campos, Brazil. The Director of Science Development will be appointed by and will report to the Director General of the IAI.

**Science-Policy Liaison Directorate (Buenos Aires, Argentina)**

The Science-Policy Liaison Directorate and Director of Science-Policy Liaison will be located in Buenos Aires, Argentina. The Director of Science-Policy Liaison will be appointed by and will report to the Director General of the IAI.

**4. ROLES, RESPONSIBILITIES, CONDITIONS, INFRASTRUCTURE AND OTHER RESOURCES TO BE PROVIDED UNDER THE PROPOSED TRIPARTITE GOVERNANCE STRUCTURE**

**Integrated Operations and Finance Directorate (Montevideo, Uruguay)**

Main activities of the Directorate

The main activities of the Integrated Operations and Finance Directorate will be to:

- Prepare and submit to the Conference of the Parties, through the Executive Council, the proposed long-range plan, the proposed financial policies and the annual program and budget of the IAI, including annually adjusted allocations to the Directorate and to the IAI Research Centers;
- Implement the financial policies and the annual program and budget approved by the Conference of the Parties, maintaining detailed records of all revenue and expenditure of the IAI, and committing authorized resources for the purposes of managing the IAI;
- Be responsible for the operations of the program of the IAI and the implementation of the policies approved by the Conference of the Parties in accordance with the direction provided by the Executive Council, and to cooperate with the Executive Council in those regards;

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- Act as Secretariat to the Conference of the Parties, to the Executive Council and to the Scientific Advisory Committee and, as such, participate ex officio in meetings of the organs of the IAI;
- Promote and represent the IAI;
- Forward to the Conference of the Parties offers to host IAI Research Centers based on proposals submitted in accordance with the Agreement Establishing the IAI;
- Issue invitations of Association (i.e., to Associates of the IAI) approved by the Conference of the Parties, and conclude with each accepting Associate an Agreement of Association;
- Submit annually audited financial records to the Conference of the Parties, through the Executive Council; and
- Perform any other functions entrusted to it by the Conference of the Parties or the Executive Council.

**[ Option 1:**

*In option 1, all existing staff positions in the current IAI Directorate will be based in the Integrated Operations and Finance Directorate and will report to the Director General of the IAI:*

Staff members of the Directorate

The Integrated Operations and Finance Directorate will host 12 staff members. The following ten positions will be transferred from the existing IAI Directorate and will be supported by the core budget of the IAI:

- Director General
- Assistant Director Science Programs
- Assistant Director Administration and Finance
- Assistant Director Capacity Building
- Information Technology Manager
- Program Manager
- Publications Editor (in Argentina)
- 3 Assistants with evolving assignments

The Directorate will also include the following staff members to be supported by the Government of Uruguay:

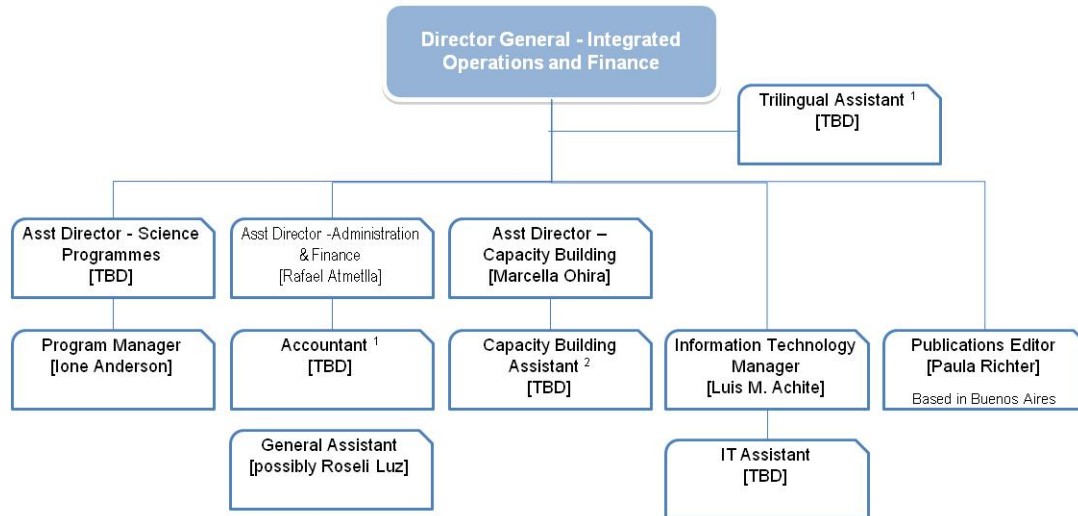
- Financial Assistant, Accountant
- Assistant to the Director General (trilingual)

The selection and hiring of these national staff members will be carried out as required by local law.

Figure 1 presents the organizational chart of the Integrated Operations and Finance Directorate.

*Figure 1. Organizational chart of the Integrated Operations and Finance Directorate*





<sup>1</sup> Positions to be supported by the Government of Uruguay.  
<sup>2</sup> Position supported by Capacity Building Program Funds.  
 All other positions will be supported by IAI core budget.

### Roles of senior Directorate staff

The 1992 Agreement Establishing the IAI provides the basis for the role of the Director General. The roles of the Director General and existing Assistant Directors are based on the descriptions agreed upon by the 15th CoP and are consistent with the existing contracts for these personnel:

The role of the **Director General** will be to:

- Develop and implement plans to increase country participation and core budget contributions among member countries and non-member countries in the Region;
- Develop and implement plans to increase “donor” contributions for IAI science and capacity building activities;
- Design and implement fund-raising strategies;
- Ensure that the IAI use of merit peer review is implemented to the fullest extent possible and that the IAI utilizes a broad and diverse group of reviewers and encourages the use of merit-based funding decisions in IAI member countries;
- Obtain, synthesize and communicate information and insights about the global change research environment in the Americas and promote its effective utilization in the design and execution of IAI’s programs;
- Coordinate the planning and scientific and technical delivery of IAI’s overall program;
- Develop mechanisms to improve, consolidate and expand the Collaborative Research Networks (CRN);
- Carry out a regular review of the definition of the IAI Science Agenda;
- Coordinate the IAI training and outreach activities and initiatives;
- Manage the Integrated Operations and Finance Directorate; and

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- Oversee and direct the overall work of the Integrated Operations and Finance Directorate, Science Development Directorate, and Science-Policy Liaison Directorate.

The role of the **Assistant Director Science Programs** will be to:

- Assist the Director General, in consultation with the Director of Science Development, in the development and the implementation of short- and long-term scientific plans, including new initiatives and programs;
- Manage the scientific programs of the IAI;
- Support the work of the Scientific Advisory Committee;
- Assist the Director General, in consultation with the Director of Science Development, in preparing research program proposals, according to the priorities approved by the decision bodies of the IAI, to be submitted to the donor agencies, working with the Assistant Director for Finance and Administration in the preparation of the budget;
- Work in consultation with the Assistant Director for Finance and Administration in the preparation of the Grant Agreements to be signed with the Recipients;
- Manage an effective, timely merit review process for proposals;
- Monitor the scientific progress of IAI programs and prepare the required reports for internal use and for the donors;
- Provide technical supervision, including analysis of interim reports, participation in workshops, literature searches, identification and administration of resource persons/consultants;
- Conduct or supervise the reviews of interim and final project reports or research results, and negotiate revisions and/or additional research requirements;
- Assure that any finished products from research projects (quantifiable and measurable, as possible) are disseminated;
- Perform on-site (monitoring) visits when necessary;
- Develop contacts with regional and international institutions and scientific and professional organizations and societies;
- Act as a primary contact with the Associates and organs/institutions of the IAI, with respect to projects, their implementation and monitoring;
- Assist in the identification and approach of possible donor sources, in particular International Organizations, Governmental and Non-Governmental Organizations, International Banks, OAS, UN System, Federal/National Agencies, Foundations, Private sector, etc., to support activities related to the themes of the IAI scientific agenda; and
- Contribute to public relations efforts and to knowledge dissemination and utilization of research results.

The role of the **Assistant Director Finance and Administration** will be to:

- Account for the Institute's operational and research funds;

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- Prepare timely reports for the Executive Council, Conference of the Parties or external donors;
- Implement internal controls for budget compliance;
- Maintain direct contact with representatives of the local and international banks that IAI works with;
- Authorize international transfers of funds using the software provided by the bank;
- Sign checks (local and international) together with the Accountant or the Director;
- Recommend and implement investment policies for working capital, cash balances and other financial assets;
- Act as the primary liaison with the external auditors;
- Act as the primary liaison with the finance staffs of member countries and external donors;
- Lead the preparation of the annual funding requests for the Core Budget;
- Support the Director General and other IAI bodies in the collection of the Core Budget contributions from the member countries as well as in fund raising to secure Institute's programmatic and scientific activities;
- Supervise the work of the Accountant;
- Prepare Grant Agreements in consultation with the appropriate Assistant Director;
- Identify, assess and manage financial and administrative risks by conducting grantee institutional assessments;
- Monitor the financial administration of grants and contracts from proposal preparation to close-out;
- Liaise with officials of donor agencies on administered contribution agreements and contracts, to ensure that the legal documentation between the IAI and the donor accurately reflect respective administrative requirements;
- Propose, implement and monitor IAI Directorate's administrative policies and procedures;
- Act as primary liaison with lawyers of the host country and/or other member countries;
- Provide information and advice on governmental and donors regulations and compliance;
- Ensure the proper and timely implementation of all arrangements related to administrative issues involving international staff (e.g. documentation, custom clearance, shipments);
- Assure the compliance with local regulations for locally hired staff; and
- Control personnel files.

The role of the **Assistant Director Capacity Building** will be to:

- Develop strategies and conduct activities for capacity building under the IAI's mandate as a regional network to serve as an effective interface between science and the policy process;

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- Prepare proposals to donor agencies and coordinate the development of IAI projects related to the science capacity of the region;
- Foster the involvement of member countries and Associates in IAI capacity building and other activities;
- Design, solicit funding for, co-ordinate and monitor IAI training institutes within a regional capacity-building strategy, including follow-up and publications arising from such activities;
- Interact closely with the Director General, Director of Science Development, Director of Science Policy Liaison, and other assistant directors to help fulfill the IAI mandate for coherent capacity building, science and policy activities in the Americas; and
- Liaise with government representatives in the implementation of capacity building for the region.]

**[ Option 2:**

*In Option 2, the existing position of Assistant Director of Science Programs will report directly to the Director of Science Development; other existing IAI staff in the Integrated Operations and Finance Directorate will report to the Director General*

Staff members of the Directorate

The Integrated Operations and Finance Directorate will host 12 staff members. The following ten positions will be transferred from the existing IAI Directorate and will be supported by the core budget of the IAI:

- Director General
- Assistant Director Science Programs (hosted in Uruguay, reports to Brazil)
- Assistant Director Administration and Finance
- Assistant Director Capacity Building
- Information Technology Manager
- Program Manager
- Publications Editor (in Argentina)
- 3 Assistants with evolving assignments

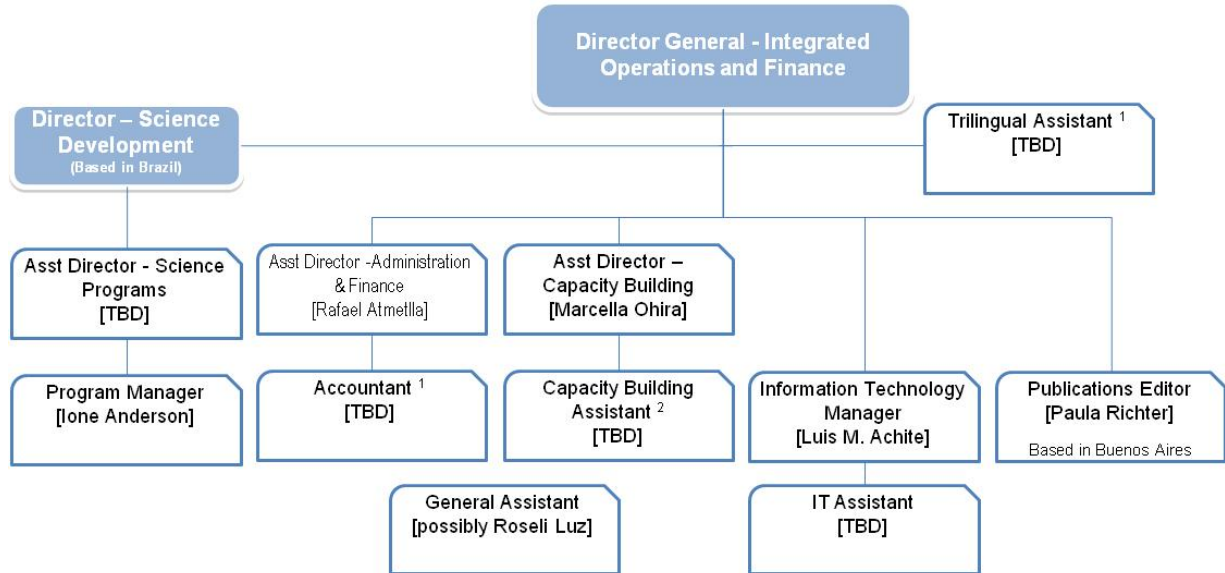
The Directorate will also include the following staff members to be supported by the Government of Uruguay:

- Financial Assistant, Accountant
- Assistant to the Director General (trilingual)

The selection and hiring of these national staff members will be carried out as required by local law.

Figure 2 presents the organizational chart of the Integrated Operations and Finance Directorate.

*Figure 2. Organizational chart of the Integrated Operations and Finance Directorate*



- <sup>1</sup> Positions to be supported by the Government of Uruguay.  
<sup>2</sup> Position supported by Capacity Building Program Funds.  
 All other positions will be supported by IAI core budget.

### Roles of senior Directorate staff

The Agreement Establishing the IAI provides the basis for the role of the Director General. The roles of the Director General and existing Assistant Directors are based on the descriptions agreed upon by the 15th CoP and are consistent with the existing contracts for these personnel:

The role of the **Director General** will be to:

- Develop and implement plans to increase country participation and core budget contributions among member countries and non-member countries in the Region;
- Develop and implement plans to increase “donor” contributions for IAI science and capacity building activities;
- Design and implement fund-raising strategies;
- Ensure that the IAI use of merit peer review is implemented to the fullest extent possible and that the IAI utilizes a broad and diverse group of reviewers and encourages the use of merit-based funding decisions in IAI member countries;
- Obtain, synthesize and communicate information and insights about the global change research environment in the Americas and promote its effective utilization in the design and execution of IAI’s programs;
- Coordinate the planning and scientific and technical delivery of IAI’s overall program;
- Develop mechanisms to improve, consolidate and expand the Collaborative Research Networks (CRN);
- Carry out a regular review of the definition of the IAI Science Agenda;

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- Coordinate the IAI training and outreach activities and initiatives
- Manage the Integrated Operations and Finance Directorate; and
- Oversee and direct the overall work of the Integrated Operations and Finance Directorate, Science Development Directorate, and Science-Policy Liaison Directorate.

The **Assistant Director Science Programs** is to report to the **Director Science Development**

The role of the **Assistant Director Finance and Administration** will be to:

- Account for the Institute's operational and research funds;
- Prepare timely reports for the Executive Council, Conference of the Parties or external donors;
- Implement internal controls for budget compliance;
- Maintain direct contact with representatives of the local and international banks that IAI works with;
- Authorize international transfers of funds using the software provided by the bank;
- Sign checks (local and international) together with the Accountant or the Director;
- Recommend and implement investment policies for working capital, cash balances and other financial assets;
- Act as the primary liaison with the external auditors;
- Act as the primary liaison with the finance staffs of member countries and external donors;
- Lead the preparation of the annual funding requests for the Core Budget;
- Support the Director and other IAI bodies in the collection of the Core Budget contributions from the member countries as well as in fund raising to secure Institute's programmatic and scientific activities;
- Supervise the work of the Accountant;
- Prepare Grant Agreements in consultation with the appropriate Assistant Director;
- Identify, assess and manage financial and administrative risks by conducting grantee institutional assessments;
- Monitor the financial administration of grants and contracts from proposal preparation to close-out;
- Liaise with officials of donor agencies on administered contribution agreements and contracts, to ensure that the legal documentation between the IAI and the donor accurately reflect respective administrative requirements;
- Propose, implement and monitor IAI Directorate's administrative policies and procedures;
- Act as primary liaison with lawyers of the host country and/or other member countries;

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- Provide information and advice on governmental and donors regulations and compliance;
- Ensure the proper and timely implementation of all arrangements related to administrative issues involving international staff (e.g. documentation, custom clearance, shipments);
- Assure the compliance with local regulations for locally hired staff; and
- Control personnel files.

The role of the **Assistant Director Capacity Building** will be to:

- Develop strategies and conduct activities for capacity building under the IAI's mandate as a regional network to serve as an effective interface between science and the policy process;
- Prepare proposals to donor agencies and coordinate the development of IAI projects related to the science capacity of the region;
- Foster the involvement of member countries and Associates in IAI capacity building and other activities;
- Design, solicit funding for, co-ordinate and monitor IAI training institutes within a regional capacity-building strategy, including follow-up and publications arising from such activities;
- Interact closely with the director and other ADs to help fulfill the IAI mandate for coherent capacity building, science and policy activities in the Americas; and
- Liaise with government representatives in the implementation of capacity building for the region.]

Facilities and equipment, including security offered to staff, premises, and properties

It is proposed that the Integrated Operations and Finance Directorate of the IAI be located at the Technology Park of the *Laboratorio Tecnológico del Uruguay* (Technology Laboratory of Uruguay, LATU). LATU was created in 1965 with the mission of promoting sustainable development and international integration, through innovation and the provision of high value solutions in analytical laboratory services, metrology, technology, management and evaluation, in accordance with the applicable law. LATU is a non-governmental public entity whose board of directors is composed of representatives of the Ministry of Industry, Energy and Mines (MIEM) (chair), *Cámara de Industrias del Uruguay* (Chamber of Industries of Uruguay, CIU) and the Banco República.

LATU is member of the Technical Advisory Commission in Environmental Protection (COTAMA) of the Ministry of Environment (MVOTMA), supporting it in the definition of the national environmental policies.

Furthermore, LATU has been giving technical assistance to the government in environmental issues, for example, assistance for the compliance of the national commitments for the Montreal Protocol. The Environmental Department of LATU

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has been operating MVOTMA's air quality network since its installation in 1999, giving also support in atmospheric pollutant dispersion modeling.

During the last 5 years, LATU investments in laboratory equipment has been USD 7M : (about USD 600 K in the Environmental Department), while the total projected investment for laboratory buildings upgrade is USD 2,9M. In 2012, LATU started building a 200 m<sup>2</sup> facility to expand the Environmental Department activities. This building will allocate DINAMA's testing laboratory for natural waters and wastewaters, due to a recent agreement signed between LATU and MVOTMA.

The Environmental Department team has differing but interconnecting specialties (Biology, Chemical Engineering, and Atmospheric Sciences), employing highly skilled personnel, including three MSc students and one PhD, in a permanent staff of more than twenty collaborators.

Furthermore, LATU is a signatory member of PEDEAGRIND, a MoU signed between the government, the University of the Republic (UDELAR), National Institute for Agricultural Research (INIA) and LATU for the development of agricultural and agro industrial sciences. This membership allows a direct link between the LATU with other institutions related with science, technology and undergraduate and graduate education, guaranteeing a strong impact of IAI in Uruguay.

LATU is located in Montevideo, the capital city, 10 minutes away from Carrasco International Airport and in one of the most valuable residential areas of the city offering numerous services, including public and private banks, a large shopping center, medical centers, bilingual schools, recreational areas and cultural itineraries. It is also only a 20 minute drive from the downtown area, where most embassies and consulates are situated. The premises of LATU's Technology Park occupy 11 hectares (27 acres), with 23,500 m<sup>2</sup> (253,000 sq. ft) of floor space. The facilities include the main buildings, eleven modules with laboratories and pilot plants, the business incubator *Ingenio*, an Exhibition Park, the *Espacio Ciencia* museum and the Knowledge Development Center.

The IAI Integrated Operations and Finance Directorate would be housed in 200 m<sup>2</sup> (2,153 sq. ft) of floor space, which will be subdivided according to the Institute's requirements, including offices for the Director and his or her Secretary, for the three Assistant Directors and shared office space for eight people, as well as a meeting room for exclusive use by the IAI. Every office will have exterior windows, central air conditioning with individual regulation, wall-to-wall carpeting, etc. The IAI will also have access to a world-class Conference and Entertainment Hall that accommodates 1,800 people and rooms with equipment for 14 videoconferences. Furthermore, it will have access to the Knowledge Development Center (CDC); a building of 1115 m<sup>2</sup> built on two floors, comprising of 4 classrooms equipped with PC; 2 training rooms for theoretical



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premises of 200 m<sup>2</sup> located on first floor, recreation room, dual battery of toilets, reception, and design intended to facilitate the movement of people with motor difficulties.

In 2012, LATU started and expansion of the CDC with financial support from the National Research and Innovation (ANII) that adds a new building of 1400 m<sup>2</sup> for the study of tertiary technical careers (Audiovisual Technician, Telecommunications Technician, Computer Technologist and Chemical Technologist).

The area also has lavatories and shared kitchens, access to a restaurant and cafeteria, cleaning and maintenance services for the shared areas, access control and surveillance, parking space and surrounding green areas. Furthermore, all LATU's premises include with 24/7 security services.

The offices will be fully equipped with office furniture (desks, file cabinets and any other items that may be needed), electronic equipment (full-function printer, individual and conference telephones, projector, etc.).

To facilitate the establishment of the IAI at LATU, the Ministry for Housing, Territorial Regulation and the Environment (MVOTMA) will make an agreement with LATU for hosting the IAI.

Previous experience in hosting International Treaty Organization headquarters, secretariats, or directorates

Uruguay has extensive experience in acting as headquarters of regional and international agencies. It was the only middle income country selected for the United Nations "Delivering as One" pilot initiative which coordinates actions across the whole UN system and has strong representation of the United Nations System. Several of UN offices have regional headquarters in Uruguay, including the United Nations Regional Bureau for Sciences in Latin America and the Caribbean, the UNESCO representative to the MERCOSUR, the UNESCO representative to Argentina, Paraguay and Uruguay, the UNIDO Regional Office for Latin America and the Caribbean (LAC), the ILO Subregional Office for the Southern Cone of Latin America, and the UN Women Regional Office for Brazil and the Southern Cone.

Uruguay is also headquarters of the MERCOSUR Administrative Secretariat, the General Secretariat of the Latin American Integration Association (LAIA), the General Secretariat of the Postal Union of the Americas, Spain and Portugal (UPAEP), an Office of the Secretary General of the Organization of American States (OAS), and others.

LATU has experience in acting as the headquarters of other regional offices. Since 1998 it has housed the Basel Convention Coordinating Center for Training

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and Technology Transfer for LAC and, since 2008, the Stockholm Convention Regional Center for LAC.

History with the Institute, demonstrating commitment and support for its operations, programs and projects

Uruguay has had strong bonds with the IAI since its inception. The IAI was established in 1992 by the Declaration of Montevideo. Uruguay and Costa Rica were the two candidates for hosting the IAI headquarters and later Brazil entered the competition. The first Executive Director of the IAI, Mr. Armando Rabuffetti, was Uruguayan.

Uruguayan scientists have always participated in IAI programs and research projects; they have been and continue to be both beneficiaries and important contributors to IAI programs. Currently, Uruguayan scientists are involved in two cooperative research networks and two research projects supported by the IAI.

Besides the direct link between Uruguay and the IAI, it should be noted that global change is a priority theme in Uruguay's management and in the national academic and research agenda. This demonstrates the country's firm commitment to hosting the IAI headquarters and providing support for all the related programs and projects.

Juridical personality accorded to the Institute, and the level of inviolability, privileges and immunities that will be accorded to the Institutes premises, documents, communications

Uruguay acknowledges that the IAI is a legal entity and if it establishes its headquarters in the country it will enjoy the same privileges, immunities and inviolability of its offices as the other international agencies, and this includes its staff, documents, and communications.

Taxes that will be levied against the Institutes' personnel or immunities there from

The tax treatment of the IAI is regulated by Uruguay's Decree 99/86, which provides similar treatment to all the international agencies with central offices in the country. The Decree establishes that all purchases of goods to be used by these agencies are tax free.

With regard to the staff of the IAI, the income they receive, their capital goods, transactions and purchases of equipment (computers, cars, etc.) are completely free of taxes. This status is again similar to other international agencies in the country.

The regulations applicable to the administrative officers are the same ones that apply to the administrative officers of diplomatic missions (with the exception of Uruguayan citizens).

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The agreement to be entered into between the Government of Uruguay and the IAI may include the authorization for family members of IAI officers to work in Uruguay. In that case they must waive their immunity with regard to employment disputes and they must pay the same taxes as Uruguayan citizens.

Free entry and exit of personnel and equipment

On entry and exit of personnel and equipment, IAI staff will have the same provisions as diplomatic agents: free import and export of personal belongings, and complete exemption from customs dues and other taxes, with the exceptions established in article 34 of the Vienna Convention on Diplomatic Relations.

Communications infrastructure and communications with the Host

The local area network for the IAI's offices in Uruguay will be installed with state-of-the art technology using Category 6 structured cabling which will enable accessing information at speeds of up to 1Gb/s and suitable equipment will allow prevention and diagnosis of the most common problems of the local area network, thus minimizing any potential issues. The IAI will also offer Wifi service for connecting notebooks to the office network and a public network so that visitors to the office can enjoy access to the Internet without compromising the IAI's information security.

The connection to LATU's data network will be through the fiber optic backbone of this modern technology park. This connection will enable access to the Internet, the Advanced Academic Networks, Clara, Internet 2, GEANT 2 and APAN, through LATU's optic fiber link with the SeCIU of the Universidad de la República, thus providing an excellent level of interconnection between the IAI offices and the Internet and academic networks, which can also be easily improved and expanded to fit the increasing requirements of research activities.

In relation to the communication with the Government of Uruguay, the communication will be two-fold: for issues regarding technical or locative issues the communication will be with the MVOTMA; in relation to diplomatic issues, the communication will be with the Ministry of Foreign Affairs. If necessary, consultations can be done to an inter-institutional committee (with representatives from MVOTMA, LATU and the Ministry of Foreign Affairs) to be conformed with the purpose of coordinating and providing the proper national support for the IAI's operations.

Currency regulations and negotiable instruments

Uruguay does not impose restrictions or taxes on capital movements. The Uruguayan peso is not a mandatory currency and people are free to possess and exchange foreign currency. The controls and requirements for opening and operating bank accounts comply with the international recommendations for preventing money laundering and the funding of terrorist activities

Dispute resolution

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Any dispute about the application or interpretation of the provisions of the Agreement to be established between the Government of Uruguay and the IAI will be subject to a settlement procedure agreed by the IAI and the Government in accordance with international law.

Schedule for the ratification of legal processes involved in the above criteria  
Uruguay suggests the following timeline for completing the legal processes involved in this arrangement<sup>1</sup>:

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7
Agreement upon and signature of GoU – IAI Agreement							
Agreement upon and signature of MVOTMA-LATU Agreement							
Preparation of offices, electric and information systems							
ToR development, call for applicants, selection and hire of support staff							

### **Science Development Directorate (São José dos Campos, Brazil)**

#### **[ Option 1 :**

*In Option 1, the Directorate of Science Development and Director of Science Development will assume new science development functions. No staff from the existing IAI Directorate will report directly to the Director of Science Development.*

#### **Main activities of the Directorate**

The main activities of the Science Development Directorate will be to:

- Strengthen partnerships and cooperation between the IAI and regional scientific institutions in order to expand and leverage IAI science;
- Advance the integration and synthesis of IAI science across the IAI networks and with regional institutions in the Americas;
- Explore and pursue new opportunities for establishing scientific networks and centers of excellence in line with the IAI mandate;
- Actively engage researchers from the Americas in the work of the IAI
- Provide foresight to the IAI on scientific needs and directions related to addressing global change in the Americas; and
- Identify strategies for improving scientific data management across IAI networks and with partner institutions in the Americas.

#### **Staff members of the Directorate**

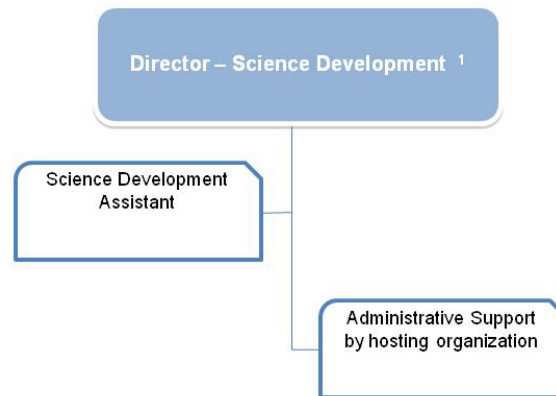
The Science Development Directorate will host the Director of Science

<sup>1</sup> In order to become effective the Agreement between the IAI and the Government of Uruguay, the Agreement needs to be approved by the Executive and the Parliament.

Development, which is a new position to be supported partly by Brazil. The Directorate will also include one support staff for the Directorate and be closely integrated into its host organization INPE-CPTEC. Figure 3 presents the organizational chart of the Science Development Directorate.

The Government of Brazil will also provide office space and access to computational and library facilities of the host institution necessary to support the internship of a maximum of three visiting scholars and scientists up to one year for the implementation of syntheses activities.

Figure 3. Organizational chart of the Science Development Directorate



<sup>1</sup> Positions to be supported by IAI Core Budget  
All other positions to be provided by the Government of Brazil.

### Roles of senior Directorate staff

The role of the Director of Science Development will be to:

- Develop and enhance cooperation with regional scientific institutions to link their expertise to the IAI and its networks;
- Explore and connect, in the context of IAI science, Brazilian capacities in earth system and regional climate modelling to support the IAI's science synthesis and the planning of future science directions;
- Develop and implement strategies for the integration of knowledge generated from IAI science in collaboration with the Director General and Director of Science-Policy Liaison;
- Support and provide strategic advice to the Director General on the development of science program proposals and development of short- and long-term science plans;
- Advise the Director General and SAC on strategic new areas of science to add to the IAI's portfolio of work;
- Synthesize and share the science outputs of the IAI with the SAC, the Director General and the Director of Science-Policy Liaison;

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- Advise on and promote, or where necessary propose, mechanisms for assuring the exchange and analysis of IAI scientific data and information, including in support of the training and educational activities of the IAI; and
- Manage the Science Development Directorate.]

**[ Option 2:**

*In Option 2, the existing responsibilities and position of Assistant Director of Science Programs will be incorporated into the Science Development Directorate and the Assistant Director of Science Programs will report to the Director of Science Development (though will remain in Uruguay). The Science Directorate will define and direct the science program of the IAI and not engage in synthesis and integration proposed in Option 1.*

Main activities of the Directorate

The main activities of the Science Development Directorate will be to:

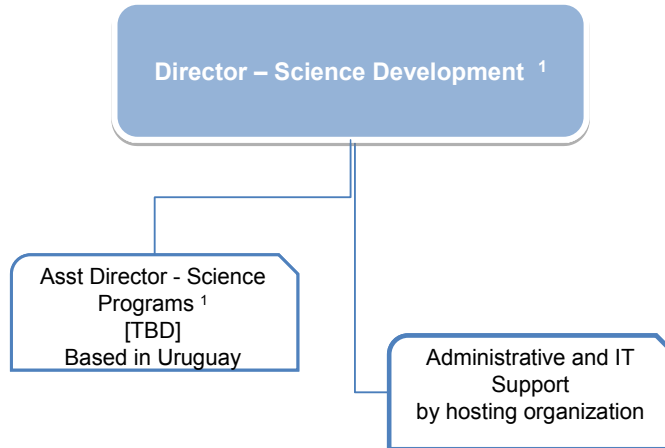
- Coordinate the planning, implementation and evaluation of scientific programs in accordance with the scientific agenda of the IAI; and
- Enhance the IAI's strategies for scientific integration of national and regional science networks.

Staff members of the Directorate

The Science Development Directorate will host the Director of Science Development, which is a new position to be supported by the IAI Core Budget, and the Assistant Director of Science Programs, which is an existing position funding by the IAI Core Budget. The Directorate will also include necessary support staff for the Directorate, to be supported by the Government of Brazil. These support staff include: a trilingual secretary, bilingual secretary, administrative support officer, and data and information officer for the Science Development Directorate. Figure 4 presents the organizational chart of the Science Development Directorate.

The Government of Brazil will also provide office space and access to computational and library facilities of the host institution necessary to support the internship of a maximum of three visiting scholars and scientists up to one year for the implementation of syntheses activities.

*Figure 4. Organizational chart of the Science Development Directorate*



<sup>1</sup> Positions to be supported by IAI Core Budget  
All other positions to be provided by the Government of Brazil.

#### Roles of senior Directorate staff

The role of the **Director of Science Development** will be to:

- Develop short and long-term scientific plans, including new initiatives and programs, ensuring that: the Research Agenda and its related priorities are clearly defined; cross-cutting issues and human dimension aspects are considered in the scientific projects and activities; activities are performed effectively through decentralization and cooperative efforts; and that the IAI is fully accountable to member countries and donors;
- Develop strategies for integration of knowledge generated by the IAI based on the analysis of IAI science output;
- Manage the scientific programs of the IAI and act as principal liaison to the scientific community and as advisor to the IAI Director General, assisted by the Assistant Director Science Programs (ADSP),
- Prepare research program proposals, according to the priorities approved by the decision bodies of the IAI, to be submitted to the donor agencies, working with the Assistant Director for Science Programs;
- Promote synthesis activities of ongoing IAI Science Programs and contribute to the knowledge base for the IAI's Science-Policy Liaison Director;
- Conduct or supervise the reviews of interim and final project reports or research results, and negotiate revisions and/or additional research requirements, assisted by the ADSP;
- Develop contacts with regional and international institutions and scientific and professional organizations and societies, assisted by the ADSP;
- Seek possible donor sources, in particular International Organizations, Governmental and Non-Governmental Organizations, International Banks, OAS, UN System, Federal/National Agencies, Foundations, Private

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sector, etc., to support activities related to the themes of the IAI scientific agenda; and

- Promote public relations, knowledge dissemination and utilization of research results, in coordination with the Science-Policy Liaison Director.

The role of the **Assistant Director Science Programs** will be to:

- Assist the Director General, in consultation with the Director of Science Development, in the development and the implementation of short- and long-term scientific plans, including new initiatives and programs;
- Manage the scientific programs of the IAI, in consultation with the Director of Science Development;
- Support the work of the Scientific Advisory Committee;
- Assist the Director General, in consultation with the Director of Science Development, in preparing research program proposals, according to the priorities approved by the decision bodies of the IAI, to be submitted to the donor agencies, working with the Assistant Director for Finance and Administration in the preparation of the budget;
- Work in consultation with the Assistant Director for Finance and Administration in the preparation of the Grant Agreements to be signed with the Recipients;
- Manage an effective, timely merit review process for proposals, in consultation with the Director of Science Development;
- Monitor the scientific progress of IAI programs and prepare the required reports for internal use and for the donors;
- Provide technical supervision, including analysis of interim reports, participation in workshops, literature searches, identification and administration of resource persons/consultants;
- Assure that any finished products from research projects (quantifiable and measurable, as possible) are disseminated;
- Perform on-site (monitoring) visits when necessary, in consultation with Director of Science Development;
- Develop contacts with regional and international institutions and scientific and professional organizations and societies, in consultation with Director of Science Development;
- Act as a primary contact with the Associates and organs/institutions of the IAI, with respect to projects, their implementation and monitoring;
- Assist in the identification and approach of possible donor sources, in particular International Organizations, Governmental and Non-Governmental Organizations, International Banks, OAS, UN System, Federal/National Agencies, Foundations, Private sector, etc., to support activities related to the themes of the IAI scientific agenda; and
- Contribute to public relations efforts and to knowledge dissemination and utilization of research results.]

Facilities and equipment, including security offered to staff, premises, and properties



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The Science Development Directorate will be hosted at the National Institute for Space Research (INPE) in São José dos Campos. It will occupy the same facilities provided by INPE to the IAI Directorate in the past and will be the same size, or smaller, depending on the number of staff of the future Science Development Directorate. As the IAI has already been based at this facility, the new Directorate can keep the whole infrastructure already in place.

São José dos Campos has major industries in the aerospace, telecommunications and automotive sectors, and hosts some of the most important scientific research institutes of the country, especially the Aeronautics Technological Institute (ITA), the National Institute for Space Research (INPE) and the Department of Aerospace Science and Technology (DCTA). The city also hosts a Technology Park which houses R&D laboratories of large technology companies and campuses of public universities, such as the Federal University of São Paulo. Known as the Valley's Capital, São José dos Campos also offers all the business, tourism, events, shopping, culture, leisure and adventure facilities of a regional center. The city of São Paulo, 90km away from São José dos Campos, hosts Embassies or Consulates for all members countries of IAI except Cuba.

INPE has the Information and Documentation Service (SID), which allows the Science Development Directorate access to scientific journals. The SID is under the responsibility of the Director's Office of INPE. Several initiatives have been developed by the SID over the years, in order to fulfill its mission: "To promote availability of scientific and technical information in areas of knowledge of INPE's interest."

INPE's bibliographic collection, acquired over the past 50 years, is currently composed of: 80,939 books, thesis, reports and maps, plus 151,690 issues of journals. It is on the SID, in São José dos Campos, where the regional units of INPE manage the Library Management System Sophia.

The SID provides services to internal users (servers, graduate students, fellows, interns, and others) and external users (registered institutions through agreements). To meet the specific information needs of internal users, the SID develops bibliographic exchange activities with other libraries. For guidance on the collection and use of the tools available to the community, especially graduate students, the STD promotes, periodically, the workshop Guidance for Research and Digital Publishing at INPE.

The SID Online Home Library provides consultation to the INPE's bibliographic, the Institutional Memory Technical and Scientific Digital Library and other services and products. Currently, the INPE's Digital Library contains 37,212 references, from which 21,450 with a link to the full text. In addition, the user community accesses the INPE databases in the CAPES Periodicals Portal,

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which provides access to full text of more than 29,000 journals in various areas of knowledge.

Previous experience in hosting International Treaty Organization headquarters, secretariats, or directorates

Brazil has extensive experience in hosting international organizations. At present, the following international organizations are headquartered in Brazil:

- Brazilian-Argentine Agency for Accounting and Control of Nuclear Materials (ABACC)
- Judicial Committee of the American States Organization (CJI-OEA)
- Organization of the Amazon Cooperation Treaty (OTCA)
- Organization of Ibero-American States (OEI)
- Latin American Parliament (PARLATINO)
- Network of Information Technology in Latin America (RITLA).

History with the Institute, demonstrating commitment and support for its operations, programs and projects

Brazil has hosted the IAI Directorate at the National Institute for Space Research (INPE) under the Ministry of Science, Technology and Innovation since 1996.

The presence of the IAI within INPE has led to strong engagement of INPE in the scientific activities of the IAI. For example:

- INPE's Center for Weather Forecast and Climate Prediction (CPTEC), located in Cachoeira Paulista, São Paulo, has facilitated the development of many regional activities related to regional climate modeling.
- The expertise at INPE in the development and application of geoprocessing technologies has motivated INPE and the IAI to establish a partnership to support natural resources experts in Latin America in applying geoprocessing technologies to global change research.
- Several workshops have been jointly organized by IAI and CPTEC/INPE, providing the forums for synthesizing the science output from the Collaborative Research Networks and creating new institutional cooperation with other international agencies.
- Most recently, INPE/CPTEC has communicated to the IAI its interest to engage in the IAI research internship program, until July 2014, on the issue "Understanding Climate Change and the Climatic Variability in the Americas".

In addition to having fulfilled its commitments as host country of the IAI (physical installation, equipments, and technical/administrative staff), Brazil has contributed a total of US\$ 1,273,509.00 to the budget of the IAI as of April 2011. Brazilian researches have also been highly responsive to IAI calls of opportunities. For instance, under the IAI's Collaborative Research Network Program II, Brazil participates in 9 out of the 13 research projects, as well as in 5 out of 8 projects under the Human Dimensions Program and the Land use change and management, biofuels and rural development in the Prata River Basin.

In Brazil, several initiatives addressing present and future challenges posed by global change have been recently created that offer potential for integration with IAI scientific activities so as to make their competencies available throughout the region. One of these is the Brazilian Research Network on Global Climate Change (Rede CLIMA), established by the Ministry of Science and Technology, which includes 13 thematic sub networks: agriculture, biodiversity and ecosystems, cities, natural disasters, regional development, economics, renewable energy, modeling, oceans, water resources, health, ecosystem environmental services, and coastal zones. Another important initiative by Brazil was the creation of the National Institute of Science and Technology for Climate Change in 2008 as a result of a joint effort between federal and state governments. This Institute consists of the largest interdisciplinary network of environmental research institutes in Brazil, comprising more than 90 research groups from 65 Brazilian and international institutions and universities, with more than 400 participants. Both of these initiatives have strong programs of capacity building at master, doctorate and post doctorate levels, as well as research and technical level scholarships, which have been conducted at the different participating network institutions, and which will provide opportunities for regional collaboration.

Juridical personality accorded to the Institute, and the level of inviolability, privileges and immunities that will be accorded to the Institutes premises, documents, communications

The Director of Science Development and members of his/her family who live with him/her, provided that they are not Brazilian nationals or permanent residents in the Federative Republic of Brazil, shall enjoy the privileges and immunities, exemptions and facilities granted to representatives of international organizations in accordance with international law. They shall enjoy, inter alia, the following rights:

- Personal inviolability, including immunity from arrest or detention;
- Immunity of criminal, civil and administrative jurisdiction;
- Inviolability of all papers, documents and correspondence;
- Exemption from taxes on salaries as well as on payments to the Scientific Director for his services to the IAI;
- Exemption from immigration restrictions, foreign citizens registration and national service obligations;
- The same facilities in respect of currency or exchange restrictions as are accorded to representatives of international organizations;
- The same immunities and facilities in respect of their personal luggage as are accorded to diplomatic agents;
- The right to import free of duties and taxes, except payment for services, their furniture and personal effects within six months from the date of arrival in the host country; and,
- The right to import a car or to buy a domestic car for personal use, with the same exemptions and conditions as are normally accorded to

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representatives of international organizations in long-term official missions in the Federative Republic of Brazil.

The residence of the Director of Science Development shall enjoy the same inviolability and protection as the premises of the Science Development Directorate of the IAI.

Other staff members of the Science Development Directorate, provided that they are not Brazilian nationals or permanent residents of the host country, shall enjoy immunity from legal process in respect of words spoken or written and all acts done in their official capacity.

Other staff members of the Science Development Directorate, provided that they are not Brazilian nationals or permanent residents of the host country, will enjoy exemption on taxes on salaries and payments made by the IAI.

Other staff members of the Science Development Directorate, provided that they are not Brazilian nationals or permanent residents of the host country, shall enjoy the following rights:

- The right to import free of duties and taxes, except payments for services, their furniture and personal effects, including a vehicle for personal use, within six months from the date of arrival in the host country; and,
- Other privileges and immunities granted to personnel of comparable rank of international organizations established in the host country.

The Director of Science Development and staff of Science Development Directorate, provided that they are not Brazilian nationals or permanent residents of the Federative Republic of Brazil, will have the right to export, without duties or taxes, upon the termination of their functions in the host country, their furniture and personal effects, including motor vehicles.

The granting of privileges and immunities to the Director of Science Development and staff of the Science Development Directorate occurs in the interest of the IAI and not for personal gain. The right to waive immunity for the Director of Science Development and his/her family is under the responsibility of the Executive Council, established by agreement of the IAI and of the Scientific Director in all other cases.

Taxes that will be levied against the Institutes' personnel or immunities there from

As with any other international organizations with headquarters or offices in Brazil, assets, income or other assets of the Science Development Directorate shall be exempt from all direct taxes, whether national, regional or local, which include, among others: income tax and any revenue, capital tax, tax entities, as well as direct taxes, established by any authority in Brazil, and will be exempt from customs duties and prohibitions and restrictions on import or export in

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respect of articles imported or exported by the Science Development Directorate for its official use. However, articles imported under such exemptions will not be sold in the host country, except under conditions agreed with the Brazilian government.

The Director of Science Development and members of his/her family who live with him/her, provided that they are not Brazilian nationals or permanent resident of the Federative Republic of Brazil, shall have the privileges and immunities, exemptions and facilities granted to representatives of international organizations in accordance with international law. They shall have, inter alia, the following rights:

- Exemption on tax on salaries and emoluments paid to the Scientific Director for his services to the Scientific Directorate;
- Import free of duties and taxes, except payments for services, their furniture and personal belongings within six months from the date of arrival in the host country, and
- Importing a car or buying a domestic car for personal use, with the same exemptions and conditions as are normally accorded to representatives of international organizations in official missions of long term in the Federative Republic of Brazil.

#### Free entry and exit of personnel and equipment

The Director and staff of the Science Development Directorate, and members of their families who live with them, as well as members of the Executive Council and the Scientific Advisory Committee referred to in the IAI Agreement, and all other non-Brazilian individuals who provide services to the Science Development Directorate, shall be entitled to free entry, exit and movement within the host country.

According to Brazil's rules and regulations, the Ministry of International Affairs of the Federative Republic of Brazil will provide official identity documents to the staff of the Science Development Directorate of the IAI indicating their status as international civil servants serving an international organization.

#### Communications infrastructure and communications with the Host

INPE has 30 direct lines in São José dos Campos, and two of these will be yielded to the Science Development Directorate at no cost. From the 2000 PBX extension numbers that exist at INPE in São José dos Campos, 24 will be used by the Science Development Directorate.

Internet provisions at the facility will include:

- Network connection data from INPE: gateway to the RNP in São José dos Campos and Cachoeira Paulista.
- Bandwidth Connection RNP: 155 Mbps and is expected to upgrade to 1 Gbps in 2012.

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Information security mechanisms at the facility will include:

- Connection RNP protected by firewall and external policy of restricting access, using a DMZ ("Demilitarized Zone") to transfer data to the INPE and web services.
- No hardware encryption in communications equipment, but you can use encryption packages in applications.

All hosted services must follow the security practices of information INPE and subject to the management of the GSR (Group of the Network Security INPE - DE-DIR 1026) and the STI.

#### Currency regulations and negotiable instruments

As with any other international organizations located in Brazil, the Science Development Directorate of the IAI can hold and use funds, gold or negotiable instruments of any kind and maintain and operate accounts in any currency and convert any currency held by it into another currency, and transfer its funds, gold or currency from one country to another or within the host country, to any individual or entity. The Science Development Directorate can freely choose the financial institution to maintain its resources.

The Science Development Directorate facilities, archives, documents and official correspondence shall be inviolable, along with the furnishings and facilities, transportation, funds, assets and other belongings of the Directorate, wherever they are located in the host country and under the guard of whomever. Those belongings shall be immune from search, requisition, embargo, confiscation, expropriation or execution, whether by national, regional or local, and whether by executive, administrative, judicial or legislative.

Lawsuits and the citation or execution of processes cannot be made on the premises of the Science Development, except with the consent of the Director of Science Development and under conditions approved by him/her or his/her representative.

The Brazilian authorities will not enter the facilities of the Science Development Directorate to perform any official duty, except with the consent or at the request of the Director of Science Development or his/her representative. Such consent shall be deemed given in case of emergencies, in case that this consent cannot be obtained in advance.

The Science Development Directorate of the IAI, as other international organizations located in Brazil, will be able to:

- Hold and use funds, gold or negotiable instruments of any kind and maintain and operate accounts in any currency and convert any currency held by it into another currency in the host country, and
- Transfer its funds, gold or currency from one country to another or within the host country, to any individual or entity.

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The Science Development Directorate, its assets, income or other property shall be exempt from all direct taxes in the host country, whether national, regional or local, which include, among others, income tax and any income, capital tax, tax entities, as well as direct taxes, established by any authority in Brazil, and will be exempt from customs duties and prohibitions and restrictions on import or export with respect to articles imported or exported by the Science Development Directorate for its official use. However, articles imported under such exemptions will not be sold in the host country, except under conditions agreed with the Government. However, the provisions above shall not apply to fees and charges for public services payable by the Science Development Directorate.

#### Dispute resolution

Any dispute arising between the Government of Brazil and the IAI shall be subject to a settlement procedure agreed by the Government and the IAI, in accordance with international law, and if possible, towards this, resorting to direct negotiation, mediation or arbitration, as agreed between the parties.

#### Schedule for the ratification of legal processes involved in the above criteria

In Brazil, the text of the agreement with the IAI signed by the plenipotentiary will be forwarded to Congress through a message signed by the President of the Republic. In Parliament, the text of the agreement will be submitted according to the procedures established by the Internal Rules of the House of Representatives and the Senate, usually through analysis of the Foreign Relations Committee, and later by the Constitution, Justice and Writing Committee. The text will be considered approved if it receives the simple majority approval in each legislative house. If approved, the President of the Legislative Congress will edit and determine the publication of the Legislative Decree. Once published the Legislative Decree, the Republic President will conclude the legal procedure of the agreement by issuing a letter of ratification, addressed to the IAI.

#### **Science-Policy Liaison Directorate (Buenos Aires, Argentina)**

The work of the Science-Policy Liaison Office is framed by Articles II.b) and II.f) of the Agreement Establishing the IAI, that is, strengthening the regional relevance of scientific programs and projects, understood as a establishing and maintaining sound linkages between IAI and policy-making communities in various sectors, and improving public awareness and scientific information input to governments for the development of public policy relevant to global change. This new Directorate comes to fill a gap identified by the *Report of the External Review Committee Assessment of the Inter American Institute for Global Change Research* conducted in 2007, and will provide "awareness about the IAI in both the science and policy communities within and outside many CoP member countries" and aid policy makers across the Americas in "translating the results of

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the Institute's science into informed action". It is designed to respond to the assessment's recommendation to develop a comprehensive strategy for outreach and engagement to help "(1) shape the IAI science agenda; and (2) facilitate the communication of IAI science to the policy community". These as yet under-fulfilled mandates will be addressed by the competencies developed in the new unit.

The Science-Policy Liaison Director will report directly to the Director General and shall coordinate its programs and activities with the IAI Directorate General.

#### Main Activities of the Directorate

The main activities of the Science-Policy Liaison Directorate, categorized into program development, engagement and outreach activities, will be to:

- Program Development Activities:
  - Develop periodic plans, setting goals to be pursued, the results to be obtained and the necessary budget, in collaboration with the cognizant directors and the supporting MinCyt;
  - Assist in the development and the implementation of short- and long-term plans for IAI, including new initiatives and programs;
  - Interact with scientific teams supported by IAI to ensure policy engagement and outreach in research processes;
  - Link other IAI areas and scientific teams to stakeholders in the policy-making communities relevant to IAI;
  - Prepare engagement and outreach program proposals according to the priorities of the IAI, to be submitted to the donor agencies, working with the Assistant Director for Finance and Administration in the preparation of the budget;
  - Prepare funding Agreements for its work in consultation with the Assistant Director for Finance and Administration;
  - Provide technical input in the area of its incumbency, including analysis of interim reports, participation in workshops, identification of opportunities to engage policy-makers;
  - Prepare reports and assist other IAI areas in matters of the Directorate's incumbency; and
  - Perform on-site visits when necessary.
- Engagement activities:
  - Manage IAI's engagement and outreach programs to the policy-making community;
  - Create opportunities and environments for dialogue between science and policy on global change and other strategies to strengthen the relevance of the IAI programs and projects;
  - Develop and manage interaction mechanisms between the IAI and decision-making levels on public policies related to the mission of the IAI; and,
  - Establish relationships with various international, regional, national and local agencies in order to promote communication and



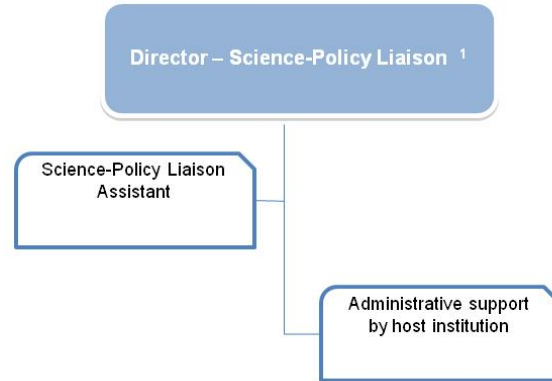
dialogue between science and policy, by submitting proposals to the IAI Director General for agreements with these entities.

- Outreach activities:
  - Advise on the generation of synthesis reports from the scientific groups, aimed at meeting the information needs of decision makers;
  - Implement public communication strategies that improve the level of knowledge of global change, its implications and associated actions, as well as the IAI;
  - Monitor the positioning of the IAI in the public opinion and among the relevant scientific, political and sectoral organizations;
  - Develop contacts with regional and international policy institutions, international, national, sub-national, public, private and non-governmental;
  - Acts as a primary contact with the Associates and organs/institutions of the IAI, with respect to projects of outreach and engagement related to policy making communities, their implementation and monitoring;
  - Assist in the identification and approach of possible donor sources, in particular International Organizations, Governmental and Non-Governmental Organizations, International Banks, OAS, UN System, Federal/National Agencies, Foundations, Private sector, etc, to support activities related to the IAI outreach and engagement;
  - Contribute to public relations efforts and to knowledge dissemination and utilization of research results by participating in public and scientific fora;
  - Establish relations with media and develop other outreach channels in collaboration with the existing publications office; and
  - Any other responsibilities as required for the successful implementation of IAI's engagement and outreach strategies, programs and plans.

#### Directorate staff members

The Science-Policy Liaison Directorate will host the Director of Science-Policy, which is a new position to be supported by the Government of Argentina. The Directorate will also include necessary support staff, also to be supported by the Government of Argentina. Figure 5 presents the organizational chart for the Science-Policy Liaison Directorate.

*Figure 5. Organizational chart of the Science-Policy Liaison Directorate*



<sup>1</sup> Position to be supported in part by Government of Argentina and in part by IAI Core Budget  
All other positions to be provided by the Government of Argentina.

### Roles of senior Directorate Staff

The role of the **Director of Science-Policy Liaison** will be to:

- Plan and execute IAI's science-policy liaison strategy;
- Establish links with public and private entities called for in the strategy;
- Establish formal links for science communication with IAI member governments;
- Coordinate with the IAI Science Development Directorate for the production of information required by the science-policy liaison strategy;
- Organize dialogue, seminars and other events relevant for engagement and outreach with policy makers;
- Organize the participation of IAI in events organized by third parties;
- Establish relations with different mass media in the world;
- Assist in the development of institutional identity and outreach materials;
- Administer cooperation agreements on matters of science-policy liaison; and
- Oversee all administrative and financial matters related with the functioning of the office with the Argentine government.

### Staff support provided by the host country

The Argentinean government, through the Ministry of Science, Technology and Productive Innovation, shall provide partial (shared with IAI Directorate) support to the Director of Science-Policy Liaison, a full time agent to perform the functions of Science-Policy Liaison Assistant, and a part-time agent to perform administrative functions and serve as liaison with the Minister of Science, Technology and Productive Innovation (MinCyT).

MinCyT will try to identify a liaison with the Ministry of Foreign Affairs to facilitate contacts that the Division could require with other country member representations in Argentina.

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Facilities and equipment, including security offered to staff, premises, and properties

The IAI Science-Policy Liaison Directorate will be located on a Government property at 831 Cordoba Ave, 4<sup>th</sup> floor, in the Autonomous City of Buenos Aires, at the current headquarters of the National Directorate of International Relations (DNRI). This building is in the downtown area, and thus has access to several bus lines, train, subway and highways. The building is located in proximity to the embassies with diplomatic representation in Argentina, the National Council for Technological Research (CONICET), the National Agency for the Promotion of Science and Technology, and the major national institution for the promotion and support of scientific and technological research.

The building has 24-hour security/surveillance every day of the week, as well as a contingency plan in case of emergency, marked emergency exits and operative fire extinguishers. All public service needs such as electricity, water, gas, sewer, garbage collection, cleaning and maintenance services, and so on, will be provided.

The Institute will share with the National Directorate of International Relations the use of a meeting room for 10-12 people with video conferencing service, as well as a kitchen and toilets. For larger meetings, other rooms can be arranged.

The IAI office will also have the assistance of the receptionist, private and technical support personnel for specific tasks.

The Argentine Government will provide the IAI office with approximately 75m<sup>2</sup> of space in the building. The offices will be fully equipped with office furniture, basic office items (paper, pens, pencils, markers, grappers, etc.) and any other items that may be needed.

Previous experience in hosting International Treaty Organization headquarters, secretariats, or directorates

Argentina has extensive experience in hosting international organization. Some examples of cooperative arrangements with physical infrastructure in each country include: Argentina- España Programa de Genómica Vegetal (Rosario – Santa Fe), Argentina-Brasil Biotecnología (CABBIO), Argentina-Alemania Instituto de Investigación en Biomedicina de Buenos Aires (Max Planck) and Argentina -Italy International Center of Genetic and Engeneeringa and Biotechnology (ICGEB)

Also, the following international organizations are headquartered in Argentina: The Intergovernmental Coordinating Committee of the Plata Basin Countries (CIC); Biotecsur Platfom; Instituto Interamericano de Cooperación para la Agricultura (Ilica); Comisión Mixta Argentino-Paraguaya Del Rio Paraná (Comip);

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Comisión Trinacional para el Desarrollo de la Cuenca del Río Pilcomayo;  
Comisión Económica para América Latina y el Caribe (CEPAL).

History with the Institute, demonstrating commitment and support for its operations, programs and projects

Argentina ratified the Agreement Establishing the IAI in 1993 and since then, the Ministry of Science, Technology and Productive Innovation (or the former Secretariat of Science, Technology and Innovation) has participated in the Executive Council and the Conference of the Parties. The Ministry provides an annual contribution to the operating budget of the IAI and, as of June 2010, has contributed a total of US\$ 502,600.

Furthermore, there is an agreement with the School of Exact Sciences of the University of Buenos Aires that currently hosts the publications office for the IAI. This office is in charge of preparing IAI publications (e.g., the IAI Newsletter, which has been published since its inception in collaboration with Argentina). The Ministry of Science, Technology and Productive Innovation (and its predecessor, the Secretariat of the same name) has also organized three meetings of the Executive Council and three Conferences of the Parties to the IAI (1997, 2004 and 2008).

In the context of the scientific programs, the IAI has contributed US\$ 3,342,105 to scientists and institutions in Argentina through networks of scientific cooperation. This funding benefits 150 researchers and representatives of institutions involved in 66 projects in different scientific programs of the IAI. In addition, since its inception, the IAI has invested a total of US\$ 326,752 in the participation of Argentinean scientists and students in workshops, internships and training courses of the IAI. In total, 231 participants from Argentina received funding for training activities.

Currently, there are Argentine scientists participating in 12 of the 13 ongoing projects of the IAI and Argentine scientists lead the largest number of projects among IAI members. Examples of research led by Argentine scientists include the study of: the role of biodiversity in the functioning of ecosystems; the contributions of ocean currents and river systems to productivity and biodiversity of the marine environment; the impacts of changing land use on regional hydrology and climate of the region; future capacity for irrigation and hydrology of the Cordillera Region; and, regional urban emissions in the context of climate change.

Juridical personality accorded to the Institute, and the level of inviolability, privileges and immunities that will be accorded to the Institutes premises, documents, communications

The Directorate of the IAI shall be invested in the territories of Argentina with the legal status of an organization created by virtue of an intergovernmental

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agreement, and shall thus have legal capacity to contract, acquire personal and real property and dispose of them.

The headquarters of the IAI, its premises, facilities, archives and documents are inviolable, as well as its property and assets, they shall be exempt from registration, confiscation, expropriation and any other form of interference, whether by executive, administrative, judicial or legislative action.

The IAI, its communications, premises, documents, property and assets, wherever located and by whomsoever held, shall enjoy immunity from any judicial or administrative proceeding, except in special cases in which it expressly waived its immunity. It is understood that such waiver of immunity shall not have the effect of subjecting such goods to any executive action.

The privileges and immunities shall be granted exclusively to IAI staff in their interest. Therefore, the IAI may waive the privileges and immunities in any case where, in its discretion, the exercise thereof would impede the course of justice, provided such waiver does not prejudice the interests of the IAI.

Taxes that will be levied against the Institutes' personnel or immunities there from

The IAI, its property, goods and salaries of the IAI international staff shall be exempt from all direct and indirect taxation or contributions, whether federal, provincial, municipal or otherwise. It is understood, however, that no exemption may be claimed from any of such taxes, which are, in fact, charges for public services, unless the same exemption is granted to other similar bodies.

The IAI International staff, qualified as such by this entity, shall be invested with immunity from legal process in respect to all acts that may be executed or to oral or written expressions issued in the performance of their duties and shall be exempt from payment of any kind of taxes and contributions on salaries and emoluments paid by the IAI. Officials of the international staff IAI who are not citizens of Argentina, shall enjoy immunity from mandatory national service: both them and their families and dependents, shall receive assistance for immigration and alien registration proceedings; in times of international crisis they will be given the same aid for repatriation as diplomatic agents.

Free entry and exit of personnel and equipment

IAI staff shall enjoy the same exceptions as diplomatic agents, and can import and export free of duty their furniture and effects at the time that they occupy or leave their position in the IAI, without prejudice to the enjoyment of the privileges expressed in Argentina's Decree No. 25/70. It is understood that articles or equipment imported duty free are not sold in the country except under conditions agreed with the government.

Communications infrastructure and communications with the host

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The IAI Science-Policy Liaison Directorate shall be physically established in the area of the National Directorate of International Relations, which will act as communication and liaison with the Ministry of Science, Technology and Productive Innovation and the Argentinean government.

Regarding the electronics and communications equipment available, MINCyT will provide 12 Personal Computers (desktops) with dual core processors, high capacity hard disk drives, 19 inch LCD screens, networking capability between the mentioned PCs, fully upgraded software and peripherals (scanners, speakers, headphones, webcams, microphones, etc), a 12 bay 100 Mbits switch port for connectivity. Cloud computing services are considered for safe and easy networking services between Argentina, Brazil and Uruguay offices.

20 Mb Broadband Internet connection, fully and safe wireless internet access is provided within the domains of MINCyT for visits and permanent personnel, as well as a Ministerial server with capacity to support up to date webpage.

Other electronic services and equipment provided are as follows,

- 2 laser printers
- 1 multifunction photocopier
- Mail service
- Website
- Hosting
- Fileserver
- Access to Electronic Library of Science and Technology (includes articles from over 11,000 journals and over 9,000 books).
- 5 telephone extensions with access to international calls.
- Facsimile communication.

#### Currency regulations and negotiable instruments

The IAI may hold funds or currency of any kind, operate accounts in any currency, transfer its funds or currency from one country to another within the country and convert any currency that it may hold in custody without being affected by any provisions or moratorium of any kind.

#### Dispute resolution

Any dispute, controversy or claim arising between the parties from the interpretation or application of the Agreement to be drafted, shall be solved unless settled by direct negotiation, by arbitration in accordance with the Arbitration Rules of the Commission of the United Nations Convention on International Trade Law (UNCITRAL) in effect at the date of entry into force of this agreement. The Parties shall comply with the arbitration award pursuant to this section as the final adjudication of any dispute.

#### Schedule for the ratification of legal processes involved in the above criteria

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Once the agreement with the Ministry of Science, Technology and Productive Innovation is formalized, the Ministry of Foreign Affairs shall take action for the validation.

## 5. COSTS

At the 19<sup>th</sup> CoP of the IAI, the Parties agreed that every effort shall be made to implement the proposed tripartite structure for the IAI Directorate in a manner neutral to the core budget of the IAI. Tables 1 and 3, corresponding to Options 1 and 2 respectively, present the distribution of the core budget of the IAI under the existing IAI Directorate structure compared to the proposed tripartite Directorate structure. Tables 2 and 4, corresponding to Options 1 and 2 respectively, present the estimated investments and annual operative costs required from Uruguay, Brazil and Argentina based on the tripartite Directorate structure proposed in this document.

**Note: total costs under both options may actually be somewhat higher because of increased travel.**

### [ OPTION 1

*Table 1. Distribution of IAI Core Budget under existing and (majority) proposed IAI Directorate structures*

	Existing Structure	Proposed Structure	Difference (+ or -)
Salaries and Benefits	\$989,931	\$892,987	\$96,944
Travel	\$83,180	\$83,180	\$0
Equipment	\$10,700	\$10,700	\$0
Operational Costs	\$174,135	\$167,635	\$6,500
Dissemination and Outreach	\$49,000	\$49,000	\$0
Director's fund	\$54,000	\$54,000	\$0
	<b>Total = \$1,360,946</b>	<b>Total = \$1,257,502</b>	<b>Net savings = \$103,444</b>

\* A positive difference means savings from the current situation

Table 2. Estimated contributions of host countries under the (majority) proposed tripartite IAI Directorate structure

	Uruguay	Brazil	Argentina
<b>Investment costs</b>			
Office Furniture (desk, chairs, tables, racks, etc)	\$30,000	\$0	\$5,000
Electronic Equipment (audiovisual equipment, phones, faxes, etc)	\$0	\$0	\$2,000
Informatic Equipment (router, firewall equipment, etc)	\$8,000	\$0	\$5,000
<b>Total investment costs</b>	<b>\$38,000</b>	<b>\$0*</b>	<b>\$12,000</b>
<b>Annual operative costs</b>			
Salary and Benefits for Division Director	\$0	\$80,000	\$33,100
Salaries and Benefits for Support Staff	\$61,048	\$45,000	\$44,400
Office rental	\$24,000	\$35,000	\$53,400
Services (electricity, water, connectivity, cleaning and security services)	\$16,800	\$35,000**	\$32,000
Office material	\$3,660	\$1,300	\$8,000
<b>Total annual operative costs</b>	<b>\$105,508</b>	<b>\$196,300***</b>	<b>\$170.900****</b>

\* The capital investment by Brazil for the new structure is close to zero because installations already exist

\*\* Brazilian contribution for "services" in the Brazilian proposal below (\$86,705) is greater than the one provided here (35,000) because it had not been prorated for the reduction in staff.

\*\*\* Estimated costs in column submitted by IAI directorate; expenses reported by Brazil in 2011 were US\$378,666.18

\*\*\*\* Costs are estimated with May 24, 2012 exchange rate between Argentinean peso and USD ]



**[ OPTION 2**

Table 3. Distribution of IAI Core Budget under existing IAI Directorate structures and under the structure proposed by Brazil

	Existing Structure	Proposed Structure	Difference (+ or -)
Salaries and Benefits	\$989,931	\$1,022,987	\$(33,956)
Travel	\$83,180	\$98,180	\$(15,000)
Equipment	\$10,700	\$10,700	\$0
Operational Costs	\$174,135	\$167,635	\$6,500
Dissemination and Outreach	\$49,000	\$49,000	\$0
Director's fund	\$54,000	\$54,000	\$0
	<b>Total = \$1,360,946</b>	<b>Total = \$1,402,502</b>	<b>Net increase = \$(41,556)</b>

\* A negative difference (between brackets) means an increase from the current level

Table 4. Estimated contributions of host countries under the Brazilian proposed tripartite IAI Directorate structure

	Uruguay	Brazil	Argentina
<b>Investment costs</b>			
Office Furniture (desk, chairs, tables, racks, etc)	\$30,000	\$0	\$5,000
Electronic Equipment (audiovisual equipment, phones, faxes, etc)	\$0	\$0	\$2,000
Informatics Equipment (router, firewall equipment, etc)	\$8,000	\$0	\$5,000
<b>Total investment costs</b>	<b>\$38,000</b>	<b>\$0*</b>	<b>\$12,000</b>
<b>Annual operative costs</b>			
Salary and Benefits for Division Director	\$0	\$0	\$33,100
Salaries and Benefits for Support Staff	\$61,048	\$140,000	\$44,400
Office rental	\$24,000	\$35,000	\$53,400
Services (electricity, water, connectivity, cleaning and security services)	\$16,800	\$86,705	\$32,000
Office material	\$3,660	\$1,300	\$8,000
<b>Total annual operative costs</b>	<b>\$105,508</b>	<b>\$263,005 **</b>	<b>\$170,900***</b>

\* The capital investment by Brazil for the new structure is close to zero because installations already exist

\*\* Estimated costs submitted by Brazil; expenses reported by Brazil in 2011 were US\$378,666.18

\*\*\* Costs are estimated with May 24, 2012 exchange rate between Argentinean peso and USD ]

## **6. LEGAL CONSIDERATIONS**

The 1992 Agreement Establishing the IAI neither envisions nor precludes a tripartite directorate. From a legal perspective, a tripartite IAI Directorate as proposed in this document would still be one legal entity with the same principles as stated in the Agreement; however, the functions and physical location of the Directorate distributed in three different countries.

Article V 4(j) of the Agreement explicitly gives the CoP the power to "Make decisions regarding the location of the Directorate". Therefore, a decision of the IAI CoP on this proposal is an appropriate mechanism for converting to the IAI Directorate to a tripartite structure.

## **7. TIMELINES AND MILESTONES FOR IMPLEMENTATION**

Transition to the distributed Directorate must be accomplished in a timely manner without an adverse effect on IAI science, training and capacity building. This is a critical time especially for the IAI science program with the launch of the new Collaborative Research Network III (CRN-III) program. The CRN program has been a hallmark of the IAI creating many opportunities to advance the goals of the IAI and creating a successful network of global environmental change researchers in the Americas. CRN-III program is a USD 10M investment on behalf of the United States and successive years of support are contingent upon proper stewardship of the program. It is necessary that this program be overseen by the Director General and fully supported by the newly established Integrated Operations and Finance Directorate to ensure that each year of financial support is provided to the CRN-III program. The capabilities provided by the Science-Policy Liaison Directorate (Buenos Aires, Argentina) and the Science Development Directorate (São José dos Campos, Brazil) will help the IAI more effectively accomplish its mission and provide added value to the overall IAI science training and capacity building programs.

During its 19<sup>th</sup> Meeting in Arlington, Virginia, the CoP agreed that for the benefit of the IAI, this transition should go forward in a timely manner with no interruption to the IAI programs. This requires an efficient implementation plan that is not contingent upon all country agreements being ratified prior to the establishment of the new structure. The following is a parallel approach to accomplish this transition.

### **Establishment of the Integrated Operations and Finance Directorate**

The current Directorate should immediately become the Integrated Operations and Finance Directorate and begin the process of moving to the facilities in

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Montevideo, Uruguay. According to the timeline provided by Uruguay, this could be accomplished within 5 months of ratifying the agreement between the IAI and the Government of Uruguay, which correlates with the end of 2012.

The majority of the IAI operations and management staff, including the Director General, Assistant Director of Finance and Administration, the Assistant Director of Capacity Building, and the Science and Information Technology Managers are currently employed and will move to the new facilities in Uruguay as soon as possible. It is anticipated that a new Assistant Director of Science Programs will be hired by the Director General by the end of 2012.

If Option 2 for the role of the Director of Science Development as described above is chosen by the CoP, there will be a time where essentially the IAI science programs will not be overseen according to the roles outlined in Option 2 as the new Director for Science Development will need to be hired. To ensure continued oversight and proper stewardship of the current IAI science programs, it will be necessary for the Director General and the Assistant Director of Science Programs to continue overseeing and managing these programs until the new Director of Science Development is able to assume these roles. A clear strategy for this transition that does not adversely affect the science programs will need to be in place prior to the transfer of roles.

The support staff provided by Uruguay, a financial assistant, a tri-lingual assistant to the Director General and up to 3 other support staff employed on core funds, should be hired by the end of 2012. The critical functions of the IAI however are not contingent upon these employees being hired prior to the Integrated Operations and Finance Directorate occupying the facilities in Montevideo.

### **Establishment of the Science-Policy Liaison Directorate**

The current IAI Publications Editor can continue to carry out the on-going communications functions without interruption and being based in Buenos Aires, the Editor will also be available to help in the establishment of the new Science-Policy Liaison Directorate in conjunction with the Government of Argentina at the facilities in Buenos Aires. This process should begin as soon as possible and hopefully be completed by the end of 2012. If there are delays in establishing this new Directorate, the current communication and outreach functions of IAI will be maintained by the current staff. Establishing this new Directorate in Buenos Aires should be done in parallel with the establishment of the Integrated Operations and Finance Directorate in Montevideo, Uruguay.

### **Establishment of the Science Development Directorate**

This new Directorate will be housed in the current IAI Directorate facilities at INPE, which is clearly advantageous to the timeline for establishing this Directorate. In addition, a current IAI staff member is available to remain to help

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ensure a smooth transition and quick development of the Directorate's capabilities. This process should begin as soon as possible and hopefully be completed by the end of 2012. If there are delays in establishing this new Directorate, they should in no way adversely affect the overall functions of the IAI. Establishing this new Directorate in São José dos Campos, Brazil should be done in parallel with the establishment of the Integrated Operations and Finance Directorate in Montevideo, Uruguay.

Again, if Option 2 for the role of the Director of Science Development as described above is chosen by the CoP, then the Director General and the Assistant Director of Science Programs will continue overseeing and managing these programs until the new Director of Science Development is able to assume these roles. A clear strategy for this transition that does not adversely affect the science programs will need to be in place prior to the transfer of roles.

## **8. LEGAL AGREEMENTS BETWEEN EACH HOST COUNTRY AND THE IAI**

Legal agreements between the IAI and the host country will be developed for each of the Integrated Operations and Finance Directorate, Science Development Directorate, and Science-Policy Liaison Directorate.

## **9. LANGUAGES OF COMMUNICATIONS, AND TRANSLATION**

The IAI tripartite governance proposal was prepared in the English language and the English version will serve as the base document in the event of a conflict. The final draft will be translated into the languages of the host countries.

The legal agreements between each host country and the IAI will be prepared in the languages of the host countries. These agreements will be unofficially translated into English for ease of reference by the CoP. The original language versions of each agreement will serve as the legally binding version in the event of a conflict.

## **10. EVALUATION OF THE SUCCESS OF THE IAI TRIPARTITE GOVERNANCE STRUCTURE**

A framework for evaluating the success of the IAI tripartite Directorate is required to understand whether the IAI tripartite Directorate is meeting its objectives and the needs of the CoP. Success of the IAI tripartite Directorate can be considered in terms of success in implementing the structure and performing the roles and responsibilities articulated in this proposal, and also success in fulfilling its objectives and those of the IAI, while maintaining full and effective operations of

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current directorate functions. An evaluation framework will also provide a basis for adjusting the structure and/or operation of the IAI tripartite Directorate, if necessary.

It is proposed that a new Ad Hoc Committee be struck to oversee the implementation of the new tripartite Directorate and evaluate the success of both its implementation and operational effectiveness one-year after its establishment. Once the draft proposal has been approved by the CoP, the Ad Hoc Committee will develop an evaluation framework with appropriate metrics and performance indicators. The evaluation could be based on the accordance of the host countries with timelines and milestones for implementation outlined in this proposal, as well as other factors determined by the Committee. The Ad Hoc Committee will report at the CoP meeting in 2013 on the level and success of implementation and performance.

Possible indicators to measure the success of the tripartite Directorate in fulfilling the objectives of the IAI, and the roles and responsibilities articulated in this proposal include:

- The tripartite Directorate fulfills all roles, responsibilities, conditions, infrastructure and resource requirements articulated in sections 4 and 5 of this proposal;
- Scientific direction, strategies and programs of the IAI are effectively implemented and their regional relevance is strengthened;
- Scientific knowledge is provided to governments for the development of public policy, and to develop future science capacities and directions;
- Public awareness is improved;
- The tripartite Directorate operates in a manner neutral to the IAI Core Budget; and
- The tripartite Directorate operates in a manner that continues to maintain all current duties and services.

## **11. SUMMARY AND CONCLUSIONS**

This proposal for a tripartite IAI Directorate builds on the decision of the 19<sup>th</sup> CoP to strengthen the capacity of the IAI to provide scientific knowledge to Governments for the development of public policy, to develop future science capacities and directions, and to increase public awareness of global change research conducted under the IAI. In the new tripartite model, the IAI Directorate will consist of an Integrated Operations and Finance Directorate based in Uruguay, a Science Development Directorate based in Brazil, and a Science-Policy Liaison Directorate based in Argentina. Together, these Directorates will enhance and expand the capacity of the IAI Directorate towards fulfilling its mandate. New positions of Director of Science Development (based in Brazil) and Director of Science-Policy Liaison (based in Argentina) will be created and will report to the Director General of the IAI (based in Uruguay).

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Information presented by all three host countries within this proposal, in response to a set of evaluation criteria, demonstrates their capacity to host the respective Directorates. For instance, all three facilities offer access to national research communities and facilities, proximity to embassies, fully equipped offices, adequate space to meet the essential needs of staff, access to scientific publications and the internet, security surveillance, and so forth. All three countries have a long history of supporting the IAI and have extensive experience hosting international organizations. Privileges, immunities, tax exemptions and free movement of international people and assets will be the same as for other international organizations.

From a legal perspective, a tripartite IAI Directorate as proposed in this document would still be one legal entity with the same principles as stated in the 1992 Agreement Establishing the IAI, but with the functions and physical location distributed in three different countries.

The CoP agreed that a new tripartite IAI Directorate should be implemented in a manner neutral to the IAI Core Budget. Cost estimates for the core budget are provided by the directorate, and host country contributions are supplied by each respective country.

The 19<sup>th</sup> CoP agreed that the transition to a tripartite IAI Directorate must be accomplished in a timely manner with no interruption or adverse impact to the IAI science, training and capacity building programs. An efficient implementation plan that is not contingent upon all country agreements being ratified prior to the establishment of the new structure is recommended.

It is proposed that the current IAI Directorate immediately become the Integrated Operations and Finance Directorate and that existing management positions be moved to the facilities in Montevideo, Uruguay as soon as possible. The critical functions of the IAI are aided by but not contingent upon the hiring of new support staff by the Government of Uruguay prior to the move to Montevideo. The process for establishing the Science Development Directorate in São José dos Campos, Brazil and the Science-Policy Liaison Directorate in Buenos Aires, Argentina should be completed in parallel with the establishment of the Integrated Operations and Finance Directorate and by end of 2012. Should there be delays in establishing either of these new directorates, this would in no way adversely affect the ongoing functions of the IAI.

It is recommended that the success of the new tripartite IAI Directorate be evaluated one-year after its establishment. The evaluation could consist of measuring the success in implementing the new structure, performing the roles and responsibilities articulated in the proposal, and fulfilling its objectives as well as those of the IAI. It is proposed that a new Ad Hoc Committee be struck to develop a framework to evaluate the implementation of the new tripartite

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Directorate and the success of both its implementation and operational effectiveness. An evaluation framework would also provide a basis for adjusting the structure and/or operation of the IAI tripartite Directorate, if necessary.

**ANNEX: CENTRAL AIMS OF THE IAI**

The long-term chemical, biological and physical processes and cycles of the Earth system are undergoing continuous alteration that is both natural in origin and human-induced. Over the last century, human activities have had an increasingly important role in this alteration, and global environmental change has become one of the greatest challenges that humanity faces today.

The Inter-American Institute for Global Change Research (IAI) is an intergovernmental regional network of cooperating research entities. The IAI was created out of recognition of the limited understanding of the earth system and the environmental, economic and social effects of these changes, the need for regional cooperation among States and research institutes, and the importance of accurate information for policy and decision-making.

The mission of IAI is to develop the capacity of understanding the integrated impact of past, present and future global change on regional and continental environments in the Americas and to promote collaborative, well-informed actions at all levels. The intent behind this mission is to enable scientists and decision makers throughout the Americas to jointly address the critical issues associated with global change.

The IAI pursues the principles of scientific excellence, international and interdisciplinary cooperation, and full and open exchange of scientific information relevant to global environmental change. In order to do so, the objectives of the IAI are to:

- (a) Promote regional cooperation for interdisciplinary research on aspects of global change related to the sciences of the earth, ocean, atmosphere, and the environment and to social sciences, with particular attention to impacts on ecosystems and biodiversity, socio-economic impacts, and technologies and economic aspects associated with the mitigation of and adaptation to global change;
- (b) Conduct or select for sponsorship scientific programs and projects on the basis of their regional relevance and scientific merit as determined by scientific review;
- (c) Pursue on a regional scale that research which cannot be pursued by any individual State or institution and dedicate itself to scientific issues of regional importance;
- (d) Improve the scientific and technical capabilities and research infrastructure of the States of the region by identifying and promoting the development of facilities for the implementation of data management and by the scientific and technical training of professionals;
- (e) Foster standardization, collection, analysis and exchange of scientific data relevant to global change;



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- (f) Improve public awareness and provide scientific information to governments for the development of public policy relevant to global change;
- (g) Promote cooperation among the different research institutions of the region; and
- (h) Promote cooperation with research institutions in other regions.