Electoral Group I
Consultation on the Future
of the Intergovernmental
Oceanographic Commission

Utrecht, The Netherlands
26–27 May 2014
This document should be cited as:

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## ANNEXES

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1. INTRODUCTION

The IOC Executive Council at its 45th session (Paris, 26–28 June 2013) decided, through EC-XLV/Decision 4.2 to establish an inter-sessional consultation of all Member States, coordinated by a Vice-Chair to identify scientific and technical issues within IOC mission and mandate, in order to improve IOC’s activities in the area of sustained ocean observations and services. Subsequently the IOC Assembly at its 27th session (Paris, 26 June–5 July 2013), through Decision IOC-XXVII/Dec.(5.1), acknowledged the need for continued discussion on “The Future of IOC”; and requested Member States work with an IOC Officer during the intersessional period to develop a short background document to be presented to the 47th session of the IOC Executive Council, as a preparation to the 28th Assembly. Decision IOC-XXVII/Dec.(5.1) further suggested that the areas of deliberation covered by the above indicated documents should focus on sharpening IOC’s identity, as well as on rationalized cooperation and communication between IOC and other organizations, and enhanced flexibility and adaptability of IOC governance.

Representatives from eight Member States of IOC Electoral Group I (Canada, France, Germany, Norway, Portugal, Spain, U.K., and U.S.A.) met in Utrecht, The Netherlands, 26–27 May 2014 to prepare input from Electoral Group I in response to these decisions. This meeting was preceded by a planning meeting in Utrecht 11–13 February 2014, the results of which are presented in Annex I.

2. OBJECTIVES

The objective of this workshop was to produce a contribution from IOC Group I Member States for the discussion of the future of the IOC at the 47th session of the IOC Executive Council. This contribution focuses on the future needs of the IOC, including those related to coordination of sustained ocean observations and services. The workshop would focus on challenges that face the IOC in the near future (i.e., the period of the Medium-Term Strategy, 2014–2021) and beyond. The contribution would offer possible solutions, as identified by Group I, to challenges where solutions could be identified in five areas:

1. The Future of the IOC;
2. Opportunities for the IOC;
3. The Scope of the IOC;
4. Relationships of the IOC; and
5. Funding of the IOC and its programmes.

3. CHALLENGES AND CHALLENGE / SOLUTIONS

3.1 THE FUTURE OF THE IOC

Article 2.1 of the Statutes of the IOC states that “the purpose of the Commission is to promote international cooperation and to coordinate programmes in research, services, and capacity-building” for a number of purposes. Does the IOC have the capacity to deliver on (and how can it accomplish) these functions; have the purposes and roles of the IOC changed; and, what should they be in the future.
### Challenge:
It is recognized that the IOC is unable to discharge its roles under Art.2-1 due to changes in complexity of marine science, challenges & reductions in funding, and more calls from the international domain for input. How can the IOC be re-enabled to discharge Art. 2-1?

<table>
<thead>
<tr>
<th>Solutions</th>
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<tbody>
<tr>
<td>1) Develop constructive alternatives to IOC secretariat being burdened to implement programmes while retaining IOC Member State direction.</td>
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<tr>
<td>2) Secure more of the UNESCO budget to allow Member States and the IOC Secretariat deliver its programmes.</td>
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### Challenge:
Identify mechanisms to enable the IOC secretariat to better capture and represent Member States' expertise?

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<thead>
<tr>
<th>Solutions</th>
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<tr>
<td>1) Develop practical ways to make better use of Article 9 of the IOC statutes (Committees and other subsidiary bodies).</td>
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<td>2) The IOC shall work to achieve a balance between inclusiveness of Member States' views and timeliness of response to unplanned issues.</td>
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### Challenge:
How can Member States ensure a leading role for the IOC in global ocean research, services and capacity building?

### 3.2 OPPORTUNITIES FOR THE IOC

Science is the driving force of the IOC, where the IOC is its Member States. Are the Member States doing all they can (e.g., supporting programmes; outreach to other agencies and the private sector; education; developing partnerships) to insure the IOC is meeting its science objectives? Are the governance and structure of the IOC (structure of the commission and officers) and the Secretariat fit for the purposes of the IOC?

<table>
<thead>
<tr>
<th>Challenge:</th>
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<tr>
<td>How to engage the IOC Member States and IOC Secretariat to identify future opportunities and how to respond to them?</td>
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<table>
<thead>
<tr>
<th>Solutions</th>
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<tr>
<td>1) 2 years prior to the next medium-term strategy/plan, the IOC Secretariat to stand up an advisory group to undertake horizon scanning in the areas of science, technology and governance to inform the strategy (foresight).</td>
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<tr>
<td>2) Produce an information document to be circulated to other Member States (foresight).</td>
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### Challenge:
How to ensure that science and scientific discussion remain the core focus of the IOC regular meetings in accordance with Article 3 of the IOC statutes (Functions)?

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<th>Solutions</th>
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<tr>
<td>1) That there shall be a standard Assembly &amp; Executive Council agenda item given over to science and scientific discussion</td>
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<tr>
<td>2) Earlier publication of meeting agenda and papers to facilitate better preparation by Member States for these meetings</td>
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3) In recognition of the limited time and high cost of meetings, the IOC needs to be efficient. Member States should be prepared to render science positions and reduce debate on non-science issues.

**Challenge:** There is an identified need for the IOC to better connect with the broader science community to both raise the profile and importance of the role of the IOC to become the forum of choice for international global ocean programmes.

**Solutions**

1) The preparation and publication of an annual communications strategy.
   - Website; strengthening the links with international societies.

2) Earlier publication of meeting agenda and papers to facilitate better preparation by Member States for these meetings.

**Challenge**

To determine if the IOC governance model is fit for purpose.

### 3.3 SCOPE OF THE IOC

The IOC has a vision of where it wants to be in the near future, for example, (a) core activities; (b) priorities amongst those activities; (c) priorities within those activities [e.g., how far along the continuum from observations to services should it go in terms of ability to deliver and deliver well].

**Challenge:** How to ensure that the IOC’s current strategic documents and the horizon scanning processes relating to its vision for the future contain consideration of current science and operational priorities?

**Solutions**

1) Refine priorities with budget to meet this challenge

2) The IOC Secretariat to better use the existing committees including meetings in the intersessional period and direct them to develop a priorities list for the IOC to consider.

3) Encourage the recruitment of extra-budgetary funding to be applied to IOC existing priorities.

**Challenge:**

How to ensure that the IOC maintains as a high priority within its strategy the strengthening and integration of global observing, data and information systems (Ref. IOC-XXVII/2 Annex 3. Para 18.A)?

**Solutions**

1) Express the priority through budgetary decisions.

2) Encourage Member States to create fundraising partnerships to further support for IOC programme through extra-budgetary financial [e.g., EU ERIC programme for Argo].

3) IOC should give priority to harmonization and coordination to strengthen and integrate observing data and information systems and enhance the capacity of Member States to participate.
### Challenge:
There is an identified need for the IOC to better connect with the broader science community to both raise the profile and importance of the role of the IOC to become the forum of choice for international global ocean programmes.

### Solutions

1) The preparation and publication of an annual communications strategy.
   - Website; strengthening the links with international societies.

2) Earlier publication of meeting agenda and papers to facilitate better preparation by Member States for these meetings.

### Challenge
How to harmonize existing standards and procedures in support of current programmes and look to develop new standards and procedures for new IOC programming?

### Solutions

1) Review existing standard and procedures to see if they are fit for purpose.

2) Review future requirements for developing new standards and procedures for emerging IOC programmes.

3) Strengthen the IOC’s role in the UN community as the competent body on ocean science.

4) The IOC should actively engage with emerging, non-governmental participants in the area of the oceans to establish itself as the competent body on oceanography.

5) Establish a working relationship with the ISO (International Organization for Standardization) to develop and promote oceanographic standards and procedures where applicable.

6) Encourage funders of science to include in the conditions of grant awards the requirement to use existing standards and procedures where applicable.

7) IOC and Member States should use MOUs to ensure that standards are widely shared and rigorously adhered to.

### 3.4 RELATIONSHIPS

The IOC’s new Medium-Term Strategy, 2014–2021 outlines substantial intra-UN relationships and extensive partnerships with the science community and intergovernmental bodies, donors, and others. IOC should further leverage its role in the UN system as the competent body on ocean science, and enhance its partnerships including with Member States.

### Challenge:
To better define the relationships and the expectations from those relations for the IOC with respect to the other participants in the domain of ocean science and governance.

### Solutions

1) Strengthen the IOC Secretariat consistent with the IOC’s fundamental role in observations programmes and data information.

2) Strengthen the IOC’s role, consistent with IOC’s fundamental role, in ocean governance.
3) Strengthen the IOC’s role in the UN community as the competent body on ocean science.

4) The IOC should actively engage with emerging, non-governmental participants in the areas of the oceans to establish itself as the competent body on oceanography.

5) The IOC Chair and Vice-chairs, on behalf of the Member States, establish a regular dialogue with the UN General Assembly President on matters pertaining to the oceans.

6) Request the Executive Secretary to continue its active role in UN-Oceans.

3.5 FUNDING

In the past decade, IOC experienced two substantial financial crises which prompted substantive discussions on IOC’s future scope and how to secure an adequate core budget and other non-UNESCO sources for sustained funding.

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<tr>
<th>Challenge:</th>
<th>How to increase the amount of sustained funding to support IOC programmes and activities in accordance with Article 10?</th>
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<tbody>
<tr>
<td>Solutions</td>
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<tr>
<td>1) Member States to provide support to the newly established IOC Secretariat position for resource mobilization</td>
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<td>2) IOC should develop a presentation on IOC priorities and its benefits to IOC Member States and the global community</td>
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<td>3) Group I Member States to develop promotional material to be used for funding within their countries.</td>
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<td>4) Member States should pay their dues to UNESCO to support the regular IOC budget.</td>
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<td>5) Member States to approach their UNESCO delegations with a view to sustain and potentially increase the IOC’s allocation of the UNESCO budget</td>
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<tr>
<td>6) Member States to be reminded to pay their dues to UNESCO to support the IOC regular budget.</td>
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<td>7) Member States provide long-term sustainable support to IOC programmes and activities.</td>
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<td>8) Sustained Ocean Observations requires Member States to commit to long-term support to achieve IOC goals.</td>
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<td>9) Recognizing that the current IOC funding model is a mix of funding models, Member States should be encouraged to build on a model that is based on a mix of extra-budgetary and in-kind funding from both traditional and non-traditional sources of funds for ocean sciences.</td>
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<tr>
<td>10) Member States should determine their national priority for the IOC and advocate this priority in UNESCO deliberations to increase IOC’s allocation of the UNESCO Regular Budget.</td>
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4. KEY POINTS AND PROPOSED WAY FORWARD

4.1 PRIORITY SETTING

The IOC’s Medium-Term Strategy, 2014–2021 contains four high-level objectives including “strengthening scientific knowledge of the ocean and human impact on it.” Six functions are “required to advance towards the IOC Vision.” The Strategy “Building Scientific knowledge” contains two functions: (1) Observing System/Data Management and (2) Ocean Research. None of the elements of the Strategy can be accomplished without sustained observations and the delivery of data.

The IOC needs to establish priorities for its programmes, priorities that should be manifested in budget and staffing decisions. The highest priority should be Observing System/Data Management which includes international governance of observations, data dissemination and capacity building.

The IOC should consider a de-centralized structure for GOOS in which the IOC manages through the GOOS governance framework, with the actual implementation undertaken by local and regional coordination activities (e.g., Euro-GOOS, Euro-Argo) and/or implementation panels (e.g., Argo, DBCP, OceanSITES). This is consistent with the Guiding Principles for Budget Allocation adopted in 2013.

4.2 RELATIONSHIPS WITH UNESCO

IOC’s Statutes contain several reinforcing elements, which if further elaborated, could reinforce IOC both within UNESCO and in the UN system. These elements include:

- Article 1 (The Commission) which establishes IOC “as a body with functional autonomy within UNESCO;”
- Article 10 (Financial and other resources) enables the IOC to “establish, promote or coordinate, as appropriate, additional financial arrangements to ensure the implementation of an effective and continuing programme at global and/or regional levels,” and
- Article 11 (Relations with other organizations) enables the IOC to “act also as a joint specialized mechanism of the organizations of the United Nations system that have agreed to use the Commission for discharging certain of their responsibilities in the fields of marine sciences and ocean services, and have agreed accordingly to sustain the work of the Commission.”

The IOC Executive Council could convene an open-ended intersessional working group to prepare a draft report to be submitted to the Executive Council at its 48th Session for its review, preceding the 28th Session of the Assembly (2015).

In terms of functional autonomy, it is appropriate to review the UNESCO-IOC organigramme, past UNESCO correspondence to IOC on functional autonomy, and the current interpretation and practice of “functional autonomy.” Consideration could be given to developing a protocol between IOC (Officers) and UNESCO (Director-General) that clarifies and applies the functional autonomy and the functions of the Executive Secretary of IOC under the guidance of the governing bodies and the Officers of the IOC.

The Statutes of the IOC permit “additional financial arrangements” as may be useful to conduct IOC’s programme, consistent with UNESCO’s financial framework and Member State and donor interest. The IOC has some tools that are not fully used, particularly Article 10 of the Statutes that provide ample possibilities for establishing arrangements with Member States or donors. Governing bodies of UNESCO and the IOC have the power to establish...
new financial arrangements by using Article 10. Consideration should be given to reviewing current financial governance arrangements and to other potential flexible financial arrangements should these facilitate IOC access to sustained extra-budgetary financing, consistent with IOC programme governance.

4.3 RE-ESTABLISHING IOC’S ROLE AS THE LEAD UN ORGANIZATION FOR OCEAN SCIENCE

Building on IOC’s statutory mandate and programmatic niche (sustained ocean observations and data management, and ocean research), the IOC should reinforce its image as a credible competent organization in the field of marine scientific research within the United Nations system specialized forum. Enhanced IOC leadership and collaboration within the UN system is warranted on ocean research, services and capacity building in light of the international community’s expanding ocean science agenda and its application to human welfare. The IOC has already taken a step in this direction through its reorganization of the GOOS structure as well as through its partnerships with WMO (through JCOMM’s coordination of the in situ global networks) and UNEP. Building on IOC’s statutory mandate and programmatic niche (research and sustained ocean observations and data management for services and capacity building), consideration should be given to strengthening IOC’s partnerships in the UN system, including a role as a joint specialized mechanism of the organizations of the United Nations system.

The IOC has historically worked with the scientific community (e.g., the International Association for Physical Sciences of the Ocean) in establishing and obtaining community approval of standards and protocols; most recently the publication of The International Thermodynamic Equation of Seawater – 2010: Calculation and use of Thermodynamic Properties. The IOC should establish a working relationship with the ISO (International Organization for Standardization) to develop and promote oceanographic standards and procedures where applicable.

The IOC should actively engage with current and emerging, non-governmental participants in the area of the oceans to establish itself as the competent body on oceanography.
ANNEX I

AGENDA

26 May:

0830-0900
Introduction

0900-1030 - Topic I:
The future of the IOC

Article 2.1 of the Statutes of the IOC state that “the purpose of the Commission is to promote international cooperation and to coordinate programmes in research, services, and capacity-building” for a number of purposes. Does the IOC have the capacity to deliver on (and how can it accomplish) these functions; have the purposes and roles of the IOC changed; and, what should they be in the future.

1030-1045 – Break

1045-1215 - Topic II
Opportunities for the IOC

Is science the driving force of the IOC, where the IOC is its Member States? If it is, are the Member States doing all they can (e.g., supporting programs; outreach to other agencies and the private sector; education; developing partnerships) to insure the IOC is meeting its science objectives. If science is not the driving force, what is/are the driving force(s)? Are there too many? Are the governance and structure of the IOC (structure of the commission and officers) and the Secretariat fit for the purposes of the IOC?

1215-1330 – Lunch

1330-1500 - Topic III
The Scope of the IOC

Does the IOC have a clear vision of where it wants to be, for example, (a) core activities; (b) priorities amongst those activities; (c) priorities within those activities [e.g., how far along the continuum from observations to services should it go in terms of ability to deliver and deliver well].

1500 -1600 - Topic IV
Relationships

What is the nature (leadership, participant, observer, etc.) of the IOC’s relationships with other intergovernmental bodies, oceanographic programs,
and the scientific community. Which should and can be developed and how can the IOC go about developing relationships.

1600-1615 – Break

1615-1715 - Topic V Funding

How can the IOC secure an adequate core budget? Are there sources other than UNESCO for sustained funding?

1715-1730 Conclusion

1900 Dinner

27 May:

0830-1000 Discuss the results of each topic from Day 1 in detail (3 hours with a break)

1000-1030 - Break

1030-1200 Discuss the results of each topic from Day 1 in detail (Contd.)

1200-1300 - Lunch

1300-1500 - Discussion of the morning results, what to prepare and how to present the results to the Executive council (2 hours)

1500-1530 -Break

1530-1730 - Discussion of specific Group I items. Actual implementation of an observing system - putting things in the water, infrastructure (e.g., ships), data dissemination.

1730-1800 Wrap up
ANNEX I

LIST OF PARTICIPANTS

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