

## REPORT OF THE FINANCE AND ADMINISTRATION COMMITTEE

The Finance and Administration Committee (hereafter F&A) met from 09:00–13:30 on October 29, and from 12:30–13:30 on October 31, 2008, under the chairmanship of Dr. Laura Richards.

### AGENDA ITEM 1

#### **Opening remarks**

The Chairman called the meeting to order, welcomed the participants and requested an introduction of members for each delegation. All Contracting Parties were present at the meeting (*F&A Endnote 1*).

### AGENDA ITEM 2

#### **Adoption of agenda**

The Committee reviewed and approved the draft agenda, noting that a discussion of the Rules of Procedure would be included under Agenda Item 15–Other Business (*F&A Endnote 2*).

### AGENDA ITEM 3

#### **Audited accounts for FY 2007**

The FY 2007 financial statements were submitted to *Flader & Hale* on March 21, 2008, and the Auditor's Report was completed on April 21, 2008. This report (*F&A Endnote 3*) was electronically circulated to all Contracting Parties on May 1, 2008, and hard copies were sent to members of the F&A Committee by mail. In the auditor's opinion, the financial statements are an accurate representation of the financial position of the Organization as of December 31, 2007, and the results of its operations and changes in the fund balances are in accordance with Canadian generally accepted accounting principles. The Committee reviewed the Auditor's Report and recommended it for approval by Council.

*Flader & Hale* had been selected as the external PICES auditor for FYs 2003–2005 at the first inter-sessional Governing Council meeting (April 2003, Victoria, Canada) (Decision 03/A/1(ii)). At the 2005 PICES Annual Meeting (Vladivostok, Russia), Council retained this company as the auditor for FYs 2006–2008 (Decision 05/A/1(ii)). After reviewing bids from two accounting companies (*Flader & Hale* and *Cowland Paterson & Co.*), the Committee recommended that Council retain *Flader & Hale* for an additional 3-year term (FYs 2009–2011).

### AGENDA ITEM 4

#### **Annual contributions**

As stated in Financial Regulation 5(ii), all national contributions to PICES “*shall be considered due as of the first day of the financial year (January 1) to which they relate*”. The Executive Secretary reported on the 2008 annual fee payment dates, and provided information on the payment of national contributions from 2000 to 2008 (*F&A Endnote 4*).

The Committee noted that all Contracting Parties met their financial obligations for FY 2008, except the United States. The United States indicated that the arrears payment of \$8,525 for 2008 would be made in conjunction with the 2009 annual contribution.

## **F&A-2008**

Even though only the Japanese contribution arrived prior to the due date (January 1, 2008), the timeliness of payment from other Contracting Parties is either stable or improved. China and Korea's progress is especially notable, with the time of the payment moving up one quarter in 2008. The Committee again recommended that Council instruct the Executive Secretary to send a letter to Contracting Parties commending them for improved performance in submitting annual contributions for *FY* 2008, and describing the difficulties that late and/or partial payment causes the Organization.

Japan expressed concerns about the continual increases in the annual contributions. Canada explained that increases are necessary to compensate for salary adjustments which cannot be controlled since they are linked to Canadian wage scales and cost of living increases. The Committee confirmed its previous recommendation that for planning purposes, Contracting Parties should continue to use the guideline generally accepted at the 1999 PICES Annual Meeting (Decision 99/A/2(ii)), which states that "*the annual contributions will increase at the rate of inflation in Canada*". This should assist Contracting Parties in preparing timely funding requests to cover annual contributions, and the Executive Secretary in developing future budgets.

### AGENDA ITEM 5

#### **Fund-raising activities**

The Executive Secretary reported on fund-raising efforts for the period since the 2007 PICES Annual Meeting (*F&A Endnote 5*). Fund-raising continues to be an important component of PICES activities, and more than a third of the current operational budget is supported by external contributions and partnerships. Korea suggested that the Executive Secretary verify whether existing commitments would continue to be honoured, given the current global economic situation. Japan (in relation to the voluntary contribution by the Ministry of Agriculture, Forestry and Fisheries) and the Executive Secretary (in relation to other contributions and grants) commented that external funding for 2009 appeared secure.

### AGENDA ITEM 6

#### **Report on PICES Publication Program**

Mr. Brian Voss (NOAA Libraries, Seattle, WA) presented a progress report on the Action Plan for the PICES Publication Program (*F&A Endnote 6*). The report was enthusiastically received, noting that significant progress had been made. The Committee recommended that the Secretariat continue to work with the International Association of Aquatic and Marine Science Libraries and Information Centers (IAMSLIC) on the items identified in the Action Plan. The Committee noted that plan activities had a minimal financial commitment but did require dedicated staff time. The plan, once completed, would allow a smooth transition of PICES publications to more on-line access. In terms of immediate action, the Committee recommended to discontinue printing the Annual Report and instead, distribute it electronically and deposit it in the electronic commons.

### AGENDA ITEM 7

#### **Financing of high priority projects**

At the 2007 PICES Annual Meeting, the Committee discussed the use of the encumbered funds designated for high-priority PICES projects and suggested that \$40,000 be earmarked for the development of the new PICES integrative scientific program, **FUTURE (Forecasting and Understanding Trends, Uncertainty and Responses of North Pacific Marine Ecosystems)**, and the remainder (\$103,092) be assigned for the preparation of the next North Pacific Ecosystem Status Report. Given current plans, these two activities appear to have sufficient financial support. The Committee recommended that additional funds be allocated to other high priority projects, including capacity building, which were not specified at the time of the F&A meeting. This would include \$3,593 in unspent funds from the 2006 CCCC symposium on "*Climate variability and ecosystem impacts on*

*the North Pacific: A basin-scale synthesis*". This project was completed by publication of a special issue of *Progress in Oceanography* in June 2008 (Vol. 77, Nos. 2–3, pp. 83–268).

#### AGENDA ITEM 8

##### **PICES Intern Program**

The Committee reviewed the current status of the Intern Program. At the recommendation of the Executive Secretary, the term for the 2008 PICES intern, Mr. Key-Seok Choe (Project Management Team, Korea Ocean Research and Development Institute), has been extended to January 31, 2009. Therefore, Council agreed to postpone the deadline of nominations for the 2009 PICES internship until the beginning of the 2008 PICES Annual Meeting (Decision 07/A/6(ii)). On October 28, Mr. Yongling Zhu (Director of Foreign Affairs Office, Second Institute of Oceanography, State Oceanic Administration, China) was selected as the 2009 PICES intern.

It is estimated that at the end of *FY* 2008, the Organization will be holding about \$15,000 for the Intern Program. With the current stipend level of \$2,000 per month (Decision 07/A/6(iii)), this amount is sufficient to maintain the Program for 6–7 months in 2009. In the absence of voluntary contributions, Council approved the use of registration fees collected from the Annual Meetings to fund the Intern Program (Decision 01/A/4(iv)). Given this option, the Committee recommended that Mr. Zhu be offered a 12-month term to start as soon as possible after February 1, 2009, rather than a 6-month term with a possibility of extension.

The Committee also recommended that Contracting Parties be invited to provide additional financial support for the PICES Intern Program in 2009 and beyond. Canada noted that the choice of wording in this request would be important and suggested that the Executive Secretary verify the wording to be used in the letter with the F&A member from each Contracting Party.

The Committee reviewed the background documentation for the Intern Program and recommended updates to align the description of the program with current practice. The changes related to supervision (under the PICES Secretariat), start date (normally begins on or about February 1) and level of education (university degree with a M.Sc. or Ph.D. as an asset). The updated document is included as *F&A Endnote 7*.

#### AGENDA ITEM 9

##### **Salary scales and adjustments for the PICES secretariat staff**

The F&A Chairman provided a verbal explanation of the position/salary classification system for the Canadian government public service on which the salary scales and adjustments for the Secretariat staff are based.

#### AGENDA ITEM 10

##### **Budget**

##### Estimated accounts for *FY* 2008 (Agenda Item 10a)

The Committee reviewed the estimated accounts for *FY* 2008 and recommended their acceptance by Council, noting that the expenses for "foreign exchange loss" are unknown at this time. The Contracting Parties should acknowledge the impact of currency fluctuations when transferring funds into and out of Canadian dollars.

##### Interest and other income (Agenda Item 10b)

In *FY* 2007, the total income was \$589,906. This amount includes \$155,118 in voluntary contributions and grants (\$120,636 credited to the Working Capital Fund and \$34,482 credited to the Trust Fund), and a transfer of \$95,600 from Fisheries and Oceans Canada for the 2007 PICES Annual Meeting.

## **F&A-2008**

In *FY* 2008, the estimated total income is \$541,923. This amount includes \$212,605 in voluntary contributions and grants (\$173,975 credited to the Working Capital Fund and \$38,630 credited to the Trust Fund).

### Relocation and Home Leave Fund (Agenda Item 10c)

At the 2007 PICES Annual Meeting, Council approved the F&A Committee recommendation that the level of the Relocation and Home Leave Fund (RHLF) be allowed to fluctuate between \$90,000 and \$110,000 to minimize the need for small transfers between funds (Decision 07/A/3(iii)). Given the estimated fund balance of \$101,056 on January 1, 2009, no action is required.

### Trust Fund (Agenda Item 10d)

In *FY* 2008, the total Trust Fund (TRF) income is estimated at \$41,630 (\$38,630 in voluntary contributions and grants) and estimated expenses are \$68,450. The Committee recommended a transfer of about \$25,000 from the Working Capital Fund to recover the 2008 expenses and restore the Trust Fund to the level of \$110,000.

### Japanese Trust Fund (Agenda Item 10e)

The Committee reviewed the financial report for *Year 1* (April 1, 2007 to March 31, 2008) of the project.

### Working Capital Fund (Agenda Item 10f)

After all approved inter-fund transfers, the amount of funds available in the Working Capital Fund (WCF) on January 1, 2008, was \$354,519. This includes \$215,495 in encumbered funds and \$139,024 in “reserve operating” funds. In *FY* 2008, the total WCF income and expenses are estimated at a level of \$496,665 (\$173,975 are in voluntary contributions and grants) and \$268,504, respectively. After the recommended inter-fund transfers, the amount of funds available in WCF at the fiscal year end will be \$457,860. This includes \$299,431 in encumbered funds, and \$158,429 in “reserve operating” funds.

### Budget for *FY* 2009 and forecast budget for *FY* 2010 (Agenda Item 10g)

The Committee reviewed the proposed *FY* 2009 budget of \$785,000 (*F&A Endnote 8*) and recommended its approval by Council. The Committee also recommended a transfer of \$98,000 from the Working Capital Fund to balance the budget, setting the total annual contribution at \$687,000, and the 2009 fees at \$114,500 per Contracting Party. The 2009 annual fee is about 3% higher than in 2008, and this increase was noted to be consistent with the guideline generally accepted at the 1999 PICES Annual Meeting (Decision 99/A/2(ii)), stating that “*the annual contribution will increase at the rate of inflation in Canada*”. The annual Canadian Consumer Price Index (CPI), used as a measure of inflation, was 3.1% in June, 3.4% in July and 3.5% in August 2008.

The Executive Secretary presented the forecast *FY* 2010 budget of \$803,000 and noted that this budget is prepared, based on preliminary information available as of September 1, 2008 and is 2.3% higher than the *FY* 2009 budget. If the inflation rate in Canada stays at the level of 2.5-3.0%, then the 2010 annual fee should be set at the level of \$117,500 per Contracting Party. The total annual contribution would be \$705,000, and a transfer of \$98,000 from the Working Capital Fund would be required to balance the budget.

## AGENDA ITEM 11

### **Schedule, structure and financing of future Annual Meetings**

The 2009 PICES Annual Meeting will be held from October 23–November 1, in Korea (Decision 07/A/5(ii)). Because of a restructuring within the Korean government, the local organizing committee will be composed of the Ministry of Land, Transport and Maritime Affairs (MLTL), the Korea Ocean Research and Development

Institute (KORDI) and the National Fisheries Research and Development Institute (NFRDI). The venue has changed from Busan to Jeju. The Korean delegation confirmed that they require \$40,000 from the General Fund to help offset the costs for the meeting.

The United States will host the 2010 PICES Annual Meeting, but has not yet suggested dates or a venue.

In keeping with the six-year rotation cycle (Decision 94/A/6), the Russian Federation was invited to explore the possibility of hosting the 2011 PICES Annual Meeting and inform the Secretariat on this matter by March 31, 2009.

At the 2001 PICES Annual Meeting (Victoria, Canada), Council approved the charging of a registration fee for future Annual Meetings of the Organization and indicated that the registration fee structure should be reviewed annually (Decision 01/A/4(iv)). It was agreed that the fees have to be collected by the Secretariat and used to support high priority projects and the Intern Program, and to cover costs associated with Annual Meetings; the allocation among these three purposes should be flexible and decided by the Executive Secretary (Decision 04/A/5(iv)). The Committee reviewed the registration fee structure for 2008 and recommended that Council maintain the same fee structure for the 2009 PICES Annual Meeting.

Type of registration fee	CDN \$
Regular	225
Early	150
Student	50
Spousal	50

At the 2005 PICES Annual Meeting (Vladivostok, Russia), Council re-iterated its support for the concept of inter-sessional Science Board meetings with the participation of Council members, but suggested that the need for such a meeting should be evaluated each year and that, given meeting costs (including time commitment of the members), an inter-sessional meeting should be held only if the agenda is substantive. The Committee confirmed these views in 2008.

Science Board has already indicated the importance of having an inter-sessional meeting in 2009, to be held in conjunction with a workshop to finalize the development of an Implementation Plan for FUTURE. The Committee supported this request and suggested that if there is no offer to host the meeting and workshop, these events would be hosted by the PICES Secretariat in Victoria, Canada.

#### AGENDA ITEM 12

##### **Administrative matters**

The Committee reviewed the progress on the status of income tax levies for personnel at the PICES Secretariat and directed the Executive Secretary to continue communications with the British Columbia government on the possibility for an *ex gratia grant* equal to the amount of the provincial personal income taxes remitted, which will be paid back to the Organization at the end of each fiscal year.

#### AGENDA ITEM 13

##### **Space, facilities and services for the PICES Secretariat office**

PICES has a Headquarters Agreement with the Government of Canada that entered into force on December 15, 1993. In accordance with this agreement, Fisheries and Oceans Canada (DFO) hosts the PICES Secretariat at the Institute of Ocean Sciences (IOS) in Sidney, British Columbia, Canada.

## **F&A-2008**

### AGENDA ITEM 14

#### **Appointment of F&A Committee Chairman**

According to Rule 19(iii) of the PICES Rules of Procedure, “*The Chairman of the Finance and Administration Committee shall be appointed by the Council from among the Committee’s members for a period of two years and if re-appointed, total consecutive service may not exceed four years*”. Dr. Laura Richards (Canada) was appointed as the F&A Committee Chairman at the 2004 PICES Annual Meeting (Honolulu, U.S.A.) and re-appointed for the next two-year period at the 2006 PICES Annual Meeting (Yokohama, Japan). Her second term will end at the conclusion of the 2008 Annual Meeting. The Committee thanked her for her efforts over the past four years.

The Committee recommended that Council appoint Ms. Patricia Livingston (U.S.A.) as the next F&A Chairman.

### AGENDA ITEM 15

#### **Other business**

The Committee reviewed the Rules of Procedures and suggested changes for consideration by Council in order to accommodate experts from non-member countries to subsidiary bodies of Standing Committees. These proposed changes are not expected to have financial implications, except costs related to the distribution of PICES publications to these experts.

### AGENDA ITEM 16

#### **Adoption of the F&A report and recommendations to Council**

The draft report was circulated and approved by all F&A members. All recommendations to Council were brought forward by Dr. Richards at the first session of Council on November 1, 2008.

**F&A Endnote 1****Participation list**Canada

Robin M. Brown  
Serge Labonté

Japan

Yukimasa Ishida (advisor)  
Harumi Yamada

People's Republic of China

Yingren Li (alternate delegate)  
Gongke Tan (advisor)

Republic of Korea

Sik Huh (advisor)  
Doan Jeong  
Jin-Yeong Kim (advisor)

Russia

Igor Shevchenko

U.S.A.

Patricia Livingston  
Elizabeth Tirpak

Other

Laura Richards (F&A Chairman)  
Tokio Wada (PICES Chairman)  
Alexander Bychkov (Executive Secretary)

**F&A Endnote 2****F&A Committee meeting agenda**

1. Welcome and opening remarks
2. Adoption of agenda and meeting procedures
3. Audited accounts for *FY* 2007 and selection of the external auditor for *FYs* 2009–2011
4. Annual contributions
5. Fund-raising activities
6. Report on PICES Publication Program
7. Financing of PICES high priority projects
8. PICES Intern Program
9. Salary scales and adjustments for the PICES Secretariat staff
10. Budget
  - a. Estimated accounts for *FY* 2008
  - b. Interest and other income
  - c. Relocation and Home Leave Fund
  - d. Trust Fund
  - e. Japanese Trust Fund
  - f. Working Capital Fund
  - g. Proposed budget for *FY* 2009 and forecast budget for *FY* 2010
11. Schedule, structure and financing of future Annual Meetings
12. Administrative matters
13. Space, facilities and services for the PICES Secretariat office
14. Appointment of F&A Committee Chairman
15. Other business
16. 2008 F&A report and recommendations to Governing Council

F&A Endnote 3

**Auditor's Report (2007) to the Organization**

To the Council of the  
North Pacific Marine Science Organization

We have audited the statement of financial position of the North Pacific Marine Science Organization as at December 31, 2007 and the statement of operations and changes in fund balances for the year then ended. These financial statements are the responsibility of the Organization's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with Canadian generally accepted auditing standards. Those standards require that we plan and perform an audit to obtain reasonable assurance whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by the Organization's management, as well as evaluating the overall financial statement presentation.

In our opinion, these financial statements present fairly, in all material respects. The financial position of the Organization as at December 31, 2007 and the results of its operations and changes in fund balances for the year then ended are in accordance with Canadian generally accepted accounting principles.

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CHARTERED ACCOUNTANTS

Sidney, B.C.  
April 21, 2008

**NORTH PACIFIC MARINE SCIENCE ORGANIZATION  
STATEMENT OF FINANCIAL POSITION  
AS AT DECEMBER 31, 2007**

<b>ASSETS</b>	<b>2007</b>	<b>2006</b>
<b>CURRENT ASSETS</b>		
Cash and short term deposits (note 4)	\$ 939,641	\$ 726,512
Accounts receivable	29,264	57,538
Accrued interest receivable	1,393	-
Prepaid expenses	2,455	2,665
	\$ 972,753	\$ 786,715
<b>LIABILITIES</b>		
<b>CURRENT LIABILITIES</b>		
Accounts payable	\$ 38,588	\$ 48,545
Funds held for Contracting Parties (note 3)	111,000	108,500
	149,588	157,045
<b>FUND BALANCES</b>		
<b>WORKING CAPITAL FUND</b> (note 4)	450,519	414,964
<b>TRUST FUND</b>	110,000	110,000
<b>RELOCATION AND HOME LEAVE FUND</b>	108,577	104,706
<b>MINISTRY OF AGRICULTURE, FORESTRY AND FISHERIES FUND</b>	154,069	-
	823,165	629,670
	\$ 972,753	\$ 786,715

**NORTH PACIFIC MARINE SCIENCE ORGANIZATION  
STATEMENT OF OPERATIONS AND CHANGES IN FUND BALANCES  
FOR THE YEAR ENDED DECEMBER 31, 2007**

Ministry of  
Agriculture,  
Forestry and  
Fisheries Fund

	General Fund	Working Capital Fund	Trust Fund	Relocation and Home Leave Fund	Ministry of Agriculture, Forestry and Fisheries Fund	2007 Total	2006 Total
<b>FUND BALANCES, beginning of year</b>	\$ -	\$ 414,964	\$ 110,000	\$ 104,706	\$ -	\$ 629,670	\$ 655,867
<b>SOURCES OF FUNDS</b>							
Contributions from Contracting Parties	651,000	-	-	-	-	651,000	633,000
Budgeted transfer to General Fund (note 5)	94,000	(94,000)	-	-	-	-	-
Voluntary contributions and grants (note 6)	-	216,236	34,482	-	184,980	435,698	189,007
Interest and other income (note 7)	-	332,032	3,285	3,871	3,411	342,599	167,512
	745,000	454,268	37,767	3,871	188,391	1,429,698	989,519
<b>FUND BALANCES, before expenditures</b>	<b>745,000</b>	<b>869,232</b>	<b>147,767</b>	<b>108,577</b>	<b>188,391</b>	<b>2,058,967</b>	<b>1,645,386</b>
<b>EXPENDITURES</b>							
Personnel services (note 8)	416,732	51,163	-	-	-	467,895	446,292
Annual Meeting	17,486	97,563	-	-	-	115,049	42,071
Special meetings	75,183	207,335	-	-	25,729	308,247	215,959
Travel	84,094	1,437	33,138	-	-	118,669	120,581
Printing	68,432	-	-	-	-	68,432	66,242
Communication	35,786	-	-	-	-	35,786	35,457
Equipment	8,673	-	-	-	-	8,673	6,868
Supplies	5,790	-	-	-	-	5,790	7,375
Contractual services	16,206	19,200	-	-	8,593	43,999	35,083
Miscellaneous	3,505	1,073	-	-	-	4,578	3,726
Intern program	-	-	27,153	-	-	27,153	26,394
Relocation	-	-	-	-	-	-	8,232
Bering Sea Indicators Project	-	17,187	-	-	-	17,187	-
Foreign exchange loss (note 9)	14,344	-	-	-	-	14,344	1,436
	746,231	394,958	60,291	-	34,322	1,235,802	1,015,716
<b>NET FUNDS AVAILABLE</b>	<b>(1,231)</b>	<b>474,274</b>	<b>87,476</b>	<b>108,577</b>	<b>154,069</b>	<b>823,165</b>	<b>629,670</b>
<b>TRANSFER FROM</b>							
<b>WORKING CAPITAL FUND (note 4)</b>	1,231	(1,231)	-	-	-	-	-
<b>INTERFUND TRANSFERS (note 5)</b>	-	(22,524)	22,524	-	-	-	-
<b>FUND BALANCES, end of year</b>	<b>\$ -</b>	<b>\$ 450,519</b>	<b>\$ 110,000</b>	<b>\$ 108,577</b>	<b>\$ 154,069</b>	<b>\$ 823,165</b>	<b>\$ 629,670</b>

**NORTH PACIFIC MARINE SCIENCE ORGANIZATION  
NOTES TO THE FINANCIAL STATEMENTS  
DECEMBER 31, 2007**

**1. PURPOSE OF ORGANIZATION**

The North Pacific Marine Science Organization (PICES) is an intergovernmental non-profit scientific Organization whose present members include Canada, Japan, the People's Republic of China, the Republic of Korea, the Russian Federation and the United States of America. The purpose of the Organization is to promote and coordinate marine scientific research in order to advance scientific knowledge of the North Pacific and adjacent seas.

**2. ACCOUNTING POLICIES**

The financial statements are prepared in accordance with the North Pacific Marine Science Organization's Financial Regulations and are prepared in accordance with Canadian generally accepted accounting principles. The following is a summary of the significant accounting policies used in the preparation of these financial statements:

**(a) Fund Accounting**

The Working Capital Fund represents the accumulated excess of contributions provided from Contracting Parties over expenditures in the General Fund. The purposes of the General Fund and Working Capital Fund are established by Regulation 6 of the Organization Financial Regulation.

The Trust Fund was established in 1994 for the purpose of facilitating participation of a broad spectrum of scientists in activities of the Organization.

The Relocation and Home Leave Fund was established in 1995 to pay relocation and home leave expenses of new employees and their dependents to the seat of the Secretariat and removal after period of employment has ended, and to provide home leave for international staff. The fund balance must be maintained between \$90,000 and \$110,000.

The Ministry of Agriculture, Forestry and Fisheries Fund was established in 2007. The Ministry of Agriculture, Forestry and Fisheries of Japan, through the Fisheries Agency has provided voluntary contributions for a project dedicated to the development of the prevention systems for harmful organisms in the Pacific Rim.

**(b) Capital Assets**

Capital assets acquired by the Organization are expensed in the year of acquisition. During the current year the Organization purchased \$8,673 of capital assets.

**(c) Contributions**

Contributions from Contracting Parties are recorded in the year in which they relate to. All other contributions and grants are recorded in the year received.

**(d) Income Tax**

The Organization is a non-taxable Organization under the Privileges and Immunities (International Organizations) Act (Canada).

(e) Foreign Exchange

Transactions originating in foreign currencies are translated at the exchange rate prevailing at the transaction dates. Assets and liabilities denominated in foreign currency are translated to equivalent Canadian amounts at the current rate of exchange at the statement of financial position date.

(f) Financial Instruments

The Organization's financial instruments consist of cash and short term deposits, accounts receivable and accounts payable. Unless otherwise noted, it is management's opinion that the Organization is not exposed to significant interest, currency or credit risks.

(g) Use of Estimates

The preparation of financial statements in conformity with Canadian generally accepted accounting principles requires management to make estimates and assumptions that effect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

**3. FUNDS HELD FOR CONTRACTING PARTIES**

The funds held for Contracting Parties are advance contributions from Japan in the amount of \$111,000.

**4. WORKING CAPITAL FUND**

Of the total amount in the Working Capital Fund, \$215,495 of cash and short term deposits is restricted for specific designated projects.

Pursuant to decision 07/A/3(ii) of the Governing Council, \$96,000 of the funds held in the Working Capital Fund will be transferred to the General Fund at the beginning of the 2008 fiscal year to balance the budget, setting the total annual contribution at \$666,000, and the 2008 annual fee at \$111,000 per Contracting Party.

Pursuant to Financial Regulation 6 (iii), the Working Capital Fund is to be increased/decreased by the surplus/deficit in the General Fund.

**5. INTERFUND TRANSFERS**

The Governing Council approved the transfer of \$94,000 at the beginning of 2007 from the Working Capital Fund to the General Fund (Decision 06/A/3/ii) to balance the budget, setting the total annual contribution at \$651,000, and the 2007 annual fee at \$108,500 per Contracting Party.

The Governing Council approved the transfer of funds from the Working Capital Fund to restore the Trust Fund to \$110,000 by the end of 2007 (Decision 07/A/3/iv). The amount of the transfer was \$22,524.

**6. VOLUNTARY CONTRIBUTIONS AND GRANTS**

	Working Capital Fund	Trust Fund
NPRB (U.S.A.) contribution for 2007 ESSAS/PICES Workshops	\$ 5,880	\$ -
Contributions for 2008 Climate Change Symposium:		
DFO (Canada)	20,000	-
KORDI (Korea)	4,012	-
DFO (Canada) contribution for PICES XVI	95,600	-
SNU (Korea) contribution for part-time position at Secretariat	19,200	-
NPRB (U.S.A.) funds for the Bering Sea Indicators Project	29,481	-
NPRB (U.S.A.) contribution for 2007 FIS Forecasting workshop	10,949	-
Contributions for the 2007 Early Career Scientists Conference:		
KORDI (Korea)	2,101	-
NMFS (U.S.A.)	29,013	-
Contributions for Intern Program:		
DFO (Canada)	-	10,000
NMFS (U.S.A.)	-	14,507
Travel grants for PICES XVI:		
GLOBEC	-	2,200
NSF (U.S.A.)	-	2,899
SCOR	-	4,876
	\$ 216,236	\$ 34,482

**7. INTEREST AND OTHER INCOME**

	Working Capital Fund	Trust Fund	Relocation and Home Leave Fund	Ministry of Agriculture, Forestry and Fisheries Fund
DFO postage reimbursement	\$ 15,000	\$ -	\$ -	\$ -
Displays at PICES VXI	8,000	-	-	-
Interest income	22,530	3,285	3,871	3,411
Income tax levies	68,133	-	-	-
GST, PST & WCB rebates	18,264	-	-	-
Registration Fees:				
PICES XVI	73,615	-	-	-
Climate Change Symposium	417	-	-	-
Zooplankton Symposium	124,322	-	-	-
Other income	1,751	-	-	-
	\$ 332,032	\$ 3,285	\$ 3,871	\$ 3,411

**8. PERSONNEL SERVICES**

The expenditures in the Working Capital Fund for personnel services in 2007 include retroactive salary and benefit adjustments for staff members (\$19,102) and payments to the International Fisheries Commissions Pension Society (IFC) related to the unfunded pension liability (\$32,061).

**9. FOREIGN EXCHANGE LOSS**

At year end all funds held in foreign currency (US \$102,965) are converted to Canadian dollars using the December 31<sup>st</sup> exchange rate. A foreign exchange loss has been reported on the current year financial statements; this amount is an unbudgeted item which has been caused by the ongoing fluctuations in the US dollar (2007 = 0.9881, 2006 = 1.1653), and not by the actual purchase or sale of any foreign currencies.

**10. UNFUNDED PENSION LIABILITY**

The Organization holds a pension plan for its employees with the International Fisheries Commissions Pension Society. An actuarial valuation report was prepared as at January 31, 2008 and showed an unfunded pension liability for PICES of \$208,000. This liability is being paid in monthly instalments over a period of 15 years. The total amount payable in each of the next five years is \$25,200.

**11. FINANCIAL STATEMENTS**

A statement of cash flows has not been presented, as the required information is readily apparent from the other financial statements presented and the notes to the financial statements.

## F&amp;A Endnote 4

Payment schedule of annual contributions, 2000–2008<sup>1</sup>

	<i>Canada</i>	<i>China</i>	<i>Japan</i>	<i>Korea</i>	<i>Russia</i>	<i>U.S.A.</i>
2000	Feb. 9, 00	<b>Aug. 29, 00</b>	Nov. 30, 99	<b>June 1, 00</b>	<b>Nov. 2, 00</b>	Jan. 18, 00
2001	Jan. 24, 01	<b>Dec. 10, 01</b>	Dec. 13, 00	<b>Aug. 23, 01</b>	<b>May 18, 01</b>	Jan. 3, 01
2002	Jan. 21, 02	<b>Oct. 8, 02<sup>2</sup></b>	Nov. 27, 01	<b>Aug. 26, 02</b>	<b>June 10, 02<sup>3</sup></b>	Dec. 24, 01
2003	Jan. 13, 03	<b>Oct. 3, 03<sup>4</sup></b>	Dec. 11, 02	<b>May 5, 03</b>	<b>Apr. 2, 03<sup>5</sup></b>	Dec. 6, 02
2004	Jan. 5, 04	<b>Aug. 10, 04</b>	Dec. 26, 03	Mar. 24, 04	Mar. 2, 04	<b>Feb. 9, 04<sup>6</sup></b>
2005	Dec. 24, 04	<b>Sept. 22, 05<sup>7</sup></b>	Mar. 2, 05	Mar. 30, 05	Mar. 31, 05 <sup>8</sup>	Jan. 10, 05
2006	Dec. 28, 05	<b>Aug. 1, 06</b>	Dec. 15, 05	Feb. 8, 06	Feb. 28, 06	Jan. 30, 06
2007	Jan. 23, 07	<b>July 3, 07</b>	Dec. 5, 06	Apr. 3, 07	Feb. 13, 07	Jan. 10, 07
2008	Jan. 16, 08	<b>May 15, 08</b>	Dec. 20, 07	Feb. 15, 08	Feb. 13, 08	<b>Jan. 7, 08<sup>9</sup></b>

<sup>1</sup> payments made later than in the first quarter of the PICES fiscal year or partial payments are indicated in bold

<sup>2</sup> partial (95.7%) payment, remainder paid October 3, 2003 (21 months overdue)

<sup>3</sup> partial (72%) payment, remainder paid October 10, 2002 (9 months overdue)

<sup>4</sup> partial (78%) payment, remainder paid Aug. 10, 2004 (19 months overdue)

<sup>5</sup> partial (96.5%) payment, remainder paid July 18, 2003 (6 months overdue)

<sup>6</sup> partial (50%) payment, remainder paid September 8, 2004 (8 months overdue)

<sup>7</sup> partial (86%) payment, remainder paid December 30, 2005 (12 months overdue)

<sup>8</sup> partial (96.6%) payment, remainder paid April 25, 2005 (4 months overdue)

<sup>9</sup> partial (92.3%) payment, remainder will be paid in conjunction with the 2009 annual contribution

## F&A Endnote 5

### External funding and special contributions received since the 2007 PICES Annual Meeting

Since the 2007 PICES Annual Meeting (Victoria, Canada), the following additional support was received or committed for various activities initiated/sponsored by PICES:

#### Special projects

- The Ministry of Agriculture, Forestry and Fisheries (MAFF) of Japan, through the Fisheries Agency of Japan, contributed CAD\$161,466 for the second year (from April 1, 2008–March 31, 2009) of the PICES project on “*Development of the prevention systems for harmful organisms’ expansion in the Pacific Rim*”. The anticipated duration of the project is 5 years (from April 1, 2007 to March 31, 2012), with a total funding at the level of approximately \$900,000.
- Fisheries and Oceans Canada (DFO) approved an annual funding for the North Pacific Continuous Plankton Recorder (CPR) project. This will start in the current fiscal year and is intended to continue into the future (open-ended funding). In 2008, funding will be \$75,000, and then \$50,000 per year.
- The North Pacific Research Board (NPRB, U.S.A.) approved US\$50,000 per year for the next 5 years of the North Pacific CPR project.
- In 2005, NPRB approved a grant of \$90,000 for the development of the next PICES North Pacific Ecosystem Status Report, and transferred the seed amount of \$37,080 to PICES. The remainder of \$53,123 was received this year. In 2008, NPRB also committed an additional US\$15,700 to support the involvement of Dr. Michael Dagg (BIO Chairman) in this project as a report Co-Editor (this grant will be handled through LUMCON–Louisiana Universities Marine Consortium).
- The Korea Ocean Research and Development Institute (KORDI) provided \$40,508 (US\$40,000) for the development of the next North Pacific Ecosystem Status Report.
- The U.S. National Marine Fisheries Service (NMFS) contributed \$23,724 (US\$22,500) to the development of the new PICES integrative scientific program, FUTURE.

#### Symposia/sessions/workshops

- The U.S. National Oceanic and Atmospheric Administration (NOAA) and the U.S. National Aeronautics and Space Administration (NASA) provided financial support for the symposium on “*Effects of climate change on the world’s oceans*” (May 19–23, 2008, Gijón, Spain). Funds from NOAA (US\$50,000) were transferred to PICES, and the contribution by NASA (US\$20,000) was handled through the Jet Propulsion Laboratory. In 2007, DFO and KORDI provided \$20,000 and \$4,012 (US\$4,000), respectively, for this symposium.
- The Tokyo University of Agriculture allocated substantial funding to co-sponsor the 4<sup>th</sup> PICES workshop on “*The Okhotsk Sea and adjacent areas*” (August 27–29, 2008, Abashiri, Japan). Funds for the workshop were managed by Dr. Makoto Kashiwai.
- IMBER (Integrated Marine Biogeochemistry and Ecosystem Research), ESSAS (Ecosystem Study of Sub-Arctic Seas) and U.S. BEST (Bering Ecosystem Study) accepted PICES’ invitation to co-sponsor relevant sessions/workshops to be held at the 2008 PICES Annual Meeting and covered travel of additional invited speakers for the Topic Session on “*End-to-end food webs: Impacts of a changing ocean*” (IMBER) and the workshop on “*Status of marine ecosystems in the sub-arctic and arctic seas – Preliminary results of IPY field monitoring in 2007 and 2008*” (ESSAS and BEST).

#### Capacity building

- NMFS and KORDI contributed \$15,816 (US\$15,000) and \$10,127 (US\$10,000), respectively, to the Trust Fund to support the PICES Intern Program.
- The Scientific Committee on Oceanic Research (SCOR) allocated US\$7,500 for the symposium on “*Effects of climate change on the world’s oceans*” (May 19–23, 2008, Gijón, Spain) and US\$5,000 to support travel of scientists from countries with “economies in transition” to SCOR-relevant sessions and workshops at the 2008 PICES Annual Meeting.
- Several Japanese programs (Japan–Korea Core University Program, Japan–China Students Exchange Program and Sustainability Governance Program of Hokkaido University) provided major funding for the

second PICES Summer School on “*Biomass-based management*”, (August 22–25, 2008, Hakodate, Japan). Funds for the school were managed by Dr. Yasunori Sakurai.

#### Publications

- SCOR contributed \$3,400 to the publication of the “*Guide to Best Practices for Ocean CO<sub>2</sub> Measurements*” (Eds. A.G. Dickson, C.L. Sabine and J.R. Christian, PICES Special Publication 3, 191 pp., December 2007).

#### Operations of the PICES Secretariat

- A 10% overhead (\$18,500) of the *Year 1* budget (\$184,980) for the PICES project on “*Development of the prevention systems for harmful organisms’ expansion in the Pacific Rim*” was retained to offset expenses related to the Secretariat’s involvement in the project.
- The Sir Alistair Hardy Foundation (SAHFOS, UK) contributed \$500 for the maintenance of the CPR webpage.

### **F&A Endnote 6**

#### **Progress report on implementation of the Action Plan for PICES Publications Program**

##### Description of activities since October 2007

In the F&A Committee meeting at the 2007 PICES Annual Meeting, Janet Webster and Brian Voss presented the PICES Publication Program Review, along with a concise Action Plan based on the recommendations in the Review. The Review was well received by the Committee and the Action Plan was approved with a request that the Secretariat prioritize the items, as well as provide a cost estimate for each. In other sessions at that Annual Meeting, a Study Group on *Communication* (SG-COM) was initiated as well as the FUTURE (Forecasting and Understanding Trends, Uncertainty and Responses of North Pacific Ecosystems) Program, both of which have implications for the PICES Publications Program as well as the Review and Action Plan.

In early 2008, Mr. Key-Seok Choe arrived from KORDI in Korea to begin his one-year assignment as an intern at the PICES Secretariat. A portion of his time over the year was to be dedicated to implementation of the Action Plan. The significant events in the year were:

- March: Key-Seok, Janet and Brian met at the Cyamus (West Coast of North America and Hawaiian Regional Group of IAMSLIC) meeting in Friday Harbor, WA to formally initiate the collaboration on the Action Plan, provide an update to the group and ask for group input on various issues.
- April: Key-Seok traveled to Seattle in conjunction with the Inter-sessional Science Board meeting and Workshop held there. At that meeting, Key-Seok tested a survey exploring use of scientific literature and PICES publications on the members present. This was expanded to an online survey distributed to all individuals on the PICES publications distribution list.
- July: Key-Seok again traveled to Seattle to work with Brian on the details of implementing the Action Plan. This culminated with a conference call with Janet to further discuss the way forward.

Between meetings, Janet, Brian and Key-Seok worked individually and in conjunction with the Secretariat and other parties identified in the Review to accomplish individual goals within the Action Plan.

##### Progress on Action Plan items

Ideally, each of the goals in the Action Plan was to be completed or near completion by the 2008 PICES Annual Meeting. Several factors have slowed progress toward that ideal, including the amount of time needed to familiarize the PICES intern with the project combined with time available between the PICES Secretariat, Janet and Brian to simultaneously collaborate to achieve goals in the Action Plan. To a degree, this was foreseen in the review and reflected in the first recommendation to establish a position within the Secretariat dedicated solely to Publications, if only for this time of transition. Much progress has been made however, and continues to proceed. Notably,

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- Janet has strengthened the relationship with PICES and ASFA (Aquatic Sciences and Fisheries Abstracts) to insure more timely and complete indexing of publications.
- Brian has enhanced OCLC WorldCat records to more comprehensively reflect PICES' online presence. OCLC (Online Computer Library Center) WorldCat (<http://www.worldcat.org/>) is a library catalog shared by over 41,000 international member libraries which supports the development of local catalogs as well as interlibrary loan among member libraries.
- Key-Seok has added a majority of the existing online publications to Aquatic Commons. Aquatic Commons is the OAI-PMH (Open Archives Initiative Protocol for Metadata Harvesting <http://www.openarchives.org/>) compliant digital repository managed by IAMSLIC (International Association of Aquatic and Marine Science Libraries and Information Centers).

### New and recurring issues

#### *Finances*

One goal of the F&A Committee is to recover money through the transition to online-only distribution. Cost savings may not be realized, however, unless financial and administrative support can be transferred from the mailing and print-based burdens to the new costs incurred under online-only distribution mechanisms. Among the new costs assumed in online-only distribution are ongoing tasks to be overseen, if not completed, by the Secretariat. These include maintaining currency in the digital repository, commercial indexes and library catalog records as new publications are released.

#### *Access*

Access to PICES publications through a robust web site, a digital archive and stable library partners continues to emerge as a workable strategy. As suggested by a colleague at the Cyamus meeting, Brian contacted the Pacific Rim Digital Library Alliance (<http://prdla.ucmercedlibrary.info/>), "a consortium of academic libraries joined together to facilitate improved access to scholarly research materials throughout the Pacific Rim" to gain more insight on what is already being done in this arena specifically across the Pacific region. Among their other efforts, the Alliance recently initiated pilot programs to explore international interlibrary loan (ILL) issues. In those programs, they learned that the need for ILL across national borders was nominal and that existing ILL procedures, especially those within the OCLC system, readily met operational needs. In fact, the special arrangements within the pilot created overhead that reduced the efficacy of the standard systems (correspondence with R. Bruce Miller, Secretariat Chair, Pacific Rim Digital Library Alliance). Consequently, we do not recommend PICES engaging in any direct library activities, but rather to continue to partner with IAMSLIC. As is detailed further below, two surveys exploring issues of access and usage of scientific literature among PICES Publications recipients were recommended in the 2007 review. We hope to work closely with the Study Group on Communication to not only utilize the data that has been gathered, but also assist in gathering the remaining data.

#### *Communication*

"The Journey to PICES" indicates that many of the issues we are facing differ little from those that emerged during the formation of PICES and its first years of existence. With regard to communications, lack of technology access, language barriers, and limited funding to support consistent, sustained participation by scientists in PICES initiatives were noted in the book. Also, developments in the year since the Action Plan was adopted, including the PICES new integrative scientific program, FUTURE, and the Study Group on *Communication*, will surely affect the existing publication program. Both may require new types of publications directed at audiences beyond the North Pacific science community. For example, one of the goals may be to increase civil society's exposure to PICES and ocean issues in the North Pacific. This will require having experts available for conversations with the media and writers that can translate science into plain language.

## Recommendations

The Action Plan is a first step and completes the foundation from which to make more significant changes in the Publications Program, while neither disrupting or upsetting current users nor overwhelming the current Secretariat staff with new users. We have several recommendations to PICES. Two could be implemented immediately resulting in some minor cost savings. The others represent a sustained commitment to transitioning the Publications Program to be more online, more accessible and more connected with other PICES efforts.

- **Discontinue printing of annual report and distribute electronically:** We found in our survey of current users of PICES publications that few use the annual report with any regularity and even fewer used it in print.
- **Update the distribution list:** Through our survey work, we will identify email addresses for all current recipients of PICES Publications. If these data are added to their distribution database records, distribution could switch to electronic more seamlessly. Further surveys of individual recipients could capture distribution preferences for individual publication series. Those preferences could then be saved in the distribution database as well.
- **Continue to work on the items described in the Action Plan:** While we have made progress, there is still work to do. This includes completing changes to the web site, completing agreements with publishers and authors, and integrating new processes into the existing workflow.
- **Commit to depositing PICES Publications into the Aquatic Commons:** Key-Seok Choe has deposited many PICES publications into the Aquatic Commons, a stable, digital repository sponsored by IAMSLIC. This mechanism provides a backup to the PICES web site, a permanent URL for publications in case the PICES web site changes servers, a searchable venue, and a means for some indexers to more readily integrate PICES publications into their products. All lead to more usage and visibility of PICES publications.
- **Work with the Communications Study Group and other groups in PICES:** Others have an interest in publications as a means of promoting PICES science to a broader audience. Cooperation among these groups will be valuable.

We have appreciated working with Key-Seok. He has provided valuable insight as well as hard work in implementing the Action Plan. As part of his work, he has learned how to deposit digital materials into the Aquatic Commons, making PICES one of the first international organizations to do so. He also has assisted in developing and conducting various surveys of PICES scientists as well as libraries and institutions receiving PICES publications. His presence made it possible to accomplish much of what we have to date. We anticipate continuing to work with the PICES Secretariat on this valuable project.

The following is a detailed description of progress on each item in the Action Plan.

### **A. Managing the Publication Workflow**

1. *Establish a new position (if only temporary) to assist with carrying out recommended actions and to consolidate and manage the whole publications workflow.*  
This is not feasible given the current budget and staffing of the Secretariat. The Secretariat will continue to balance the cost and utility of using outside contractors with hiring another staff person.
2. *Post the PICES Style Manual (Instructions to Authors and Editors) to the PICES website. Add similar information to print publications as appropriate.*  
The PICES Style Manual of each publication will be posted on the PICES website by the end of 2008. These have been identified and simply need reformatting to pdf or html as appropriate and posting.

## B. Increasing Recognition of PICES as a Publisher

1. *Include recommended citation formats and summaries of publications on additional series as appropriate.*  
The suggested citation format, the publication's website URL and series descriptions were first printed on each issue the scientific report series in 2004 and in the annual report series in 2007. The series descriptions were revised in 2008. This revision and additional information should continue to be included in these series and added to all PICES publications in a format that is fitting for the publication. The books should retain the "About PICES" section while including the above in an appropriate style.

The following are the recommended citation formats for each type of PICES publication:

### Scientific Report

Brodeur, R. and Yamamura, O. (Eds.) 2005. Micronekton of the North Pacific. PICES Scientific Report. No. 30, 115 pp.

Haltuch, M. 2008. "Northern California Current (U.S.) groundfish production." pp.33-34 In: Forecasting Climate Impacts on Future Production of Commercially Exploited Fish and Shellfish. PICES Scientific Report. No.34.

### Book

Hayes, D. 2001. Historical Atlas of the North Pacific Ocean: Maps of discovery and scientific exploration, 1500-2000. Seattle: Published under the auspices of North Pacific Marine Science Organization [by] Sasquatch Books.

### Special Publication

Dickson, A.G., Sabine, C.L. and Christian, J.R. (Eds.) 2007. Guide to best practices for ocean CO2 measurements. PICES Special Publication 3, 191 pp.

PICES. 2004. Marine ecosystems of the North Pacific. PICES Special Publication 1, 280 pp.

### Special Issue of Journal

Ladd, C., Stabeno, P. & Cokelet, E.D. 2005. "A note on cross-shelf exchange in the northern Gulf of Alaska." In: Linkages between coastal and open ocean ecosystems, S.M. McKinnell & G.A. McFarlane (eds). Deep-Sea Research II 52 (5-6): 667-679.

PICES Press:

Napp, J.M. 2008. "The Bering Sea: Current Status and Recent Events". PICES Press 16 (2): 30-31.

### Annual Report

PICES. 2008. Annual Report. North Pacific Marine Science Organization (Sixteenth Meeting, Victoria, Canada). 419 pp.

PICES. 2008. "Report of Governing Council." Pp.15-64 In: Annual Report. North Pacific Marine Science Organization (Sixteenth Meeting, Victoria, Canada).

2. *Investigate possibilities of branding PICES at the article level in the journal special issues.*  
Beginning in 2005, PICES established issue level branding on the cover or inside cover page of PICES special issues, and in 2007 began establishing article level branding in the Acknowledgments Section at the end of each article in special issues. Though seemingly redundant, article level branding is necessitated by the frequency with which users directly access an article or only obtain a single article in an online environment and never see the cover or prologue. There are two main ways of improving the branding of PICES at the article level. One is a small logo at the top of the article and the other is moving the credit line from the Acknowledgement section into the Abstract. We continue to work with editors and publishers on these and other possibilities.

3. *Add information on the PICES publications introductory web page for ordering publications as well as more specific contact information for publications.*

One of the core missions of PICES is to facilitate and deliver information to its member countries. Over the long-term, the least labor intensive system for ordering publications would be a fully-automated purchase and payment system like a shopping mall. This takes a lot of initial effort and cost to establish. The second-best choice would be a web-ordering form. Like the first choice, this also has complications: it is hard to set an international pattern for ordering PICES Publications because of the variables in shipping and transactions among countries. Thus far, given these variables, PICES has handled requests individually, determining charges on a cost recovery as well as ability to pay basis. PICES has decided to designate one contact person to be in charge of publication orders, and will post that name on the website. The contact information still needs to be added to the Publications page.

### **C. Enhancing Access through Library and Indexer Cooperation**

1. *Enhance existing OCLC catalog records with links to current digital versions of PICES publications.*

OCLC WorldCat library catalog records are all updated as of spring 2008. Periodic monitoring will be needed for new records. As mentioned above these records are the source from which thousands of libraries populate their local catalogs as well as provide interlibrary loan services. Though this catalog is recently free to search online via <http://www.worldcat.org/>, it is historically more of a librarian's tool. Therefore, presently the catalog is still heavily used by librarian's and less so by researchers.

2. *Establish agreements with select libraries for ongoing print archiving, following surveys under Part D.*

Archiving agreements will be discussed after the completion of the PICES survey at the end of 2008. We hope to provide the Study Group on *Communication* with useful data from these surveys and engage them in a discussion on all aspects of implementing not only these agreements but also changes to the distribution of publications to individuals receiving PICES publications.

3. *Establish agreements with commercial indexers that insure indexing of all PICES publications to the article level.*

Conversations were held with two Indexing Companies, ProQuest (ASFA) and NISC (Fish and Fisheries Worldwide). Both index PICES publications as received. ProQuest stopped receiving PICES publications, so indexing lapsed. NISC collects the indexing from library at the South African Institute for Aquatic Biodiversity (formerly the J.L. B. Smith Institute of Ichthyology. The name change in 2003 may have hampered delivery of publications and their consequent indexing.

#### Aquatic Sciences and Fisheries Abstracts through ProQuest:

ProQuest editor, Vicki Soto, oversees the production of Aquatic Sciences and Fisheries Abstracts. Much of the content is entered by international centers coordinated by the ASFA Secretariat located at FAO in Rome. ProQuest contracts with the Secretariat to enhance the database with additional content. ProQuest provides the user interface and web accessible platform. Typically, Ms. Soto gathers publication information from mainstream publishers leaving small publishers such as PICES to be picked up by the ASFA input center in their respective countries. As PICES is an international organization, the Canadian input center does not track and input PICES publications. Consequently, we need to develop a better and more consistent process to ensure indexing of PICES publications in ASFA.

#### Fish and Fisheries Worldwide through NISC:

Input to this database is gathered from multiple sources including the collection of the South African Institute for Aquatic Biodiversity. SAISB scientists decide which publications and content are worthy of inclusion, and consequently index this. In general, PICES publications are well covered including the PICES Press. Gaps in coverage are probably due to non-delivery of issues, selective indexing decisions, and changes in indexers.

Several mechanisms should be pursued:

- Add Ms. Soto to the distribution list so ProQuest has PICES publications available for indexing. There may still be a lag, but this would be a cost-effective, straight-forward approach. They would accept electronic copies.
- Continue to enter PICES publications into the Aquatic Commons. Ms. Soto believes this will be an efficient way for ProQuest to capture the metadata to add to ASFA. If this process continues, ProQuest may no longer need to receive print or electronic copies.
- Make sure the correct mailing address is in the Distribution List. SAIAB Library (Margaret Smith Library, SAIAB, Private Bag 1015, Grahamstown, 6140, SOUTH AFRICA).

4. *Add all publications to a searchable digital repository following pilot project in Part E.*  
IAMS LIC's Aquatic Commons (AC) digital repository can be an "article level" index without creating single records for each article in an issue, by using a contents field that is visible to web search engines. AC is also a tool to index new publications more quickly than Aquatic Sciences and Fisheries Abstracts (ASFA). ASFA will look to both AC and the PICES website to stay aware of new publications. AC is also important as a free resource and an OAI-PMH harvestable resource that is currently being harvested by the Avano repository at Ifremer. In essence, Avano, regularly and automatically copies and archives metadata (and in some cases the data files/pdfs as well) from Aquatic Commons and any other OAI-PMH compliant repository that is registered with them with no human intervention. ASFA, in contrast, is a fee resource usually purchased by libraries at an institutional rate and is not OAI-PMH compliant. Worldcat is more of a book title and journal title level database that is mainly useful to identify libraries with print copies of publications. While it (and ASFA) may link to online versions they do not maintain or control access to those versions. Therefore access is dependent on websites staying consistent and/or readers having paid subscription access to those pdfs. The digital repository aspect of AC also means that the pdf version of the publication is always immediately linked and freely accessible via the metadata record. At present, sixty-eight items from PICES Press, Annual Reports, Scientific Reports, Special Publications and Technical Reports have been added into the Aquatic Commons.

#### **D. Improving Distribution Efficiencies**

1. *Review and enhance data on distribution lists.*  
They will be updated after the institution/library survey responses are received.
2. *Create and conduct surveys of each of the three groups of PICES distribution recipients and Contracting Parties.*  
The PICES Secretariat maintains three distinct lists for distributing new publications to each group. One list contains names and addresses of individual researchers in the PICES community. The second contains library names and addresses and the third contains institution names and addresses. These libraries and institutions may be universities, government agencies, non-governmental agencies. One survey of individuals was completed in the spring of 2008. A report of those results will be presented to the Study Group on *Communication*. The libraries and institutions survey is ready to implement and will also be discussed by the Study Group on *Communication* before doing so.
3. *Add RSS (Really Simple Syndication) functionality to website.*  
This was determined to not be worth the effort due to the low rate of change on the publications web page. Still, there may be opportunities to improve the website, including an RSS feed on the PICES main page so those interested can easily stay informed of new developments at PICES with little sustained effort on the part of the Secretariat.

#### **E. Increasing Visibility and Ensuring Perpetuity through a Digital Repository**

1. *Establish a pilot project to develop a collection of PICES Publications in the IAMS LIC digital repository 'Aquatic Commons'*

Adding the Annual Reports, PICES Press and Scientific Reports to the Aquatic Commons has been accomplished as noted earlier.

2. *Retrospectively scan items to complete the collection of digital publications.*

Missing electronic copies of two Scientific Reports were located and uploaded to the PICES web page as well as deposited in the Aquatic Commons. PICES has posted earlier editions of some Annual Reports. Digitization of the older annual reports is under consideration.

3. *Negotiate with publishers for the right to deposit appropriate versions of journal articles into the repository and/or on the PICES website.*

Little progress has been made on direct negotiations. The two main publishers PICES special journal issues are Elsevier and Oxford. According to the SHERPA/RoMEO database (<http://www.sherpa.ac.uk/romeo.php>), both allow posting of post-prints or authors' proof copies to an institutional repository, though Oxford imposes a 12-month waiting period after which an author can archive a post-print. In either case, there are additional restrictions, that currently prevent PICES or special issue authors from posting articles "as is" from the publisher website. Consequently, it may be more expeditious to work with PICES authors to get their permission to post these articles or encourage them to do so.

4. *Develop a copyright agreement between PICES and all authors that grants PICES rights to archive and provide access to digital content.*

An agreement needs to cover all PICES publications. Of those individuals surveyed, 75% indicated a willingness to give PICES the right to post publications online. An example of such an agreement would include a non-exclusive right to archive and provide online access to the author's work. It would be predicated on the author having the right to do so, e.g. having retained this right at the time of publishing with a publisher other than PICES. We suggest that PICES encourage all authors, when submitting to a commercial publisher, include the SPARC Author's Addendum provided by the Science Commons (<http://scholars.sciencecommons.org/>). This is a straightforward way to retain certain rights in regards to the author's work. The authors could in turn grant these rights to PICES as the archive and point of open access.

5. *Review all PICES-related efforts related to metadata creation and online publication. Propose workflows that capitalize on OAI-PMH compliance with Aquatic Commons and federated metadata searching through TCODE's North Pacific Ecosystems Metadata site.*

Accomplishing this Action Item concerns direction and policy for PICES communications. So, it will require substantive discussion with the F&A Committee, the PICES Secretariat, TCODE, FUTURE, the Study Group on Communication and the Governing Council. The PICES website could be a primary portal to science information and data on the North Pacific. But given limitations of staffing, careful consideration must be given to priorities and possibilities. This will be discussed as part of the presentation to the Study Group on Communication in Dalian.

In the near term, links should be made from the PICES publications page to all PICES information and data. This reflects an understanding of how various efforts within PICES complement each other.

Some examples include:

- The North Pacific Ecosystem Metadatabase (<http://www.pmel.noaa.gov/np/mdb/>)
- The Aquatic Commons (<http://aquacomm.fcla.edu/>)
- Euphasid protocol (in Projects)

F&A Endnote 7

**PICES Intern Program**  
(proposed changes are highlighted in grey)

**Introduction**

A PICES Intern Program will allow individuals from PICES member countries to gain experience in operations of intergovernmental scientific organizations and coordination of multidisciplinary international ecosystem research programs by working in the PICES Secretariat for periods of up to one year. The PICES Secretariat would supervise up to one intern at any point in time. PICES would benefit from the Intern Program **directly** through the presence of an additional professional in the Secretariat and **indirectly**, over a period of years, by strengthening the capacity of member states to coordinate their involvement in PICES programs.

**Objectives**

The PICES Intern Program has two goals:

- 1) professional development of marine scientists and managers from PICES member countries;
- 2) increasing the capacity of the PICES Secretariat to support the work of PICES.

**Nature of the internship**

Under the supervision of the PICES Secretariat, interns will work on projects of the Secretariat relevant to their professional interests and development needs, including ESL (English as a Second Language) training if required. Interns may be given a wide variety of tasks as to assist in:

- preparing information for and providing secretarial support to PICES Working Groups and Scientific and Technical Committees;
- organizing scientific meetings;
- preparing and editing various PICES publications;
- coordinating international cooperative programs in marine science; and
- coordinating PICES activities with efforts of other relevant organizations.

Internships will normally begin on or about February 1 and extend for a period up to a maximum of 12 months.

**Qualifications of candidates**

Applicants must be staff of the academic or government sector of PICES member-countries, have a university degree (M.Sc. or Ph.D. will be an asset), the ability to read, write and speak English (taking into consideration whether or not English is the candidate's native language), the ability to use computers and the internet, and demonstrated personal initiative.

**Guidelines for application and selection procedure**

In the selection process, it is important to ensure balanced distribution of internships among member countries. There will be an annual competition for PICES interns. A member country that has had an intern in any year is eligible to have an intern in the following two years only if there are no applicants from other member countries.

- The PICES Intern Program will be advertised on the PICES website. National delegates are encouraged to take additional measures to advertise the PICES Intern Program within their countries.
- Applicants will apply to their national delegate for PICES, describing their interests and qualifications, providing a resume delineating their academic and work experience and three professional references.

- Applicants will send a copy of their application to the PICES Secretariat.
- The national PICES delegate will review applications from his/her country and transmit his/her nominee(s) to the PICES Secretariat for final selection. Applications must be received by the Executive Secretary by the date of the first Governing Council meeting at the PICES Annual Meeting.
  - The Chairman of PICES will select the successful candidate in consultation with the Executive Secretary and the Chairman of Science Board.
  - The Executive Secretary will inform all Governing Council members of the result of the competition.

**Financial support**

PICES interns will be provided a stipend of CDN\$2,000 per month by the Secretariat. Travel costs for the intern to and from his/her home country and the location of the Secretariat will be normally borne by the individual's home country. Travel expenses associated with the intern's work in the Secretariat will be covered by PICES. Since the intern will continue to be an employee with his/her home institution while at the Secretariat, his/her medical insurance and all other benefits will remain the responsibility of the intern's home country.

F&A Endnote 8

Proposed FY 2009 budget

<u>Source</u>	<u>Amount</u>	<u>Base</u>	<u>Additional income</u>	<u>External funding</u>	<u>Total</u>
Annual contributions from six Contracting Parties	687,000				
Guaranteed adjustments	98,000				
Net income tax levies	65,000				
Overhead from MAFF project	16,000				
Tax (GST, PST) rebates	7,000				
Interest	10,000				
<b>Total</b>	<b>785,000</b>				
<b>Additional income</b>	<b>Amount</b>				
Registration fees from Annual Meeting	60,000				
Encumbered funds from DFO for postage	5,000				
<b>Total</b>	<b>65,000</b>				
<b>External funding</b>	<b>Amount</b>				
Encumbered funds kept for PICES projects					
North Pacific Ecosystem Status Report	212,642				
Development of FUTURE	38,017				
2008 Climate Change Symposium publication	35,179				
Not assigned (remainder from 2006 CCCC Symposium)	3,593				
<b>Total</b>	<b>289,431</b>				
<b>Category</b>	<b>Base</b>	<b>Additional income</b>	<b>External funding</b>	<b>Total</b>	
Personnel services	512,000	-	-	512,000	
Annual Meeting	40,000	20,000	-	60,000	
Special meetings/travel	120,000	40,000	-	160,000	
Publications	62,000	-	35,000	97,000	
Communications	30,000	5,000	-	35,000	
Office/Administrative expenses	21,000	-	-	21,000	
Projects			140,000	140,000	
<b>Total</b>	<b>785,000</b>	<b>65,000</b>	<b>175,000</b>	<b>1,025,000</b>	