

CLIMATE INSTITUTE

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TO: Members of Climate Institute Board of Directors
Board of Advisors, Leadership Council and
Officers and to Winners of Climate Institute Awards

FROM: John C. Topping, Jr.
Climate Institute, President

DATE: July 26, 1996

RE: Nominations for 1996 Climate Institute Annual Awards

This year the Climate Institute will mark its Tenth Anniversary with a two and a half day event on Capitol Hill, *Washington Summit on Protection of the World's Climate*, September 4-6, 1996. This meeting will open with a Symposium on the Stakes of Climate Change Wednesday afternoon, September 4, in the Cannon Caucus Room of the U.S. House of Representatives. Nine international experts on climate science or impacts or environmental policy will describe for the assembled Summit participants, Members of Congress, Congressional staff, and news media the potential implications of rapid climate change.

Following this Symposium, Summit participants will move about two blocks to the U.S. Botanic Garden where the Institute will hold its Tenth Anniversary Celebration and Awards Gala. This event, a buffet reception amidst the natural splendor of the Botanic Garden will also feature in one gallery of the garden a display of state of the art renewable energy and efficiency innovations.

We expect a large representation at the Botanic Garden celebration from the Washington diplomatic community and from the Congress, including many members of the 90 member House Renewable Energy Caucus. On this occasion the winners of the 1996 Climate Institute awards will be honored.

Given the setting of the Botanic Garden, ideal for mingling but not conducive to lengthy speeches, we may arrange more substantive discussion of the awards during the earlier deliberations at the U.S. House of Representatives with the formal presentations occurring at the Botanic Garden.

Over the past several months an awards nomination committee including myself and a number of other Institute officers or Board members, has taken soundings and deliberated.

Members have included our two vice presidents, Dan Power and Ata Qureshi, our General Counsel and Treasurer, John Bond, Nancy Wilson, Editor of Climate Alert and Institute Corporate Secretary, John Noel, a Nashville, Tennessee member of our Board and Leadership Council and a leader in Tennessee environmental protection efforts, and Noel Brown, an Institute Board member who recently retired as Regional Director for North America of the United Nations Environment Programme.

1. Global Environmental Leadership Award

At the outset, there was remarkable consensus behind a recommendation advanced first, I believe, by our Vice Chairman, Mark Goldberg, that we consider on this occasion, a watershed for the Institute, recognition of an individual very close to the Institute, Sir Crispin Tickell, who has profoundly shaped global thinking and actions on climate change and other global environmental issues.

In this discussions and in soundings with many others outside our Board including former prize winners, it was clear that there was widespread agreement that few individuals on this planet have had as profoundly positive an influence in coalescing understanding and cooperative action on climate change as has Sir Crispin.

Although Sir Crispin's contributions to the environment in his eight years as an Institute Board member and nearly six years as Institute Chairman have been of enormous consequence, it also seemed clear that Sir Crispin would have merited selection as an Institute award winner even if he had never had any affiliation with the Institute. His involvement with the Institute has included many crucial interventions including: 1) delivering the luncheon keynote of a June 1988 Institute Symposium on Climate Change for United Nations (UN) missions, the first such meeting at the UN; 2) leadership since September 1990 as the Institute's Chairman of the Board; 3) leadership of our first national briefing on climate change, a March 1991 briefing for President Carlos Salinas de Gortari of Mexico in Los Pinos, the Presidential Palace; 4) chairing of an international conference on cities and climate change in March 1992 at the Royal Geographical Society and a follow-up meeting on climate research at Green College; and 5) heading the international advisory committee that reviewed and contributed to the brilliant study of environmental refugees prepared for the Institute by Norman Myers.

Nevertheless, his actions in a whole variety of arenas quite independent of the Institute establish Sir Crispin as a leader on global environmental issues. These include among others: 1) his authorship nearly two decades ago of Climatic Change and World Affairs, a book which documented the role of climatic events in shaping history and pointed to the potential for anthropogenic-induced greenhouse disruption; 2) lecturing in the early 1980's while British Ambassador to Mexico at the National University in Mexico City on the potential for climatic disruption; 3) spearheading the earliest meetings on climate change at the UN while British Permanent Representative to the United Nations; 4) being a moving force behind the April 1989 Cabinet briefing on climate change arranged by Prime Minister Margaret Thatcher; 5) raising the issue of a potential environmental refugee challenge in a groundbreaking 1989 speech to the Royal Society; 6) leadership of a range of environmental and scientific organizations besides the Climate Institute, including the International Institute for Environment and Development, the Royal Geographical Society and the Green College Centre for Environmental Policy and Understanding; 7) service as a key environmental advisor to two British Prime Ministers, Margaret Thatcher and John Major; 8) service for the past few years on the international expert group on environment and development advising the Chinese government; 9) service for the past few years as Convenor of the British Government Panel on Sustainable Development.

Through those actions and numerous speeches, articles, and media interviews, Sir Crispin has profoundly changed thinking of leaders across the world on climate change and a range of other global environmental issues. For these reasons, the Awards Nomination Committee strongly recommends that Sir Crispin be awarded the Institute's Global Environmental Leadership Award. Traditionally this award has either been reserved for a head of government or for a senior international statesman whose actions over a period of years have affected global environmental policy in a number of countries.

II. Award for Public Policy Achievement

Senator Heherson Alvarez was the moving force behind the February 1995 Manila Asia and Pacific Leaders Conference on Climate Change, a conference which he chaired. This meeting drew policymakers from 33 nations, including its host, President Fidel Ramos of the Philippines, Prime Minister Benazir Bhutto of Pakistan, Prime Minister M. C. Korman of Vanuatu, the chairs of the parliamentary environment committees of Russia, China, India, Republic of Korea, Indonesia, and the Philippines. The Chair of the Environment Committee of the Philippine Senate, Senator Alvarez has for the past few years been a spearhead of efforts of the East Asia and the Pacific Parliamentarians Conference on Environment and Development (EAPPCED) to address climate change. In November 1991, he was the crucial Philippine liaison for briefings on climate change conducted by a Climate Institute team for President Aquino and her Cabinet. In August 1993, he arranged a meeting for Institute Vice President Ata Qureshi, Team Leader of an eight-country Asian Development Bank study of climate change, to present preliminary results to President Fidel Ramos of the Philippines. With Senator Alvarez's encouragement, President Ramos indicated his interest in having the Philippines host an Asian and Pacific Leaders Summit on Climate Change following the publication of the studies coordinated by the Climate Institute. Senator Alvarez then won the endorsement of the EAPPCED for such a conference in the Philippines and recruited region-wide parliamentary participation. Together with his wife Cecile, he generated an extraordinarily high level of public interest in the Philippines on climate change. This included production of a half-hour film on climate change entitled Global Warning, and the sponsorship of national competitions among Philippine artists on climate change. Senator Alvarez, drawing on the authority of the Manila Declaration emanating from the Conference he chaired, was a major force at the Berlin Conference of the Parties in pressing for cooperative international action.

The nomination of Senator Alvarez is strongly endorsed by a number of participants at the Manila Conference, including Ata Qureshi who served as Coordinator of that Conference, Hon. Claudine Schneider, former U.S. Congresswoman, Hon. Tom Roper, former Minister for Planning of Environment of Australia's State of Victoria, Shuzo Nishioka, Director of the Center for Global Environmental Research of Tsukuba, Japan, and myself. Senator Alvarez will keynote the Green Energy component of the September Washington Summit.

III. Award for Advancing Understanding of Climate Change Within the Business and Financial Community

Given that the central focus of the Washington Summit is on stimulating public private partnerships to stimulate development of renewable and energy efficiency applications, the Awards Nomination Committee determined that it would be appropriate to recognize outstanding effort in stimulating interest in this issue within the financial community. Nowhere have greater strides been made than in the insurance industry.

Three individuals have been especially instrumental over the past few years in stimulating understanding of implications of climate change for the insurance industry. They include Frank Nutter, President of the Reinsurance Association of America, who has sought to make insurance companies and the U.S. Congress aware of the potential disruptive impact of climate change for the insurance and reinsurance industries; Carlos Joly, Senior Vice President of the Norwegian insurance firm, UNI Storebrand, a driving force behind the UNEP statement of insurance companies; and Jeremy Leggett, Director of the Oxford Solar Investment Summit and Director of the Greenpeace International Solar Initiative. Jeremy Leggett has worked closely with insurance companies in the U.K., the European Continent, North America and Japan to persuade them that they should consider

hedging the risk they face from climate induced disruptions through increased investment in renewables. His work was crucial to the movement within the international insurance industry to sign the UNEP statement. His 1993 Greenpeace report entitled "Climate Change and the Insurance Industry," received wide attention at the top of that industry. His annual lecture on climate change to the UK's Chartered Insurance Institute in 1994 has been made into a video marketed by Sun Alliance. His papers on climate change have appeared in journals including the Bankers Magazine, Energy Policy, Global Reinsurance, Industry and Environment, the Journal of Transnational Law and Contemporary Problems, the Journal of the Society of Fellows of the Chartered Insurance Institute, the Journal of Reinsurance, New Scientist, Reinsurance and Security Dialogue. Despite the confrontational reputation which Greenpeace enjoys among many in the business community, Jeremy has been a remarkable builder of consensus working closely and effectively with conservative financial leaders in several continents. He has also begun to meld these efforts to build interest among multi-billion dollar financial institutions in designing green energy investment responses with an effort to build tangible commitments to similar investments among grass roots organizations, such as religious groups, civic organizations and mass membership environmental groups.

Although Carlos Joly would merit consideration for his work, he will not be able to be present at the Washington Summit. Both Frank Nutter and Jeremy Leggett will participate, however. The Awards Nomination Committee heartily endorses both Frank Nutter and Jeremy Leggett for awards for their work cited above. Nutter has worked effectively for the past several years to increase awareness among insurance CEO's of potential implications of climate change. He also made U.S. Congressional appropriations committees aware during the recent U.S. budget battles of the adverse implications for U.S. industry of slashing appropriations for climate science. The Awards Nomination Committee suggests that Carlos Joly might be considered next year for recognition, particularly should the Eleventh Annual Institute Awards dinner occur in Europe.

We also wanted to report a noteworthy nomination in a related area which might be considered for the Institute's 1997 awards. Elizabeth Cook of the World Resources Institute, who for years led the stratospheric protection efforts of Friends of the Earth, has recommended Stephen Andersen of the U.S. Environmental Protection Agency for his efforts successfully stimulating industry government cooperation in developing substitutes for CFC's and halons. I believe that such an award would be richly deserved as Steve Andersen's unheralded work has produced an almost unprecedented degree of industry government cooperation and solid results. Our Awards Nomination Committee, however, believes that such an award would be more appropriate in 1997 when the Climate Institute is planning a series of events around the Tenth Anniversary of the signing of the Montreal Protocol on September 16, 1997.

IV. Awards for Scientific Achievement

In the past, the Climate Institute has given awards for scientific achievement to individuals from a number of countries and scientific disciplines. The first such award was made in 1987 to Roger Revelle, then at the University of California San Diego, for his towering achievements over several decades in building an understanding of the climate system and of oceans. In 1988, the three award recipients included two scientists, E. Sherwood Rowland of University of California Irvine for his work in developing our understanding of the potential of chlorofluorocarbons and other compounds to destroy stratospheric ozone and J. Murray Mitchell of the U.S. National Oceanic and Atmospheric Administration for his pioneering work in climatology. In 1991, our awards included a presentation to a leading Canadian climate scientist, F. Kenneth Hare, Chancellor of Trent University, for his achievements in climate science and for his success in building the Canadian national climate programme into a world leader. In 1992, the four Climate Institute award winners included two climate scientists, Tom Wigley, then of the

University of East Anglia, for his work over many years in monitoring global temperature trends and Sir John Houghton for his leadership of the United Kingdom Meteorological Office and for his achievement as Chair of the IPCC First Scientific Assessment. In 1993, the Institute honored Robert Watson for his achievements at NASA in advancing our understanding of stratospheric ozone depletion and climate change.

Several other scientists have also received Climate Institute awards for achievements which were a blend of scientific achievement, public policy achievements and global environmental leadership. These individuals include UNEP Executive Director Mostafa Tolba, sole award recipient in 1989 for his work as architect of the 1987 Montreal Protocol; the two 1990 award recipients Professor Bert Bolin of the University of Stockholm for his achievements as Chairman of the Intergovernmental Panel on Climate Change, Secretary-General G.O.P. Obasi of the World Meteorological Organization for his efforts to advance understanding of climate change within the world meteorological community; Minister for Population and Environment Emil Salim, who was honored in 1992 for his achievements in building a strong national climate committee in Indonesia and for his efforts in international fora to make policymakers aware of climate change implications.

The sole Climate Institute award winner in 1995 was Dr. M. S. Swaminathan, Chairman of the M. S. Swaminathan Research Foundation and a principal architect of the green revolution in agriculture. Dr. Swaminathan's award transcended the normal Institute categories as it encompassed recognition of his groundbreaking work in sustainable agriculture which has likely saved lives of millions and of his leadership on climate change in regional and international fora. The award citation highlighted especially his pioneering work in developing responses at the village level on climate change, a major focus of the December 1995 Madras Workshop on Impacts of Climate Change on Food and Livelihood Security co-convened by the M. S. Swaminathan Research Foundation and the Climate Institute. In presenting this award in Madras, four Climate Institute Board members, Hon. Tom Roper, Lynne Edgerton, Ata Qureshi and I highlighted various achievements of Dr. Swaminathan and suggested that, like Dr. F. Sherwood Rowland who won a Climate Institute award in 1988 and about seven years later won a Nobel Chemistry Prize for roughly the same pioneering achievements, Dr. Swaminathan would be an ideal Nobel Peace Laureate for his work in food security and sustainable agriculture.

Our awards nomination committee after extensive deliberation has recommended that the Institute recognize two individuals in 1996 for their work in climate science, Thomas Karl, Senior Scientist of the National Climatic Data Center of the U.S. National Oceanic and Atmospheric Administration, and James Hansen, Director of the Goddard Institute for Space Studies of the U.S. National Aeronautics and Space Administration. Professor Stephen Schneider of Stanford University, a Board member of the Climate Institute for eight years, first recommended Tom Karl, especially for his work on identifying signals of climate change within the U.S. climate record. Jim Hansen was nominated by all five of the Climate Institute officers -- Dan Power, Ata Qureshi, John Bond, Nancy Wilson and myself -- who served on our nominations committee. All of us strongly feel that Jim Hansen has played a pivotal role in improving our understanding of climate implications, particularly on such crucial issues as the link between greenhouse warming and the incidence of floods or droughts and the role of sulfate aerosols in offsetting greenhouse warming.

Tom Karl has for years been regarded as one of the leading experts on the U.S. climatic data record. He has also played a significant role in IPCC assessments by providing valuable input concerning the observed climate record. An article which he prepared Spring 1995 issue of Consequences with R. W. Knight, D. R. Easterling, and R. G. Quayle, examining links between global warming and weather extremes looked largely to the U.S. climate record. Karl and his colleagues at the National Climatic Data Center in

Asheville, North Carolina, developed the Greenhouse Climate Response Index to detect a greenhouse signal within the U.S. climatic data record. This used four indicators, the percent of the U.S. with much above normal minimum temperatures, the percent of the U.S. with much above normal precipitation during the months October through April, the percent of the U.S. in extreme or severe drought during the months May through September, and the percent of the U.S. with a much greater than normal proportion of precipitation derived from extreme one day precipitation events (exceeding two inches). Based on the analysis of the U.S. climatic data record against these indicators, Karl and his colleagues concluded that there was about a 90 to 95 percent likelihood that this data was suggestive of a greenhouse-induced warming. This work has taken on real significance in U.S. policy discussions.

On fairly modest resources, Jim Hansen has built the Goddard Institute for Space Studies (GISS) into a world-class center for climate modeling and analysis. A number of articles of which he has been principal author have been quite influential in improving understanding of climate mechanisms. These have included a 1984 paper presented at the Ewing Symposium, "Climate Sensitivity: Analysis of Climate Feedback Mechanisms", published in AGU Geophysical Manuscript 29. A second influential article "Regional Greenhouse Climate Effects", was first presented by Jim Hansen at the December 1988 Second North American Conference on Preparing for Climate Change convened by the Climate Institute and published in 1989 in the Proceedings, Coping with Climate Change. Hansen and his colleagues presented model results showing that greenhouse warming is likely to increase the frequency and severity of droughts, with greatest impacts in broad regions of the subtropics and middle latitudes and that this same greenhouse warming produces increased frequency of extreme downpours. Following the 1991 Mt. Pinatubo eruption Hansen and colleagues published an influential piece in Geophysical Research Letters, January 24, 1992, vol. 19, p. 215, "Potential Climate Impact of Mount Pinatubo Eruptions." This analysis projected with remarkable accuracy the likely cooling effect of the Mount Pinatubo eruptions, in the process helping significantly to validate models of climate change.

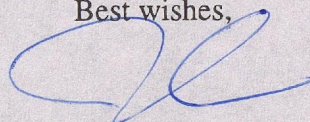
Within the range of leading U.S. climate scientists, Karl and Hansen have been viewed as occupying different parts of the spectrum, with Karl viewed as a cautious scientist, careful to avoid pronouncements which might have policy implications, and Hansen, particularly following his declaration during the 1988 U.S. Senate hearings that he believed the global climate record manifested signs of greenhouse warming, viewed as an activist. Both individuals are quite self effacing and have each in a different way contributed to the developing global consensus that recently enabled the IPCC to conclude that "the balance of evidence" indicates a human influence on global climate. We strongly recommend that 1996 Climate Institute awards for scientific achievement be given to both Tom Karl and to Jim Hansen. Both will be at the September Washington Summit, Karl as a presenter in the opening symposium at the U.S. House of Representatives and as a discussant in the workshop looking at the IPCC's future, and Hansen as a likely discussant at that same workshop.

Attached to this nomination report is a ballot. Please send this to the Climate Institute by mail or FAX. Our new address is 120 Maryland Avenue, NE, Washington, DC 20002. The FAX number remains unchanged at (202) 547-0111 as does the telephone number, (202) 547-0104. Your ballot can also be sent to me by e-mail at climateinst@igc.apc.org.

A majority affirmative vote of all ballots cast and received by the deadline date, August 14, 1996, is required for approval of each of these six proposed awards. Your vote will remain confidential once received, although we have asked for identification purposes to tally responses that you sign the ballot or provide some identification of the source.

Thank you for your participation in this effort. I hope that many of you can join us for the Tenth Anniversary events.

Best wishes,



John

BALLOT ON PROPOSED 1996 CLIMATE INSTITUTE AWARDS

Send or FAX to: **John Topping, President**
Climate Institute
120 Maryland Avenue, NE
Washington, DC 20002
FAX: (202) 547-0111

I. AWARD FOR GLOBAL ENVIRONMENTAL LEADERSHIP

- Sir Crispin Tickell

I approve []

I disapprove []

I abstain []

II. AWARD FOR PUBLIC POLICY ACHIEVEMENT

- Senator Heherson Alvarez

I approve []

I disapprove []

I abstain []

III. AWARD FOR ADVANCING UNDERSTANDING OF CLIMATE CHANGE WITHIN THE BUSINESS AND FINANCIAL COMMUNITY

- Frank Nutter

I approve []

I disapprove []

I abstain []

- Jeremy Leggett

I approve []

I disapprove []

I abstain []

IV. AWARD FOR SCIENTIFIC ACHIEVEMENT

- Tom Karl

I approve []

I disapprove []

I abstain []

- Jim Hansen

I approve []

I disapprove []

I abstain []

PAST CLIMATE INSTITUTE AWARD WINNERS

- 1987 -- Roger Revelle, US Senator John Chafee
- 1988 -- F. Sherwood Rowland, J. Murray Mitchell, and Ambassador Richard Benedick
- 1989 -- Mostafa Tolba
- 1990 -- Bert Bolin and G. O. P. Obasi
- 1991 -- F. Kenneth Hare, Jim MacNeill, and Alliance of Small Island States
- 1992 -- Sir John Houghton, Tom Wigley, Minister Emil Salim, and President Carlos Salinas de Gortari
- 1993 -- Robert Watson, Ted Turner, and Vice President Albert Gore, Jr. (for actions as a US Senator)
- 1994 -- Baroness Thatcher (for actions as Prime Minister of the United Kingdom)
- 1995 -- M. S. Swaminathan

CLIMATE INSTITUTE

9TH ANNUAL AWARDS BANQUET

4 DECEMBER, 1995

**MADRAS CLUB
MADRAS, INDIA**

About the Climate Institute

The Climate Institute was established in 1986 to address the then-largely ignored global atmospheric problems of greenhouse warming and stratospheric ozone depletion. Since then the Institute has evolved to become a crucial bridge between a worldwide network of climate experts and policy makers.

The Institute has used the best available science to develop a commonly shared understanding of the risks from a buildup of greenhouse gas concentrations and stratospheric perturbants and the options to respond to this challenge. A top priority of the Institute has been to strengthen the ability of scientists in developing countries to organize analyses of potential impacts of climate change in their nations.

International conferences and briefings organized by the Institute for scientists, diplomats and ministers in 26 nations prior to the 1992 U.N. Conference on Environment and Development helped build the consensus for cooperative global action to negotiate and implement the Framework Convention on Climate Change.

Working with scientists and experts from India, Bangladesh, Indonesia, Malaysia, Pakistan, Philippines, Sri Lanka and Viet Nam, the Institute, in 1994, completed a major project to develop regional strategy options to respond to climate change. The study was sponsored by the Asian Development Bank, Australia, Japan and Norway. At the request of the Egyptian government, the Institute has been assisting in a similar country study jointly funded by the U.S. and Egyptian governments.

The Institute recently published an assessment of the potential increase in environmental refugees due to the onset of climate change. The assessment will be used to develop response options to deal with this potential international crisis.

The Institute is also organizing an effort to inform municipal officials in the major metropolitan areas of North America about implications of climate change and steps their governments could take to limit greenhouse emissions.

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**CLIMATE INSTITUTE AWARDS
1987 - 1994**

PAST CLIMATE INSTITUTE HONOREES

CLIMATE INSTITUTE AWARD

- 1987 Dr. Roger Revelle
Honorable John Chafee
- 1988 Ambassador Richard Benedick
J. Murray Mitchell
Dr. F. Sherwood Rowland
- 1989 Dr. Mostafa Tolba
- 1990 Dr. Bert Bolin
Dr. G.O.P. Obasi
- 1991 Alliance of Small Island States
Jim MacNeill
Dr. F. Kenneth Hare
- 1992 Sir John Houghton
Dr. Emil Salim
Dr. Tom Wigley
- 1993 Dr. Robert Watson
R.E. (Ted) Turner

GLOBAL ENVIRONMENTAL LEADERSHIP AWARD

- 1992 President Carlos Salinas de Gortari (Mexico)
- 1993 Vice President Albert Gore, Jr. (U.S.)
- 1994 Baroness Margaret Thatcher (U.K.)

**1995 AWARD CITATION
GLOBAL ENVIRONMENTAL LEADERSHIP AWARD**

DR. M. S. SWAMINATHAN

is honored for his outstanding achievements in encouraging village level responses to climate change. He has been cited by UNEP as "*the father of the economic ecology movement*". He is widely regarded for his work promoting the green revolution in agriculture, especially through his service as Director General of the International Rice Research Institute and also as Director General of the Indian Council of Agricultural Research. Dr. Swaminathan has been a catalyst in international efforts to promote global food security through agricultural innovation. Moreover, he has pioneered the concept of rural sustainable development. For his work in this area, he has earned numerous international prizes. In turn, he has invested significant resources from those prizes to promote sustainable development at the village level. The principal vehicle to this end is the M.S. Swaminathan Research Foundation which he established here in his home city of Madras.

On the occasion of his receiving the first World Food Prize at the Smithsonian Institution in Washington, in October 1987, Mr. Javier Perez de Cuellar, Secretary General of the United Nations wrote, "*Dr. Swaminathan is a living legend. His contributions to agricultural science have made an indelible mark on food production in India and elsewhere in the developing world. By any standards, he will go into the annals of history as a world scientist of rare distinction*".

Besides his work in sustainable agriculture and food security, Dr. Swaminathan has been in the forefront of the effort to have policy makers address the challenge posed by climate change. He served as Chairman of a February 1989 Conference in New Delhi which first focused the attention of South Asian policy makers on the potential implications of climate change.

The Climate Institute gratefully acknowledges the following institutions and individuals whose support has enabled the Institute to participate in the Madras Workshop on Impacts of Climate Change on Food and Livelihood Security — the Australian Agency for International Development, the U.S. Agency for International Development and Pat Sarma, President of Access Methods, Inc. The Institute also expresses its gratitude to the several Indian sponsoring institutions and especially to Dr. M.S. Swaminathan and Dr. V. Balaji of the M.S. Swaminathan Research Foundation.

Climate Institute

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MSS/VS/

11 August 1996

Dr John C Topping, Jr
Climate Institute, Washington DC, USA

Fax: 1 202 547 0111

Dear John,

Thanks for your fax of 8 August inviting me to attend the Washington Summit on Protection of the World's Climate. I have no programme to visit the US in the first week of September. Hence, I will miss the very important meeting to which you have kindly invited me. I shall however be in Washington on 28 & 29 September. I would like to call on you in case you are likely to be in Washington at that time.

With warm personal regards,

Yours sincerely,



M S Swaminathan

Back to me

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PHONE (202) 547-0104
CLIMATEINST@IGC.APC.ORG

Date: August 8, 1996 Time: _____ Pages to follow: 9
Attention: Dr. M.S. Swaminathan
Fax Number: 011-91-44-40031
From: John C. Topping, Jr.
Subject: Washington Summit on Protection of the World's Climate,
September 4-6, 1996

Dear Dr. Swaminathan:

Dr. Ata Qureshi and I had a most enjoyable meeting with your colleague Dr. Balaji during his visit to Washington. We learned from him that you will be in New York for a Ford Foundation meeting in the second week of September.

During the preceding week we are organizing what we have described as a Washington Summit on Protection of the World's Climate. This meeting which will draw about 250 to 300 energy policy makers, finance experts, scientists, and officials as well as stock portfolio managers of foundations and representatives of religious and other large nonprofit institutions. The Summit has several purposes:

- 1) to raise awareness of climate change among U.S. policymakers and the public as we are going into a presidential election,
- 2) to draw on presentations by energy and policy experts from a dozen countries which together generate 60 percent of global carbon dioxide emissions to establish that energy needs may be satisfied in a cost effective way in the next decade through much greater use of renewable and energy efficiency technologies, and,
- 3) to interest portfolio managers of large nonprofit institutions as well as pension funds, insurance companies, and investment funds in such investments.

We were most heartened by Dr. Balaji's thought that your schedule might permit you to come to Washington a few days ahead of the Ford Foundation meetings to participate in all or some portion of the Washington Summit. We could cover costs of accommodations at the conference site, the Washington Court Hotel, 525 New Jersey Avenue, NW, a luxury hotel two blocks from Union Station or at any other hotel you might prefer as well as air travel between Washington and New York.

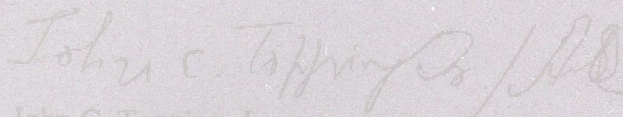
Should your schedule so permit, several speaking opportunities might be of interest:

- 1) on the Wednesday afternoon, September 4, the Symposium in the Cannon Caucus Room of the U.S. House of Representatives addressing the links between global climate change and food security,
- 2) on a panel Thursday afternoon, September 5, concerning energy options for India,
- 3) on a Thursday evening dinner panel on the role of foundations, pension funds, and state and local governments in the acceleration of a green energy revolution, and
- 4) on a panel Friday afternoon, September 6, on policy perspectives (possible participants include U.S. Senator Joseph Lieberman, Brian Atwood, Administrator of USAID, and Jim Leach, Chairman of the House Banking Committee as well as Tibor Farago of Hungary, Chair of the Subsidiary Body on Scientific and Technology Advice of the Climate Treaty, and Nancy Bacon, Senior Vice President of Energy Conversion Devices, a company on the cutting edge of renewable technologies.

I am also attaching the nominations packet for the 1996 Climate Institute awards which will be presented during our gala celebration at the U.S. Botanic Garden, Wednesday, September 4, in honor of the Institute's Tenth Anniversary.

We would be delighted if you could join us for any or all of the Summit and are looking forward to hearing from you.

With best wishes,



John C. Topping, Jr.

CLIMATE INSTITUTE

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TO: Members of Climate Institute Board of Directors
Board of Advisors, Leadership Council and
Officers and to Winners of Climate Institute Awards

FROM: John C. Topping, Jr.
Climate Institute, President

DATE: July 26, 1996

RE: Nominations for 1996 Climate Institute Annual Awards

This year the Climate Institute will mark its Tenth Anniversary with a two and a half day event on Capitol Hill, *Washington Summit on Protection of the World's Climate*, September 4-6, 1996. This meeting will open with a Symposium on the Stakes of Climate Change Wednesday afternoon, September 4, in the Cannon Caucus Room of the U.S. House of Representatives. Nine international experts on climate science or impacts or environmental policy will describe for the assembled Summit participants, Members of Congress, Congressional staff, and news media the potential implications of rapid climate change.

Following this Symposium, Summit participants will move about two blocks to the U.S. Botanic Garden where the Institute will hold its Tenth Anniversary Celebration and Awards Gala. This event, a buffet reception amidst the natural splendor of the Botanic Garden will also feature in one gallery of the garden a display of state of the art renewable energy and efficiency innovations.

We expect a large representation at the Botanic Garden celebration from the Washington diplomatic community and from the Congress, including many members of the 90 member House Renewable Energy Caucus. On this occasion the winners of the 1996 Climate Institute awards will be honored.

Given the setting of the Botanic Garden, ideal for mingling but not conducive to lengthy speeches, we may arrange more substantive discussion of the awards during the earlier deliberations at the U.S. House of Representatives with the formal presentations occurring at the Botanic Garden.

Over the past several months an awards nomination committee including myself and a number of other Institute officers or Board members, has taken soundings and deliberated.

Members have included our two vice presidents, Dan Power and Ata Qureshi, our General Counsel and Treasurer, John Bond, Nancy Wilson, Editor of *Climate Alert* and Institute Corporate Secretary, John Noel, a Nashville, Tennessee member of our Board and Leadership Council and a leader in Tennessee environmental protection efforts, and Noel Brown, an Institute Board member who recently retired as Regional Director for North America of the United Nations Environment Programme.

1. Global Environmental Leadership Award

At the outset, there was remarkable consensus behind a recommendation advanced first, I believe, by our Vice Chairman, Mark Goldberg, that we consider on this occasion, a watershed for the Institute, recognition of an individual very close to the Institute, Sir Crispin Tickell, who has profoundly shaped global thinking and actions on climate change and other global environmental issues.

In this discussions and in soundings with many others outside our Board including former prize winners, it was clear that there was widespread agreement that few individuals on this planet have had as profoundly positive an influence in coalescing understanding and cooperative action on climate change as has Sir Crispin.

Although Sir Crispin's contributions to the environment in his eight years as an Institute Board member and nearly six years as Institute Chairman have been of enormous consequence, it also seemed clear that Sir Crispin would have merited selection as an Institute award winner even if he had never had any affiliation with the Institute. His involvement with the Institute has included many crucial interventions including: 1) delivering the luncheon keynote of a June 1988 Institute Symposium on Climate Change for United Nations (UN) missions, the first such meeting at the UN; 2) leadership since September 1990 as the Institute's Chairman of the Board; 3) leadership of our first national briefing on climate change, a March 1991 briefing for President Carlos Salinas de Gortari of Mexico in Los Pinos, the Presidential Palace; 4) chairing of an international conference on cities and climate change in March 1992 at the Royal Geographical Society and a follow-up meeting on climate research at Green College; and 5) heading the international advisory committee that reviewed and contributed to the brilliant study of environmental refugees prepared for the Institute by Norman Myers.

Nevertheless, his actions in a whole variety of arenas quite independent of the Institute establish Sir Crispin as a leader on global environmental issues. These include among others: 1) his authorship nearly two decades ago of Climatic Change and World Affairs, a book which documented the role of climatic events in shaping history and pointed to the potential for anthropogenic-induced greenhouse disruption; 2) lecturing in the early 1980's while British Ambassador to Mexico at the National University in Mexico City on the potential for climatic disruption; 3) spearheading the earliest meetings on climate change at the UN while British Permanent Representative to the United Nations; 4) being a moving force behind the April 1989 Cabinet briefing on climate change arranged by Prime Minister Margaret Thatcher; 5) raising the issue of a potential environmental refugee challenge in a groundbreaking 1989 speech to the Royal Society; 6) leadership of a range of environmental and scientific organizations besides the Climate Institute, including the International Institute for Environment and Development, the Royal Geographical Society and the Green College Centre for Environmental Policy and Understanding; 7) service as a key environmental advisor to two British Prime Ministers, Margaret Thatcher and John Major; 8) service for the past few years on the international expert group on environment and development advising the Chinese government; 9) service for the past few years as Convenor of the British Government Panel on Sustainable Development.

Through those actions and numerous speeches, articles, and media interviews, Sir Crispin has profoundly changed thinking of leaders across the world on climate change and a range of other global environmental issues. For these reasons, the Awards Nomination Committee strongly recommends that Sir Crispin be awarded the Institute's Global Environmental Leadership Award. Traditionally this award has either been reserved for a head of government or for a senior international statesman whose actions over a period of years have affected global environmental policy in a number of countries.

II. Award for Public Policy Achievement

Senator Heherson Alvarez was the moving force behind the February 1995 Manila Asia and Pacific Leaders Conference on Climate Change, a conference which he chaired. This meeting drew policymakers from 33 nations, including its host, President Fidel Ramos of the Philippines, Prime Minister Benazir Bhutto of Pakistan, Prime Minister M. C. Korman of Vanuatu, the chairs of the parliamentary environment committees of Russia, China, India, Republic of Korea, Indonesia, and the Philippines. The Chair of the Environment Committee of the Philippine Senate, Senator Alvarez has for the past few years been a spearhead of efforts of the East Asia and the Pacific Parliamentarians Conference on Environment and Development (EAPPCED) to address climate change. In November 1991, he was the crucial Philippine liaison for briefings on climate change conducted by a Climate Institute team for President Aquino and her Cabinet. In August 1993, he arranged a meeting for Institute Vice President Aja Oureshi, Team Leader of an eight-country Asian Development Bank study of climate change, to present preliminary results to President Fidel Ramos of the Philippines. With Senator Alvarez's encouragement, President Ramos indicated his interest in having the Philippines host an Asian and Pacific Leaders Summit on Climate Change following the publication of the studies coordinated by the Climate Institute. Senator Alvarez then won the endorsement of the EAPPCED for such a conference in the Philippines and recruited region-wide parliamentary participation. Together with his wife Cecile, he generated an extraordinarily high level of public interest in the Philippines on climate change. This included production of a half-hour film on climate change entitled Global Warning, and the sponsorship of national competitions among Philippine artists on climate change. Senator Alvarez, drawing on the authority of the Manila Declaration emanating from the Conference he chaired, was a major force at the Berlin Conference of the Parties in pressing for cooperative international action.

The nomination of Senator Alvarez is strongly endorsed by a number of participants at the Manila Conference, including Aja Oureshi who served as Coordinator of that Conference, Hon. Claudine Schneider, former U.S. Congresswoman, Hon. Tom Roper, former Minister for Planning of Environment of Australia's State of Victoria, Shuzo Nishioka, Director of the Center for Global Environmental Research of Tsukuba, Japan, and myself. Senator Alvarez will keynote the Green Energy component of the September Washington Summit.

III. Award for Advancing Understanding of Climate Change Within the Business and Financial Community

Given that the central focus of the Washington Summit is on stimulating public private partnerships to stimulate development of renewable and energy efficiency applications, the Awards Nomination Committee determined that it would be appropriate to recognize outstanding effort in stimulating interest in this issue within the financial community. Nowhere have greater strides been made than in the insurance industry.

Three individuals have been especially instrumental over the past few years in stimulating understanding of implications of climate change for the insurance industry. They include Frank Nutter, President of the Reinsurance Association of America, who has sought to make insurance companies and the U.S. Congress aware of the potential disruptive impact of climate change for the insurance and reinsurance industries; Carlos Joly, Senior Vice President of the Norwegian insurance firm, UNI Storebrand, a driving force behind the UNEP statement of insurance companies; and Jeremy Leggett, Director of the Oxford Solar Investment Summit and Director of the Greenpeace International Solar Initiative. Jeremy Leggett has worked closely with insurance companies in the U.K., the European Continent, North America and Japan to persuade them that they should consider

hedging the risk they face from climate induced disruptions through increased investment in renewables. His work was crucial to the movement within the international insurance industry to sign the UNEP statement. His 1993 Greenpeace report entitled "Climate Change and the Insurance Industry," received wide attention at the top of that industry. His annual lecture on climate change to the UK's Chartered Insurance Institute in 1994 has been made into a video marketed by Sun Alliance. His papers on climate change have appeared in journals including the Bankers Magazine, Energy Policy, Global Reinsurance, Industry and Environment, the Journal of Transnational Law and Contemporary Problems, the Journal of the Society of Fellows of the Chartered Insurance Institute, the Journal of Reinsurance, New Scientist, Reinsurance and Security Dialogue. Despite the confrontational reputation which Greenpeace enjoys among many in the business community, Jeremy has been a remarkable builder of consensus working closely and effectively with conservative financial leaders in several continents. He has also begun to meld these efforts to build interest among multi-billion dollar financial institutions in designing green energy investment responses with an effort to build tangible commitments to similar investments among grass roots organizations, such as religious groups, civic organizations and mass membership environmental groups.

Although Carlos Joly would merit consideration for his work, he will not be able to be present at the Washington Summit. Both Frank Nutter and Jeremy Leggett will participate, however. The Awards Nomination Committee heartily endorses both Frank Nutter and Jeremy Leggett for awards for their work cited above. Nutter has worked effectively for the past several years to increase awareness among insurance CEO's of potential implications of climate change. He also made U.S. Congressional appropriations committees aware during the recent U.S. budget battles of the adverse implications for U.S. industry of slashing appropriations for climate science. The Awards Nomination Committee suggests that Carlos Joly might be considered next year for recognition, particularly should the Eleventh Annual Institute Awards dinner occur in Europe.

We also wanted to report a noteworthy nomination in a related area which might be considered for the Institute's 1997 awards. Elizabeth Cook of the World Resources Institute, who for years led the stratospheric protection efforts of Friends of the Earth, has recommended Stephen Andersen of the U.S. Environmental Protection Agency for his efforts successfully stimulating industry government cooperation in developing substitutes for CFC's and halons. I believe that such an award would be richly deserved as Steve Andersen's unheralded work has produced an almost unprecedented degree of industry government cooperation and solid results. Our Awards Nomination Committee, however, believes that such an award would be more appropriate in 1997 when the Climate Institute is planning a series of events around the Tenth Anniversary of the signing of the Montreal Protocol on September 16, 1997.

IV. Awards for Scientific Achievement

In the past, the Climate Institute has given awards for scientific achievement to individuals from a number of countries and scientific disciplines. The first such award was made in 1987 to Roger Revelle, then at the University of California San Diego, for his towering achievements over several decades in building an understanding of the climate system and of oceans. In 1988, the three award recipients included two scientists, E. Sherwood Rowland of University of California Irvine for his work in developing our understanding of the potential of chlorofluorocarbons and other compounds to destroy stratospheric ozone and J. Murray Mitchell of the U.S. National Oceanic and Atmospheric Administration for his pioneering work in climatology. In 1991, our awards included a presentation to a leading Canadian climate scientist, F. Kenneth Hare, Chancellor of Trent University, for his achievements in climate science and for his success in building the Canadian national climate programme into a world leader. In 1992, the four Climate Institute award winners included two climate scientists, Tom Wigley, then of the

University of East Anglia, for his work over many years in monitoring global temperature trends and Sir John Houghton for his leadership of the United Kingdom Meteorological Office and for his achievement as Chair of the IPCC First Scientific Assessment. In 1993, the Institute honored Robert Watson for his achievements at NASA in advancing our understanding of stratospheric ozone depletion and climate change.

Several other scientists have also received Climate Institute awards for achievements which were a blend of scientific achievement, public policy achievements and global environmental leadership. These individuals include UNEP Executive Director Mostafa Tolba, sole award recipient in 1989 for his work as architect of the 1987 Montreal Protocol; the two 1990 award recipients Professor Bert Bolin of the University of Stockholm for his achievements as Chairman of the Intergovernmental Panel on Climate Change, Secretary-General G.O.P. Obasi of the World Meteorological Organization for his efforts to advance understanding of climate change within the world meteorological community; Minister for Population and Environment Emil Salim, who was honored in 1992 for his achievements in building a strong national climate committee in Indonesia and for his efforts in international fora to make policymakers aware of climate change implications.

The sole Climate Institute award winner in 1995 was Dr. M. S. Swaminathan, Chairman of the M. S. Swaminathan Research Foundation and a principal architect of the green revolution in agriculture. Dr. Swaminathan's award transcended the normal Institute categories as it encompassed recognition of his groundbreaking work in sustainable agriculture which has likely saved lives of millions and of his leadership on climate change in regional and international fora. The award citation highlighted especially his pioneering work in developing responses at the village level on climate change, a major focus of the December 1995 Madras Workshop on Impacts of Climate Change on Food and Livelihood Security co-convened by the M. S. Swaminathan Research Foundation and the Climate Institute. In presenting this award in Madras, four Climate Institute Board members, Hon. Tom Roper, Lynne Edgerton, Ata Qureshi and I highlighted various achievements of Dr. Swaminathan and suggested that, like Dr. E. Sherwood Rowland who won a Climate Institute award in 1988 and about seven years later won a Nobel Chemistry Prize for roughly the same pioneering achievements, Dr. Swaminathan would be an ideal Nobel Peace Laureate for his work in food security and sustainable agriculture.

Our awards nomination committee after extensive deliberation has recommended that the Institute recognize two individuals in 1996 for their work in climate science, Thomas Karl, Senior Scientist of the National Climatic Data Center of the U.S. National Oceanic and Atmospheric Administration, and James Hansen, Director of the Goddard Institute for Space Studies of the U.S. National Aeronautics and Space Administration. Professor Stephen Schneider of Stanford University, a Board member of the Climate Institute for eight years, first recommended Tom Karl, especially for his work on identifying signals of climate change within the U.S. climate record. Jim Hansen was nominated by all five of the Climate Institute officers -- Dan Power, Ata Qureshi, John Bond, Nancy Wilson and myself -- who served on our nominations committee. All of us strongly feel that Jim Hansen has played a pivotal role in improving our understanding of climate implications, particularly on such crucial issues as the link between greenhouse warming and the incidence of floods or droughts and the role of sulfate aerosols in offsetting greenhouse warming.

Tom Karl has for years been regarded as one of the leading experts on the U.S. climatic data record. He has also played a significant role in IPCC assessments by providing valuable input concerning the observed climate record. An article which he prepared Spring 1995 issue of Consequences with R. W. Knight, D. R. Easterling, and R. G. Quayle, examining links between global warming and weather extremes looked largely to the U.S. climate record. Karl and his colleagues at the National Climatic Data Center in

Asheville, North Carolina, developed the Greenhouse Climate Response Index to detect a greenhouse signal within the U.S. climatic data record. This used four indicators, the percent of the U.S. with much above normal minimum temperatures, the percent of the U.S. with much above normal precipitation during the months October through April, the percent of the U.S. in extreme or severe drought during the months May through September, and the percent of the U.S. with a much greater than normal proportion of precipitation derived from extreme one day precipitation events (exceeding two inches). Based on the analysis of the U.S. climatic data record against these indicators, Karl and his colleagues concluded that there was about a 90 to 95 percent likelihood that this data was suggestive of a greenhouse-induced warming. This work has taken on real significance in U.S. policy discussions.

On fairly modest resources, Jim Hansen has built the Goddard Institute for Space Studies (GISS) into a world-class center for climate modeling and analysis. A number of articles of which he has been principal author have been quite influential in improving understanding of climate mechanisms. These have included a 1984 paper presented at the Ewing Symposium, "Climate Sensitivity: Analysis of Climate Feedback Mechanisms", published in AGU Geophysical Manuscript 29. A second influential article "Regional Greenhouse-Climate Effects", was first presented by Jim Hansen at the December 1988 Second North American Conference on Preparing for Climate Change convened by the Climate Institute and published in 1989 in the Proceedings, Coping with Climate Change. Hansen and his colleagues presented model results showing that greenhouse warming is likely to increase the frequency and severity of droughts, with greatest impacts in broad regions of the subtropics and middle latitudes and that this same greenhouse warming produces increased frequency of extreme downpours. Following the 1991 Mt. Pinatubo eruption Hansen and colleagues published an influential piece in Geophysical Research Letters, January 24, 1992, vol. 19, p. 215, "Potential Climate Impact of Mount Pinatubo Eruptions." This analysis projected with remarkable accuracy the likely cooling effect of the Mount Pinatubo eruptions, in the process helping significantly to validate models of climate change.

Within the range of leading U.S. climate scientists, Karl and Hansen have been viewed as occupying different parts of the spectrum, with Karl viewed as a cautious scientist, careful to avoid pronouncements which might have policy implications, and Hansen, particularly following his declaration during the 1988 U.S. Senate hearings that he believed the global climate record manifested signs of greenhouse warming, viewed as an activist. Both individuals are quite self effacing and have each in a different way contributed to the developing global consensus that recently enabled the IPCC to conclude that "the balance of evidence" indicates a human influence on global climate. We strongly recommend that 1996 Climate Institute awards for scientific achievement be given to both Tom Karl and to Jim Hansen. Both will be at the September Washington Summit, Karl as a presenter in the opening symposium at the U.S. House of Representatives and as a discussant in the workshop looking at the IPCC's future, and Hansen as a likely discussant at that same workshop.

Attached to this nomination report is a ballot. Please send this to the Climate Institute by mail or FAX. Our new address is 120 Maryland Avenue, NE, Washington, DC 20002. The FAX number remains unchanged at (202) 547-0111 as does the telephone number, (202) 547-0104. Your ballot can also be sent to me by e-mail at climateinst@igc.apc.org.

A majority affirmative vote of August 14, 1996, is required for approval. Your ballot will remain confidential once received.

lots cast and received each of these six months. Although we have asked you to provide some idea of the deadline date, and awards. Your vote for identification purposes on of the source.

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A majority affirmative vote of all ballots cast and received by the deadline date, August 14, 1996, is required for approval of each of these six proposed awards. Your vote will remain confidential once received, although we have asked for identification purposes to tally responses that you sign the ballot or provide some identification of the source.

Thank you for your participation in this effort. I hope that many of you can join us for the Tenth Anniversary events.

Best wishes.

John

BALLOT ON PROPOSED 1996 CLIMATE INSTITUTE AWARDS

Send or FAX to: John Topping, President
Climate Institute
120 Maryland Avenue, NE
Washington, DC 20002
FAX: (202) 547-0111

I. AWARD FOR GLOBAL ENVIRONMENTAL LEADERSHIP

- Sir Crispin Tickell

I approve []

I disapprove []

I abstain []

II. AWARD FOR PUBLIC POLICY ACHIEVEMENT

- Senator Heherson Alvarez

I approve []

I disapprove []

I abstain []

III. AWARD FOR ADVANCING UNDERSTANDING OF CLIMATE CHANGE WITHIN THE BUSINESS AND FINANCIAL COMMUNITY

- Frank Nutter

I approve []

I disapprove []

I abstain []

- Jeremy Leggett

I approve []

I disapprove []

I abstain []

IV. AWARD FOR SCIENTIFIC ACHIEVEMENT

- Tom Karl

I approve []

I disapprove []

I abstain []

- Jim Hansen

I approve []

I disapprove []

I abstain []

PAST CLIMATE INSTITUTE AWARD WINNERS

- 1987 -- Roger Revelle, US Senator John Chafee
- 1988 -- F. Sherwood Rowland, J. Murray Mitchell, and Ambassador Richard Benedick
- 1989 -- Mostafa Tolba
- 1990 -- Bert Bolin and G. O. P. Obasi
- 1991 -- F. Kenneth Hare, Jim MacNeill, and Alliance of Small Island States
- 1992 -- Sir John Houghton, Tom Wigley, Minister Emil Salim, and President Carlos Salinas de Gortari
- 1993 -- Robert Watson, Ted Turner, and Vice President Albert Gore, Jr. (for actions as a US Senator)
- 1994 -- Baroness Thatcher (for actions as Prime Minister of the United Kingdom)
- 1995 -- M. S. Swaminathan