



Earth
Innovation
Institute

ANNUAL **REPORT**

FISCAL YEAR 2015

SCIENCE AND COLLABORATION FOR A HEALTHY PLANET



MISSION STATEMENT

*Earth Innovation Institute
advances climate-friendly
rural development through
innovative approaches to
sustainable farming, forestry
and fisheries in tropical
regions around the world.*





MESSAGE FROM THE PRESIDENT

In a warming, crowded world, strong democratic institutions will be increasingly important as provinces and nations strive to maintain resilience in the face of scarcity, heatwaves, and weather events that grow more extreme year by year. Rule of law, freedom of speech, and representative government are the cornerstones of societies that can weather the storms.

At the Earth Innovation Institute, we believe that societies grow stronger when dialogues develop between sectors that have traditionally opposed each other, when governments are pushed by citizens to defend the public good, and when the benefits to collective action are clearly understood and fully realized.

In Indonesia, Brazil and Colombia, I've watched our regional teams break down barriers, fostering new dialogues and partnerships between governments and farmers, governments and companies, and companies and farmers. Our teams are small, scholarly in their understanding of the issues, embedded in and native to the regions they work in, and diplomatic as they find ways to encourage partnerships.

In this Fiscal Year 2015 report, we present some snapshots of our work and the successes we have had in supporting regional transitions away from scorched earth and towards sustainable, equitable, "low-emission" rural development.

None of this would be possible without the generous support from our donors, partners and contributors.

Sincerely,

A handwritten signature in black ink, appearing to read "D. Nepstad". The signature is stylized and cursive.

Daniel Nepstad, PhD
Senior Scientist & President

THE JURISDICTIONAL APPROACH

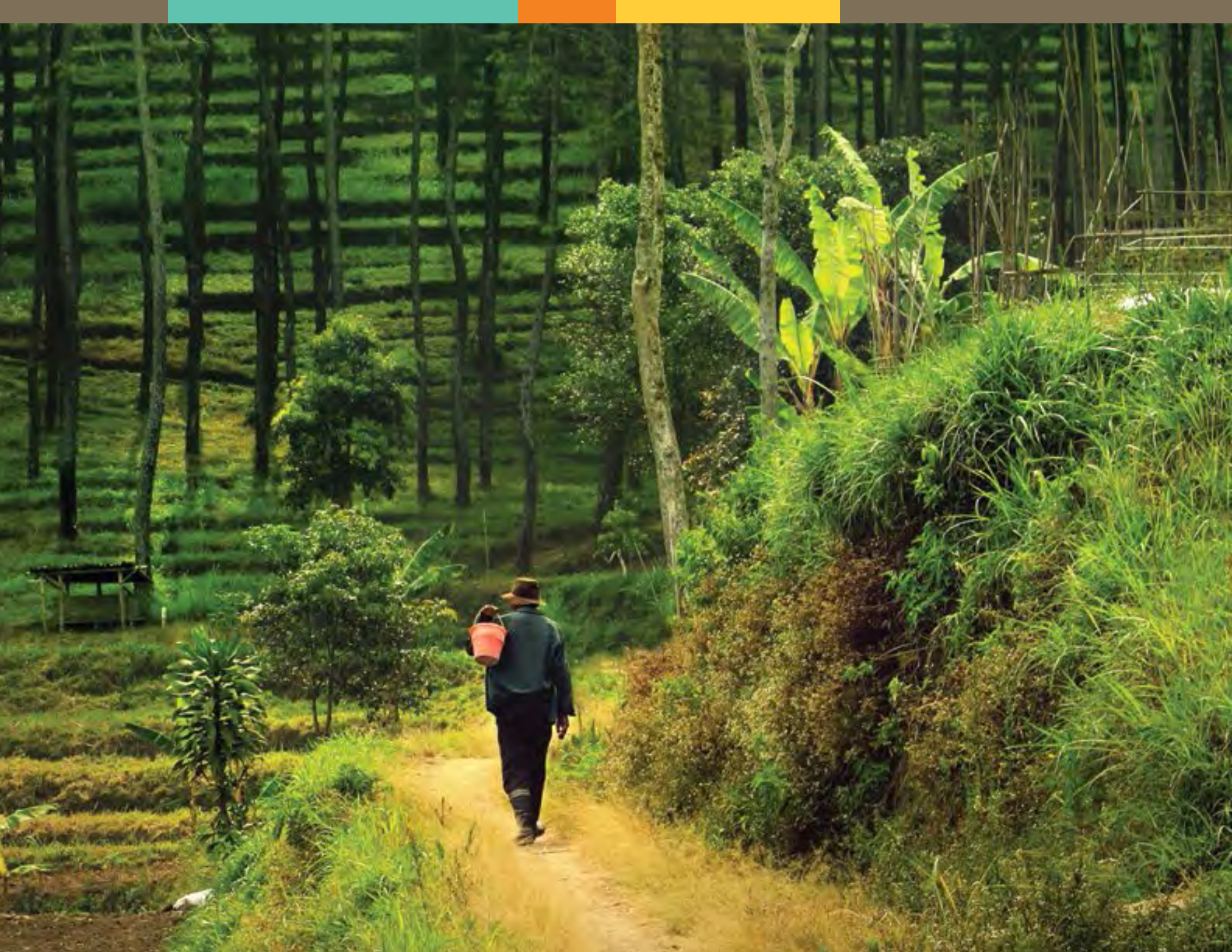
The clock is ticking. Climate change, tropical deforestation, fisheries depletion, and threats to food security demand big, bold solutions. This is why we seek solutions to these inter-related challenges across entire “jurisdictions”—states, provinces, counties, districts and entire nations. Earth Innovation Institute is a pioneer of the “jurisdictional” approach to sustainable development.

We pursue large-scale solutions by building bridges between governments, non-governmental organizations, businesses and farm sectors. In most of the regions that we work in, progress towards sustainable regional development is slow because these bridges currently don’t exist. One important type of bridge-building that we do is to stimulate and convene dialogues among these regional actors to build a shared vision of the future—one in which healthy forests, fisheries and land are securing food supplies, providing economic opportunities, releasing fewer greenhouse gas emissions and providing resilience in the face of the extreme weather events that are already becoming more frequent in our warming world. In other words, we support dialogues that enable regional societies to develop their own vision of climate-smart, “low-emission” rural development.

Our work doesn’t stop with a shared vision of the future, however. To achieve positive impacts across our target regions, we work with these same regional partners to develop strategies for achieving the vision. Farmers, fishers and businesses adopt sustainable land-use systems when the right set of incentives are in place. In most cases, the incentives are pushing these land and resource managers in the wrong direction. When a shared vision of the future is accompanied by financial incentives, government regulations, and market signals, large-scale impacts can be achieved.

In this Annual Report, we describe progress made toward climate-smart, “low-emission” rural development in the context of both the alliances that we have built to drive these regional changes and the regionally-tailored strategies that we are implementing in Brazil, Indonesia, and Colombia, all supported by our work in California.

+ OUR REGIONAL TEAMS LIVE IN THE BRAZILIAN AMAZON REGION, INDONESIA AND COLOMBIA, SUPPORTING PARTNERSHIPS AMONG GOVERNMENTS, FARMERS AND BUSINESSES FOR ACHIEVING SUSTAINABLE, CLIMATE-SMART DEVELOPMENT.





THE SUSTAINABLE TROPICS ALLIANCE

If you look behind successful government programs to

foster sustainable development, you will usually find a non-governmental organization or group of organizations that has supported—or in many cases driven—the process that led to the success. The most effective institutions in this role are “evidence-based”—that is, they rely on credible information instead of opinion; they have earned the trust of farmers, businesses and rural communities, and know how to convene and facilitate dialogues across sectors. Finally, they are “apolitical” in that they are not devoted to a particular political party. The Sustainable Tropics Alliance (STA) was established as a collaboration among some of the world’s most important non-governmental organizations in tropical forest regions to improve their ability to advance sustainable, low-emission rural development.

Led by the Earth Innovation Institute (working in Brazil, Indonesia, Colombia), the STA members include Pronatura-Sur (Mexico), the Instituto del Bien Común (Peru), the Instituto de Pesquisa Ambiental da Amazônia (IPAM-Brazil), the Green Belt Movement (Kenya), and Yayasan Penelitian Inovasi Bumi (INOBU-Indonesia).

The STA promotes low-emission rural development that emphasized locally informed and designed solutions

that feed into sub-national and national level policies and programs. The Alliance serves as a platform for its partners to work together at a global scale in support of policies, institutional arrangements, and market mechanisms that support sustainable, low-emission rural development throughout the Tropics. An important strength of the Alliance lies in its ability to share lessons learned and to collectively design low-emission rural development strategies that may serve as models for other regions.

In FY15, the Sustainable Tropics Alliance members carried out and published a study on the progress of low-emission development plans in 8 regions in Mexico, Peru, Colombia, Brazil, Kenya and Indonesia. The study also presented the conceptual framework for measuring and advancing LED-R generally. The report provided the foundation for a second study that analyzed the obstacles encountered by indigenous peoples and traditional communities and the potential for jurisdiction-wide strategies to overcome these obstacles, that was done in collaboration with the Forest-Based Livelihoods Consortium, led by Forest Trends.

Within the STA’s target regions, alliance members are designing and implementing bottom-up, regionally-tailored strategies for supporting transitions to sustainable, low-emission rural development.



THE FORESTS, FARMS AND FINANCE INITIATIVE



When the power of governments, the agility and efficiency of businesses, and the innovation and tenacity of farmers and fishers come together within a shared regional strategy for sustainable development, big things can happen. In every region we work in, there is

enormous potential for achieving this strategic alignment, helped along by international climate finance for reducing emissions from deforestation and forest degradation (REDD+).

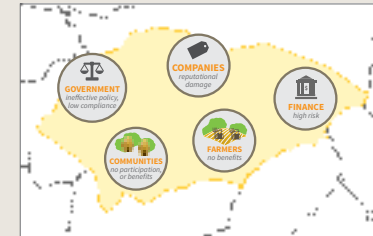
Earth Innovation Institute and partners established the Forests, Farms and Finance Initiative (3FI) to seize this opportunity. The 3FI consortium is led by the Earth Innovation Institute and brings together businesses (Unilever, Grupo Amaggi, DENOFA and others), non-governmental institutions (Solidaridad, ProForest, Forest Trends, IPAM), and global sustainability initiatives for palm oil (RSPO), soybeans (RTRS), sugar cane (Bonsucro) and beef (GRSB) to support regional transitions to low-emission rural development in Brazil, Indonesia and Colombia.

In each target region, we are developing “territorial performance systems” (see diagram), an approach for achieving low-emission rural development that was launched by the 3FI in FY15. There are four key components of a territorial performance system. First, regional society—including governments, businesses, farm sectors, indigenous peoples and civil society organizations—must develop a shared vision of the future, with specific goals and milestones for reducing deforestation, increasing agricultural productivity, and other social and environmental changes. Second, a system of financial, technical, and administrative incentives is needed to drive land-user decision-making towards the region’s goals. Third, a reliable system for monitoring progress towards goals must be in place. Finally, a governance structure is necessary that represents the key stakeholder in the region and supports implementation of the regional strategy.

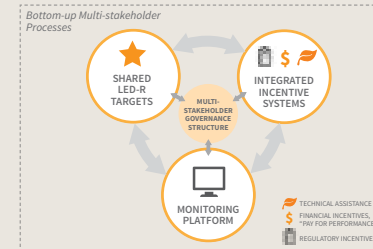
The Earth Innovation Institute also fosters learning exchange beyond its target regions through a “jurisdictional sustainability working group” that includes thought leaders from the Governors’ Climate and Forests task force, Solidaridad, ProForest, Unilever, Grupo Amaggi, The Nature Conservancy, the Dutch Sustainable Trade Initiative, the World Bank and the RSPO.

TERRITORIAL PERFORMANCE SYSTEM

TYPICAL TROPICAL DEFORESTATION FRONTIER
Fragmented Policies, Actors in Isolation, High Deforestation & GHG Emissions

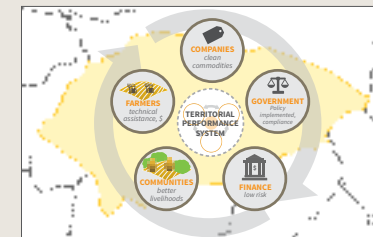


TERRITORIAL PERFORMANCE SYSTEM



LOW-EMISSION RURAL DEVELOPMENT

More Food, More Forests, Fewer Emissions, Better Livelihoods



How does the Territorial Performance System approach work? First, a multi-stakeholder process establishes broadly-shared targets and milestones for reducing regional deforestation, increasing agricultural production, improving livelihoods, and complying with environmental and social safeguards. Second, integrated incentive systems are designed for driving progress towards these targets. Third, monitoring platforms for tracking this progress are developed. And, fourth, the TPS is implemented through a multi-stakeholder governance structure. These components interact synergistically. The monitoring platform (see monitoring.earthinnovation.org) supports companies that are considering signing a regional deforestation/LED-R agreement by allowing them to assess the current deforestation status of their supply sheds. Farm sectors are engaged in the multi-stakeholder dialogues as co-creators of the integrated incentive systems. Market pressure for sustainably produced commodities reinforces producer incentives, driving long-term compliance with jurisdictional targets and milestones.



+ BRAZIL CAN ACHIEVE ZERO NET FOREST CARBON EMISSIONS THROUGH A 90% DECLINE IN DEFORESTATION, 12 MILLION HECTARE OF NEW FORESTS, AND STEEP REDUCTIONS IN EMISSIONS FROM AMAZON FOREST FIRES AND SELECTIVE LOGGING.



BRAZIL

In the months leading up to the 2015 UN climate summit in Paris, Brazil was poised as a leader in climate change mitigation, forest conservation, and agricultural production and the global community eagerly awaited the release of the country's Intended Nationally Determined Contributions (INDC) to the United Nations Framework Convention on Climate Change process.

Recognizing the importance of this moment, Earth Innovation Institute, with our deep background in research, policy and agriculture in Brazil, together with Forest Trends' finance team, developed a policy brief contributing to the Brazilian INDC process by outlining how the country could achieve carbon neutral forests and continued growth of agricultural production by 2030.

In addition to looking at the costs of new forests, emissions reductions, and zero net emissions scenarios associated with implementation of the Forest Code in Brazil, our brief also introduced two financial mechanisms—the Territorial Bonus Matching Fund and the Green Forest Bond—that could help move the country from its current command-and-control paradigm to a more positive “race-to-the-top” agenda in its efforts to achieve a 90% reduction in deforestation nation-wide. The final Brazilian INDC included a commitment to make the Amazon region forest carbon neutral by 2030.

Our Brazil INDC policy brief was rooted in the jurisdictional approach to sustainability and that same approach informs our work in the giant agricultural state of Mato Grosso, where we are deeply involved this year in supporting governments, fostering dialogues and creating alignment across sectors, and developing financial mechanisms for driving the state's transition to sustainable, climate-smart development.

The Mato Grosso plan, as well as Earth Innovation Institute's territorial performance monitoring system, received a ringing

endorsement from Norway's Minister of Climate and Environment, Tine Sundtoft, and Bjarne Thomsen, CEO of Norway's largest soybean processor, DENOFA, with the “Norwegian Commitments on Sustainable Soy and Forests”. This agreement, endorsed by most of the nation's food and animal feed industries, cites Earth Innovation Institute's Territorial Performance System (TPS) monitoring platform and Mato Grosso's multi-stakeholder process as important elements in the shift to a jurisdictional approach to sustainable soy sourcing in Brazil. Our TPS monitoring system was also selected by the Brazilian soy sector to disseminate information on its “Soja Plus” farm management system, through an important partnership between Earth Innovation Institute and ABIOVE (Brazilian Association of Vegetable Oil Industries); APROSOJA (Mato Grosso's Soy Growers Association); FAMATO (Mato Grosso's Agriculture Federation); IMEA (Mato Grosso Agricultural Economy Institute); SENAR (Rural Learning National Service); and Instituto Ação Verde.

This year we have also established a strong foundation for our regional program in the Lower Amazon region, Pará State, where senior staff have been working for the last quarter century. We held discussions with federal, state and municipal government agencies, and with leaders of local grassroots organizations representing fishers, colonists and traditional peoples, to discuss the regional strategy. Our work in the region focuses on developing sectoral plans for forestry, fisheries and agriculture, bringing these three sectors together for a region wide plan for low-emission rural development.

In Acre, we provided technical support as the state seeks validation under the “Verified Carbon Standard Jurisdictional Nested REDD”. We also supported the state's “System for Incentives for Environmental Services” through participation on the policy's Science Committee.

INDONESIA

Indonesia is home to some of the most culturally- and biologically-rich forests in the world. As of 2012, it surpassed Brazil as the country with the highest rate of deforestation in the world. So when Earth Innovation Institute decided to expand its work beyond Latin America, Indonesia was the natural choice.

As is our hallmark, we approached the Indonesia challenge holistically—seeking more forests, more food, better livelihoods and fewer greenhouse gas emissions across entire Districts and Provinces. We began working on the ground through a small team of Indonesian experts in the fields of environmental policy, finance, governance and farming who quickly realized there was a need for an independent Indonesian organization that is modeled on EII—doing research and supporting new partnerships to achieve jurisdiction-wide sustainability. So, with the support of Earth Innovation Institute, Yayasan Institut Penelitian Inovasi Bumi (INOBU) was founded at the end of 2014 as an independent Indonesian organization. INOBU is now our main partner in Indonesia.

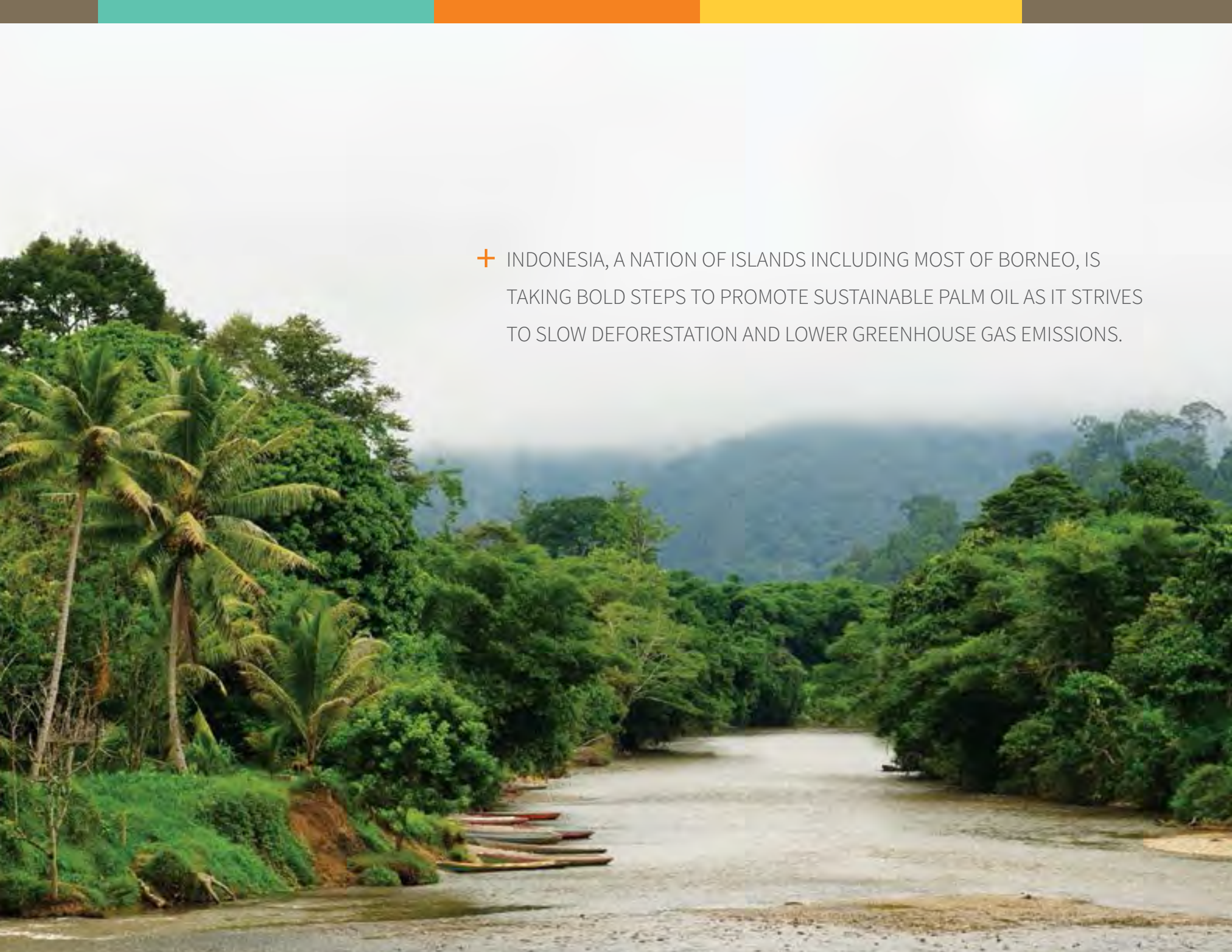
Earth Innovation Institute has worked towards achieving change in two provinces, with a different model of jurisdictional sustainability emerging organically in each. In Central Kalimantan, the focus has been on improving the sustainability of palm oil production. In West Papua, however, the focus has been on recognizing and protecting the customary rights of indigenous Papuans and improving their wellbeing.

In FY2015, EII and INOBU made significant steps forward in gathering political and private sector support for the jurisdictional approach for sustainable palm oil production in Central Kalimantan. District governments are very powerful in Indonesia with little tradition of collaboration on sustainable development. Through our work, the governments of two Districts—Kotawaringin Barat and Seruyan—agreed to move their palm oil sectors towards District-wide sustainability. This agreement


is officially supported by the Roundtable on Sustainable Palm Oil (RSPO). During this period, we also advanced through development of a palm oil plantation monitoring system, at the request of the Ministry of Agriculture and Provincial Government of Central Kalimantan, and took important steps to map smallholder farmer properties—the first step to bringing these producers into the formal economy.

In West Papua, EII and INOBU entered a new and exciting phase of work. Building on its provincial landscape assessment and study of the timber sector, we shifted our focus to studying livelihoods and customary tenure in two districts, Manokwari and Pengunungan Arfak. The results of the study, when presented to members of government, civil society and the Papuan indigenous peoples' council (Majelis Rakyat Papua), catalyzed a discussion on the best ways to recognize customary rights in West Papua. From the discussions, a protocol for businesses to engage with indigenous people has been developed, and a provincial regulation on recognizing indigenous resource rights drafted.

In 2015, INOBU was selected to be the Indonesian coordinator for the Governor's Climate and Forests Task Force (GCF). The GCF seeks to advance jurisdictional programs designed to support low-emission rural development. More than 25% of the world's tropical forests are in the provinces or states of the GCF. The Indonesian provinces of Aceh, Central Kalimantan, East Kalimantan, Papua, West Kalimantan and West Papua are members of the global GCF and account for 58% of the areas with forest cover and 64% of peat land and peat forest areas in Indonesia. One of INOBU's first achievements was to facilitate a process through which these provinces crafted a work plan for achieving an 80% reduction in deforestation by 2020—a target established by the GCF. This plan was presented to the national government.



+ INDONESIA, A NATION OF ISLANDS INCLUDING MOST OF BORNEO, IS TAKING BOLD STEPS TO PROMOTE SUSTAINABLE PALM OIL AS IT STRIVES TO SLOW DEFORESTATION AND LOWER GREENHOUSE GAS EMISSIONS.

A photograph of a herd of cows in a rural setting. The cows are of various colors, including brown, white, and black, and are gathered in a dirt area. Some are lying down, while others are standing. In the background, there is a dense green forest on a hillside. To the left, there is a simple structure with a corrugated metal roof supported by wooden poles. The overall scene depicts a typical rural landscape in a developing country.

+ WITH A PEACE PROCESS COMING TO FRUITION, THIS VIBRANT NATION IS AT A HISTORICAL CROSS-ROADS. ALONG WITH PEACE COMES A CRITICAL NEED TO CREATE NEW ECONOMIC OPPORTUNITIES ACROSS ITS VAST HINTERLAND. COLOMBIA IS ALSO COMMITTED TO RAPIDLY SLOW DEFORESTATION, WHICH IS CONCENTRATED IN ITS AMAZON REGION



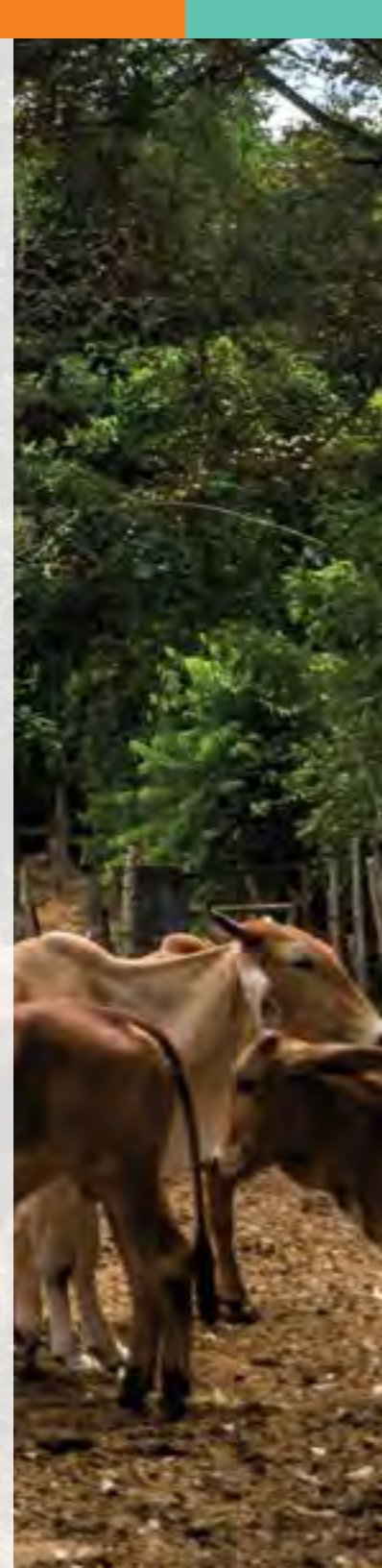
COLOMBIA

Colombia has made bold commitments to slow deforestation and protect its Amazon region. It is also badly in need of new economic opportunities across its vast hinterland, as the peace process that would end the fifty-year conflict with FARC moves towards fruition. This is the broader context of the Earth Innovation program in this vibrant nation.

In FY15, Earth Innovation Institute was invited for a second time to help Colombia develop “Amazon Vision”, an ambitious strategy for protecting the forests of the Amazon region while fostering new economic opportunities for the region’s smallholder farmers and rural communities. EII led a consortium that included Forest Trends, Fundacion Natura and WWF Colombia to develop five program designs, including a territorial performance system and an innovative finance mechanism for supporting farmers who usually do not have formal titles to their land. Three of these designs were adopted by the Colombian Government to be included in the Amazon Vision strategy, which recently received a commitment of approximately \$150 million from Norway, the UK and Germany. The Amazon Vision program, if successful, will lead to zero net deforestation in the Colombian Amazon by 2020.

Beyond our work on the Amazon Vision project, Earth Innovation Institute was also busy in Colombia this year analyzing the political context of the nation’s REDD+ program and providing recommendations to strengthen the participation of indigenous peoples in initiatives supported by climate finance and land management.

At the national level, the Earth Innovation Institute developed a foundation of research and information for promoting a national dialogue on the benefits of—and barriers to—a nationwide transition to sustainable, low-emission development. Together with the Ministry of Agriculture and Rural Development, we planned and held a successful national workshop that launched this dialogue, with strong participation of Colombia’s farm sectors, businesses, governments and civil society.



THE CALIFORNIA CONNECTION

Earth Innovation Institute has been diligently working to support California as it moves forward with developing its climate policies and international partnerships, particularly in relation to the land sectors—farming, livestock and forestry. California’s innovative regulatory designs and foreign policy relating to these sectors have allowed for various opportunities for the State to team up with tropical jurisdictions that are working hard to reduce deforestation.

A pivotal moment for California’s partnerships with tropical regions to combat climate change took place back in 2009, with the launch of the Governor’s Climate and Forests Task Force (GCF)—a coalition of sub-national governments, born in California, with the aligned goals of mitigating the impacts of climate change, curbing deforestation and promoting low-emission rural development. The GCF’s experience in the tropics has been a critical channel of information for California as it looks to integrate policies that support reductions in deforestation.

Earth Innovation Institute is a close ally of the GCF and has worked to strengthen its partnership with California through analyzing the profound impacts these tropical jurisdictions can make towards curbing global emissions. Currently, one of the central ‘calls to action’ for California to engage in slowing tropical deforestation is through the GCF’s latest initiative, the Rio Branco Declaration – a sub-national commitment to reduce deforestation 80% by 2020 if adequate financial resources are in place.

Earth Innovation Institute’s analysis shows that if 80% reductions are achieved across the tropical states and provinces of the GCF, over 10 million hectares of deforestation would be avoided, keeping 4.4 billion tons of CO₂ out of the atmosphere.

As a signatory to the Rio Branco Declaration, California now has an important opportunity to enhance private sector engagement in financing jurisdiction wide projects that are enabling transitions to sustainable economic development in the tropics. Another important way California can provide this much-needed finance is through the State’s cap-and-trade program, launched on January 1st 2013.

California’s cap-and-trade program currently has a provision that allows regulated companies to acquire offset credits, which can compensate tropical states that are reducing emissions from deforestation and forest degradation (REDD+). By working with a wide array of

stakeholders and technical experts, Earth Innovation Institute has played a significant role in supporting California’s Air Resource Board (CARB) as they work to develop further rulemaking to integrate international forestry offsets into the state’s carbon market. As part of CARB’s planning, Earth Innovation Institute participated in the “REDD Offsets Working Group” (ROW), which vetted 11 technical and legal recommendations for implementing REDD in the cap-and-trade program. Building off the ROW recommendations—which are now a centerpiece of regulatory planning for this provision—Earth Innovation Institute has continued to utilize its expertise on the ground, engaging local stakeholders and partners to support CARB as it continues its ongoing rulemaking process to implement REDD+ in California.

On May 19th, 2015, California once again reaffirmed its leadership on climate change with the release of The Under 2 MOU. This subnational memorandum of understanding was born out of a partnership between California and the German state of Baden Württemberg, where states and provinces commit to reducing emissions 80-95% below 1990 levels OR keep their emissions under 2 metric tons per capita, all by 2050. The Under 2 Mou has quickly evolved into one of the largest subnational climate initiatives on the planet—currently with more than 80 signatory jurisdictions (and counting), who together represent roughly 520 million people and 14.8 trillion in GDP. Earth Innovation Institute has worked to strengthen the Under 2 Mou by supporting signatories in the tropics as they develop appendices that outline a strategy to reach their 2050 emissions target. The Under 2 Mou has become a vital opportunity to enhance state level actions in the tropics to combat deforestation and climate change.

According to Earth Innovation Institute’s analysis, 60% of avoided emissions within the Under 2 MOU would be from reductions in tropical deforestation by 2030.

California has been a critical hub on climate policy innovation for the planet—so often working to reward sustainable practices, rather than utilizing punitive measures. Earth Innovation Institute has worked to support this leadership and creativity, especially through California’s numerous policies and partnerships that seek compensation for the hard work that goes into combating deforestation in the tropics.



+ CLIMATE CHANGE, FOREST LOSS, AND THE GLOBAL SHORTAGE OF NEW ARABLE LAND ARE AMONG THE MOST URGENT CHALLENGES THAT HUMANITY IS FACING. THE ABILITY OF HUMAN SOCIETIES TO MEET THESE INTER-CONNECTED CHALLENGES WITH EFFECTIVE, LARGE-SCALE SOLUTIONS OVER THE NEXT 10 TO 20 YEARS WILL INFLUENCE THE LEVELS OF HUMAN SUFFERING THROUGH HUNGER AND MALNUTRITION AND THE CAPACITY OF THE EARTH TO SUSTAIN LIFE FOR CENTURIES TO COME.

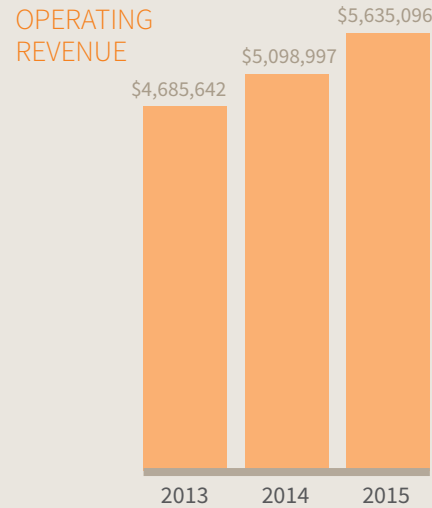
FINANCIAL SUMMARY

FROM JULY 1, 2014 TO JUNE 30, 2015

2015 STATEMENT OF ACTIVITIES

REVENUE	
Grants and Contributions	\$4,093,707
Contract Revenue	\$864,748
In-Kind and Other Revenue	\$5,853
Total Revenue and Support	\$4,964,308

EXPENSES	
Program Grants and Services	\$5,310,765
General & Administrative	\$28,071
Fundraising	\$38,827
Total Expenses	\$5,377,663
Change in Net Assets	\$(413,355)
Net Assets at Beginning of Year	\$3,570,275
Net Assets at End of Year	\$3,156,920



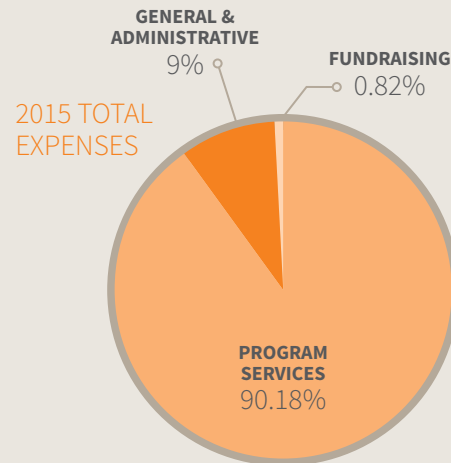
2015 STATEMENT OF FINANCIAL POSITION

ASSETS	
Cash and Cash Equivalents	\$1,196,511
Grants Receivable	\$2,221,857
Accounts Receivables	\$53,182
Other Assets	\$163,013
Total Assets	\$3,634,563

LIABILITIES AND NET ASSETS	
Accounts Payable	\$198,985
Grants, Direct Assist Payable	\$302,622
Accrued Liabilities	\$76,723
Deferred Revenue	\$132,813
Total Liabilities	\$711,143

NET ASSETS	
Unrestricted	\$664,938
Temporarily Restricted	\$2,491,982
Total Net Assets	\$3,156,920

Total Liabilities and Net Assets	\$3,868,063
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- + THE CAPACITY OF REGIONAL SOCIETIES TO SUSTAINABLY MANAGE THEIR FOREST REGIONS OFTEN COMES TOO LATE, WHEN THERE IS LITTLE LEFT TO MANAGE. FOR MANY OF THE GREAT FORESTS AND FISHERIES OF THE TROPICS, HOWEVER, IT IS NOT TOO LATE. THERE IS STILL TIME TO STEER THE AMAZON, BORNEO, AND OTHER GREAT FOREST REGIONS TOWARD SUSTAINABLE DEVELOPMENT, AVOIDING CARBON EMISSIONS, KEEPING FORESTS AND FISHERIES INTACT, AND INCREASING FOOD, FUEL, FIBER, AND FEED PRODUCTION.

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The Nature Conservancy

Arlington, VA

The Secretary of State for International Development at the Department for International Development, United Kingdom (UK DFID)

London, UK

The Tinker Foundation

New York, NY

The World Bank Group

Washington, DC

United States Department of Agriculture, Forest Service

Washington, DC

Verified Carbon Standard Association

Washington, DC

Vicki and Roger Sant

Washington, DC





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