



PROJECT IMPLEMENTATION REPORT (PIR)

for the project:

Staying within Sustainable Limits: Advancing leadership of the private sector and cities

FY21

July 1, 2020 – June 30, 2021

Executing Partners



| Project Information | | | |
|---|--|---|-----------------|
| Project Title: | Staying within Sustainable Limits: Advancing leadership of the private sector and cities | | |
| Country(ies): | Global | GEF ID: | 10309 |
| GEF Agency(ies): | Conservation International | Duration In Months: | 37 months |
| Executing Agency(ies): | RPA IUCN | Actual Implementation Start Date: | 10/01/2019 |
| GEF Focal Area(s): | MFA | Expected Project Completion Date: | 12/30/2022 |
| GEF Grant Amount: | \$2,000,000 | Expected Financial Closure Date: | 06/30/2023 |
| Expected Co-financing: | \$4,213,517 | Date of Last Steering Committee Meeting: | 06/09/2021 |
| Co-financing Realized as of June 30, 2021: | \$6,188,222 | Mid-Term Review-Planned Date: | N/A |
| Date of First Disbursement: | 10/01/2019 | Mid-Term Review-Actual Date: | N/A |
| Cumulative disbursement as of June 30, 2021: | \$1,404,192 | Terminal Evaluation-Planned Date: | 10/01/2022 |
| PIR Prepared by: | Heather Grady, Elizabeth Droggitis, Nicholas Macfarlane, Kaia Boe, Randall Jimenez | Terminal Evaluation-Actual Date: | TBD |
| CI-GEF Project Manager: | Free de Koning | CI-GEF Finance Lead: | Susana Escudero |

The CI-GEF Project Agency Project Implementation Report (PIR) is composed of six sections:

- Section I: Project Implementation Progress Status Summary:** provides a brief summary of the project as well as the implementation status and rating of the previous and current fiscal years;
- Section II: Project Results Implementation Progress Status and Rating:** describes the progress made towards achieving the project objective and outcomes, the implementation rating of the project, as well as recommendations to improve the project performance, when needed;
- Section III: Project Risks Status and Rating:** describes the progress made towards managing and mitigating project risks, the project risks mitigation rating reassessment as needed, as well as recommendations to improve the management of project risks;
- Section IV: Project Environmental and Social Safeguards Implementation Status and Rating:** describes the progress made towards complying with the Environmental & Social Safeguards and the Plans prepared during the PPG phase, the safeguard plans implementation rating, as well as recommendations to improve the project safeguards;
- Section V: Project Implementation Experiences and Lessons Learned:** describes the experiences learned by the project managers and the lessons learned through the process of implementing the project; and

SECTION I: PROJECT IMPLEMENTATION PROGRESS STATUS SUMMARY

PROJECT SUMMARY

Objective: To demonstrate a path for companies and cities to adopt robust science-based targets to sustain Earth's biodiversity and land systems, and influence all of society to safeguard our global commons.

The project consists of three key and overlapping elements.

An Earth Commission, consisting of world-leading scientists, will synthesize current science to define boundary conditions for a stable and resilient Earth system to support and guide the establishment of science-based targets. Many important global assessments have been performed, e.g. on climate and biodiversity, but this is the first major attempt to take a full Earth systems approach, taking into account the interlinkages between different subsystems. The core objective of the Earth Commission is to provide a state-of-the-art synthesis of the quantitative boundary conditions for the processes and systems that regulate the stability and resilience of the Earth system, securing continued functioning life support systems (e.g., for water, land, oceans, and biodiversity). Importantly, the Earth Commission also integrates social sciences to integrate socio-economic aspects, to define just targets, and identify levers for transformation.

A Science-Based Targets Network will coordinate the translation of global science into entity-specific targets for uptake by specific companies and cities. The development of these entity-specific targets will be undertaken by issue hubs that focus on target development for climate, biodiversity, land, oceans, freshwater, and cities. This project will focus on the development and early identification of these targets.

A Global Commons Alliance mobilization effort (Earth HQ) will promote the further adoption of these targets by other sectors and cities, such that a critical mass of effort becomes focused on actions that will ensure the sustainability of Earth systems.

PRIOR PROJECT IMPLEMENTATION STATUS (FY20)

Component 1 (Earth Commission – EC):

The focus of Component 1 during FY20 was the establishment of an Earth Commission and the launch of its process to synthesize current science to underpin target setting for intergovernmental fora, cities, companies, and other actors, which would be carried out through the Science-Based Targets Network and complemented by work of other parts of the GCA. As of June 2020, work is well underway with 19 leading scientists, balanced by gender, who are synthesizing the current science to provide a global-scale scientific assessment defining and identifying a safe and just corridor for people and the planet to underpin the setting of science-based targets. Where possible the Commission will define the quantitative boundary conditions for a stable and resilient Earth system, accounting for synergies and tradeoffs between its components.

Component 2 (Science Based Targets Network – SBTN):

SBTN was formally established as a sponsored project of Rockefeller Philanthropy Advisors with an engaged Advisory Council and a strong network of partners. Work is underway on translating global science into entity-specific targets for uptake by specific companies and cities. Issue hubs are established, cross-cutting work is proceeding, outreach to early adopter end-users (companies and, to a lesser extent, cities) has begun, and interim guidance for science-based targets for nature is in development.

Component 3 (IUCN):

The primary focus of the project implementation for FY20 in Component 3 has been around the development of an organizational structure for the hub and developing the methods paper for science-based targets for species biodiversity. The first of these is completed, and the second is on the verge of completion, as the methods paper is in the process of being submitted.

Component 4 (Earth HQ):

The focus of this component is to create understanding and support of the concept of global commons, with a particular focus on media. Earth HQ was established as a sponsored project of RPA, an Advisory Council is actively engaged, a website is established and evolving, communications products are in use, an Earth Dashboard is in development, and partnerships have been established with key partners to help reach crucial audiences from policymakers to the millennial (24-35 years) population.

The COVID-19 crisis has had a number of impacts on project planning in terms of events postponed or canceled, and some attention has been diverted to dealing with the crisis. Some funds originally budgeted for travel are being re-channeled into facilitation of and training on organizing virtual meetings. At the same time, this has catalyzed an opportunity to remind people everywhere of the fundamental connections between human health and well-being and planetary health.

CURRENT PROJECT IMPLEMENTATION STATUS (FY21)

COVID 19 Pandemic No-Cost Extension:

Despite a slight slowing in the response rate of external partners and collaborators as the world copes with the pandemic, the workaround methods development for science-based targets has been proceeding well. However, the impact of the postponement of CBD COP15 has been profound for Component 3. This Component of the project is designed to develop the methods for setting science-based targets in preparation of the GBF, and then once adopted at the keystone of COP15 at the midpoint of the project, use the new GBF to catalyze implementation amongst companies and cities in order to operationalize and motivate their contributions. Adaptive management discussions with CI-GEF and implementation of a no-cost extension of the period of performance through Sept 30, 2022, will provide IUCN the project time post-COP critical for actually achieving the environmental change.

Component 1 (Earth Commission – EC):

The focus of project implementation for FY21 in Component 1 was to advance the synthesis of current science to underpin target setting for intergovernmental fora, cities, companies, and other actors, which would be carried out through the Science-Based Targets Network and complemented by work of other parts of the GCA. As of June 2021, work is well under way with five working groups established (WG1: modeling; WG2: biosphere interactions; WG3: nutrients and pollution; WG4: transformations; WG5: translation and methods), in which Earth Commissioners, invited scientists, and other knowledge partners are synthesizing the current science to define and identify a safe and just corridor for people and the planet to underpin the setting of science-based targets. The Commission's conceptual framework has been published in a peer-reviewed journal (*Earth's Future*). The first outputs of the Biosphere WG, published in *Science* (through co-financing), were reported to and had a substantial impact on the Convention for Biological Diversity (CBD). During the past year the Commission has strengthened its focus on justice and socio-economic dimensions and is now not only defining targets that are "safe" for the planet, but also "just" for people.

Component 2 (Science Based Targets Network – SBTN):

The focus of project implementation for FY21 has been on providing initial corporate guidance on science-based targets for nature, and corresponding corporate engagement to ready companies for SBT setting and for participatory input into the design process. SBTN continues as a sponsored project of Rockefeller Philanthropy Advisors with an engaged Advisory Council and a strong network of over 45 partners. Work is underway on translating global science into entity-specific targets for uptake by specific companies and cities. Issue hubs are working on methods, cross-cutting work is proceeding, outreach to early adopter end-users (companies and to a lesser extent cities) is underway, and initial corporate guidance for science-based targets for nature has been issued. Awareness and demand for SBTN products are growing, and stakeholders are referring to SBTN as the authoritative source for corporate SBTs (e.g., references in TNFD technical scope.)

Component 3 (IUCN): The central effort of project implementation for FY21 has been developing and publishing the methods paper for science-based targets for species biodiversity. The paper has now been published in *Nature Ecology and Evolution* along with an accompanying communications campaign, and it has been very well received. Despite the significant COVID impacts delaying CBD COP15, the demand from companies and cities is high, and there is great excitement for the upcoming piloting and rollout to accelerate around and following this fall's World Conservation Congress and CBD COP.

Component 4 (Earth HQ):

The focus of this component is to create understanding and support of the concept of global commons, with a particular focus on media. Earth HQ was established as a sponsored project of RPA, an Advisory Council is actively engaged, a website is established and evolving, cutting-edge communications products are in use, an Earth Dashboard has launched and is evolving, and an expanding number of partnerships have been established with key partners to help reach crucial audiences from policymakers to the millennial (24-35 years) population.

- 1. NowThis Earth:** Since launching September 28, 2020, [NowThis Earth](#) has reached over 332 million people (millennials and Gen XYZ) and produced over 300 original stories.
- 2. Partnership with Eurovision News and N4C to Launch the Nature Zone Newsroom at COP26:** Earth HQ has launched a new media partnership with Eurovision News for daily coverage of COP 26.
- 3. Virtual Earth Dashboard, Situation Room For The Planet:** Earth HQ's initial prototype developed last year with Vizzuality and WRI lacked dynamic daily content to draw repeat visits and engagement, and the next iteration aims for a vast improvement. In October, Earth HQ will launch a new 'virtual Earth' version of the Earth Dashboard in partnership with WRI and Null School Earth, with dozens of near-real time data visualizations
- 4. Mongabay 'Planetary Boundaries' Special Reporting Project:** In total, the 43 stories and 10 videos created with support from this project have been viewed or read at least 1.4M times, The Planetary Boundaries story feed: <https://news.mongabay.com/series/planetary-boundaries/>.

SUMMARY: PROJECT IMPLEMENTATION PROGRESS STATUS

| PROJECT PART | PRIOR FY20 IMPLEMENTATION PROGRESS RATING | CURRENT FY21 IMPLEMENTATION PROGRESS RATING ¹ | RATING TREND ² |
|-----------------------------------|---|--|---------------------------|
| OBJECTIVE | S | S | Unchanged |
| COMPONENTS AND OUTCOMES | S | MS | Decreasing |
| ENVIRONMENTAL & SOCIAL SAFEGUARDS | HS | HS | Unchanged |

PROJECT RISK RATING³

| | | | |
|-------|---|---|------------|
| RISKS | M | S | Increasing |
|-------|---|---|------------|

¹ **Implementation Progress (IP) Rating:** Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). For more details about IP rating, please see the Appendix I of this report

² **Rating trend:** Improving, Unchanged, or Decreasing

³ **Risk Rating:** Low (L), Moderate (M), Substantial (S), High (H)

SECTION II: PROJECT RESULTS IMPLEMENTATION PROGRESS STATUS AND RATING

This section describes the progress made towards achieving the project objective and outcomes, the implementation progress rating of the project, as well as recommendations to improve the project performance. This section is composed four parts:

- Progress towards Achieving Project Expected Objective: this section measures the likelihood of achieving the objective of the project
- Progress towards Achieving Project Expected Outcomes (by project component)
- Overall Project Results Progress Rating, and
- Recommendations for improvement

a. Progress towards Achieving Project Expected Objective:

This section of the report assesses the progress in achieving the objective of the project.

| PROJECT OBJECTIVE: | To demonstrate a path for companies and cities to adopt robust science-based targets to sustain Earth's biodiversity and land systems, and influence all of society to safeguard our global commons. | | |
|---|--|------------------------------|---|
| OBJECTIVE INDICATORS | END OF YEAR INDICATOR STATUS | PROGRESS RATING ⁴ | COMMENTS/JUSTIFICATION |
| Indicator a: A credible, widely respected, and diverse Global Commons Alliance consisting of an Earth Commission, a Science-Based Targets Network, Issue Hubs, and communications outreach recognized by the planetary science community are funded and functioning. | The Global Commons Alliance and its constituents are funded and functioning. | CA | The GCA and its constituents are funded and functioning. Credibility and respect are growing. |
| Indicator b: # of Earth Commission manuscripts to underpin the development of science-based targets submitted for peer-review. | 3 papers submitted and 2 published. | IS | The EC and its working groups have submitted three manuscripts for peer review and two papers have been published, one in Earth's Future describing the ECs conceptual framework, and one on biodiversity goals in Science. The latter was produced based on a workshop that was not specifically supported by the GEF - the travels and venue and responsible staff were co-funded by other funders. However, it's an important part of the EC outputs so far. It contributes to the |

⁴ O= Overdue; D= Delayed; NS= Not started; IS= Under implementation on schedule; and CA= Completed/Achieved

| | | | |
|---|--|-------------|---|
| | | | goals of the GEF grant and it has been the basis for the subsequent work to influence the CBD (with staffing covered by the GEF grant). The main report of the EC will be submitted for peer-review by mid-2022; this date is much later than expected, mainly because the Covid-19 pandemic made in-person meetings impossible, slowing down the workflow. |
| Indicator c: # of peer-reviewed science-based target methodologies for corporate and government adoption developed and published. | IUCN Manuscript published in Nature Ecology and Evolution. EC - 1 methods paper peer reviewed and to be submitted at the beginning of July. | IS | IUCN Guidance documents were also prepared with consultations underway. The first tranche of work around developing the methods is well under way on schedule, and in the process of being peer-reviewed. |
| Indicator d: # of globally recognized companies and/or cities of greater than 500K inhabitants that have adopted science-based targets for land and/or biodiversity. | Delayed due to COVID and delay of CBD COP 15 | D/IS | High level conversations underway but proving slower than anticipated as a result of COVID. |

| OBJECTIVE IMPLEMENTATION PROGRESS RATING | JUSTIFICATION |
|---|---|
| S | The Global Commons Alliance is now funded and functioning. Three scientific papers have been published, and several other manuscripts have been submitted. The COVID-19 pandemic has caused some delays because in-person meetings were impossible. The main report of the Earth Commission will be submitted later than planned, and there are delays in engagement with companies and cities. |

b. Progress towards Achieving Project Expected Outcomes (by project component).

This part of the report assesses the progress towards achieving the outcomes of the project.

| COMPONENT 1 | Earth Commission |
|---------------------|--|
| Outcome 1.1: | The Earth Commission has synthesized current science to underpin target setting for intergovernmental fora, cities, companies, and other actors through the Science-Based Targets Network. |
| Outcome 1.2: | Scientific and non-scientific female and male audiences are informed of the initial findings of the first synthesis report. |

| OUTCOMES TARGETS/INDICATORS | END OF PROJECT INDICATOR TARGET | END OF YEAR INDICATOR STATUS | PROGRESS RATING ⁵ | COMMENTS/JUSTIFICATION |
|--|--|---|---------------------------------|--|
| Outcome indicator 1.1.1: Manuscript of synthesis reports to underpin the development of science-based targets submitted for peer review. | 1 synthesis report submitted for peer review. | Work underway. | D | The EC and its working groups have submitted three manuscripts for peer review and two papers have been published. However, the main report of the EC will be submitted by mid-2022, much later than initially expected. The work of the Earth Commission has been complicated by the absence of in-person meetings that allow efficient collaboration, due to COVID-19 restrictions, and increased workloads for many Commissioners who are performing this work on a voluntary basis along with their full-time university employment. |
| Outcome indicator 1.2.1: Number of communications materials produced. | At least 5 different communications materials produced, tailored for both female and male audiences. | Communication materials have been produced, including the amplification of the published papers from the Earth Commission, and the website (earthcommission.org) launched in advance of the synthesis report. | IS | The concept of a “safe and just corridor for people and planet” has been communicated to scientific and other audiences to prepare for impact and uptake when the main report is published. Blogs and articles have been published on the web and promoted on social media. Presentations at international venues include the SRI2021 conference, GCA partner meetings and meetings of communications professionals under the GCA Hive, and other online convenings in the past year. |

| COMPONENT 1 IMPLEMENTATION PROGRESS RATING | JUSTIFICATION | RATING TREND |
|--|---|--------------|
| MS | Good progress was made with publications (three manuscripts were submitted for peer review and two papers have been published). However, due to impacts of the COVID-19 pandemic the main report of the Earth Commission will be submitted later than initially expected. | Decreasing |

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|---------------------|---|
| COMPONENT 2 | Science-Based Targets Network and Science-Based Targets for Land |
| Outcome 2.1: | A Science-Based Targets Network balanced by expertise, gender, and geography is established and funded. |

⁵ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

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| Outcome 2.2: | First of three targets for science-based targets or land developed and adopted via a “Land Hub.” |
| Outcome 2.3: | Globally recognized companies pledge to adopt science-based targets for land. |

| OUTCOMES TARGETS/INDICATORS | END OF PROJECT INDICATOR TARGET | END OF YEAR INDICATOR STATUS | PROGRESS RATING ⁶ | COMMENTS/JUSTIFICATION |
|--|---|---|------------------------------|--|
| Indicator 2.1.1: Number of science-based targets networks created. | 1 Science-Based Targets Network | 1 Science-Based Targets Network Established. | CA | SBTN up and running. |
| Indicator 2.2.1: Number of Land SBT. | 1 land-based science-based target focused on zero-conversion natural habitat. | Work underway. | IS | Ongoing discussions and analytical work. |
| Indicator 2.3.1: Number of companies (on land and more broadly) [that pledge to adopt specific science-based targets for land] | At least 5 globally recognized companies. | Surpassed target, with over 70 companies (n=100 as of 25 August 2021) participating in the Corporate Engagement Program, engagement underway. | CA | <p>During the second year, SBTN launched its formal creation of a Corporate Engagement Program (CEP) for leading companies, consultancies and industry coalitions across sectors and geographies to work with SBTN. The primary goals are 1) to ready companies to set SBTs for nature as the methods are completed, and 2) enable them to participate in the design process, to ensure the methods, guidance and tools being developed are user friendly and scalable. For more detail on the terms and commitment associated, see here.</p> <p>To date over 70 companies, consultancies and industry coalitions have joined the CEP (n=100 as of 25 August 2021). All are engaging on land (material for all).</p> |

| COMPONENT 2 IMPLEMENTATION PROGRESS RATING | JUSTIFICATION | RATING TREND |
|--|--|--------------|
| S | The Science-Based Targets Network has been established, achieving indicator 2.1.1. Work towards achieving indicator 2.2.1 is underway, and the target for indicator 2.3.1 has been overachieved (70 companies versus a target of 5 companies). | Unchanged |

⁶ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

| | |
|--------------------|---|
| COMPONENT 3 | Science-Based Targets for Biodiversity |
| Outcome 1: | A legitimate and credible methodology for the assessment of specific science-based targets for biodiversity is established. |
| Outcome 2: | Globally recognized companies and/or cities pledge to adopt specific science-based targets for biodiversity. |

| OUTCOMES TARGETS/INDICATORS | END OF PROJECT INDICATOR TARGET | END OF YEAR INDICATOR STATUS | PROGRESS RATING ⁷ | COMMENTS/JUSTIFICATION |
|--|---|---|------------------------------|---|
| Outcome indicator 3.1.1.: Number of science-based target methodology peer-reviewed and published. | 1 methodology. | 1 methods paper published in Nature Ecology and Evolution on April 8 2021 | CA | Paper published, methodology established and available as a resource. https://rdcu.be/cikbh |
| Outcome indicator 3.2.1.: Number of globally recognized companies a/o cities of more than 500K inhabitants adopting science-based targets for biodiversity. | At least five globally recognized companies and/or cities of greater than 500K inhabitants. | Ongoing but delayed due to covid challenges and postponement of WCC and CBD COP | D/IS | High level conversations continuing but progressing slower than anticipated as a result of COVID and delay of CBD COP. |

| COMPONENT 3 IMPLEMENTATION PROGRESS RATING | JUSTIFICATION | RATING TREND |
|--|--|--------------|
| MS | Under this component, a scientific paper was published in <i>Nature Ecology and Evolution</i> , which is an important result and means that outcome 3.1 has been achieved. However, the impact of postponing CBD COP15 due to the COVID-19 pandemic, has had a profound outcome 3.2. Component 3 is designed to develop the methods for setting science-based targets in preparation of the GBF. Once adopted at the COP15, the new GBF catalyzes implementation amongst companies and cities. Adaptive management discussions with CI-GEF led to the implementation of a no-cost extension of the period of performance through Sept 30, 2022, in order to achieve outcome 3.2. | Decreasing |

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| | |
|---------------------|--|
| COMPONENT 4 | Global Commons Alliance Mobilization - Earth HQ |
| Outcome 4.1: | Understanding and support of Global Commons concept and related Global Commons Alliance is substantially increased across numerous audiences worldwide. |
| Outcome 4.2: | Demand from key influencers, companies, cities, and government to join the Global Commons Alliance as a global solution to sustaining Earth's biodiversity and life support systems substantially increased. |

| OUTCOMES TARGETS/INDICATORS | END OF PROJECT INDICATOR TARGET | END OF YEAR INDICATOR STATUS | PROGRESS RATING ⁸ | COMMENTS/JUSTIFICATION |
|--|------------------------------------|-------------------------------------|------------------------------|---|
| Indicator 4.1.1: Number of alliances established for the development and promotion of science based targets. | 1 Earth HQ | Earth HQ established and operating. | CA | Executive Director, Advisory Council, legal status, consultants and contractors in place. |
| Indicator 4.2.1: Number of globally recognized champions (companies/cities) promoting GCA targets. | At least 100 organizations | Underway to exceed target. | IS | SBTN Corporate Engagement Platform includes more than 70 companies. 12 cities deeply engaged in the SBTs for cities workshopping. These are in addition to the 45+ partner organizations which champion SBTN's work. |
| Indicator 4.2.2: Number of media partners supporting the Earth HQ network. | At least 10 media partners | 8 | IS | Now This, Mongabay, TED Countdown, Earth X, Discovery, Oprah Winfrey, Science Channel, and Netflix are media partners on board. Discussions are in progress with others including Eurovision (which includes BBC and about 100 other European news partners). |

| COMPONENT 4 IMPLEMENTATION PROGRESS RATING | JUSTIFICATION | RATING TREND |
|--|--|--------------|
| S | Earth HQ is established and operating. Good progress is being made towards achieving the targets for outcome 4.2 | Unchanged |

c. Overall Project Results Rating

⁸ O= Overdue; D= Delayed; NS= Not started on schedule; IS= Under implementation on schedule; and CA= Completed/Achieved

| OVERALL RATING | JUSTIFICATION | RATING TREND |
|----------------|---|--------------|
| MS | While good progress is made in components 2 and 4, and several outcomes in components 1 and 3, the COVID-19 pandemic has caused delays. The main report of the Earth Commission will be submitted later than planned due to the absence of in-person meetings. The impact of the postponement of CBD COP15 due to the COVID-19 pandemic, has been profound for outcome 3.2. Adaptive management discussions with CI-GEF led to the implementation of a no-cost extension of the period of performance through Sept 30, 2022, in order to achieve outcome 3.2. | Decreasing |

d. Recommendations

| CORRECTIVE ACTION(S) | RESPONSIBLE PARTY | DEADLINE |
|--|-----------------------|----------|
| The COVID-19 pandemic has affected the project. Adaptive management discussions with CI-GEF led to the implementation of a no-cost extension of the period of performance through Sept 30, 2022. | CI-GEF, Project teams | N/A |

SECTION III: PROJECT RISKS STATUS AND RATING

a. Progress towards Implementing the Project Risk Mitigation Plan

This section describes the activities implemented to manage and reduce high, substantial, modest, and low risks of the project. This section has three parts:

- Ratings for the progress towards implementing measures to mitigate project risks and a project risks annual reassessment
- Recommendations for improving project risks management

a. Progress towards Implementing the Project Risk Mitigation and Plan Project Risks Annual Reassessment

| PROJECT RISKS | PRODOC RISK MITIGATION MEASURE | MITIGATION MEASURES IMPLEMENTATION | PROGRESS RATING ⁹ | COMMENTS/JUSTIFICATION | PRODOC RISK RATING | CURRENT FY20 RISK RATING | RISK RATING TREND ¹⁰ |
|-------------------------|--|--|------------------------------|---|--------------------|--------------------------|---------------------------------|
| Risk 1: Academia | <p>Academia buy-in and understanding of the target-setting process and the resulting targets will be essential for the uptake of targets. In addition to being part of the Earth Commission and the Network, academia will play a key role in the peer-review process of both entities.</p> <p>Academia is included as a part of the Earth Commission and the working groups, and playing a key role in the peer-review process. Ongoing engagement with academics in development and revision of the biodiversity methods paper.</p> <p>There will be ongoing engagement with these groups, as they will very likely serve on advisory panels or as members of the Earth Commission and the Science-Based Targets Network. They will be engaged in the peer-review process.</p> | <p>EC members are academic scientists; working groups of scientists have been initiated; several academic institutions are involved in this work.</p> <p>Academia is being updated by IUCN, and input into work is being sought at all levels. Ongoing engagement continues on schedule, for example, with the almost 100 academic co-authors involved in the development of science-based targets for species biodiversity methods paper.</p> | IS | <p>The ongoing engagement continues on schedule; apart from the EC and WG members, external academics have been invited to workshops and the work of the EC has been presented at scientific conferences.</p> <p>SBTN Issue Hubs continue to have academic input, through participation in Hubs' work and presentations to academia.</p> <p>Uptake and engagement from academia have been positive, leading us to decrease the risk rating.</p> | Medium | Low | Decreasing |

⁹ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

¹⁰ **Rating trend**: Increasing, Unchanged or Decreasing

| | | | | | | | |
|--|---|--|----|---|------------|--------------|-----------|
| | Engage with academia from the onset of the project to orient them to the project and seek their guidance for the peer review process. | | | | | | |
| Risk 2: Media | The GCA will engage the media as a part of its branding and outreach efforts. Once key targets are developed, media will be engaged to help disseminate and promote targets and the GCA. | Media has been engaged when the EC has published papers and in several other GCA activities. | IS | Media is increasingly important in the work of the GCA and we are trying to garner more resources for earlier and fuller outreach, including to millennials. School children are now also included as target audiences for GCA scientific outreach and messaging, including an arts-based project on nature and the global commons. | Medium | Low | Unchanged |
| Risk 3: Local governments and cities | Early engagement with key actors in companies and cities for assessing the demand, raising awareness on the applicability and benefits of targets, and building support and commitment towards applying them. | Early engagement ongoing through a variety of different outreach mechanisms across the GCA. | IS | Early engagement ongoing through a variety of different outreach mechanisms across the GCA. EC is raising science based targets for the global commons with the Swedish government as hosts of the Stockholm+50 UN Summit. | Low/Medium | Low/Moderate | Unchanged |
| Risk 4: Private sector - conflict of interest | IUCN follows its Operational Guidelines on Business Engagement , including a rigorous risk and opportunities assessment with mitigating actions. Conflicts of interest would be assessed in this process. | Implementation is ongoing for all private sector entities involved in component 3 during the development of science-based targets for species biodiversity | IS | The IUCN operational guidelines on business engagement are being applied and will continue to be applied. SBTN has terms of reference as guidelines for corporate sector participation in the SBTN Corporate Engagement Program. | Low | Low | Unchanged |

| | | | | | | | |
|--|--|--|----|---|--------|--------|-----------|
| Risk 5: Engaging with youth, indigenous groups and faith-based communities is challenging for different, mostly practical, reasons given the relatively short timeframe of project implementation . | IUCN's has in house experts on indigenous issues as well as opportunities to engage expert IUCN Commission members, including indigenous peoples. The project team, IUCN Commissions, and IUCN Members will be important in facilitating interactions around this work for various stakeholders, including youth, indigenous peoples, and faith-based communities at events such as the World Conservation Congress. | Continue to draw on IUCN's in-house experts as necessary. | IS | IUCN's in-house experts continue to be resources, particularly during the planning of the World Conservation Congress which has now been postponed until September 2021 and will be held in a hybrid in person/virtual format as a result of COVID-19. EC has invited researchers specialized on indigenous issues to workshops. | Low | Low | Unchanged |
| Risk 6: Social and traditional media outreach efforts may be drowned out by other events or fail to garner enough attention. | IUCN will consult with its Global Communications Unit in strategic timing and presenting of the outcomes (publications) for Component 3. | Conversations underway after the publication of the methods paper. Guidance Documents prepared and consultations are underway to publish and communicate these. Media outreach around methods publication accompanied with effective communications campaign. EC has hired a science communicator (funded by another grant) to ensure efficient media outreach. | IS | Mitigation measures for this risk will be relevant once the methods paper for science-based targets for species has been accepted. | modest | modest | unchanged |
| Risk 7: Engagement and ownership of the initiative remaining mainly in the "global North" and risk of drawing | Strive to capture diverse perspectives in the review of publications, including through engagement with IUCN Commission members from the "global South". | EC and WG members are from all over the world. This issue is addressed in the work on setting just targets – ensuring harm is avoided and access to resources are distributed to all. | IS | Authors of methods paper and drivers of pilot testing in component 3 are from all over the world. | low | low | unchanged |

| | | | | | | | |
|--|-----|--|----|--|-----|------|------------|
| criticism from "global South" countries. | | Authors of methods paper and drivers of pilot testing in Component 3 are from all over the world. | | | | | |
| Risk 8: COVID 19 pandemic | N/A | <p>Increased virtual meetings Discussion with all funders and partners about the threats and opportunities posed by the COVID-19 crisis</p> <p>No-cost extension of project period of performance planned through 09/30/2022 with CI-GEF</p> | IS | <p>Despite a slight slowing in the response rate of external partners and collaborators as the world copes with the pandemic, the work around methods development has been going well. However, the impact of the postponement of CBD COP15 has been profound. In particular, Component 3 of the project is designed to develop the methods for setting science-based targets in preparation of the GBF, and then once adopted at the keystone of COP15 at the midpoint of the project, use the new GBF to catalyze implementation amongst companies and cities in order to operationalize and motivate their contributions.</p> <p>Adaptive management implementation of a no-cost extension of the period of performance through Sept 30, 2022 will provide the project time post-COP is critical for actually achieving the environmental change.</p> | N/A | high | increasing |

| OVERALL RATING OF PROJECT RISKS | JUSTIFICATION | RISK RATING TREND ¹¹ |
|---------------------------------|--|---------------------------------|
| S | The COVID-19 pandemic has affected the project. The main report of the Earth Commission will be submitted later than planned due to the absence of in-person meetings. Especially the impact of the postponement of CBD COP15 due to the COVID-19 pandemic, outside the control of the project, has been profound for outcome 3.2. Adaptive management discussions with CI-GEF led to the implementation of a no-cost extension of the period of performance through Sept 30, 2022. Still significant uncertainty remains for the CBD COP15. | Increasing |

Recommendations

| CORRECTIVE ACTION(S) | RESPONSIBLE PARTY | DEADLINE |
|--|-----------------------|----------|
| The COVID-19 pandemic has affected the project. Adaptive management discussions with CI-GEF led to the implementation of a no-cost extension of the period of performance through Sept 30, 2022. | CI-GEF, Project teams | N/A |

¹¹ **Rating trend:** Increasing, Unchanged or Decreasing

SECTION IV: PROJECT ENVIRONMENTAL AND SOCIAL SAFEGUARDS IMPLEMENTATION STATUS AND RATING

This section of the PIR describes the progress made towards complying with the approved Environmental and Social Safeguard plans, as well as recommendations to improve the implementation of the safeguard plans, when needed. This section is divided in three parts:

- a. Progress towards Complying with the CI-GEF Project Agency's Environmental & Social Safeguards
- b. Overall Project Safeguard Implementation Rating
- c. Recommendations

a. Progress towards Complying with the CI-GEF Project Agency's Environmental & Social Safeguards

| MINIMUM SAFEGUARD INDICATORS | PROJECT TARGET | END OF YEAR STATUS | PROGRESS RATING ¹² | COMMENTS/JUSTIFICATION |
|---|----------------------------------|--|-------------------------------|---|
| ACCOUNTABILITY AND GRIEVANCE MECHANISM 1. Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism. 2. Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been resolved. | 0 N/A | 0 | CA | No grievances submitted. Component 1,2,and 4 leads were provided with the information about RPAs grievance mechanism in 2019 and again in 2021 but not during the 12 months covered by this PIR. IUCN grievance mechanism is publically posted and communicated to its projects (https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system). Relevant consultants working on Component 3 were told about it at the beginning of their work. |
| GENDER MAINSTREAMING | | EC: 97 (48 women and 49 men) (including EC, WG and staff members and | | |

¹² **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

| | | | | |
|---|---------------------------------|---|-------------------------------|--|
| <ol style="list-style-type: none"> 1. Number of men and women that participated in project activities (e.g. meetings, workshops, consultations). 2. Number of men and women that received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project. 3. Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations (this indicator applies to relevant projects). | <p>100 (50% men, 50% women)</p> | <p>experts invited to workshops)</p> <p>At least 686 (321 women, 365 men)</p> <p>NA</p> <p>NA</p> | <p>IS</p> <p>NA</p> <p>NA</p> | <p>Continuing to strive for gender balance at every opportunity.</p> <p>NA</p> <p>NA</p> |
| <p>STAKEHOLDER ENGAGEMENT</p> <ol style="list-style-type: none"> 1. Number of government agencies, civil society organizations, private sector, indigenous peoples, and other stakeholder groups that have been involved in the project implementation phase on an annual basis 2. Number persons (sex disaggregated) that have been involved in project implementation phase (on an annual basis) 3. Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase (on an annual basis) | <p>75</p> <p>100</p> <p>20</p> | <p>At least 485</p> <p>686 (321 women, 362 men)</p> <p>125</p> | <p>IS</p> <p>IS</p> <p>IS</p> | <p>IUCN, EC, and SBTN have extensive engagement with stakeholders during the development of methods for science-based targets for species biodiversity and the broader work.</p> |

| | | | | |
|--|------------------|----|----|--|
| | | | | |
| 4. Percentage of stakeholders who rate as satisfactory the level at which their views and concerns are taken into account by the project <i>(responsible party for measuring this indicator is CI-GEF Agency and this will be undertaken by the consultant hired by the CI-GEF Agency to conduct the MTR and Terminal Evaluation)</i> | | | | |
| PROTECTION OF NATURAL HABITATS ** 1. Hectares of natural and/or critical natural habitats loss or degraded ** For this project it is Total area under improved management | 310,000 Hectares | NS | NS | This indicator is relevant following adoption of science-based targets, not in FY21. |

b. Information on Progress, challenges and outcomes on stakeholder engagement

Component 1 (EC): Stakeholder engagement has gone well. The Earth Commissioners are extremely busy academics but many of them are committing a lot of time to the project on a voluntary basis. The work has resulted in two published papers and one additional paper submitted for peer-review. The COVID crisis presented an extra challenge as virtual meetings tend to be less efficient when it comes to reaching agreements and integrating the work between working groups. However, virtual meetings have made it possible to invite a larger number of experts to workshops. A report was produced by a large number of biodiversity experts, that already influenced the CBD technical papers which will contribute to the CBD post-2020 Framework negotiations at the Kunming COP. The EC secretariat and co-chairs are engaging with the Swedish government hosts of the high-level UN meeting Stockholm+50 that will take place in June 2022. Several EC representatives have engaged with other scientists and stakeholders, presenting the EC work in various meetings and conferences.

Component 2 (SBTN): Stakeholder engagement has gone well. Much of this period was focused on working with the approximately 45+ direct partners, mostly environmental NGOs, who are contributing to the development of the science-based targets. As others were also brought in, there was great interest from organizations working in the same area, from end-user companies, and funders. The Corporate Engagement Program was set up for corporate participation in the development process, and counts over 70 global companies, consultancies and industry coalitions as members. SBTN also participates in relevant collaborations in the space (including TNFD, Global Goal for Nature group, Business for Nature, etc) and leaders speak at relevant meetings and conferences. Network partner organizations are teaming together to share SBTN's work and plans in regional workshops and high-level meetings.

Component 3 (IUCN): In FY21, IUCN has continued to engage stakeholders extensively in the development and publication of the methods paper on SBT and plans further extending this once the guidance documents are made available and pilot testing has started. COVID-19 has presented an engagement challenge with the postponement of CBD COP and related meetings, and the IUCN World Conservation Congress to September 2021, however, engagement has continued virtually, and it is expected that engagement will be strengthened by opportunities to convene in person later in 2021/2022.

Component 4 (Earth HQ): Progress on stakeholder engagement has continued to go well. Phase 1 Development involved an extensive set of stakeholder interviews across key GCA components, partners, and media that was used to set design parameters for prototyping/Phase 2 build of the Earth Dashboard. We have established quarterly partner meetings on communications. There are bimonthly Hive communications meetings with guest speakers and bringing together the communications teams for all GCA partners to update them on progress and engage them in plans for the future. There are weekly core GCA communications meetings. The Earth Dashboard Working Group meets quarterly. The Earth HQ governing entity (Earth HQ Advisory Council) also has stakeholders from all of the key GCA entities and independent reps as well.

c. Provide information on the progress towards achieving gender sensitive measures/targets

Component 1 (EC): The EC is satisfied with the progress so far on gender mainstreaming. Women make up a third of the Commission, including one female co-chair, and the 5 Working Groups of the EC have active engagement of female scientists. Two female scientists, for example, lead the Transformations Working Group and more than half of the Working Group members are women. A female scientist chaired the workshop on biodiversity goals and 20 of the 43 participants were women. Around a third of the authors of the published papers are female. Women have a strong position in the Earth Commission secretariat, for example the executive director, the science lead, as well as the science communicator are female.

Component 2 (SBTN): SBTN's core team, the Issue Hub teams, and the Advisory Council are all well-balanced by gender or have a predominance of women. 6 of the 8 members of the SBTN Council are female, as are the executive director, corporate engagement director, and key staff. All issue hub teams have at least 50% female composition.

Component 3 (IUCN): The primary relevant piece of work to report on has been the development and publication of the methods manuscript for setting science-based targets for species biodiversity. The intellectual leadership is led by Louise Mair and 30 of the 88 other authors are also women. This gender balance is much better than is often found in academia, when a group is selected based on a criterion of scientific expertise; however, it does not yet attain the 50-50 balance that we are striving for.

d. Overall Project Safeguard Implementation Rating

SUMMARY: PROJECT SAFEGUARD IMPLEMENTATION RATING BY TYPE OF PLAN

| SAFEGUARDSTRIGGERED BY THE PROJECT (delete those not applicable) | CURRENT FY20 IMPLEMENTATION RATING | RATING TREND |
|--|---------------------------------------|--------------|
| Accountability and Grievance Mechanisms | HS | Unchanged |
| Gender Mainstreaming Plan (GMP) | HS | Unchanged |

| | | |
|-----------------------------------|----|-----------|
| Stakeholder Engagement Plan (SEP) | HS | Unchanged |
|-----------------------------------|----|-----------|

OVERALL PROJECT SAFEGUARD IMPLEMENTATION RATING

| RATING | JUSTIFICATION | RATING TREND |
|--------|---|--------------|
| HS | The grievance mechanism was communicated to stakeholders and no complaints were received during the reporting period. The project continues to achieve a gender ratio of 1:1 (male: female) with many women holding prominent positions and/or contributing to the project in a substantial way. As noted, the pandemic presented challenges for stakeholder engagement but also allowed for a larger number of stakeholders to participate virtually. As such, the targets for stakeholder engagements were surpassed significantly. | Unchanged |

e. Recommendations

| CORRECTIVE ACTION(S) | RESPONSIBLE PARTY | DEADLINE |
|----------------------|-------------------|----------|
| None. | | |

SECTION V: PROJECT IMPLEMENTATION EXPERIENCES, KNOWLEDGE MANAGEMENT AND LESSONS LEARNED

Required topics

Knowledge activities/products (when applicable), as outlined in the knowledge management plan approved at CEO endorsement/approval.

Component 1 (EC): As outlined in the proposal, the syntheses developed through Component 1 is taking stock of the science required to define safe and just Earth system targets (at global and/or regional scales) that will underpin science-based targets for companies and cities. This scientific basis will contribute to the methodologies developed by SBTN and will be one of the important elements lending science-based targets their credibility and legitimacy. A large number of scientists are engaged in the synthesis of existing scientific knowledge, and new scientific concepts are also being developed. The Earth Commission is also anchoring the work in academia by participating in and presenting the EC and GCA in international scientific conferences.

- The EC and Future Earth developed the website www.earthcommission.org where the EC work has been communicated in articles, visuals and a [video](#). Some articles have been published in other media. Below a selection from this reporting period:
- ***Earth Commission strengthened to identify governance solutions for a safe and just planet*** – press release announcing the Transformations Working Group and a newly received grant, published at the websites of the Earth Commission (<https://earthcommission.org/news/earth-commission-news/earth-commission-strengthened-to-identify-governance-solutions-for-a-safe-and-just-planet/>) and the Global Challenges Foundation (<https://globalchallenges.org/the-global-challenges-foundation-supports-the-earth-commission/>)
- ***The Coronavirus Crisis as an Opportunity for an Innovative Future*** – opinion article by WG lead Nebojsa Nakicenovic published in Medium and at the Earth Commission website: <https://futureearth.medium.com/the-coronavirus-crisis-as-an-opportunity-for-an-innovative-future-e1461931ed61>
- ***Tackling the Alarming Decline in Nature Requires a ‘Safety Net’ of Goals*** – press release about the biodiversity paper in Science published at the EC website (<https://earthcommission.org/news/earth-commission-news/new-research-tackling-the-alarming-decline-in-nature-requires-a-safety-net-of-multiple-ambitious-goals/>).
The release was distributed by EurekAlert who also published the following news release: https://www.eurekalert.org/pub_releases/2020-10/icft-tng102020.php.
The media outlet Mongabay reported about the same paper: <https://news.mongabay.com/2020/10/ambitious-and-holistic-goals-key-to-saving-earths-biodiversity-study-says/>.

<https://earthcommission.org/news/earth-commission-news/new-earth-commission-working-group-to-focus-on-the-challenges-of-cross-scale-translation/>
- ***New Earth Commission Working Group to Focus on the Challenges of Cross-Scale Translation*** - news article on Future Earth and Earth Commission websites, announcing the Translation and Methods Working Group: <https://earthcommission.org/news/earth-commission-news/new-earth-commission-working-group-to-focus-on-the-challenges-of-cross-scale-translation/>
- ***A “Safe and Just corridor” for planet and people*** - news article about the publication of the Earth Commission’s conceptual framework in the peer-reviewed journal *Earth’s Future*: <https://earthcommission.org/news/earth-commission-news/identifying-a-safe-and-just-corridor-for->

people-and-planet/

- **What are the safe and just boundaries for pollution, people and planet?** Article about the Nutrients and Pollution Working Group: <https://earthcommission.org/news/earth-commission-news/working-group-3-under-way/>

Component 2 (SBTN): Knowledge building and sharing continues to be a key priority for SBTN in FY21. Key assets include:

- The [initial corporate guidance on SBTs for nature](#) (with executive summaries translated into 5 other languages available for download)
- [a teaser video](#)
- Supporting content, e.g., a walkaround deck for corporate engagement.

Additional assets include:

- [A perspective on nature positive](#) by key members of the technical team
- [A guide on climate SBTs for cities](#)
- Numerous news articles and opinion pieces have been published.

The information generated through SBTN is made widely available via 1) a newsletter to all SBTN partner organizations, 2) SBTN's website www.sciencebasedtargetsnetwork.org, and 3) a newsletter to all those who subscribe to learn more via SBTN's website.

Component 3 (IUCN): In general, knowledge-related activities continue to mark the principal theme of component three's project implementation during FY21. As the methods for developing science-based targets for species biodiversity near submission to peer-review, and the first manuscript has been published in Nature Ecology and Evolution, the extensive process for developing and vetting across more than 75 knowledge-driven conservation organizations has resulted both in more robust methods, but also in generating support and constituency building for the methods across the biodiversity community. Many of the lessons learned have stemmed from the need to be adaptive and flexible in response to the COVID-19 pandemic. A key knowledge activity, the IUCN World Conservation Congress was intended to take place in June 2020, but has been postponed until September 2021 as a result of the pandemic. This has prompted a reconsideration of some of the initially planned activities and timelines anticipated in the project document, but a willingness to shift knowledge work to virtual has kept the development and implementation moving.

Component 4 (Earth HQ): In the second year as partnerships were launched with NowThis Earth and Mongabay we learned that solutions journalism is the most effective form of storytelling, which has enabled us to reach an audience of over 300 million. High profile GCA Leadership Council members, when given a platform like Netflix, are big draws. We learned that Mongabay's investigative journalism is very effective and it is an essential source of voices from the Global South. WRI is an excellent partner for the Earth Dashboard.

Overall, the GCA is compiling a huge amount of information and communicating about it via the internet and virtual events.

Additional topics (please choose two)

2. Engagement of the private sector

- **Component 2:** During the second year, SBTN moved beyond targeted outreach to broad regional workshops and the formal creation of a Corporate Engagement Program (CEP) for leading companies, consultancies and industry coalitions across sectors and geographies to work with

SBTN. The primary goals are 1) to ready companies to set SBTs for nature as the methods are completed, and 2) enable them to participate in the design process, to ensure the methods, guidance and tools being developed are user friendly and scalable. To date over 70 companies, consultancies and industry coalitions have joined the CEP, and the pending Nature Positive campaigns associated with the COP26 Champions will signpost to the SBTN CEP for corporate action.

- **Component 3:** Although the primary focus of FY21 has been on methods development, early high-level conversations with the private sector have proved useful for shaping the direction and understanding the extent of demand for science-based targets for biodiversity (high). The primary lesson learned has been a reinforcement of the value of engagement early and often in an open-minded way with first-mover type companies who are motivated to align with science and multilateral environmental agreements. A secondary lesson has been as expected that there is a broad spectrum of spatial data availability across companies, which will require different approaches. Early engagement has allowed those needs to be flagged in conversations with the private sector, which will enable more comprehensive pilot testing as we continue into FY22.
- **Component 4:** Earth HQ has benefitted from partnerships with private sector media companies, most notably NowThis to create NowThis Earth, with Discovery Channel, and with Netflix to create Breaking Boundaries.

3. Scientific and technological issues

- **Component 1:** During the second year, the focus for the Earth Commission has been to establish the working groups of the Commission and carry out the synthesis of science to develop safe and just targets for people and planet. Lessons learned are that interdisciplinary, global scientific collaborations aiming to integrate social and natural science are challenging – even more so when a pandemic prevents in-person meetings. However, we have managed to carry out a large number of bigger and smaller meetings and workshops, the five working groups have been established and their work is well underway. Due to Covid-19 and the complexity of the scientific task, the main report will be delayed until mid-2022, but as mentioned above, scientific papers have already been published and others are under way.
- **Component 3:** Since FY21 focused on scientific and methodological development, the lessons learned here are primarily a reinforcement of the need for a broad consensus across the conservation community's scientific brain trust. Drawing from the IUCN Union has been essential for receiving review and input across a vast number of scientific conservation organizations from all parts of biodiversity. The multiple rounds of review across more than 80 co-authors and many conservation organizations have been critical for the process of developing methods that are properly vetted, tested, and supported. It has been reassuring to learn that the work continues easily virtually in the context of COVID-19.

APPENDIX I: PROJECT ANNUAL IMPLEMENTATION PROGRESS RATING

| Rating | | Overdue (O) | Delayed (D) | Not started on schedule (NS) | Under implementation on schedule (IS) | Completed/Achieved (CA) |
|--------------------------------|----|-------------|-------------|------------------------------|---------------------------------------|-------------------------|
| Highly Satisfactory (HS) | HS | 0% | | 100% | | |
| Satisfactory (S) | S | 20% | | 80% | | |
| Moderately Satisfactory (MS) | MS | 40% | | 60% | | |
| Moderately Unsatisfactory (MU) | MU | 60% | | 40% | | |
| Unsatisfactory (U) | U | 80% | | 20% | | |
| Highly Unsatisfactory (HU) | HU | 100% | | 0% | | |

- **Highly Satisfactory:** 100% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project. The project can be presented as an example of “good practice” project,
- **Satisfactory:** 80% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; except for only 20% that are delayed and/or overdue and need remedial action,
- **Moderately Satisfactory:** 60% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; while 40% are delayed and/or overdue and need remedial action,
- **Moderately Unsatisfactory:** 40% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; while 60% are delayed and/or overdue and need remedial action,
- **Unsatisfactory:** only 20% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; while 80% are delayed and/or overdue and need remedial action, and
- **Highly Unsatisfactory:** 100% of the indicators: a) are overdue, and/or b) delayed in their implementation, according to the original/formally revised Project Annual Workplan for the project.

APPENDIX II: RISK RATINGS

| Rating | |
|-----------------|---|
| Low (L) | L |
| Moderate (M) | M |
| Substantial (S) | S |
| High (H) | H |

- **Low Risk (L):** There is a probability of up to 25% that assumptions may fail to hold or materialize, and/or the project may face only modest risks.
- **Moderate Risk (M):** There is a probability of between 26% and 50% that assumptions may fail to hold or materialize, and/or the project may face only modest risks.
- **Substantial Risk (S):** There is a probability of between 51% and 75% that assumptions may fail to hold and/or the project may face substantial risks.
- **High Risk (H):** There is a probability of greater than 75% that assumptions may fail to hold or materialize, and/or the project may face high risks.

APPENDIX III: PROGRESS TOWARDS ACHIEVING PROJECT EXPECTED OUTPUTS

| INDICATORS | PROJECT TARGET | END OF YEAR INDICATOR STATUS | PROGRESS RATING ¹³ | COMMENTS/JUSTIFICATION |
|--|--|---|-------------------------------|--|
| Outcome 1.1: The EC has synthesized current science to underpin target setting for intergovernmental for a, cities, companies, and other actors through the SBTN. | | | | |
| Output Indicator 1.1.1 1: Call for nominations of EC members with an eye on balance of gender, geography, and expertise has been successfully launched. | Target: Call for nominations launched within 2 months of start of project. | Successfully completed. | CA | The process required coordination and planning amongst different parties but went smoothly. |
| Output Indicator 1.1.1 2: EC balanced by expertise, gender, and geography is appointed and publicly announced. | At least 10 commissioners with balance are publicly announced, up to 20 Commissioners announced over time. | Balanced EC comprised of 19 members appointed and announced. At the end of 2020, 2 commissioners resigned. | CA | 19 Commissioners were appointed in 2019. At the end of 2020, 2 commissioners resigned. From 2021 the Commission consists of 5 female and 12 male Commissioners. The Commission was publically announced with a press release that was quoted in over 70 media outlets in 31 countries. |
| Output Indicator 1.1.1.3: Number of EC in person and online meetings. | First in-person meeting in 6 months; at least 1 additional in 24 months. At least 4 online meetings. | During Y2 the third and fourth EC meetings were held online (workshops over several days with online facilitation). Several working group workshops and shorter video calls have also been held in 2020-2021. | IS | It is challenging to convene such active scientists but the process has gone well to date. The first meeting of the Earth Commission was arranged by Future Earth at George Mason University in November 2019. A second 3-day meeting was held in May 2020. As a consequence of COVID-19, this was arranged as an online workshop. A third 5-day meeting was held in November 2020 and a fourth meeting with several sessions over 2 weeks were held in June 2021 (also online). |
| Output indicator 1.1.2 1: Number of chapters for synthesis report that have been finalized, agreed upon by the Commissioners and under peer review. | At least 4 chapters. | A zero-order draft of the report has been prepared. Two papers have been published that will underpin the main report. | D | Due to delays associated with COVID-19, the main report will be submitted for peer review by mid-2022 (as reported above). |
| Output 1.1.2 2: A manuscript for the first synthesis report is submitted for peer review to a journal. | 1 manuscript submitted. | See above. | D | See above. |

¹³ O= Overdue; D= Delayed; NS= Not started on schedule; IS= Under implementation on schedule; and CA= Completed/Achieved

| Outcome 1.2: Scientific and non-scientific female and male audiences are informed of the initial findings of the first synthesis report. | | | | |
|--|--|--|----|---|
| Output Indicator 1.2.1 1: # of presentations carried out. | At least 3 presentations per project year. | Four presentations took place this year. | IS | <p>Note that the flow of meetings changed due to COVID-19. However, the EC has presented its work in several online conferences and meetings, among others:</p> <p>With co-chair Joyeeta Gupta, Earth Commissioner Stuart Bunn presented the EC to a scientific audience at the Sustainability Research and Innovation Congress in June (SRI2021). In the same conference, Joyeeta Gupta and Johan Rockström participated in a session preparing for the hi-level UN meeting Stockholm + 50 organized by among others the executive director of the EC, Wendy Broadgate. Sweden's minister of higher education participated in the panel.</p> <p>The leads of the EC's Transformations Working Group Joyeeta Gupta and Diana Liverman gave a presentation at the Transformations Conference in June 2021 with a focus on the work on justice and transformations.</p> <p>The co-chairs and EC secretariat staff participated in the Global Commons Alliance's strategic partner sessions and gave updates about the EC work to the large audience of 60+ GCA partners as well as strategic communications experts.</p> <p>Representatives of the EC participated in workshops and meetings arranged by SBTN and Earth HQ and representatives of all GCA components were participating in meetings and workshops arranged by the EC and its working groups.</p> <p>EC representatives also took part in New Shape Forum, arranged by co-funder Global Challenges Foundation.</p> |

| | | | | |
|--|--|---|---------------------|---|
| Output Indicator 1.2.2 1: # communications materials produced. | At least 5. | Planned for year 2. | IS | <p>While the synthesis report is not done, the EC is communicating its work widely. A website was developed presenting the Earth Commission in texts and visuals.</p> <p>Two short videos were commissioned, one completed on the general introduction to the work of the EC, and one ongoing in production focusing on the biodiversity workshop (paid by other funders).</p> <p>We have been developing visual material (2-3 graphics/animations) to illustrate the work of the EC, for general and scientific audiences.</p> <p>Several blogs and articles have been published on the website of Future Earth, the EC, and other websites (see pages 20-21 above).</p> <p>A science communicator has been hired (paid by another co-funder) to develop communications strategy and operations.</p> |
| Output Indicator 1.2.2 2: # websites or journals publishing communications materials and presentations based on or articles about initial findings of the first synthesis report. | At least 5 websites or journals. | Communications have begun to flow. | IS | <p>We have published several news articles/blogs/social media items. Press releases/articles were published at several websites (incl. EC, GCA, Future Earth, EurekAlert, Mongabay) to announce the publication of the peer-reviewed papers in October and April. (See above).</p> <p>Earth Commissioners and staff also contributed to the Earth Dashboard biodiversity narrative.</p> |
| Outcome 2.1: An SBT Network balanced by expertise, gender, and geography is established and funded. | | | | |
| Output Indicator 2.1.1 1: SBTN board and core team functioning with gender, geographic and expertise representation. | <p>7-member SBTN board.</p> <p>4-member core team.</p> | <p>7-member board appointed.</p> <p>4.5 FTE team hired.</p> | <p>CA</p> <p>CA</p> | <p>The Advisory Council and core team are fully appointed. More staff will be added as resources become available.</p> <p>The Value Web organized a significant community event for the Alliance including core Alliance partners, Leadership Council members, Investor Collaborative members, and RPA. It was</p> |

| | | | | |
|--|----------------------------------|----------------------------|----|--|
| | | | | held at the World Economic Forum premises in Geneva. |
| Output Indicator 2.1.2: number of guidance documents published. | 1 guidance document. | Will be completed in YR 2. | IS | Initial corporate guidance was issued at Davos in January, and is available for dissemination on website and in printed flyers. Corporate webinar and survey complete. Work underway to issue first draft of interim (formerly called integrated proxy) guidance on SBTs for nature. |
| Output Indicator 2.1.3: A financial sustainability plan for a SBTN implemented. | A financial sustainability plan. | Will be completed in Yr 2. | NS | |
| Outcome 2.2: First of three targets for SBTs for land developed and adopted via a Land Hub. | | | | |
| Output Indicator 2.2.1: A formally established land hub representing diversity across geography and gender is formally established with regular meetings. | A viable land hub. | Process launched. | IS | Steering Committee set up and have regular meetings every two weeks. Network Hub requested 4 changes to document including alignment with other hub structures, which is taking some time but will be completed in July. ToR drafted for establishment of review panel, some outreach to potential members to align expectations. To be coordinated with Network Hub for broader impact. |
| Output Indicator 2.2.2: A peer reviewed corporate guidance document is published for companies to set targets within their supply chains, including definitions, methods for establishing a baseline or reference for their supply chain state, and guidance on interventions or actions to deliver on this target. Given alignment on combined terrestrial ecosystem-level biodiversity and land degradation target, this will now | 1 guidance document. | Process underway. | IS | More specific guidance for the interactions between the potential response options available to companies and a suite of degradation and land conversion indicators has been developed by the land hub and aligned within the Avoid, Reduce, Regenerate, Restore, and Transform (ARRRT) framework. More detailed guidance for companies on this technical guidance has been integrated, in some cases, into the technical appendices of the SBTN Initial Guidance. Further guidance specific to land and terrestrial biodiversity is under development through broader land hub engagement with other hubs (freshwater, |

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| be part of the Interim Guidance on SBTs for Nature (Part 1 and Part 2), including at least one specific case study from agriculture/forestry exploring land degradation and terrestrial ecosystem-level biodiversity, rather than a standalone document on zero conversion. | | | | <p>oceans, ecosystems, and nature’s contributions to people) to help ensure alignment among hubs and potential corporate response options.</p> <p>Land Hub has secured funding and consultant support to develop commodity impact estimation methods for 5 commodities and to pilot these methods with two companies by the end of 2021. One of these is roundwood and the others are not yet defined. A method for land-based impact estimation aligned with the seven indicators proposed by the land hub will be developed and piloted during 2021, leading to more comprehensive technical guidance.</p> |
| Output Indicator 2.2.3: # of corporate zero-conversion MRV documents published. | 1 guidance document. | Process underway. | IS | <p>SBTN has formed a “tools” working group to explore the available options and methods for setting baseline and reference levels as well as the MRV that would be associated with these tools in and SBTN context. Within the Initial Guidance, several tools were highlighted to demonstrate their applicability to companies, but the Tools working group will further refine this list, especially for land degradation and terrestrial ecosystem-level biodiversity.</p> <p>The Land Hub has conducted a review of available tools supporting the reporting of the 7 target land indicators and divided them in to country/state appropriate and corporate appropriate, with many more available to support countries given the UNCCD agenda. This has been submitted to the Tools working group.</p> <p>Part of the development of the commodities impact estimation method will be the development of both a non-spatial impact estimation tool that uses supply chain data to quantify land occupation and transformation impacts. An additional spatial tool and data will also be explored as a potential tool during this method development.</p> |

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| | | | | Land and biodiversity indicators and response options were included in the Initial Guidance for Business and this included a review with several companies, including members of World Business Council for Sustainable Development. Land Hub members participated in webinars to present and receive corporate feedback and make changes to draft document accordingly. |
| Outcome 2.3: Globally recognized companies pledge to adopt SBTs for land. | | | | |
| Output Indicator 2.3.1: # of globally recognized companies approached for adopting land-based targets. | 5 globally recognized companies. | Process underway. | IS | In process. Will be complete in FY2 (focus on terrestrial ecosystem biodiversity). |
| Outcome 3.1 A legitimate and credible methodology for the assessment of specific science-based targets for biodiversity is established. | | | | |
| Output Indicator 3.1.1: Number of structures established, and number of draft papers developed. | 1 organizational hub structure 1 draft methods paper | Organizational hub structure in place. Methods paper submitted and published. . | CA | Hub organizational structure has been developed with ToRs and defined roles. Biodiversity hub lead orgs: IUCN, UNEP WCMC, The Biodiversity Consultancy (TBC) Methods paper published. |
| Output Indicator 3.1.2: Number of manuscripts submitted for peer review. | 1 manuscript | 1 paper published | CA | Published April 8, 2021 in Nature Ecology and Evolution. |
| Output Indicator 3.1.3: Number of guidance documents developed. | 1 guidance document | Guidance document drafted. | IS | Document nearing completion and plans to publish and disseminate being developed. |
| Outcome 3.2 Globally recognized companies and/or cities pledge to adopt specific science-based targets for biodiversity. | | | | |
| Output Indicator 3.2.1: Number of companies and cities engaged | 5 globally recognized companies and cities of 500K+ inhabitants. | Initial high-level conversations underway. | IS | High-level conversations ongoing. Delayed due to COVID-19 and postponement of major events (CBD COP 15 and IUCN WCC). |
| Output Indicator 3.2.2: Number of publications. | 1 publication on pilot testing | | D | Pilot testing delayed as a result of COVID-19 pandemic |
| Outcome 4.1: Understanding and support of the global commons concept and related GCA is substantially increased across numerous audiences worldwide. | | | | |

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| Output Indicator 4.1.1: Number of communications strategies published. | 1 communication strategy. | Strategy finalized. | CA | Strategy was finalized in year 2. |
| Output Indicator 4.1.2: # of draft designs for GCA logo and style guide developed. | At least 2 logos under consideration. At least 1 draft GCA Style Guide. | Logo completed. Style guide finished. | CA CA | Logo adopted. Style guide in active use. |
| Output Indicator 4.1.3: Prototype of GCA portal, dashboard and Earth News newsletter are designed and under review by key GCA organizations. | 1 GCA portal prototype. 1 dashboard prototype. 1 Earth News Newsletter prototype. | GCA portal (website) up and running and uniform for all components. Dashboard up and running. NowThis Earth was launched. | CA CA CA | The GCA portal exists and will continue to be improved. The Dashboard is complete and will be continuously improved. Earth HQ launched this with key media partners Group Nine and Mongabay. |
| Outcome 4.2: Demand from key influencers, companies, cities, and government to join the GCA as a global solution to sustaining Earth's biodiversity and life support systems substantially increased. | | | | |
| Output Indicator 4.2.1: Number of media materials delivered. | At least 5 GCA media materials. | Progress well underway. | IS | Earth HQ has delivered over 300 stories with philanthropic support. |
| Output Indicator 4.2.2: # of events held in conjunction with other major meetings. | 2 events. | 2 partner meetings and 4 Hive events | IS | Earth HQ and partners have developed a high-quality virtual event capability. |