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N O R D I C W O R K I N G P A P E R S

Tracking International Cooperative Initiatives

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1 Context

1.1 Background

It is widely acknowledged that the greenhouse gas (GHG) reduction pledges and actions submitted to the United Nations Framework Convention on Climate Change (UNFCCC) by national governments to date are insufficient compared to what is required by science to avoid dangerous levels of global warming (UNEP, 2013; 2014). In parallel to the formal negotiations, a multitude of international climate initiatives are now engaging in efforts to address this growing emissions gap. Actors in these multi-stakeholder initiatives include regional and local governments, companies, financial institutions, non-governmental organisations and individuals. There are high aspirations that these initiatives will catalyse non-state climate action and deliver emission reductions and at the same time play an important role in bridging the emissions gap through strengthening and raising the ambition of national government commitments in the UNFCCC process.

The potential of such initiatives for enhancing ambition was the focus of earlier work by Ecofys (e.g. Blok et al., 2012, UNEP, 2012) and data collected in the preparation of this work was then shared with the UNFCCC secretariat to produce an early database of international cooperative initiatives¹. Over the past years interest in this topic has intensified as greater emphasis is placed on the potential of alternative routes to raise ambition in the negotiations. A recent study commissioned by NOAK explored this potential in greater detail looking at a range of initiatives in some depth (Harrison et al. 2014). During a subsequent workshop convened in early 2014 to discuss these findings, NOAK, Ecofys and Cambridge Institute for Sustainable Leadership (CISL) agreed that collation and analysis of the range of initiatives currently known to be in operation could contribute to understanding and enhancing the role that such initiatives could play. Consequently, in mid-2014 NOAK commissioned Ecofys, CISL and the World Resource Institute (WRI) to develop a database of international cooperative initiatives and explore approaches to assessing their potential impact.

This paper describes the Climate Initiatives Database and develops criteria that can be used to more reliably assess the effectiveness of initiatives. Analysis of the contribution these initiatives can make to climate mitigation could play an important role in encouraging national governments to pledge more ambitious commitments in the run-up to COP21 in Paris later this year. Analysis of success factors in particular initiatives can also play a role in scaling up the delivery of the initiatives themselves. The paper also makes recommendations for continuing support for the database and additional activities to support an increasing use of the database to inform negotiators and other stakeholders. These recommendations are based on the assessment criteria, experience of developing and using the database and discussions with a steering group of international experts.

¹ UNFCCC Climate Initiatives Portal: <http://unfccc.int/focus/mitigation/items/7785.php>



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Climate action - definitions.

There are a number of different types of climate action that are taken by diverse actors. Based on the definitions in the UNFCCC Non-state Actor Zone for Climate Action (NAZCA) portal <http://climateaction.unfccc.int/>, we distinguish:

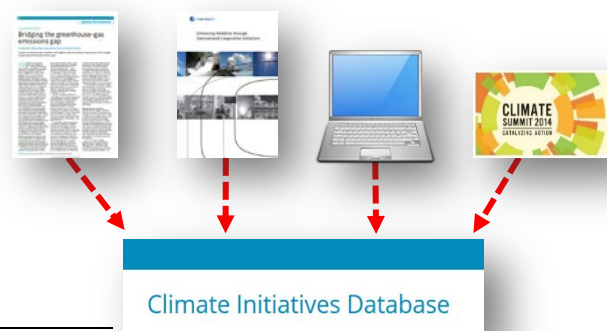
- Subnationals: Actions by individual cities or subnational regions
- Companies: Actions by individual companies
- Cooperative Agreements: Actions by groups of cities, subnational regions, companies and other organisations acting together. It is this last category that are included in the climate initiatives database described below.

1.2 The Climate Initiatives Database

The Climate Initiatives Database was developed throughout 2014 and published in beta version online on the platform: www.climateinitiativesplatform.org in December 2014. It was developed by the Ecofys-led project team with input from a range of academic, research, government, business and non-governmental partners² and in close collaboration with the UNFCCC secretariat³. A summary briefing was produced and circulated to raise awareness of the database⁴ and to facilitate discussions about its form, function and role in ongoing and planned activities relating to ambition-raising.

Data sources

The data included in the current beta version of the database includes initiatives identified through earlier research (e.g. Blok et al., 2012; Harrison et al., 2014) combined with desk research undertaken specifically for the project by Ecofys and CISL (also in close collaboration with the UNFCCC secretariat). New initiatives launched during the UN Summit in New York in September 2014⁵ were screened and included.



² The project team would like to acknowledge contributions provided by participants at events convened at Oxford University (<http://www.bsg.ox.ac.uk/news/harnessing-power-climate-actions>) and Chatham House (<http://www.chathamhouse.org/conferences/ClimateChange14>) in autumn 2014.

³ The project team would like to gratefully acknowledge the contributions and collaboration made by UNFCCC secretariat staff, contractors and interns including: Andrew Higham, Tom Carnac, Andrew Ponce, Cassandra Pillay, Nils Elias Westling and Diana Ubico.

⁴ <http://www.ecofys.com/files/files/ecofys-cisl-wri-2014-climate-initiatives-database.pdf> a more recent version of this flyer is available from the project team.

⁵ <http://www.un.org/climatechange/summit/action-areas/>



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The data is directly quoted and sourced from the initiatives' websites or documents⁶. It is not currently updated systematically and only represents a snapshot of information, the accuracy of which will diminish over time as initiatives' activities evolve. The project team looked at ways to update in an optimal way and a direct website link to the initiative is also provided for each entry and users are encouraged to revert directly to the source to retrieve the most accurate and up-to-date information. The database is built on a wiki platform to enable such collaborative development and flexible use. The project team also looked at opportunities for automating the collection of initiatives data and together with the UNFCCC secretariat submitted a challenge to the first international climate change 'Hackathon' to explore possible options. The website includes further information⁷ and disclaimers⁸ to ensure the user is clear on the current limitation of database content.

Current status

The beta version of the database presents the most current and comprehensive publically available collection of information on international climate initiatives in operation. At the end of 2014, more than 180 mitigation-focussed initiatives were counted⁹ with potential for global impact.

Initiatives are included in the database if they meet the current working definition:

- have the potential to contribute to reduction of greenhouse gas emissions¹⁰; *and*
- are international in scope or have the potential for significant impact at global scale; *and*
- are either dialogues, formal multilateral processes or implementation initiatives¹¹.

Initiatives currently included in the database cover a wide range of themes. The themes where there are most initiatives are: renewable energy, energy efficiency, transport and agriculture (see Fig. 2). These themes largely correspond to the areas where the greatest potential was identified in the UNEP Gap report 2013¹², with the exception of short lived climate pollutants where there seems to be fewer initiatives.

⁶ Note, no third party sources were used to avoid the risk of mis-representation or bias in the presentation of initiative's information.

⁷ http://climateinitiativesdatabase.org/index.php/Climate_Database:About

⁸ http://climateinitiativesdatabase.org/index.php/Climate_Database:General_disclaimer

⁹ Based on the Climate Initiatives Database: www.climateinitiativesdatabase.org

¹⁰ Initiatives with the primary focus of adaptation were not included, although some of the initiatives include both mitigation and adaptation

¹¹ Initiatives focused on enabling countries to meet their pledges through sharing good practices and technical knowledge.

¹² <http://www.unep.org/pdf/UNEPemissionsgapreport2013.pdf>



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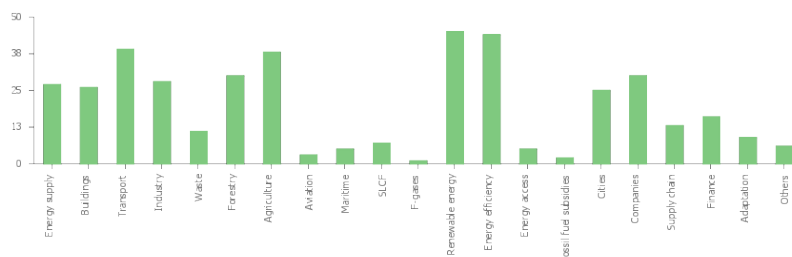


Figure 1. Number of initiatives in www.climateinitiativesdatabase.org by thematic focus

The database was published online as a beta release to enable users to explore content and provide feedback on amendments for improving content and utility.

The database can be browsed by country or alphabetical order, as well searched via a general search or based on either their thematic focus (access to energy, adaptation, agriculture, buildings, cities and subnational governments, companies, energy efficiency, energy supply, financial institutions, fluorinated gases, forestry, fossil fuel subsidy reform, industry, international aviation, international maritime transport, others, renewable energy, short lived climate forcers, supply chain emission reductions, transport, waste) or their type (implementation, intergovernmental process, political dialogue, technical dialogue).

As of fall 2015 the database is currently being updated in order to present the most recent data and developments during COP21 in Paris. Additionally, on 1.1.2016 the database will be transferred to UNEP to allow for regular maintenance and support of the database, while simultaneously raising its profile.

Expert Advisory Group

To advise and support the development of the database, the project convened a group of international experts with a balanced representation from stakeholder groups and technical specialists from research and academic communities (see Appendix 1). This advisory group was convened to provide a wider view on the potential uses for the database and its consequent development. Involving these experts also brings wider recognition of the database amongst practitioners in this area.

Initial conversations with this group indicated that generally, the International Climate Initiative (ICI) database is regarded as useful and is doing a good job of highlighting the important work of non-state actors in climate policy. Overall, the database is viewed as having the potential to serve as a 'one stop shop' for ICI information. Additional quantitative data, extra clarity on what initiatives are included, and definitions for information fields would improve the accessibility of the database in its current form. Various suggestions were also made on ways to improve the current functioning of the database including adding additional information fields, more advanced search functions, and a dashboard type interface that allows for greater user interaction and sharing. Extra information on initiative co-benefits and gaps and linkages among/between initiatives (sectorial, geographic, etc.)



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was requested. It was suggested that data could be available for researchers and other such organisations to conduct analyses for sharing and reporting, linking back to the ICI webpage. It was also suggested that the database could / should also include adaptation-focused collaborative initiatives.



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2 Developing assessment criteria

2.1 Assessing effectiveness and transformational impact

There are multiple ways to assess the effectiveness and transformational impact of an international climate initiative (ICI). Academics distinguish several types of effectiveness, some of which directly assess the ability of an intervention to solve the problem at hand. Others are “less ambitious conceptions of effectiveness”¹³ and focus on the results of the intervention on certain outputs, outcomes, or altered behaviour of relevant actors, even if these changes do not guarantee environmental improvement. Gabriela Kutting accordingly draws a distinction between institutional effectiveness, concerned with achieving intermediary results, outputs, or changes in members’ behaviour relative to what would have happened in the absence of the intervention, and environmental effectiveness, which focuses more broadly on eradicating or preventing the problem at hand.^{14,15}

Assessment of institutional effectiveness is simpler than that of environmental effectiveness. While it is analytically still difficult to attribute a change in outputs, outcomes, or actors’ behaviour to a particular intervention, that may be simpler than attributing a change in environmental outcome. In the case of international cooperative initiatives specifically, many different initiatives seek to address emissions from the same type of actor (e.g. cities, companies), and it can be challenging to track the effect of any particular initiative on emissions reductions. Nevertheless, we propose to incorporate a wide variety of data that could potentially allow for analysts to assess effectiveness according to the broader definition.

In addition, it is important to assess effectiveness over time to analyse whether the intervention is transformative. The danger of assessing effectiveness at only one point in time is that it may not be indicative of broader trends of change, and outcomes can be reversed. As mentioned in the section on data sources above, the database needs to be updated regularly to track changes over time and collect data on the established criteria on a regular basis. Data collected over time will help analysts, and the initiatives themselves, to assess in which ways the initiative has driven change and isolate those drivers that have contributed most to change. This information can lead to recommendations on transformation for other similar initiatives where lessons learned are transferable.

¹³ Young, Oran. “Effectiveness of international environmental regimes: Existing knowledge, cutting-edge themes, and research strategies.” PNAS. 2011.

¹⁴ See Kutting, Gabriela. “Distinguishing between institutional and environmental effectiveness in international environmental agreements: The case of the Mediterranean Action Plan.” At http://www.gmu.edu/programs/icar/ijps/vol5_1/kutting.htm

¹⁵ Also see Kutting, Gabriela. “Environment, Society and International Relations: Towards More Effective International Agreements.” 2000. London and New York: Routledge.



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2.2 Criteria for assessing effectiveness and transformational impact

Extensive study has been carried out on how to evaluate or assess the effectiveness and transformational impact of international cooperative action. Academics note five important characteristics for ICIs to help close the emissions gap: focus and goals; participation; funding and institutions; incentives and benefits; and transparency and accountability.¹⁶ Biermann and colleagues outline four aspects that explain why an initiative may be an effective mechanism for change: speed, ambition, participation and equity.¹⁷ Research by the World Resources Institute supports similarly that an ambitious vision is an important criteria for transformational action together with clear conditions for membership, significant benefits for participants, and a pathway to expand over time.¹⁸ Additional criteria to evaluate initiatives that address climate change include their potential for action that is hard to reverse, an increase support over time, and expansion of the population of support.¹⁹ Furthermore, recent analysis of the literature by Widerberg and Pattberg developed a framework for assessing international climate initiatives based on three overarching criteria: effectiveness, legitimacy, and institutional fit.²⁰

Further evaluation of the literature and collation of the broad range of possible criteria suggests there are four key areas of importance for evaluation: *governance*, including criteria around goals, leadership and participation; *resources*, such as funding availability and human resources; *transparency and accountability*, including any data on reporting or verification; and *impact*, such as greenhouse gas emissions reductions, reduced vulnerability and benefits to participants. For a full list of the proposed criteria, see Table 1.

Governance: Under the 'governance' category, a number of important criteria under three sub-categories may be collected. Details about *leadership* including identification of the lead entity, the types of members (e.g. developed vs. developing country, national or subnational government, corporation, national laboratory, or NGO, etc.), and/or the distribution of decision making power may be relevant to an assessment of the cooperative initiative's potential impact or its strength. Data around the *goals* of a cooperative initiative, from the basic question of whether or not a goal is articulated to more specific questions around whether the goal can be quantified or how the goal was established, can speak to the legitimacy and level of ambition of the initiative. For example, the broader the participation in setting the goals, the more legitimate it may be but that may come with a lower level of ambition. Finally, data on *participation* including the number and type of participants may provide insight into the level of support and whether or not the initiative is fit for purpose with

¹⁶ UNEP 2013. The Emissions Gap Report 2013. United Nations Environment Programme (UNEP), Nairobi

¹⁷ F. Biermann, P.; Pattberg, H.; van Asselt; and F. Zelli, 'The Fragmentation of Global Governance Architectures: A Framework for Analysis', 9: 1 Global Environmental Politics (2009), 14, at 25.

¹⁸ Morgan, J. and Weischer, L. Two Degrees Clubs: How Small Groups of Countries Can Make a Big Difference on Climate Change. Blog, October 29, 2012. Accessible at: <http://www.wri.org/blog/2012/10/two-degrees-clubs-how-small-groups-countries-can-make-big-difference-climate-change>

¹⁹ Levin, K.; Cashore, B.; Bernstein, S.; and Auld, G. 2004. Overcoming the Tragedy of Super Wicked Problems: Constraining our Future Selves to Ameliorate Global Climate Change. Policy Sciences. Vol. 37, Number 2, June 2004.

²⁰ Widerberg, O. and Pattberg, P. 2015. International Cooperative Initiatives in Global Climate Governance: Raising the Ambition Level or Delegitimizing the UNFCCC? Global Policy (2015) Vol. 6, Issue 1, February 2015.



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the right participants to meet the goal. This information could be tracked over time to see how the makeup of participants changes.

Resources: Another category of criteria looks at the current 'resources' available to the initiative as well as potential future resource needs for continuation or expansion. Financial resources are important and it may be valuable to collect data on a number of criteria including currently available budget, the estimated finance needs, projected future costs, and financial planning including through fundraising. Beyond financial resources, further data collected regarding human resources and facilities may be of value in assessing whether or not the cooperative initiative is adequately supported to meet its goals and its operational capacity.

Transparency and Accountability: A third category of criteria looks at the 'transparency and accountability' of cooperative initiatives which is important for tracking progress and reducing the risk of the cooperative initiative to be seen as greenwashing. Particularly relevant questions on whether or not the initiatives report on their progress publicly, if they assess progress against their goal, as well as data on the public availability of the reporting, and if the reports are third-party verified would provide insight into how transparent the initiatives are and whether or not they are on track to achieve their goal.

Impact: Under the 'impact' category, data can be collected on any assumed benefits of cooperative initiatives including possible greenhouse gas emissions reductions, new policies or laws, or the amount of energy produced from renewable energy deployment. Additionally, data on co-benefits of action could also be collected, as well as identifying who are the assumed beneficiaries. A key feature of any cooperative initiative will be to ensure the members also receive benefits for participation. Collecting data on the benefits for participants, how they are distributed and whether or not they are exclusive may enable assessment of fairness, the potential for attracting new participants and expanding action, and the value of joining the cooperative initiative.



Table 1: Potential Criteria for Evaluating Cooperative Initiatives

Governance (leadership, goals, participation)

- Identified lead organization(s)
- Number of organizations participating
- Type of organizations participating
- Transparent conditions for membership (responsibilities, criteria for joining, etc)
- Distribution of decision-making power
- Existence of penalties for participants not meeting membership requirements
- Articulation of initiative's goal
- Quantification of initiative's goal
- Process for establishing the goal
- Existence of a regular review of the goal
- Design of a goal in response to a governance gap
- Design of a goal to assist in the implementation of existing goals or policies (e.g. national government, UNFCCC, etc)
- Existence of milestones for the achievement of the initiative's goals (either individual member or collective)
- Collaboration with other initiatives

Transparency and Accountability

- Existence of regular reporting of progress
- Reporting of progress against the goal
- Publically available reporting
- Third party verified reporting
- Results of any quantification of reporting of progress

Resources

- Available resources
- Estimated costs
- Fundraising goals established
- Projected future costs given objective of the initiative
- Quantity of designated staff working to coordinate the initiative
- Quantity of full time staff working on coordinating the initiative

Impact

- Assumed benefits/effects (If quantified state what the effect is)
- Assumed co-benefits (If quantified what the effect is)
- Assumed beneficiaries?
- Identification of potential risks identified; If so, which ones?
- Identification of clear benefits for participating
- Equal availability of benefits to all participants
- Exclusive of benefits to participants. If not to whom?

Using data collected on the criteria from these four areas, there are numerous ways to evaluate or assess international cooperative initiatives to better understand aspects of their value including their mitigation or adaptation potential, their transformational impact as well as how transparent they are or their growth potential.

2.3 Assessment methodology

Once data has been collected in the Climate Initiatives Database, users can draw from this information to perform various assessments and evaluations of individual or groups of cooperative initiatives. With a diversity of information as well as numerous types of initiatives, different methodologies could be applied to conduct an analysis depending on one's view of effectiveness.



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There are more ways than one to assess the diversity of initiatives and criteria could be viewed in total or in part through quantitative, qualitative or mixed methods.

If quantitatively evaluated, the assessment could be based on numerical data such as greenhouse gas emissions reductions, costs or participants. These criteria could be used to help assess the climate change impact of initiatives, present and future needs for continuing operation or implementation of new projects, or the geographical and political extent of initiatives.

The data will also provide numerous opportunities for qualitative assessment of initiatives, particularly in terms of evaluating equity and the potential for transformational impact. For example, users could compare data on initiatives' beneficiaries to determine which has potentially broader impact. Or users could analyse data on initiatives' goals to assess whether or not they are ambitious.

The contents of the Climate Initiatives Database can be used to answer a number of questions about how effective, transformational and transparent an initiative is; whether or not it is sufficiently supported and capable of achieving its goal; and what the potential benefits and impacts are to participants and beneficiaries. By answering some of these questions, users could make recommendations on how to improve or expand initiatives to accelerate their positive climate impacts.

Harrison and colleagues²¹ analysed both quantitative elements and qualitative elements of cooperative initiatives in specific sector groups. The authors examined initiatives collectively within specific sectors and described a number of findings including the mitigation potential when quantification was possible, but also assessed the benefits and barriers of action, options for scaling up and the need for government support.

Data could be further employed through other methods such as assigning equal weights or different weights to criteria. For example, Widerberg and Pattberg conducted an assessment of a small sample of 9 initiatives using six criteria and apply a system of dots to each criteria, with the number of dots corresponding to how positively the initiative performed in that criteria. They used equal weights with a maximum of five dots for each criterion. This assessment could be taken a step further by aggregating the results for each initiative into a total score across all criteria.

Alternatively, the initiatives could be judged criterion against criterion. However, even quantifying results in this way allows for a certain amount of subjectivity in applying the dots to each criterion. Due to the nature of the data, and more importantly, the limited information available about cooperative initiatives, there are very few fully quantitative methodology options available. This may be conducive for only certain types of initiatives, such as those with quantifiable goals.

²¹ Harrison, N., Bartlett, N., Höhne, N., Braun, N., Day, T., Deng, Y. and Dixon, S. (2014) Enhancing ambition through International Cooperative Initiatives. Nordic Council of Ministers.



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2.4 Operationalizing criteria for data collection

Some of the criteria described above easily cater to data collection, while others do not. There are two relevant factors for narrowing down the criteria list further: first, can data be collected (and with what ease) on the criterion? Second, can each criterion be assessed in an objective manner?

Appendix 2 analyzes which criteria can be operationalized for data collection according to these factors. The criteria are accordingly rearranged with regard to their ease of data collection and objective assessment. Future expansion of data collection could occur in a stepwise fashion, beginning with those criteria for which data are publically available and easy to assess in an objective manner, to those that may require additional means of data collection and require additional analysis for assessment.

2.5 Assessment of availability of data

The Climate Initiatives Database already has substantial data collected on a broad range of international cooperative initiatives. Previous efforts have gathered general information in the following categories: starting year, description, goals, activities, participants, funders, geographical coverage, thematic focus, initiative type, primary function, secondary function, type of lead organization, nationality of lead organization, commitments, and total potential of thematic area. This data can be used to gain an overview of what types of cooperative initiatives exist and their thematic foci, and can contribute to evaluation or assessment of their effectiveness and transformational impact.

However, further data must be collected on additional criteria to perform more thorough analyses of cooperative initiatives. Although some data has been collected under governance criteria already, further data should be collected in all three sub-categories: leadership, goals, and participation. The full gamut of criteria for resources, transparency and accountability, and impact should be collected to build a stronger foundation for evaluation and assessment.



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3 Recommendations

Development of the database comes at a moment of increasing interest in the role which cooperative climate actions can play in raising ambition in the UN process. Initiatives have become increasingly cited during the UNFCCC-ADP discussions²², in the UNEP gap report (UNEP, 2013; 2014) and many new initiatives were launched during the UN Climate Summit in September 2014²³. During the recent UNFCCC-Conference of Parties in Lima the new 'NAZCA' portal on non-state (i.e. not national government) actions²⁴ was launched and the UNFCCC secretariat have expressed interest in using data from the Climate Initiatives Database to provide the content for the corresponding section in the NAZCA portal.

Whilst many of these initiatives have high ambitions and some even quantify targets for their activities, others do not and it remains largely unclear what the combined quantitative impact on emissions reductions is likely to be compared to business-as-usual development. It is also very difficult to assess whether they are additional to state commitments under the UNFCCC and how they contribute to the 2 degrees C goal. Analysis and quantification of the contribution these initiatives can (or are expected to) make is now critically important to understanding their overall impact on international climate mitigation efforts. Such analysis could also play an important role in encouraging national governments to pledge more ambitious commitments through the international negotiations, particular in the run-up to COP21 in Paris later this year.

From the various workshops and discussions we've undertaken both before and during Lima, it seems clear that the database could provide valuable information and there is a (relatively urgent) appetite to develop it further. Various stakeholders (including members of the Advisory Group²⁵) have highlighted the need to include more robust, detailed information on the initiatives to assist in understanding both their aggregate mitigation potential and the areas ripe for seeding (new initiatives) or strengthening (existing initiatives). To support these efforts the database with need to be both maintained and enhanced. The recommendations below are split into three areas:

1. Maintenance and support of the database
2. Enhancement of the database
3. Communication of the results of assessment of initiatives

The following are recommendations for activities to maintain and enhance the database.

A continuing role for the Advisory Group is foreseen as an active part of the enhancement of the database. In addition to the activities below there would also then be a requirement for management of the Advisory Group – including for example: convening and keeping group engaged and updated;

²² For example, through the ADP-2 platform: <http://unfccc.int/resource/docs/2014/adp2/eng/105.pdf>

²³ <http://www.un.org/climatechange/summit/action-areas/>

²⁴ The Non-state Actor Zone for Climate Action (NAZCA) launched by UNFCCC <http://climateaction.unfccc.int/>

²⁵ Convened in a teleconference facilitate by the project team on 22.01.15



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fielding member enquiries; managing periodic consultations on e.g. development, new uses, revised criteria; recruiting/replacing new members as needed

3.1 Maintenance and support of the database

The recommended activities are needed to ensure that the database remains a useful, and known, resource to researchers and comprise:

- General domain management covering for example: maintaining the domain name; keeping wiki software updated; resolving any domain issues arising; optimising for web searches.
- Minor improvements to the database and website including giving more clarity on what initiatives are included and improving definitions of the information fields
- User support activities including for example: answering general user enquiries; supporting new logins; changing login privileges; creating bespoke logins (e.g. with tailored access to specific areas); blocking unwanted users.
- Supporting users to get the best from the database by e.g. creating bespoke enquiry forms/dashboard interfaces and search functions; helping users link to the data or use for their own purposes; carrying out user survey/evaluations.
- Recruitment of new users by increasing the profile of the database and a proactive outreach campaign
- Online promotion - including for example: ensuring domain well linked through all major online platforms, databases etc.; Placement of promotional editorials, articles etc.; Promotion through social media (LinkedIn, Twitter, Facebook etc.)
- Presentations at key events/meetings – Showcasing database at key meetings of target users and stakeholders (e.g. UNFCCC/UN, Funder/Donors, Policy/Researchers)

After discussions, it was agreed that these activities, and a higher profile for the database, would be best achieved through transfer to an international organisation such as UNEP. This transfer will occur early in 2016.

3.2 Enhancement of the database

As discussed above have a need has been highlighted for more robust, detailed information on the initiatives to assist in bringing them as a serious component of the UN climate process. There are two parts to this, verifying the data already included and adding data that can be used to assess the contribution from the initiatives as described in Section 2. Both these can be achieved using the same type of activities:

- Questionnaires: Surveys could be conducted in the form of questionnaires sent to initiatives included in the climate initiatives database to collect data that are not publically available. Questionnaires include a mailed/electronically mailed survey, which are relatively easy to administer and can reach a wide number of initiatives. However, response rates may be low. Questionnaires can also be conducted in a group setting (e.g. at a convening of initiatives).



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- Interviews: Interviews in person or by phone can also be conducted to gather data. They are more time intensive but could result in greater quality data, with the opportunity for follow up responses.

Ideally all the data relating to the criteria in Appendix 2 would be collected and verified. However, it may be best initially to concentrate on a smaller number of criteria. Once initiatives have experience with the use of the database and website and can see benefits from its use they may be more willing to provide more information. It is recommended that priority is given to criteria that can be assessed directly in an objective manner as indicated in Appendix 2.

Even for a reduced set of criteria, a mix of methods will need to be used, including scans of all publically available data and questionnaires sent to initiatives. If response rates are low or the information is poor quality, interviews could be conducted as necessary. To increase efficiency, questionnaires or interviews could be conducted on the sidelines of any regular convening of initiatives.

3.3 Communicating the results

As discussed previously, results of the assessment of initiatives will be needed to understand both their aggregate effect and the areas ripe for seeding or strengthening. The way these aspects need to be communicated will be different and will depend on the audience. It is therefore recommended that a mixture of communication be used, including regular reports (for example, see the NAMA Status Reports and UNEP Emissions Gap Reports) and tailor made reports on the effect of individual initiatives or of groups of initiatives (e.g. in a certain sector, addressing a certain problem, demonstrating the co-benefits). The regular report is recommended because experience has been that the annual (or biannual) reports can keep the topic centre stage. Reports however reach only a part of the audience that would be interested in the results of these initiatives. Other ways of engagement would also be needed for example videos, round tables, public-private dialogues and many others.



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Appendix 1 Project advisory group

The Advisory Group Includes

- Marcel Berk (Government of the Netherlands)
- Lara Birkes (WBCSD)
- Sander Chan (DIE)
- Philip Drost (UNEP)
- Todd Edwards (Stanley Foundation)
- Andrew Higham (UNFCCC)
- Ipek Gencsu (New Climate Economy)
- Thomas Hale (Oxford University)
- Line Skou Hauschildt (Government of Denmark)
- Niklas Höhne (New Climate Institute)
- Michael Jacobs (New Climate Economy)
- Outi Leskelä (Nordic Council of Ministers)
- Ian Ponce (UNFCCC)
- Alejandro Rivera (Government of Mexico)
- Stef Raubenheimer (SouthSouthNorth)
- Cynthia Scharf (UN SG)
- Seth Shultz (C40)
- Paul Watkinson (Government of France)
- Harald Winkler (University of Cape Town)
- Lutz Weischer (GermanWatch)
- Farhana Yamin (Track0)
- Christoffer Nelson, (Government of Sweden)
- Paula Perälä, (Government of Finland)
- Håvard Toresen, (Government of Norway)

As well as the core project team:

Nicolette Bartlett; Cynthia Elliott; Ann Gardiner; Nicholas Harrison; Tamara Inkster-Draper;
Kelly Levin



Appendix 2

Criterion	Can data be collected? With what ease?	Can the criterion be assessed in an objective manner?
Governance (leadership, goals, participation)		
Identified lead organization(s)	Yes, likely publically available	Yes
Number of organizations participating	Yes, likely publically available	Yes
Articulation of Initiative's goal	Yes, likely publically available	Yes
Quantification of Initiative's goal	Yes, likely publically available	Yes
Existence of milestones for the achievement of the initiative's goals (either individual member or collective)	Yes, may be publically available.	Yes
Design of a goal in response to a governance gap	Yes, may not be publically available.	Yes
Design of a goal to assist in the implementation of existing goals or policies (e.g. national government, UNFCCC, etc)	Yes, may not be publically available.	Yes
Existence of penalties for participants not meeting membership requirements	Yes, likely not publically available.	Yes
Distribution of decision-making power	Yes, likely not publically available.	Yes, insofar as distributed decision-making power is defined further (e.g. governed by a board comprised of multiple types of stakeholders, who hold equal weight in decision making).
Existence of a regular review of the goal	Yes, likely not publically available.	Yes, would have to determine what constitutes "regular", e.g. annually.
Process for establishing the goal	Likely not publically available.	Not easily in current formulation.
Collaboration with other initiatives	Likely not publically available.	Not easily in current formulation. Difficult to define "collaboration"
Transparency and Accountability		
Publically available reporting	Yes	Yes
Third party verified reporting	Yes	Yes
Existence of regular reporting of progress	Yes, may not be publically available.	Yes
Reporting of progress against the goal	Yes, may not be publically available.	Yes
Results of any quantification of reporting of progress	Yes, may not be publically available.	Yes, can assess availability of quantified progress, but comparability will be limited if common methods for quantification are not used.
Resources		



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Criterion	Can data be collected? With what ease?	Can the criterion be assessed in an objective manner?
Available resources	Yes, likely not publically available.	Yes
Quantity of full time staff working on coordinating the initiative	Yes, likely not publically available.	Yes
Quantity of designated staff working to coordinate the initiative	Yes, likely not publically available.	Yes
Fundraising goals established	Yes, likely not publically available.	Yes
Projected future costs given objective of the initiative	Yes, likely not publically available.	Yes, can assess availability of cost estimate, but comparability will be limited if common methods for estimation are not used.
Estimated costs	Yes, likely not publically available.	Yes, can assess availability of cost estimate, but comparability will be limited if common methods for estimation are not used.
Impact		
Assumed beneficiaries	Yes, may be publically available.	Yes
Identification of clear benefits for participating	Yes, may be publically available.	Yes, can assess whether there is a statement on benefits to participants.
Assumed benefits/effects (If quantified state what the effect is)	Yes, may be publically available.	Yes, can assess availability of information on assumed benefits of the initiative, but comparability limited if common methods for assessing benefits are not used.
Assumed co-benefits (If quantified what the effect is)	Yes, may be publically available.	Yes, can assess availability of information on assumed co-benefits, but comparability limited if common methods for assessing benefits are not used.
Exclusive of benefits to participants. If not to whom?	Yes, may not be publically available.	Yes
Equal availability of benefits to all participants	Yes, may not be publically available.	Yes, can assess whether all participants have equal access to stated benefits.
Identification of potential risks identified; If so, which ones?	Yes, likely not publically available.	Yes, can assess whether risks have been identified, but will be necessary to define "risks" so data are collected in a similar fashion across initiatives.

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