

## Response to the Champions' Roadmap for the Global Climate Action Agenda

1 August 2016

Over the past two years, Galvanizing the Groundswell of Climate Actions has brought together a wide array of stakeholders to discuss how to bring sub- and non-state climate action to a higher scale of scope and ambition. Central to these discussions has been the question of how the UNFCCC process can best support and drive sub- and non-state climate action, and how, in turn, sub- and non-state action can bolster national climate policies and the intergovernmental process. Toward these ends, and following the success of the Paris Agreement, we applaud the efforts of the High Level Champions to help build a robust and effective Action Agenda going forward.

The Champions' Roadmap presents a positive step in this direction, and we welcome the opportunity to comment on it. Because Galvanizing the Groundswell of Climate Actions is not an organization but rather a joint initiative and discussion forum that includes many entities working on climate action, Galvanizing the Groundswell *per se* does not take positions on the questions the Champions have posed. Instead, individual organizations will respond to these directly.

That said, a number of the events and discussion papers that Galvanizing the Groundswell of Climate Actions has produced speak directly to the ideas and questions contained in the Champions roadmap. This document therefore includes some of the most pertinent so that they may be included in the Champions' consultation. A full list of events, discussion summaries, written materials, and other resources is available online at [www.climategroundswell.org](http://www.climategroundswell.org). In the lead up to COP22, Galvanizing the Groundswell of Climate Actions will continue to work on a number of key aspects of the Global Climate Action Agenda.

### Resources included in this document

#### ***“Framework and Roadmap for the Action Agenda to 2020”***

This document outlines the current set of institutional arrangements and processes around the Action Agenda and considers how these might evolve going forward. Particular attention is given to the objectives, functions, division of labor, and operation of the Action Agenda.

Short version: <http://tiny.cc/ptiecy>

Detailed version: <http://tiny.cc/4miecy>

#### ***“Ensuring credibility of the Action Agenda through strong initiatives”***

This discussion paper considers the characteristics that apply to successful initiatives, and discusses how criteria might be developed and applied to select initiatives into different parts of the Action Agenda in a fair and transparent way.

Link: <http://tiny.cc/eniecy>

#### ***“Summary of current efforts to track and aggregate non-state climate action.”***

This brief memo summarizes the discussion of a meeting in Bonn on May 20<sup>th</sup> that brought together the data and research communities studying these efforts, and also considers how tracking and aggregation might proceed to support effective implementation and scaling up of climate action.

Link: <http://tiny.cc/sniecy>

#### ***“Framework memo on relation between NDCs and cooperative, subnational and non-state action”***

This memo considers the various relationships between NDCs and other forms of climate action, identifying opportunities for synergy.

Link: <http://tiny.cc/sviecy>

### **Who we are: Galvanizing the Groundswell of Climate Actions**

Galvanizing the Groundswell of Climate Actions is a series of dialogues that brings together organizations supporting climate action at all levels. Its objectives include:

1. Bringing the groundswell of climate actions from cities, regions, companies, and other groups to a higher level of scale and ambition;
2. Increasing efficient coordination among cooperative initiatives and sub- and non-state networks;
3. Improving analysis and understanding of “bottom up” climate actions;
4. Building a positive narrative of pragmatic, concrete action on climate change; and
5. Identifying opportunities for the groundswell of climate actions and the multilateral process to support and catalyze each other.

Since 2014, Galvanizing the Groundswell of Climate Actions has brought together city and regional networks, company networks, cooperative initiatives, governments, international organizations, and researchers to discuss and advance these objectives. By convening the community of actors that make up and support the groundswell of climate actions, we seek to realize the full potential of this extraordinary innovation in global governance.

[www.climategroundswell.org](http://www.climategroundswell.org)

## Roadmap and framework for delivery of the Action Agenda to 2020

### I. Guiding principles and objectives

1. Urgently deliver results and increase action and ambition from all actors to meet the objectives of the Paris Agreement, including by influencing 2020 NDCs;
2. Strengthen existing initiatives with the greatest impact, and create new initiatives to fill gaps with the greatest potential - either in terms of scalability or potential for innovation/transformation - while ensuring broad geographic and thematic representation;
3. Track implementation to demonstrate credibility and promote best practices for robust initiatives to enhance delivery;
4. Ensure co-ownership of the Action Agenda by initiatives and networks, successive champions and COP presidencies, and the UNFCCC Secretariat, with the support of the broader UN system; while promoting effective leadership and continuity;
5. Nurture non-bureaucratic, "light touch" institutional arrangements that build on the existing ecosystem for climate action.

### II. Key functions required for an effective Action Agenda

In order for the Action Agenda to effectively achieve its objectives, a variety of entities (further detail in Appendix 1) will need to coordinate around four key functions:

1. **Orchestrating initiatives.** Many initiatives are self-organized by participating organizations. Others, however, have benefited from a catalyst in order to provide the initial impetus and structure around which organizations can cooperate. And all initiatives can benefit from appropriate support from governments, international organizations, or other entities to expand in scale. This orchestrating function is essential to the success of a decentralized realm such as the Action Agenda. While each initiative and sector will be different, individual initiatives, champions, and thematic facilitators will play the lead role in strengthening and scaling existing initiatives and creating new ones to fill key gaps. Building on the LPAA experience, this crucial role will require ongoing investment of time and resources over the coming years, and will benefit from the support of various entities, including the Action Agenda Support Unit, UNFCCC, presidencies, UNSG, and supportive Parties.
2. **Tracking and delivery.** Tracking implementation is essential to demonstrate the credibility of initiatives and commitments to a range of stakeholders. Individual initiatives and sectors are establishing systems to track their own achievements, progressively harmonizing as appropriate. The NAZCA portal will continue to be improved and operated by the UNFCCC in consultation with the data and research community. To build on these efforts, champions, thematic facilitators, the UNFCCC, and the Support Unit can conduct an annual survey of Action Agenda initiatives to present ahead of the COP high-level event (a Champions' report is planned for COP22). A number of research organizations will continue to assess the aggregate impact of initiatives and their relationship to NDCs. Champions and presidencies, through the stakeholder input mechanism, will progressively encourage and incentivize initiatives to organize themselves along best practices.
3. **Flow of events.** Moments such as the high-level event at COP and summits organized by sectors or initiatives are critical to sustaining momentum and ensuring a dynamic interplay between the UNFCCC process and broader groundswell of climate action. Champions, supported by thematic facilitators, will work with sectors and initiatives to increase cohesion and synergy of the events, aiming to establish a regular calendar. Presidencies, champions, and the UNFCCC, in consultation with the stakeholder input body, will organize annual the high-level event at the COP. Leading initiatives and the Support Unit, supported by the UNFCCC, stakeholder input body, and successive champions, will begin immediate preparations for the 2018 no-state actor summit.
4. **Broader impact of the Action Agenda.** A significant component of the value of the Action Agenda is its potential to leverage influence in the broader climate change realm. All actors can coordinate to communicate the implementation and ambition of the Action Agenda to

key audiences. Supportive national governments and others can work to feed outcomes of the Action Agenda into the Technical Examination Process, the 2018 facilitative dialogue, and pre-2020 formulation and communication of NDCs.

Please refer to Appendix 1 for a more detailed description of which entities can help deliver these functions through an effective division of labor.

### III. Roadmap to 2020: key events and milestones for the Action Agenda

The Action Agenda should follow a regular rhythm, building in scale, from now until 2020 (see roadmap diagram).

Throughout the year, individual initiatives, networks, and sectors/thematic clusters will hold climate action events. Champions and the UNFCCC will work with these actors to promote an efficient division of labor and regular pattern for these events, consolidating where desirable.

The annual high-level event at COP, mandated to increase pre-2020 action by the COP21 decision and building on the Lima-Paris Action Agenda and the COP20 decision, will focus on strengthening and taking stock of Action Agenda initiatives and the broader groundswell of climate action, provide an opportunity for new initiatives to be announced, link to Technical Examination Process (TEP) and national policies, and begin to identify priorities and milestones for the following year.

In addition, a Climate Action Summit will be convened in mid-2018 that will serve as a “forcing moment” to catalyse climate action and energize the 2018 facilitative dialogue on collective ambition by:

1. Demonstrating the impact of existing commitments of cities, regions, companies and civil society as well as the aggregate effect of these commitments;
2. Allowing non-Party actors to redouble their commitments and create a collective benchmark of ambition that could be as a reference point;
3. Enabling national governments to formulate more robust NDCs based on demonstrated momentum and political support in key sectors, and setting out the key actions that governments would need to undertake to enable non-Party stakeholders to deliver further.

Several crucial steps must be taken in the next several months to establish this framework:

late-June	-Strengthen the role of thematic facilitators -Build consensus on criteria for inclusion and core themes -Re-brand the global climate Action Agenda
June - August	-Contribute to Champions’ consultation on the roadmap for the Action Agenda
Before COP22	-Finalize institutional arrangements for the Action Agenda, including the stakeholder input body and Support Unit

### III. Strengthening the ecosystem for climate action

A number of existing actors in the ‘ecosystem’ for climate action will continue to play a strong role:

1. Initiatives and networks representing cities, companies, regions, investors, civil society, international organizations, and cross-sectoral initiatives, etc.
2. Thematic facilitators (exact arrangements vary by sector and are self-organized)
3. High-level champions appointed by presidencies
4. Presidencies of COP20-26

5. UNFCCC Secretariat
6. UNSG and the broader UN system
7. Supportive national governments

Moving forward, it may be advantageous to build on the existing ecosystem of the Action Agenda by strengthening it in four key ways:

### 1. Themes

To provide continuity and stability, it will be important to continue to structure the Action Agenda by theme. There were 12 themes for the LPAA, and these can be rationalized going forward. Obviously many initiatives will fit into more than one theme, and so should be allowed to categorize themselves under multiple themes and direct their efforts wherever the greatest value lies. A core set of themes should be established that will not change between now and 2020. Other themes may evolve following shifting priorities, such as from the champions and presidencies.

### 2. Stakeholder input body

It is crucial for the initiatives and actors that comprise the Action Agenda to play an active role in its development and operation. Under the LPAA, leading initiatives and networks, civil society groups, and the research community have provided important advice to the champions, presidencies, and the UNFCCC that has facilitated shared strategic alignment on the Action Agenda and helped to create a sense of co-ownership. Key questions on which these stakeholders can provide input include: identifying gaps and priorities, defining criteria for inclusion in the Action Agenda, planning the 2018 summit and narrative arc, and developing and diffusing best-practices for initiatives. It may be desirable to create a clear body or process to provide this advisory and strategic, as opposed to operational input (in contrast to the individual networks and thematic facilitators). That said, it is important not to create redundancy, so to the extent a new body or process would overlap with existing networks like Friends of Climate Action or Galvanizing the Groundswell of Climate Actions, it should either take over some functions from other networks or differentiate itself from them to avoid redundancy.

Various options for a stakeholder input body can be considered:

<b>Option 1:</b> Peruvian Presidency consultative model	<b>Option 2:</b> Stakeholder Council model	<b>Option 3:</b> Organic model
Following the example of the Peruvian Presidency in the lead up to COP20, an informal but consistent group of leaders would be convened by the champions and presidencies on a regular (i.e. monthly) basis in order to provide strategic guidance and alignment on key issues.	The champions nominate a representative cross-section of Action Agenda leaders to serve on the Stakeholder Council for rotating terms (i.e. 1-2 years). This body provides input on key processes (e.g. planning of high-level event).	No new entity is established. Champions continue to receive advice on an <i>ad hoc</i> basis from various constituencies, with entities like Friends of Climate Action and Galvanizing the Groundswell of Climate Actions playing <i>ad hoc</i> roles.

### 3. Support Unit

Successive champions and presidencies, initiatives and networks, as well as UN bodies, will benefit from a small support staff to underpin the work of the Action Agenda. This Support Unit could help strengthen existing initiatives, organize events, facilitate tracking, and assist with communications, providing an essential “backbone” to the Action Agenda. Furthermore, putting a dedicated unit of staff in place through 2020 will provide essential continuity and institutional memory within the Action Agenda. It is envisioned that this Support Unit will work closely with the champions, and from pooled resources contributed by thematic facilitators and initiatives/networks.

Various institutional options have been proposed for this Support Unit:

<b>Option 1:</b> ICANN model	<b>Option 2:</b> New Climate Economy model	<b>Option 3:</b> House in existing organization	<b>Option 4:</b> Distributed model
Incorporate a new non-profit organization. Its board will comprise successive champions, the UNFCCC Executive Secretary, and representatives of the Stakeholder input body. Support Unit staff will work for this new organization, co-locating with successive champions.	A commission will be created comprised of successive champions, the UNFCCC Executive Secretary, and representatives of the Stakeholder input body. It will direct the work of the Support Unit staff, who may be organized as per option 3 or 4.	No new entity is created. Instead, Support Unit staff are housed in a single existing international organization or other entity such as a firm, but coordinate with the broader Action Agenda, and especially the champions.	No new entity is created. Support Unit staff are seconded or employed by various actors across the Action Agenda ecosystem.

#### 4. *Thematic facilitators*

It is worthwhile here to call attention to the critical role of thematic facilitators in the Action Agenda ecosystem, as their indispensable but often behind-the-scenes role often goes unrecognized. In a number of sectors, various thematic facilitators have been the glue that binds the catalysts of the Action Agenda (such as the champions, Presidencies, and UNFCCC) with the sectors and initiatives themselves that seek to deliver climate action. They have also proven instrumental in connecting initiatives to external resources in some cases. In the LPAA model, representatives from France, Peru, the UNSG, and the UNFCCC performed key elements of this work (e.g. the Peruvian government and the forestry sector). Other areas of the Action Agenda have their own thematic structures (e.g. the We Mean Business coalition for the private sector, or the various city networks). And because the capacity and deep sectoral relationships of the Presidencies and UNFCCC are often somewhat limited, outside thematic facilitators can be pivotal in leveraging the Action Agenda to its fullest potential.

Therefore, solidifying and strengthening the role of the thematic facilitators is central to strengthening the ecosystem for climate action. Because different themes of the Action Agenda are organized in vastly different ways, it is important for the champions and other more centralized elements of the Action Agenda not to be overly prescriptive about how various the sectors organize themselves. Thematic facilitators should be organically organized along sectoral lines and enjoy broad trust and credibility with the sectoral community. But because some sectors are more organized and integrated than others that more be more diffuse, and the champions and their teams can play a useful role in terms of encouraging and incentivizing greater organization for those sectors that require it.

Appendix I. Responsibilities and division of labor to deliver on the key functions of the Action Agenda

Function	Entities responsible	Process
ORCHESTRATING INITIATIVES		
Strengthening and scaling up existing initiatives	Individual initiatives, champions and thematic facilitators, supported by stakeholder input body, UNSG, and supportive governments and international organizations	<ul style="list-style-type: none"> <li>-Individual initiatives should have work plans for increasing scale and deepening ambition consistent with Paris objectives</li> <li>-Champions with Support Unit support initiatives to access new participants, funding, other resources</li> <li>-UNSG, supportive national governments and international organizations, and other supporters help initiatives gain participants, funding, resources, coordinating with Champions</li> <li>-Champions and stakeholder input body work together to identify opportunities for addressing key geographic, thematic, or ambition gaps</li> </ul>
Inclusion of (old or new) initiatives to be part of Action Agenda	COP Presidencies, Champions, UNFCCC, with input from stakeholder input body	<ul style="list-style-type: none"> <li>-COP presidencies and champions, supported by UNFCCC, issue call for initiatives in Q1, following priorities identified at COP</li> <li>-All entities may propose initiatives for inclusion based on AA objectives</li> <li>-COP presidencies and champions, supported by UNFCCC and Support Unit and in consultation with the stakeholder input body, finalize inclusion of Action Agenda initiatives well in advance of COP</li> <li>-Existing initiatives that are not able to demonstrate sufficient progress after two years may not be included</li> </ul>
Creating new initiatives	All stakeholders, supported COP Presidencies, Champions, and UNFCCC, with thematic facilitators and the stakeholder input body playing a catalytic role	<ul style="list-style-type: none"> <li>-All stakeholders, supported by presidencies/champions, thematic facilitators, and UNFCCC, may launch new initiatives based on gaps/opportunities identified at previous COP high-level event. Champions and thematic facilitators should play a leading and catalytic role</li> </ul>
TRACKING AND DELIVERY		

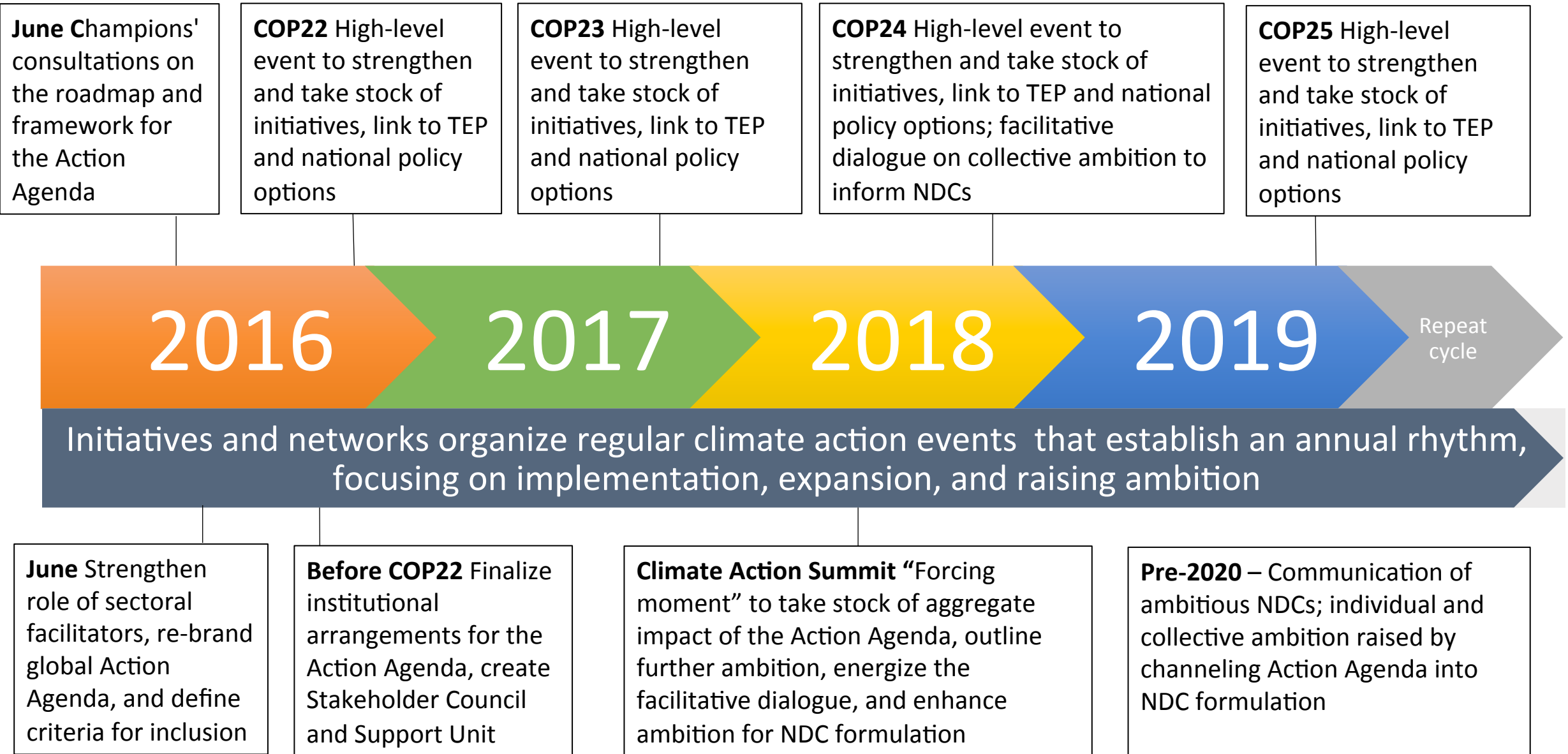
Tracking delivery of existing initiatives	Individual initiatives and themes/sectors, UNFCCC, UNEP	<ul style="list-style-type: none"> <li>-NAZCA portal maintained and operated by UNFCCC with input from stakeholder input body, presidencies, and champions</li> <li>-Individual initiatives and sectors will have their own tracking tools that should be harmonized over time</li> <li>-UNEP maintains general database of cooperative initiatives</li> <li>-UNFCCC and facilitators will conduct annual survey of AA initiatives, presented at COP</li> </ul>
Harmonization	Stakeholder input body, UNFCCC, UNEP	<ul style="list-style-type: none"> <li>-Special working group of the stakeholder input body will work to progressively harmonize data and methodologies, in close collaboration with the UNFCCC, UNEP and others</li> </ul>
Summary/aggregation of impact of Action Agenda	UNEP, individual initiatives and sectors, civil society and research community, with overarching assistance from UNFCCC and Support Unit	<ul style="list-style-type: none"> <li>-UNEP will include review of initiatives in annual Emissions Gap Report</li> <li>-Individual initiatives and sectors will report on their own</li> <li>-Joint report for 2018 summit coordinated by Support Unit and UNFCCC, with advice from the stakeholder input body</li> </ul>
Ensuring credibility	Champions and presidencies, UNFCCC, stakeholder input body	<ul style="list-style-type: none"> <li>-Parties and observers to the UNFCCC may make submissions to the COP presidencies/champions questioning whether a given initiative serves the objectives of the Paris Agreement</li> <li>-Such submissions may be considered in the selection process described above</li> <li>-Champions/Presidencies may respond publicly to such enquiries to explain how a given initiative does / does not meet advance the objectives of the Action Agenda and Paris Agreement</li> </ul>

EVENTS		
Planning of the high-level event during COP	Presidencies and champions with UNFCCC in consultation with the stakeholder input body and assisted by the Support Unit	<ul style="list-style-type: none"> <li>-Emphasis on assessing progress</li> <li>-Identification of key gaps and opportunities</li> <li>-Link to TEP and national policies</li> <li>-Select initiatives to feature at COP based on objective, transparent criteria, and do so well in advance</li> </ul>



Planning of thematic/sectoral events throughout the year	Individual initiatives/networks and sectors, supported by thematic facilitators and champions	<ul style="list-style-type: none"> <li>-Individual initiatives and networks will carry forward a wide range of events throughout the year</li> <li>-Champions, supported by thematic facilitators, will work with initiatives/sectors to increase cohesion and synergy of events</li> <li>-Aim to establish regular calendar and to combine events where possible</li> <li>-Emphasize local, regional, and national events to expand community of climate action</li> </ul>
Planning of 2018 summit	Support Unit and leading initiatives supported by UNFCCC, stakeholder input body, and successive champions	<ul style="list-style-type: none"> <li>-Begin planning as early as possible in 2016</li> <li>-The next UN Secretary-General could play a key role in supporting the summit</li> </ul>
<b>BROADER IMPACT OF ACTION AGENDA</b>		
Communicating the ambition and implementation of the Action Agenda to key audiences	Champions and presidencies with capacity from Support Unit, stakeholder input body, individual initiatives, supportive national governments and international organizations, UNSG	-Champions/presidencies work with initiatives, stakeholder input body, and UNFCCC to coordinate messaging
Linking Action Agenda to achievement of NDCs and raising ambition	-Friends of work stream 2 and champions, supported by UNFCCC and aligned initiatives	-Mechanisms to feed outcomes of Action Agenda into TEP, 2018 facilitative dialogue, pre-2020 formulation and communication of NDCs

# Action Agenda Roadmap to 2020





## Discussion memorandum

# Ensuring credibility of the Action Agenda through strong initiatives

June 20, 2016

Non-state, subnational actors, and cooperative initiatives have become increasingly active in taking climate action and are more engaged with the climate negotiation process than ever before. Since COP20 in Lima, Parties to the UNFCCC have recognized their efforts and encouraged greater action and ambition. In addition, the Action Agenda has been established alongside the negotiations as a space to highlight the achievements of the initiatives and their potential as important contributors to addressing the global problem of climate change. However, while it is important to recognize and encourage the efforts of the broad community of actors, it is also necessary to ensure these efforts are effective and robust.

The Lima-Paris Action Agenda, building on the success of the high-level event held in Lima during COP20 and the UN Climate Summit before that, established a set of criteria for initiatives to meet to be included in the program. These were: be cooperative, inclusive, open, and regionally-balanced; be ambitious; be science-based; have capacity to deliver; have a sufficient level of maturity; and be ready to report on progress.[1] While this is a useful baseline for an initial assessment of initiatives, many of these criteria could be further refined and clarified to enhance the transparency of the assessment process and assist initiatives in fulfilling their goals. This background note provides an overview of the importance of defining criteria for strong initiatives, notes some key challenges for assessment, and provides options and questions to stimulate discussion and advance efforts to ensure that initiatives included in the Action Agenda provide the necessary confidence, credibility, and integrity of action. Practical and transparent criteria will serve to strengthen the overall impact of the Action Agenda.

## How Criteria Strengthen Initiatives and the Action Agenda

The Action Agenda will only deliver on its promise of motivating additional change and signaling universal transition if the 'signal' it sends is credible. If initiatives presented under the Action Agenda are verified as effective, robust, and capable of delivering, this will provide a more compelling picture of what is really happening. We will have a better understanding of how far

we have come and how far we still need to go. We will also have a clearer understanding of what works, better equipping us with the knowledge to move forward. Criteria can also serve as a baseline for evaluation and tracking the delivery of commitments by initiatives, although further elaboration would be needed for effective evaluation and tracking (see also *Aggregating and Tracking Non-State Climate Action* for more on this issue).

Criteria can also provide benefits to participating initiatives. A strong set of clear criteria can help initiatives increase their chances of success by providing guidance around which to organize their approach. Established criteria could influence how an initiative develops a work plan, allows for adequate staffing and budget, and establishes monitoring or reporting activities. Since the Action Agenda provides recognition for leadership in climate action, criteria can help to separate effective and robust initiatives from less ambitious or stagnant initiatives ensuring recognition is appropriately applied. For example, the business community has established criteria for its initiatives and commitments. Finally, greater credibility and legitimacy for initiatives could potentially lead to provision of support, as investors and financial institutions would have increased confidence that initiatives could deliver on their commitments.

## Balancing Stringency and Participation

Establishing criteria simply for the sake of transparency, without a clear aim or purpose, can be problematic. Overly strict criteria could limit participation and unfairly disadvantage certain types of initiatives that may have stories of success to celebrate and share but do not necessarily meet the standards established by given criteria. Exclusion of these initiatives would then limit the scale and impact of the Action Agenda and its capacity to clarify the extent of climate action on the ground.

One potential option for addressing this issue would be to establish a funnel model to capture the broad range of action taking place, but also provide the necessary framing and structure to highlight separately climate initiatives that are more ambitious and effective and that are progressing quickly. Under this funnel approach, a minimum set of criteria could be established that would include a broader range of initiatives, but in addition, a separate set of criteria could be established to highlight stronger initiatives and focus in on best practices. All initiatives would have to meet the minimum set of criteria, and initiatives would be supported and encouraged to move toward the best practices over time.

These different groups could be highlighted in different ways. For example, initiatives that meet the minimum criteria could be listed on the NAZCA portal (Non-state Actor Zone for Climate Action), while initiatives that meet the best-practice criteria could be featured as official Action Agenda initiatives and highlighted during the annual high-level event at the COP.

Additionally, not all initiatives are at the same stage of the development process. Some may be more advanced than others and it would be important to take this into consideration when conducting an assessment. In this case, it may be practical to consider developing a subset of criteria to account for the differences of initiatives at different stages of development.[2]

## Where criteria could be used

Criteria could be used in various aspects of the Action Agenda. Consistent with the “funnel” model, certain criteria may be more appropriate for some applications than others.

1. **Inclusion in NAZCA platform.** NAZCA includes both individual non-Party stakeholder commitments (captured by various data providers) as well as cooperative initiatives that link many stakeholders together. Because NAZCA provides mostly a tracking and aggregation function, it is important that it only include active initiatives. However, it may not need to impose a certain scale threshold. This would be the “wide” end of the funnel.
2. **Recognition as part of the Action Agenda.** The LPAA included about 70 initiatives from a larger pool of a few hundred. Are the criteria used for the LPAA the right ones going forward?
3. **Inclusion in an assessment report.** The high-level champions are preparing a report on the Action Agenda for COP22, and a similar publication may be put forward each year. Against what criteria should initiatives be assessed in this report?
4. **Featuring in the high-level event at COP.** The COP21 decision text establishes an annual high-level event during COP to feature non-state climate action and cooperative initiatives. It would be expected that only the most robust initiatives would be recognized in this way (the narrow end of the funnel).
5. **Best practices for all initiatives to strive toward.** Criteria and characteristics of successful initiatives can provide a framework and signpost for initiatives to work toward over time.

## Setting Criteria

### What should be covered?

It is important to clarify the scope of what criteria cover. The diversity of actors, sectors, and issue areas relevant to the Action Agenda is quite broad. Initiatives may be undertaken individually or cooperatively and actors include cities, regions, states, civil society, businesses, and international organizations among others. Sectors include energy, forests, land use, transportation, finance, business, urban environments, resilience and short lived climate pollutants. Furthermore, initiatives may be focused specifically on climate outcomes, or could focus on other issues such as sustainable development or health and have significant climate co-benefits. Initiatives can also have broad geographical coverage or be localized with a focus on large impact or incremental change. Taking this diversity into account will be important when clarifying the scope, and this should avoid unfairly disadvantaging initiatives that may meet criteria but could be overlooked due to their size, geographical location, or focus area.

### What do you want to know?

Before criteria can be selected, it is important to understand the purpose of the assessment and what in particular one wants to know about the initiatives. Are we trying to determine whether or not an initiative has impact? Whether or not the initiative is transformational? Effective? Or progressing toward its goal? Clarifying these intentions

or goals upfront would help guide the selection of appropriate criteria. For example, the criteria needed to assess for impact would be very different from criteria to assess for effectiveness. Furthermore, clarifying this intention upfront can help identify if the criteria must assess the initiative against some global standard, or whether or not it is being assessed against its' own individual goal or commitment. In terms of the Action Agenda, there may be multiple elements that should be assessed, but these intentions should be clarified before selecting criteria.

### **Who decides?**

It will also be important to determine upfront who is responsible for selecting criteria, and who is responsible for assessing initiatives against those criteria. Establishing clear roles for the different people engaged in organizing the Action Agenda, including the COP presidencies, the high-level champions, the UNFCCC Secretariat and any other entities such as the UNSG's office, or other stakeholders will avoid confusion. When applying the criteria, it will also be important to consider how to ensure a consistent approach, particularly if the responsibility is shared and different people are responsible for assessing initiatives in different sectors separately. Establishing consistent methodologies that apply to all initiatives, such as whether they self-report information or whether there is third-party verification, will also be important.

### **What are the options?**

In addition to the criteria used by the Lima-Paris Action Agenda, a number of assessment proposals and methods have been put forward with regards to selecting criteria (see resources section). These include a combination of both quantitative and qualitative criteria with diverse approaches and differing scopes. In general, criteria tend to fall into one of four categories: *governance*, including leadership, goals, and participation; *resources*, including human and financial resources as well as costs and capacity; *transparency and accountability*, including reporting and verification processes; and *impact*, such as assessed or projected effects and co-benefits.[3] However, some criteria may be more difficult to categorize such as durability or replicability. Table 1 outlines some potential criteria.

Once criteria have been selected there will still be some hurdles. Part of the challenge with a criteria-based assessment is that a single criterion could elicit a diversity of interpretations. It would therefore be advantageous to develop clear descriptions and definitions for the criteria in order to reduce potential misinterpretations and facilitate a broad understanding. It may also help to develop a set of questions an assessor could ask in order to determine whether or not an initiative meets a given criteria to reduce subjectivity risks.

Table 1: Potential criteria for the assessment of Action Agenda initiatives

Criteria for targets/impact	Criteria for structure/organization	Criteria for delivery
Specific goal or commitment	Institutional leadership	Meeting self-established benchmarks
Ambitious goal or commitment	Established work plan	Delivery of targets
Measurable outcomes	Conducts self-assessment	Have capacity/adequate resources
Coherent targets	Cooperation or inclusiveness	
Time-bound	External collaboration	
Advance Paris Agreement goals	Established/sufficient maturity	
Verifiable	Reporting processes	
Supplemental	Level of participation	
Size or scale	Accountable	
Transformational	Geographical presence/ balance	
Science-based		

### Further questions for discussion

- Should there be a single set of criteria for all initiatives, or should there be different criteria for different types of initiatives or for initiatives involved in different sectors?
- Which criteria represent the bare minimum (wide end of the funnel), and which ones are the most robust (narrow end of the funnel)?
- How should Action Agenda criteria relate to criteria that initiatives or networks may establish on their own for their own purposes (e.g. business initiatives)?
- Could criteria be phased in over time? Which criteria should come first?

## Resources

Galvanizing the Groundswell of Climate Actions (GGCA). 2015. Accelerating the Action Agenda through Robust and Credible Climate Commitments from Non-state Actors.

Galvanizing the Groundswell of Climate Actions (GGCA). 2016. Aggregating and Tracking Non-State Climate Action. Working Session Summary.

Natural Resources Defense Council (NRDC). Accountability within the Ecosystem of Climate Commitment Platforms.

Nordic Council of Ministers. 2015. Tracking International Cooperative Initiatives.

World Wildlife Fund (WWF). Assessment Framework for Cooperative Partnerships.

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[1] [http://newsroom.unfccc.int/media/408544/lpaa\\_-\\_briefing\\_at\\_bonn\\_session\\_-\\_02\\_sep\\_15.pdf](http://newsroom.unfccc.int/media/408544/lpaa_-_briefing_at_bonn_session_-_02_sep_15.pdf)

[2] WWF. Assessment Framework for Cooperative Partnerships.

[3] Nordic Council of Ministers. 2015. Tracking International Cooperative Initiatives.

### Who we are: Galvanizing the Groundswell of Climate Actions

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[www.climategroundswell.org](http://www.climategroundswell.org)



## Summary of current efforts to track and aggregate non-state climate action

June 20, 2016

On May 20, 2016 on the margins of the Bonn climate meetings, Galvanizing the Groundswell of Climate Actions ([www.climategroundswell.org](http://www.climategroundswell.org)) convened a working session to bring together stakeholders collecting data on the groundswell of climate action from non-party actors as well as analysts studying the phenomenon. The working session provided an informal forum for participants to discuss the challenge of aggregating and tracking non-state climate action. Participants **shared their organisations' current and future plans regarding tracking and aggregating** climate action, **discussed priorities moving forward**, and **outlined concrete next steps**. This short summary synthesizes and presents the organizers' interpretation of the discussion in order to support further discussion of these themes.

### 1. Landscaping

International organizations, think tanks, NGOs, networks of cities, regions, and businesses, and academic researchers are engaged in a wide array of efforts to track and analyse sub- and non-state climate action, both individually and in several joint endeavours and partnerships. Many are feeding data into the UNFCCC's Non-state Actor Zone for Climate Action (NAZCA), which serves as a high-level overview of climate action. See: <http://climateaction.unfccc.int/>

Tracking initiatives are underway or planned for business initiatives as well as cities and regions. Key examples include (non-exhaustive list):

- "Business Determined Contributions" report from We Mean Business, tracking business initiatives
- Progress reports from the Compact of States and Regions, tracking sub-national territories and the Under 2 Mou
- Progress reports from several city networks, including ICLEI, C40, Compact of Mayors, and Covenant of Mayors.

In addition, several organizations are estimating the aggregate impacts of different groups of actors (e.g businesses, cities) or sets of initiatives. Researchers are developing further methodologies for translating sub- and non-state action into 2C or 1.5C pathways, and seeking to expand data collection in the developing world.

This activity represents a sizeable increase over previous years, when information on sub/non-state action was limited, and is helping to build a crucial evidence base to sustain and drive climate action at all levels. That said, significant expansion of tracking and analysis will be required to maximize the potential of sub- and non-state climate action. This will require further collaboration amongst the community and greater investment of resources.

Participants emphasized 2018 as a key “moment” to coalesce around. An event in mid-2018 will provide the opportunity to demonstrate the climate action underway and the impact it has made. Achieving this will require tracking and aggregating what sub- and non-state actors have delivered, what they have pledged, and what further steps can be taken to urgently close the ambition gap. Participants focused their discussion of priorities and next steps around this timeframe.

## **2. Priorities and challenges moving forward**

A relatively high degree of consensus emerged on the key priorities for tracking and aggregation. It was generally agreed that both further data gathering and harmonization was required and a particular focus was identified in the need to connect data from non-state action to NDCs and national data. Participants also identified some potentially challenges that lie ahead.

### *Gathering more data*

It was agreed that continued data collection should still be a core task. As part of this, it was suggested that we need to better understand the different stakeholders in order to gather data more effectively.

Participants noted that we need to gather GHG emissions data but also data in the context of 1.5oC and 2oC scenarios and institutional data that allows GHG to be put in context. Interest was also expressed in creating an open source model of tracking, but it was also noted that harmonization on baselines and analysis would need to be a priority to make this happen.

### *Harmonizing data*

Participants agreed on the importance of harmonization, particularly to enable aggregation by 2018. Suggested areas for convergence included terminology, data used, baselines, methods for collecting, and ways of communicating impact. The GPC standard was cited as an example of harmonisation that has been effective for the Compact of Mayors.

It was also noted that while harmonization is useful, sometimes different groups may have very good reasons for using different systems. Participants agreed that efforts should be made to understand *why* different systems are used and work around that. It was discussed that perhaps harmonization should be nuanced rather than blanket.

### *Connecting with national data and NDCs*

The need to connect data and reporting on non-state action with the national process was a major emphasis in discussions. It was noted that Cristiana Figueres put a challenge to the non-state actor community to come to a summit in 2018 with aggregated data, projections out to 2025 and 2050, and clear messages for governments on what more can be done.

Participants noted the various and significant analytic difficulties involved in teasing apart NDCs and sub- and non-state action. Nonetheless, the participants expressed confidence that it can be done, although it will be a lot of work and will require starting right away. For example, the New Climate Institute has recently done it with Germany, finding that some sub-national actions targets were additional to national plans.

Participants also discussed whether it is strictly necessary to aggregate data across all sectors. Another option could be to just note the contributions of different groups to show momentum, avoid tricky accounting problems, and facilitate effective communication. It was mentioned that there is still, however, a pressing need to show how non-state action both helps deliver NDCs and how it can extend beyond them. Participants agreed that this will be an important discussion to have with Parties and a confidential space will be needed, perhaps facilitated by the Secretariat.

### *Challenges*

Participants identified a number of potential challenges moving forward.

- It was noted that the capacity of actors in the global South will need significant development in order to produce the kind of data being discussed. This will ultimately require a long-term capacity building process.
- Participants agreed that the standard of work needs to be high in order to ensure that the evidence base related to climate action is credible and respected.
- It is important to ensure that methods and accounting systems do not impose undue user costs and remain flexible enough for innovative initiatives to integrate slowly

### **3. Coordination**

Participants discussed how best to work together, what an effective division of labour would be, and what gaps or redundancies need to be addressed. During this discussion, creating small working groups on particular issues emerged as a popular strategy (see next steps below).

Participants noted that, in order to facilitate coordination, data should be shared more openly, in a way that drives scaling-up by allowing researchers outside this group to take it up. Following this, a discussion centred on the prospect of developing a closed portal where groups could upload samples of their raw data (real or simulated) to allow the community to begin comparing data and how it is being used. It was noted that this could develop into a more open source platform that enabled the wider world to get involved in tackling this data and come up with various solutions and applications.

A strong point of consensus among participants was that to reach the scale necessary and to be sustainable and predictable, automation of data is required. For example, automatic inputs into NAZCA from data providers would greatly increase the platform's accuracy and reduce operating costs. At the same time, allowing "output" from NAZCA into downloadable form or dashboards would make it much more effective.

#### 4. Next steps

The discussion concluded by identifying a number of concrete next steps. Participants and other stakeholders are encouraged to join these and help take them forward.

- Working group on harmonization and aggregation
  - Participants decided it would be useful for key data providers to begin discussing how best to harmonize and aggregate data in order to feed into tracking efforts and the 2018 event.
  - Galvanizing the Groundswell of Climate Actions has drafted a concept note for this working group, available at [www.climategroundswell.org](http://www.climategroundswell.org). All stakeholders who are interested are invited to contribute to this document and to participate in the working group
- Working group on relation between non/sub-state action national policies / NDCs
  - Participants saw value in bringing Party and non-Party actors together to discuss current overlap between sub/non-state action and NDCs, and how parties can best maximize the potential of sub/non-state action in both NDC implementation and future NDCs.
  - Galvanizing the Groundswell of Climate Actions is working on a framework paper on these issues, available at [www.climategroundswell.org](http://www.climategroundswell.org).
- Improve functionality of the NAZCA portal
  - UNFCCC to work with partners regarding increasing the platform's functionality

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## Framework memorandum

# Relation between NDCs and cooperative, subnational and non-state action

June 20, 2016

This framework memo considers key issues around the relationship between nationally determined contributions (NDCs) and other areas of climate action, particularly sub/non-state actions. It covers:

1. **Opportunities in linking non-state and sub-national climate actions to NDCs**
2. **Challenges in linking non-state and sub-national climate actions to NDCs**
3. **Institutionalizing links between NDCs and the groundswell of climate actions**

The Paris Agreement represents a new era of global climate governance, in which the role of non-state and sub-national actors have become increasingly important in realizing a carbon-neutral and climate resilient future. The 'Non-State Actor Zone on Climate Action' (NAZCA) showcases over 11,000 climate actions by companies, investors, cities, regions and civil society. These non-state and subnational climate actions will play an important role in implementing the Paris Agreement.

Non-state and subnational climate actions do not constitute a wholly separate sphere of governance from traditional climate negotiations; they interact with each other and with national policies and strategies in a multi-level governance landscape. Better alignment in this landscape, in particular between sub-national and non-state efforts and global and national mitigation and adaptation targets, could help harness the full potential of climate actions and enable synergies, now in the immediate future, catalyzing pre-2020 actions and impacting in the overall ambition of the next round of NDCs.

This memo specifically focuses on Nationally Determined Contributions (NDCs) - in which governments communicate their contributions to achieving the Convention's goals starting in 2020. We argue that closer alignment between NDCs and other climate actions could, *inter alia*, create buy-in from private stakeholders, sub-national authorities and civil society; leverage technical expertise and capacity; enable sector specific decarbonization pathways; improve transparency; and demonstrate the feasibility and build political support for increasing national targets. Alignment between NDCs and climate actions needs to take place at different scales (local, regional, national and international), among different types of actors (cities, regions, countries, companies, investors and civil society) and among and within different sectors.

## **Opportunities in linking non-state and sub-national climate actions to NDCs**

### *Inspiring national climate actions*

Climate actions by non-state and sub-national stakeholders that focus on mitigation and adaptation relevant to the implementation of NDCs can inspire national policy-makers to adopt higher ambitions. First, climate actions can demonstrate innovative and particularly effective solutions, showing that even very ambitious NDCs (e.g. those involving transformation of whole sectors) are plausible strategies. Second, taking into account the mitigation potential of sub/non-state climate actions can often allow national targets to be adjusted upwards. For instance, a recent comparison between ambition levels of INDCs of the EU, USA, China, India, Indonesia, Brazil, Russia and Japan, and the mitigation potential of 19 cooperative initiatives indicated that substantial gains can be made beyond current national ambition levels (Öko-Institut, NewClimate Institute, and Fraunhofer ISI, 2016). Countries could increase their ambition levels in NDCs simply by supporting and aligning their targets with ongoing initiatives. Conversely, ambitious NDCs can provide confidence, structure, and support for sub/non-state actors.

### *Achieving the conditional targets*

In the mitigation component of NDCs, many countries make the distinction between unconditional and conditional commitments. Next to 'harder' unconditional mitigation pledges, governments have also provided long-term GHG emission reduction targets, or optional, more ambitious, pathways. For instance, the US defines 'higher abatement scenarios' based on what non-state and subnational actors achieve in addition to government targets. Most conditional mitigation targets, however, are found among developing countries, whose more ambitious targets hinge on external factors, in particular capacity building through international cooperation, and financial and technical support. For example, in its 2015 INDC, Colombia commits to an unconditional target of 20 % GHG reduction by 2030 compared to a business as usual (BAU) scenario, and a 30 % conditional target, if it receives international support. Ghana pledges a 15 % unconditional target by 2030 and a 45 % conditional target if external support "cover[s] the full cost of implementing the mitigation action (finance, technology transfer, capacity building)". Voluntary climate action and cooperative initiatives could facilitate the international support needed to achieve the conditional targets. For example, Ghana's INDC stipulates conditions for several of their mitigation actions such as rural household lighting. Linking non-state, sub-national and multi-stakeholder initiatives such as the CEM Global Lighting Challenge, could support the implementation of such conditional mitigation actions.

### *Support national monitoring, assessment, and review*

A recurring challenge when formulating NDCs in the run-up to Paris in 2015 has been the lack of high-quality and comparable data (Day et al., 2016). Data availability forms the basis for further analysis, scenario-building, evaluation and learning, hence, improving the quantity and quality of data remains a central challenge, especially for developing countries. Several non-state and sub-national cooperative initiatives have advanced programmes and guidelines for collecting data from their constituents. The CDP, for instance, collected emissions data from nearly 2,000 companies worldwide, making it a leading source for information on voluntary climate action by companies; Carbon climate registry holds climate data for over 6000 local and sub-national governments; and, the Climate Bonds Initiative had nearly \$42 billion marked green bonds in 2015. These private data sets provide a massive amount of useful data for



countries to tap into when developing their NDCs. However, different reporting standards and guidelines inhibit comparability across the different registries. Moreover, the level of overlap between the national and other climate actions is still a matter of debate. Against this background the research and analysis community could play an important role, both in helping to build reliable data systems to support monitoring and assessment at the national level, as well as to estimate impacts of non-state and subnational actions.

### *Realizing the adaptation component*

Most – especially developing country – INDCs contain adaptation components. Moreover, many INDCs also point out a certain conditionality in successfully achieving adaptation. For instance, Vietnam estimates that state resources can only meet 30% of its adaptation need, necessitating external financial support, both public and private. Cooperative climate initiatives could help gather financial support and investments next to bi- and multilateral assistance programs, as well as build capacity, for instance at the local level, to cope with the impacts of already occurring climate change. For example, the Adaptation for Smallholder Agriculture Programme (ASAP), led by the International Fund for Agricultural Development (IFAD), channels climate finance to smallholder farmers so they can access the information tools and technologies that help build their resilience to climate change.

### **Challenges in linking non-state and sub-national climate actions to NDCs**

Realizing the potential of linking voluntary climate actions and the NDCs requires political willingness, but also methodological tools and data for understanding how and for what purpose the links should be made. The next section discusses challenges, especially regarding methods and data-needs, for evaluating the linkages between NDCs and voluntary climate action.

### *Methods for evaluating the linkages between NDCs and voluntary climate action*

The increasing importance attributed to non-state and sub-national actors in reaching the global climate targets calls for a more concerted approach to data-collection and analysis as well as the testing of new methods and focuses. A few analyses have started to model the potential effects of cooperative initiatives on GHG emission reductions and their impact vis-a-vis INDCs (e.g. UNEP, 2015; PBL, 2015; Öko-Institut, NewClimate Institute, and Fraunhofer ISI, 2016). However, often they assume perfect implementation of commitments, use a small sample of initiatives, and apply general assumptions about the overlap between commitments. Empirical evidence of their actual impacts is lacking (Chan, Falkner, Goldberg & Van Asselt, 2015), individual commitments are often omitted (NAZCA counts over 11,000 individual commitments), and assessments often disregard benefits other than GHG emissions. These issues could lead to inaccurate estimations of the GHG emissions reductions, double-counting, and attribution problems between actions and observed effects. Moreover, many (ex ante) impact assessments focus on mitigation effects, whereas the vast majority of climate actions do not directly focus on reducing emissions (Bulkeley et al, 2014; Chan, Falkner, Goldberg & Van Asselt, 2015).

### *Mapping the universe of non-state and sub-national climate actions*

For a country developing an NDC it is important to understand what non-state and sub-national climate action are taken within its jurisdiction. However, current data-collection projects fail to

present a clear and reliable and comprehensive overview of where and which types of actions take place within and across jurisdictions. Initiatives fostering data-exchange, openness, and transparent data protocols could lead to a more reliable mapping of the universe of climate actions. However, collaboration between academic and more policy-oriented data projects could still have a lot to gain in terms of synergies. Overall, there is large diversity in selection criteria across databases and platforms; different variables are used, and limited third party access to data, and in particular to ex post data, is provided, (see Widerberg and Stripple, 2016, for a review of five cooperative initiative databases). The proliferation of databases and platforms may enrich but also confuse our understanding of the wider universe of climate actions. NAZCA platform is only one of several repositories; others include the Climate Initiative Platform (led by UNEP, UNEP-DTU and the Nordic Council of Ministers) and more research oriented databases (e.g. Hoffmann, 2011; Bulkeley et al, 2014; Abbott et al, 2012, Hale and Roger, 2014; Widerberg, Pattberg and Kristensen, 2016, Chan, Falkner, Goldberg & Van Asselt, 2015).

An additional and related technical challenge is the availability and the collection of data. Data may exist on climate action, however, they may not be accessible to a wider audience. Many initiatives may provide information, they are not requested to report, and some initiatives do not desire to be monitored.

#### *Measuring impacts of non-state and sub-national climate actions*

A hurdle in establishing links between climate actions and NDCs is the lack of understanding of the ex-post effects of climate actions, both in terms of reduced greenhouse gases, as well as other effects.

Specifically regarding mitigation, different units of analysis have been employed. Direct effects could relate to reduced CO<sub>2</sub> eq. in consumption and production; achieved energy efficiency; reduced energy intensity; reduced energy use; or the proportion of renewable energy in the energy mix. Such a broad array of units of analysis hinders cumulative knowledge and aggregated overviews on the mitigation effects of climate actions, and may be reason to coordinate between the largest data providers to ensure comparability.

Even less comparable data is available to assess indirect effects, and effects in terms of sustainability co-benefits and adaptation. A very wide array of units of analysis could be employed, including the number and type pledges and commitments, measures of finance flows, technology transfer, knowledge exchange, capacity building, as well as the number of people and communities, or areas (e.g. in forestry), affected. An opportunity to explore more standardized non-mitigation or indirect mitigation effects in a comparative manner may be to review indicators used for the Sustainable Development Goals. This would also be an opportunity to link climate actions to other national strategies than the NDC, in particular the national implementation of SDGs and the 2030 Development Agenda.

#### *Understanding the overlaps between climate actions in relation to national level GHG accounting*

As NDCs are based on GHG accounting, an important challenge is to account for overlaps in achieved emission reductions. There are different types of overlaps which may lead e.g. to double counting of reduced emissions at the national level. First, a multiplication of featured



commitments occurs when actors make the same commitment across different forums, e.g. Barcelona is part of 5 different city networks working on climate change related issues. Second, overlaps occur when climate actions are hierarchically nested, e.g. Barcelona is situated in the region of Catalonia, the country of Spain, the European Union – and pledges at all levels are not aligned. Finally, problems with overlaps also occur when a non-state actor takes action across multiple national jurisdictions, in which case it is not clear to which country's climate targets it contributes to. For instance, Unilever (11 individual actions and 9 cooperative initiatives in NAZCA) sells products in 190 countries and has nearly 260 production sites globally. In such case, non-state efforts may not be accounted for as contributions to any specific NDC.

Research efforts have been made to analyse overlaps. For instance, some scholars and organizations have indicated a proliferation of institutions and initiatives (UNFCCC, 2015; UNEP and UNEP DTU Partnership, 2016; Abbott, 2012; Bulkeley et al, 2014; Hale and Roger, 2013); some have focused on overlaps in reported mitigation (potential) in units of CO<sub>2</sub>-e (UNEP, 2015; Roelfsema et al; Höhne et al, 2015); some have focused on overlaps in terms of actors participating across different climate actions (Widerberg and Pattberg, 2015); and overlaps have also been discussed in terms of rules and norms (Green, 2013). However, there is no agreement on methodologies to estimate links between NDCs and climate actions and existing findings range from very limited overlap (in terms of reported mitigation (potential) in units of CO<sub>2</sub>-e (UNEP, 2015), to very significant overlap (Roelfsema et al., 2015).

To better estimate the links between climate actions and NDCs methods are needed to control for overlaps. Promising methodologies include sector-based approaches to align corporate GHG emissions targets with climate goals (Krabbe, O. et al 2015) and country-based approaches using samples of climate actions (e.g. Höhne et al 2015). Moreover, most research effort hitherto have focused on cooperative and partnership types of climate actions, while the additional contributions of individual commitments and pledges is even less understood. There is a need to create methodologies to understand the contribution of individual climate efforts.

### *Enhancing sectoral linkages*

Currently some of the most important sectoral stakeholders are only shallowly engaged in climate action, including state-owned enterprises, small and medium enterprises, and the financial sector. These, however, are key areas that link to national policies, in particular NDCs. Engagement of these sectors at the national level will be key to leverage additional capacity and resources to realize targets and to adjust NDCs upward. However, currently almost all processes under Global Climate Action Agenda are taking place at the international level, e.g. during international climate conferences. To improve sectoral linkages, national governments need to act as a broker between sub-national sectors.

### *Understanding the institutional parameters of climate actions*

Data platforms such as NAZCA currently emphasize the number of initiatives, but contribute little to enhancing the understanding on which initiatives work and why. Concerted efforts to compare different types of climate actions could contribute to a better understanding of the determinants of effectiveness of climate actions and which type of stakeholders should be engaged in which type of action to deliver on which NDC component. This better understanding of effectiveness would help governments to become effective brokers of climate actions that align with NDCs.

## **Institutionalizing links between NDCs and the groundswell of climate actions**

Various institutional fora and processes could be further developed to enhance linkages between national NDCs and climate actions from other actors.

### *The Technical Examination Process*

Under Workstream 2, for pre-2020 action, countries have held regular Technical Examination Meetings (TEMs) on themes like renewable energy, cities, etc. that are intended as platforms to share solutions. Many meetings have featured the work of sub/non-state actors and initiatives as well. While widely supported, the TEMs have yet to fully deliver on their potential. While NDCs describe country's pledges for post-2020 action, the likely rapid entry into force of the Paris Agreement, the 2018 facilitative dialogue, and the new round of NDCs expected by 2020 all highlight the ongoing importance for countries of considering how to make their policies as robust as possible. The TEMs thus provide a forum to create the links suggested above.

### *Review processes under the Paris Agreement and Decision Text*

The Paris Agreement and Decision Text create various processes to review countries' progress toward their emissions reductions (the enhanced transparency mechanism described in Article 13) as well as collective efforts toward the goals of the Paris Agreement (the global stocktake in Article 14; facilitative dialogue in 2018 in the decision text). Procedures and modalities for these processes are currently being developed. In this context, it may be useful to explicitly seek consideration of sub/non-state climate actions, both within individual countries and on the global level (van Asselt and Hale 2016; Van Asselt 2016).

### *Formulating new NDCs*

As countries look to formulate new national contributions, they may benefit from engaging sub- and non-state actors early in the process. Many countries did this very well in the lead up to Paris, and so provide a rich set of experiences that others may learn from.

## **Conclusion**

Non-Party efforts in the Paris Decision have been emphasized as an important pillar to catalyze and accelerate climate action between now and 2020. However, climate action will remain important beyond 2020, as they can contribute to the implementation of NDCs and higher ambition. This memo discussed the relation between NDCs and a very diverse array of climate actions to combat and adapt to climate change. Businesses, governments, as well as regions, cities, and individuals are embarking on the challenge to reduce emissions and to adapt to the impacts of climate change. As we look towards closing linking & the state and non-state initiatives; monitoring those players' actions and developing and applying methods to collate & align them, it is critical to connect to policy makers and researchers all over the world to identify best practice options and understand differences between geographical regions and stakeholders. Tracking & advancing progress of climate change through collective action requires creating new partnerships, identifying barriers, collating insights, capacity, resources, data solutions through strategic partnerships and creating the conditions that enable groundswell action to scale.

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