Cooperative Climate Action: Global Performance & Delivery in the Global South

PRELIMINARY FINDINGS OF THE *CLIMATESOUTH* PROJECT FOR THE GLOBAL CLIMATE ACTION SUMMIT

September 10, 2018

Methodological appendices

Appendix 1: List of initiatives

List of NAZCA registered cooperative initiatives (8 September 2018)	
4/1000 Initiative: Soils for Food Security and Climate	Caring For Climate
Adaptation for Smallholder Agriculture Programme (ASAP)	International Solar Alliance
Adaptation of West African Coastal Areas	International Zero-Emission Vehicle Alliance
Africa Renewable Energy Initiative	Life Beef Carbon
African Clean Energy Corridor Initiative	Lima Challenge
Airport Carbon Accreditation	Low-Carbon Sustainable Rail Transport Challenge
Blue Growth Initiative	Maritime Regions in Action against Climate Change (CPMR)
Bonn Challenge	Megacities Alliance for Water and Climate
Breakthrough Energy Coalition	Mission Innovation
Building Efficiency Accelerator Platform	MobiliseYourCity
Business Alliance for Water and Climate	Montréal Carbon Pledge
Business Leadership Criteria on Carbon Pricing	Municipal Solid Waste Initiative
C40 Cities Clean Bus Declaration	Oil & Gas Methane Partnership
Carbon Neutral Cities Alliance	Paris Declaration on Electro-Mobility on Climate Change
Industry Energy Efficiency Accelerator (BEIS) / Industrial Energy Efficiency Accelerator (IEEA)	Paris Pact on water and adaptation to climate change in the basins of rivers, lakes and aquifers
CEM Global Lighting Challenge	Phasing Down Climate Potent HFCs
Cement Sustainability Initiative	Portfolio Decarbonization Coalition
Cities and regions 5-year vision	Promotion of Smart Agriculture towards climate change
Statement by Financial Institutions on Energy Efficiency Finance	Protection of 400 million hectares of forests by Indigenous Peoples
Climate Change Reporting and Fiduciary Duty	Public Transport Declaration on Climate Leadership
Climate Risk and Early Warning Systems (CREWS)	R4 Rural Resilience Initiative
Collaborative Climate Action Across the Air Transport World	RE100
Compact of Mayors	Refrigerants, Naturally!
Compact of States and Regions	Remove commodity-driven deforestation
Corporate Engagement in Climate Policy	Renewables LCTPi
Covenant of Mayors	Save Food Initiative

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Divest-Invest Global Movement	Science based targets
en.lighten Initiative	SIDS Lighthouses Initiative
Food Security Climate Resilience Facility (FoodSECuRe)	Smart Risk Investing (SRI)
G7 Climate Risk Insurance Initiative	Cities Climate Finance Leadership Alliance
Global Alliance for Buildings and Construction (Global ABC)	Taxi4SmartCities
Global Alliance for Green Cookstoves	The 1-in-100 Initiative
Global District Energy Accelerator	The New York Declaration on Forests
Global Energy Efficiency Accelerator Platform	Under 2 MOU
Global Fuel Economy Initiative (GFEI)	United for Efficiency
Global Geothermal Alliance (GGA)	Urban Electric Mobility Initiative
Global Green Freight Action Plan	WWF Climate Savers
Great Green Wall for the Sahara and Sahel Initiative (GGWSSI)	Zero Deforestation Commitments from Commodity producers and traders
Global Resilience Partnership	

Appendix 2: Methodology

The *ClimateSouth* Initiatives Database (CSID) contains data on 77 cooperative actions registered on the NAZCA platform and gathers four types of data: *actors*; *organizational characteristics*; *geography of implementation*; and *output performance.* CSID is modeled after the Global Aggregator for Climate Actions (GAFCA) developed by DIE and the London School of Economics and Political Science. To measure output performance CSID uses the Function-Output-Fit (FOF) method, earlier applied to sustainability partnerships and climate actions.[1] Building on political systems theory and log-framing methods common in development studies, FOF assesses the consistency between functions and attributable and tangible production (outputs). To measure fitness between outputs and functions, the research team identified functions of initiatives (see *table i*), distinguishing 12 inductively derived categories.[2]

Function categories			
Institutional capacity building	Lobbying	Norm & standard setting	Campaigning
Knowledge dissemination	Participatory management	Product development	Funding
Technical/on-the-ground implementation	Training	Knowledge production	Policy planning

Table i: Function categories

Subsequently, data was gathered on 26 output categories for every initiative (see *table ii*).

Output categories			
Publication (Research, *PUB_RES*)	Publication (Advocacy, *PUB_ADV*)	Publication (Standards, *PUB_STA*)	Publication (Education, PUB_EDU)
Publication (Policy, *PUB_POL*)	Publication (Emissions Reports, *PUB_EMR*)	Publication (Reports, *PUB_REP*)	Event Participation (Popular, *EPA_POP*)
Event Participation (Policy to Policy, *EPA_POL*)	Event Organization (Science to Science, *EVO_S2S*)	Event Participation (Science to Science, *EPA_S2S*)	Event Participation (Science to Policy, *EPA_SCP*)
Funding Provided (*FUN_PRO*)	Institutions (Tools, *INS_PIN*)	Funding Raised (*FUN_RAI*)	Event Organization (Popular, *EVO_POP*)
Commercial Services - Advice (*COM_CON*)	Institutions (Established, *INS_ORG*)	Institutions (Partners, *INS_PAR*)	Commercial Products (*COM_PRS*)
Infrastructure (*ITT*)	Other (*OTH*)	Social Media (*SOM*)	Data aggregator (*DTB*)
Event Organization (Science to Policy, *EVO_SCP*)	Event Organization (Policy to Policy, *EVO_POL*)		

Table ii: Output categories

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[1] See: Pattberg, P. H. (Ed.). (2012). *Public-private partnerships for sustainable development: Emergence, influence and legitimacy.* Edward Elgar Publishing; Chan, S., Falkner, R., Goldberg, M., & van Asselt, H. (2018). Effective and geographically balanced? An output-based assessment of non-state climate actions. Climate Policy, 18(1), 24-35.
[2] For an extended description of the methodology used and definitions of individual categories, see: Chan et al 2018.

Finally, outputs and functions data were combined to assess consistency between functions and outputs (*table iii*). For instance, an initiative aiming to build capacity through training should at least produce training manuals, training seminars, etc. to have any desired impact.

Function	Fitting outputs
Knowledge production	PUB_RES; DTB; EVO_S2S; EPA_S2S;
Knowledge dissemination	PUB_EDU; DTB; EVO_S2S; EVO_SCP; EVO_POL; EVO_POP; EPA_SCP; EPA_POL; EPA_POP; SOM
Technical and on-the-ground implementation	ITT; PUB_EMR
Institutional capacity building	INS_ORG; INS_PIN; EVO_POL; EPA_POL
Norm & standard setting	UB_STA
Campaigning	PUB_ADV; EVO_POP; EPA_POP; SOM
Lobbying	PUB_POL; COM_CON; EVO_POL; EPA_POL
Participatory management	INS_PAR; PUB_REP; EVO_POP
Training	PUB_EDU; EVO_POP
Funding	FUN_RAI; FUN_PRO
Product development	COM_PRS
Policy planning	PUB_POL; EVO_SCP; EVO_POL; EPA_SCP; EPA_POL; INS_PIN

Table iii: Functions and fitting outputs

Based on this assessment output performance is designated a value that corresponds with the percentage of functions that is matched by fitting outputs (*table iv*)

No output	Low	Medium-low	Medium-high	High
No outputs have been produced	For >0%-25% of the initiative's functions fitting outputs have been produced	For >25-50% of the initiative's functions fitting outputs have been produced	For >50-75% of the initiative's functions fitting outputs have been produced	For >75% of the initiative's functions fitting outputs have been produced
The initiative remains a promise on paper; it has not produced any output except for expressing a willingness to take action.	First steps have been taken towards implementing the initiative. Outputs are produced, even when they fulfill few or none of the declared functions.	Significant steps are taken towards implementation. Outputs are produced, even when they are not enough to fulfill most functions.	Relevant outputs are produced for most functions that the initiative wants to fulfill. It is likely to generate some of the desired environmental and social impacts.	The initiative produces relevant outputs for nearly all declared functions. The initiative is likely to generate desired environmental and social impacts.

Table iv: FOF values/performance levels