# THE EFFECTIVENESS AND LEGITIMACY OF CLIMATE ACTION PLATFORMS

# A COMPARATIVE CASE STUDY OF LOCAL, REGIONAL AND NATIONAL PLATFORMS



**A MASTER'S THESIS BY BIANCA NAGASAWA**

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# The effectiveness and legitimacy of climate action platforms: A comparative case study of local, regional and national platforms

**Summary**

In the recent years there has been a surge of climate orchestration platforms aimed at accelerating, managing and steering non-state climate actions. These platforms are voluntary, indirect and soft mode of governance, with the potential to catalyze climate actions aimed at achieving mitigation and adaptation goals. The literature review on the topic reveals a lack of understanding of these orchestration initiatives in the national, regional and local levels, in the field of climate governance, with most of the studies focused on global ones. Thus, this research aimed to analyzing in what way and to what extent national, regional and local orchestrators are effective in contributing to solving the problem of climate change and creating legitimacy, while mobilizing a broad support for this goal. This research contributes to the studies on climate orchestration, transnational governance, and to some extent the work on global climate governance. It does so by enhancing our understanding on the performance and legitimacy of climate action platforms, and their role in global climate governance.

**Key concepts:** *Orchestration**, Climate Governance, Transnational climate governance, Effectiveness, Legitimacy*

**List of abbreviations**

GCAA Global Climate Action Agenda

GHG Greenhouse gas

UNFCCC United Nations Framework Convention on Climate Change

NAZCA Non-state Actor Zone for Climate Actions

IPCC International Panel on Climate Change

FS Fossil Free Sweden

WASI We Are Still In

JCI Japan Climate Initiative

VCCA Vietnam Coalition for Climate Action

ACA-MX Alliances for Climate Action Mexico

CPEC Comunidad #Por El Clima

COP Conference of the Parties

COP21 21$^{st}$ United Nations Climate Change Conference, 2015, Paris, France

COP 25

NSA Non-state actors

IGO Intergovernmental organization

LPPA Lima-Paris Action Agenda

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## 1. INTRODUCTION

Climate change is an unprecedented global challenge, with increasing impacts and consequences, considered as a threat to most species, places and livelihoods (Biermann, 2014). Governments' responses have remained limited in the light of current scientific research and of people and places most likely to be affected by the effects of climate change (Biermann, 2014; Chan, Ellinger, et al., 2018). Therefore, it is clear that climate action is not a matter for governments alone, additional activities by a wide range of different non-state actors across various scales is necessary to complement governmental efforts (Chan, Falkner, et al., 2018).

Climate actions by sub-national and non-state actors are being increasingly recognized under the United Nations Framework Convention on Climate Change (UNFCCC) (Hale, 2016). Non-state, transnational actions have a great potential challenges of global climate governance (Blok et al., 2012; Chan et al., 2015; Hsu et al., 2015; Michaelowa & Michaelowa, 2017). However, a myriad of uncoordinated actions could also lead to a fragmented governance landscape, rather than filling gaps in global climate action (Van Asselt, 2014).

Several authors have called for the alignment and coordination of transnational climate actions for more effective governance (Abbott & Snidal, 2010; Betsill et al., 2015; Chan et al., 2015; Chan & Pauw, 2014; Hale & Roger, 2014). There is a growing number of regional, national and local orchestration efforts, or 'platforms' as they are referred by van der Ven et al. (2017) and this study, aiming at coordinating non-state actors towards the global governance effort to mitigate climate change and adapt to its impacts (Chan, Ellinger, et al., 2018). These orchestration efforts are indirect modes of governance characterized by non-hierarchical relations, and voluntary participation (Kern, 2009) whereby an orchestrator (e.g. the UNFCCC or a local, national or regional platform) aims to steer intermediaries (non-state actors) towards governance targets (Abbott et al., 2012).

However, evidence on the effectiveness these orchestration platforms is scarce (Chan et al., 2015). Moreover, according to Bäckstrand & Kuyper (2017) little is known about their democratic legitimacy. Consequently, the overall potential of these initiatives in contributing to climate efforts remains uncertain (Chan et al., 2015; Michaelowa & Michaelowa, 2017). There is a need to better understand the performance and the legitimacy of these novel initiatives that are surging across different socio-economical spheres and spatial boundaries.

This research addresses the effectiveness and legitimacy of local, national and regional climate action platforms in the light of their own institutional scheme, in this case orchestration. Non-state actors have great potential and responsibility when it comes to adaptation and mitigation efforts in a changing climate, as they control most of the production of goods and services (e.g. businesses and industries), the mobilization of people (e.g. civil society actors, citizens) and our living spaces (e.g. cities and states) . Regional, national and local platforms are believed to be better equipped to support these actors in addressing their opportunities and challenges, in their own contexts, in comparison to

large international orchestrators (Chan, Ellinger, et al., 2018). Better understanding how effective and legitimate these orchestrators are, is important in the context of the global climate effort, since they are the ones responsible for catalyzing, coordinating, steering, supporting and monitoring non-state actors and their actions.

Chapter 1 of this research discusses the scientific background of this study, followed by the problem definition and the knowledge gap. Once the background and knowledge gap have been explained the research objective and questions will become clearer (Chapter 2). Chapter 2 also presents the theoretical background and the scientific and societal relevance of the research. Chapter 3 introduces the research methods and materials. Chapters 4 introduce the platforms analyzed in this study, followed by the results in Chapter 5 and Chapter 6. Finally, Chapter 7 present the discussion, followed by recommendations, limitation and the conclusion.

## 1.1 ORCHESTRATION IN CLIMATE CHANGE GOVERNANCE

The limited capacity of governments to address the issue of climate change and deliver on the target of 1.5°C of the Paris Agreement has urged the development of initiatives based on the potential of non-state actors to reduce greenhouse gas emissions (GHG) and adapt to the effects of global warming (Chan, Ellinger, et al., 2018). These non-state actors represent a wide range of different actors, from companies and investors to cities and regions (Chan & Pauw, 2014; Hale & Roger, 2014). Actions by these actors are increasingly being recognized by the United Nations Framework Convention on Climate Change (UNFCCC) for its potential in closing the gap of emissions (Hale, 2016). More recently, there has been a growing number of local and regional orchestration initiatives aiming at providing an additional opportunity to produce further contributions to the global climate action effort (Chan, Ellinger, et al., 2018).

Orchestration is an indirect governance mode that uses incentives and inducements instead of mandatory controls and it is common in the global governance sphere (Abbott, 2018). An orchestrator (O) operates through like-minded intermediaries (I), assisting, encouraging, steering and catalyzing their activities by providing support, among other incentives, in order to govern targets (T) which are consistent with the orchestrator's objectives (O-I-T) (Abbott, 2018). Moreover, it can enhance ordering by structuring and coordinating the activities of its intermediaries (Abbott, 2018; Abbott & Hale, 2014). The present study focused on the performance of different orchestrators, or platforms as they will also be called in this study, of non-state climate actions at the local, national and regional scales. Though most of the orchestration efforts have been based on international climate negotiations on a global scale, local, national and regional orchestration offer an opportunity to contribute for the implementation of commitments in their own scale, inspiring ambitions in the climate effort in different localities (Chan, Ellinger, et al., 2018). Previous studies have focused on global orchestration efforts, such as the Non-state Actor Zone for Climate Actions (NAZCA), the 'Global Climate Action Agenda' (GCAA) and the 2014 UN Climate Summit (Chan, Falkner, et al., 2018; Chan & Amling, 2019; Chan & Hale, 2015). It

is important to close the knowledge gap on these novel orchestrators, as they have the potential to further contribute to the ongoing challenge of climate change.

## 1.2 NATIONAL, REGIONAL AND LOCAL CLIMATE CHANGE ORCHESTRATION

As these local, national and regional orchestrators are relatively 'new' in the climate change governance landscape, there has been very little work done focused on them in existing literature and how they differ from large international ones. Chan, Ellinger et al. (2018) are one of the few to have started tackling this knowledge gap. They investigated the limitations of international orchestration, particularly the Global Climate Action Agenda (GCAA), and the potential of national and regional orchestrators to address these limitations. According to them, the GCAA aims to mobilize non-state actors individually or in cooperation with others within the UNFCCC context (Chan, Ellinger, et al., 2018). The GCAA facilitates catalytic linkages between different elements within the landscape of climate governance, by mobilizing initiatives and collaborations (Chan, Ellinger, et al., 2018). However, according the authors, the GCAA is tied to the UNFCCC and its large intergovernmental climate process and focuses on some priorities that limits its orchestration capacity. First, the GCAA prioritizes actions that have high mitigation potential such as the ones that involves large-scale actors, with small and medium scale initiatives or initiatives from smaller communities, cities or regions being underrepresented by it (Chan & Hale, 2015). However, these small and medium enterprises constitute a great part of the national income and employment in developing countries (Chan, Falkner, et al., 2018). Thus, when it comes to smaller-scale actions, country-based orchestrators could perform an important role in the engaging these smaller or marginalized actors (Dooley & Kartha, 2018). Secondly, most climate efforts within the GCAA were initially undertaken toward a new climate agreement (Chan, Ellinger et al 2016). Thus, national, regional and local orchestrators could be more oriented and better positioned towards implementation in their national and regional contexts due to the fact that they are more familiar with it (Chan, Ellinger, et al., 2018). Thirdly, the GCAA came before the Paris Agreement, which consequently makes it not particularly focused on the 1.5°C target. National and regional orchestrators have the potential to address this limitation of the GCAA by focusing on the 1.5°C target and the social justice concerns tied to it (Chan, Ellinger, et al., 2018).

It is possible to see that there are great potential and opportunities when it comes to the additional contributions local, national and regional actions could bring. Multiple orchestrators have the potential to improve across different contexts the general quality of climate change governance (Chan, Ellinger, et al., 2018).

## 1.2 KNOWLEDGE GAP

As seen in the previous sections, (Sections 1.1 and 1.2) little is known regarding the effectiveness and legitimacy of national, regional and local platforms, as previous studies tended to focus more on the orchestration potential of global platforms. There is currently a gap on the literature regarding the extent in which national, regional and local orchestrators are effective in realizing their own objectives. Additionally, previous studies lack the normative considerations regarding how legitimate these orchestration initiatives are when creating a broad support for climate action.

National, local and regional platforms have been increasing (Hale, 2018), and they have the potential to reveal much more than what is already known about non-state climate actions' orchestration than previously studied. These new platforms could contribute to closing the gap in governmental climate action suggesting that they have a significant scope to grow.

## 2.1 RESEARCH OBJECTIVE AND RESEARCH QUESTIONS

The aim of this research is to contribute to the current understanding of orchestration in climate change governance by investigating how effective non-state climate action platforms are at realizing their broad goals, such as the goals of the Paris Agreement and and creating a democratically legitimate support for climate actions. To reach this aim, the following main research question and sub-questions have been formulated as:

Main question: *To what extent and how are national, regional and local orchestration platforms effectively catalyzing non-state climate actions and creating democratic legitimacy aimed at mobilizing a broad support for these actions?*

The sub-questions are meant to support the central question and are as follows:

1. Which indicators for effectiveness and legitimacy can be derived from the literature on orchestration, transnational governance?

2. To what extent are these indicators present in each of the case studies?

3. What are the main similarities and differences among the cases and what lessons can be derived from this about the relative importance of certain indicators?

4. What lessons can be derived from the comparative analysis to improve and enhance the overall effectiveness and legitimacy of the platforms and what recommendations can be formulated accordingly?

## 2.2 RESEARCH FRAMEWORK
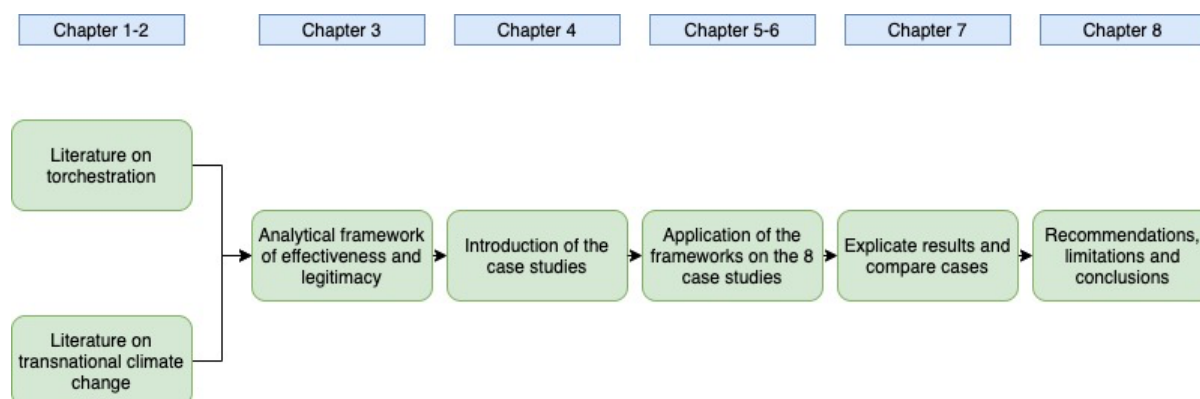


Figure 1. Structure of the research

## 2.3 SCIENTIFIC AND SOCIETAL RELEVANCE

This research addresses the knowledge gap regarding the need to understand the factors that impact the effectiveness and legitimacy of different climate action platforms in regional, national andd local contexts. It contributes to the studies on transnational climate governance and orchestration by enhancing our understanding of climate action platforms and their role in climate governance. Moreover, this research attempts to conduct analysis that is relevant for practitioners as well as for the academic discussions regarding effectiveness and legitimacy in transnational climate governance. It aims to do so by conducting an in-depth research into 8 particular cases in order to help understand specific and localized issues as well as drawing a general picture of the similarities and differences across the cases.

## 2.3 THEORETICAL BACKGROUND

### 2.3.1 ORCHESTRATION

As seen in section 1.1, orchestration is a soft and indirect mode of governance in which an orchestrator (O) works with intermediaries (I) that share similar goals, steering their activities, assisting and catalyzing their formation through incentives and support in order to govern targets (T) that are in line with the goals of the orchestrators (O-I-T) (Abbott et al., 2012) (Figure 2). Thus, an orchestrator enhance ordering by structuring and coordinating an intermediaries' activities (Abbott & Hale, 2014).



Figure 2. Indirect governance through orchestration. Adapted from Abbot et al. (2012).

Orchestration is considered an indirect mode of governance since it works through intermediaries in order to regulate and offer benefits to targets (Abbott, 2018). A governor can make use of orchestration

in order to enter new arenas where intermediaries have contacts or experience or where it lacks authority or have their entry contested (Abbott, 2018).

It is also a soft mode of governance since the orchestrator must enlist other actors that share similar goals and influence their behavior through incentives and inducements, not being able to hierarchically control its intermediaries (Abbott, 2018). Initially, an orchestrator will procure the cooperation of existing intermediaries or mobilize the formation of new ones (Abbott, 2018). The orchestrator then will encourage and assist its intermediaries steering their behavior in line with the goals of the orchestrator and where there is a presence of multiple intermediaries the orchestrator will coordinate their actions (Abbott, 2018). These methods rely on soft inducements such as convening relevant actors, persuasion, and providing material and ideational support (e.g. technical assistance, guidance, financing) and reputational incentives (e.g. shaming, endorsement, recognition) (Abbott, 2018).

Governors from various types orchestrate if they lack the necessary capabilities for stronger types of governance (Abbott et al., 2015). As an example of this, intergovernmental organizations (IGOs) often lack the necessary authority for direct and hard governance in relation to private actors (Abbott et al., 2015). Although, intergovernmental organizations possess considerable expertise, they often lack material resources or other capabilities necessary for operational activities (Abbott, 2018). Even resourced organizations such as states may use orchestration in some situations in which direct or mandatory action would require high material or political costs (Abbott, 2018). Orchestration has been proven influential in several settings even if it is less powerful than mandatory modes (Abbott et al., 2015).

Different actors and organizations from both governmental and non-governmental spheres can act as orchestrators (Abbott & Hale, 2014). Moreover, it is often in a higher level of governance than its intermediaries, for example many intergovernmental organizations orchestrate non-governmental organizations (NGOs) (Abbott & Hale, 2014). However, it is non-hierarchical, since intermediaries respond due to the shared goals, the inducements, persuasion and other incentives, not because of mandatory controls imposed (Abbott & Hale, 2014). Climate orchestrators benefit from the existence of many potential intermediaries such as subnational governments and private transnational initiatives, and in the case of a lack of appropriate ones, an orchestrator will catalyze their creation, using incentives to encourage their development (Abbott, 2018).

Orchestration is important for coordinating and structuring intermediaries' relationships in which mutual adjustment is lacking (Abbott & Hale, 2014). Thus, an orchestrator can use material and ideational support, reputational incentives and persuasion to fill governance gaps, manage conflicts, reduce overlaps and collaborate, overall helping govern more effectively (Abbott, 2018). Intermediaries may welcome the coordination provided by the orchestrator which can increase the effectiveness and legitimacy of the orchestration (Abbott, 2018).

According to Abbott (2018) in climate governance, orchestration can be observed to have two broad purposes. The first is 'managing states' which means promoting compliance and implementation and encouraging national commitments, and the second is 'bypassing states' which refers to encouraging non-state actions and commitments where state actions are considered insufficient (Abbott et al., 2015, p:11). Additionally, a third function can also be observed, which is the opportunity of orchestrators to elicit additional contributions to climate goals and improve the general quality of the governance (Chan, Ellinger, et al., 2018). Through the reinforcement of one another's efforts, multiple orchestrators can promote climate action as a norm through varied governance contexts (Chan, Ellinger, et al., 2018).

Non-state climate actions are being increasingly recognized by many authors and international organizations such as the United Nations Framework Convention on Climate Change (UNFCCC) (Hale, 2016). As a result, a growing number of scholars have been calling for the coordination and alignment of these transnational actions and their actors (Chan & Pauw, 2014; Hale & Roger, 2014). Thus, orchestration has been considered as a suitable governance approach to drawing transnational action in the context of the Paris Agreement goals and the SDGs (Chan & Amling, 2019). Orchestration can help accelerate mitigation and adaptation efforts and support long-term goals of the Paris Agreement (Chan & Amling, 2019). In this context, regional and local orchestration is thought to have the potential to help drawing attention to smaller scale actions, since international orchestrations tend focus on large corporation and on mitigation actions (Chan, Ellinger, et al., 2018).

### 2.3.2 TRANSNATIONAL CLIMATE GOVERNANCE

In order to define transnational climate governance, we first need to understand the different concepts of governance, climate governance and transnational governance. Firstly, governance is a challenging concept with many different definitions in the literature, being considered an ambiguous term (Knieling & Leal Filho, 2013). According to Mayntz (2006) governance is defined as the ''all co-existing forms of collective regulation of societal circumstances: from institutionalized civil society self-regulation through various forms of cooperation between public and private stakeholders to sovereign action by governmental stakeholders'' (Mayntz 2006: 15). Andonova et al. (2009) describes governance as the process of steering a particular group of actors in order to realize public goals. O'Brien et al., (2000) states that governance represents the totality of the many ways that institutions and individuals, public and private, manage their common concerns. It is possible to observe that governance is a concept that can be defined and interpreted in many ways. It can refer to both structures and processes for managing and steering parts of society (Pierre & Peters, 2000). As a process it refers to the management of networks, communities, markets or hierarchies (Rhodes, 1996). In this context, governance refers to governing and can be considered as ''all those activities of social, political and administrative actors that can be seen as purposeful efforts to guide, steer, control or manage (sectors or facets of) societies''

(Kooiman, 1993, p: 2). As a structure, it refers to the patterns of institutional design and the methods in which social order is created and reproduced (Voß, 2007).

Secondly, transnational governance is thought to 'link governance systems from the global to the local, across the public and the private spheres', including 'transnational networks, aiming at governing directly, purposively steering constituent members of populations to act' (Andonova et al., 2007, p:2). It involves regular interactions throughout national boundaries in which at least one agent is a non-state actor or does not function on behalf of an international organization or a national government (Bulkeley et al., 2012). Thus, in the present study, the definition of transnational governance to be used is the one that considers the interactions across national boundaries with the involvement of at least one non-state actor, being those actors connected by common goals.

Lastly, in order to comprehend the transnational nature of climate governance we need to understand the background of it. Climate governance stems from the increasing public and political interest in climate change in recent years. The potential impacts of climate change may lead to many societal problems, especially in places where homes, cities, industries and food production are located (Biermann, 2014). This myriad of possible impacts reveals a great number of stakeholders which could have their interests and activities affected by climate change (Knieling & Leal Filho, 2013). As a result, climate change governance requires cooperation between different places, parties and across several sectors and policy areas (Bulkeley et al., 2012). Transnational climate governance captures the multilateral and transnational needs of climate governance complementing and connecting national policies with transnational governance (Roger et al., 2017).

## 2.4 Conceptual and analytical frameworks to be used in the research project

### 2.4.1 Research strategy for developing a framework

Through a desk-based research, an extensive literature review was conducted with the aim to develop a framework for the present study. Scientific literature on the topics of orchestration and transnational governance, was accessed, primarily using Google Scholar, supplemented with literature found on Scopus and grey literature such as research reports found through Google. Search terms such as 'transnational governance effectiveness/legitimacy', 'orchestration effectiveness', 'orchestration legitimacy' and 'catalytic impact of orchestration' were used in order to compile the literature.

### 2.4.2 Research framework: Effectiveness and Legitimacy

The concept of effectiveness is a difficult one to define, since differentiating what is effective and ineffective is challenging (Chan & Pauw, 2014) and the concept has numerous understandings (Bulkeley et al., 2014; Chan et al., 2015; Michaelowa & Michaelowa, 2017). Easton (1965) for example, defined effectiveness, as the level of success of institutional performance towards the objective that motivated its creation. Bulkeley et al. (2014) define effectiveness in non-state climate action as the ability of actors to meet their interests meanwhile contributing to public good. According to Young

(1999) the core concern of effectiveness in the realm of environmental regime effectiveness is the extent to which a regime contributes to solving or mitigating the issues that stirred its creation.

Thus, it can be concluded that there are many differences in opinion regarding the effectiveness of a governance system or the degree of success in solving the problems that lead to its creation. Some general findings from the literature on effectiveness an international regime, which encompasses transnational governance and global problems compiled by Oran Young (2011) shows how broad the concept of effectiveness is and the multitude of dimensions that can be considered when assessing the effectiveness of governance systems.

Some examples given by Young (2011) incorporate the broad understanding of effectiveness present in this research, such as the "success in the implementation of international regimes is likely to require the establishment and maintenance of maximum winning coalitions rather than minimum winning coalitions" (Young, 2011, p: 19855). This finding highlights the importance of expanding the size of the coalitions supporting the regime, since regimes are considered public goods, but are valued differently by its individual members (Young, 2011). Due to the temptation of actors to free ride, leading actors are incentivized to make participation appealing to the other actors that might share the benefits of gains rather than curtail their involvement (Young, 2011). This finding is especially fitting when it comes to regimes in which ongoing implementation is needed by individual members belonging to it (Young, 2011). Moreover, Michaelowa & Michaleowa (2017) on their work on transnational climate governance, observes that when it comes to the effectiveness of climate initiatives, broad-base participation is important for the simple reason that if there are no participants there is no effect. Thus, in order to assess the effectiveness of a governance mode, such as the orchestration platforms in this study, it is important to take into consideration the ability of orchestrators to enlist intermediaries and potentially build winning coalitions.

Secondly, the general finding "regime design is often a more significant determinant of effectiveness than some measure of whether the problem is benign (i.e., easy to solve) or malign (i.e., hard to solve)" is also a relevant one for the comprehension of effectiveness in this study (Young, 2011, p: 19855). Well-designed regimes can create positive outcomes even if it is targeted at tackling complex issues such as climate change (Young, 2011). Thus, investigating the mechanisms and techniques that orchestrators employ in order to successfully tackle climate change issues is important in order to assess their effectiveness.

Lastly, another general finding from Young (2011) touches upon the subject of legitimacy in which the "maintenance of feeling of fairness and legitimacy is important for effectiveness, especially in cases where success requires active participation on the part of the members of the group over time" (Young, 2011, p: 19855). This finding discusses the difficulty of eliciting compliance if the participating actors do not see a regime as fair and legitimate linking legitimacy to the broad discussion of effectiveness, as one of its factors. While both effectiveness and legitimacy can be considered separate goals, many studies indicate that they might be linked (Andresen & Hey, 2005; Beisheim & Liese,

2014). Based on the findings of international environmental governance, it is observed that effectiveness can contribute to the perception of legitimacy meanwhile a regime that is considered as legitimate is more likely to be effective, due for example to the compliance influence that it is likely to employ (Bodansky, 1999). Moreover, some authors suggest that in the long-term, governance arrangement depends on it being both legitimate and effective to be successful (Andresen & Hey, 2005). This is observed to be particularly relevant when it comes to initiatives that seeks to address global challenges in which active participation of both North and South nations is required in order to safeguard both effectiveness and legitimacy (Andresen & Hey, 2005).

Young (2011) observed that in order to improve our comprehension regarding the effectiveness of governance systems and their success in solving problems, there is much that needs be considered to add to this understanding, requiring a broad view of what contributes to effectiveness. Thus, based on the findings in the literature orchestration effectiveness and the democratic legitimacy of orchestration the next section will draw a framework for assessing effectiveness and legitimacy to be used in this study.

### 2.4.3 INDICATORS FOR EFFECTIVENESS AND LEGITIMACY AND THEIR OPERATIONALIZATION

#### 2.4.3.1 EFFECTIVENESS: CATALYTIC IMPACT

The framework for effectiveness proposed in this study provides a way to empirically exploring the effectiveness of novel local and regional orchestration platforms, investigating how platforms catalyze non-state actors for effective climate change action by engaging actors (scaling), supporting, coordinating and steering them (providing ideational support), encouraging synergies between intermediaries (learning and networking) and showcasing their success (providing reputational incentives). Though there is gap in the literature when it comes to adequate and well-developed frameworks and indicators for assessing orchestration effectiveness, especially when it comes to local and regional ones; several authors (Abbott, 2017, 2018; Abbott et al., 2012; Abbott & Bernstein, 2015; Abbott & Hale, 2014; Bernstein & Hoffmann, 2018; van der Ven et al., 2017) have provided some input on how catalytic impact and orchestration effectiveness can be assessed and based on their work that the following indicators were comprised.

*Scaling*

According to several scholars it is important to look at the capacity of climate interventions to generate and cultivate processes that catalyzes transformative change (Bernstein & Hoffman, 2018; Levin et al., 2012, van der Ven et al., 2017). Accordingly, there are processes that can be easily observed through qualitative research, being scaling one of them (Bernstein & Hoffmann, 2018). Scaling increases the possibility of outcomes to arise, and together with the provision of ideational and material support it

can create an intervention that is both "far-reaching and sustained" which according to the authors "holds a greater chance of yielding transformative decarbonization outcomes than does one that is fleeting and localized." (van der Ven et al., 2017, p: 8). Although the number of existing climate actions is high, in order to realize the goals of the Paris Agreement extensive growth of actions is needed (Andonova et al., 2017). Chan, Asselt et al. (2015) discusses that for an orchestration to be effective it needs to be catalytic, by helping actors identifying gaps and filling them through the creation of new relationships and scaling up initiatives. This scaling can be considered in many terms, such as the number of actors attracted, size and number of activities, interventions, geographic scope and others (Bernstein & Hoffmann, 2018). The present study looks at investigating growth in the number of members involved in the platforms since it can provide a primary indication of their catalytic impact when it comes to engaging new members even if they have recently started their activities. This indicator is described as *simple scaling* by van der Ven et al. (2017), which observed that "all forms of scaling fundamentally amplify the impacts of an intervention across space" (van der Ven et al., 2017, p: 9). Moreover, it also looks at which types of actors they enlist in order to understand their composition in relation to big orchestrators, which mechanisms and/or strategies are used for engaging new members and therefore scaling the platform and the membership requirements which also helps to understand how their scaling takes place.

*Material and Ideational Support*

The sheer number of members is not enough for assessing the effectiveness of platforms through their catalytic impact. As seen above, to catalyze means not only engaging actors and actions but also accelerating these actions by the use of incentives and other mechanisms. After fitting intermediaries have been engaged or generated, the orchestrator uses support as a mean to increase its governance impact (Abbott & Hale, 2014). The orchestrator may then provide *material support* such as financial contributions, hosting and administrative assistance (Abbott, 2014; Abbott et al., 2012; Abbott & Bernstein, 2015; Abbott & Hale, 2014). Material support increases the operational capacities of intermediaries such as implementation and monitoring, enhancing their ability to pursue shared goals and it reduces the risk of failure due to lack of resources (Abbott, 2012, 2017). Thus, this study looks at the presence of material support provided by the platforms through the presence of financing mechanisms, technical and administrative assistance or connection of members and funders.

Moreover, as orchestration is a soft mode of governance, material and ideational support provides one of the main tools an orchestrator has in order to influence its intermediaries (Abbott & Bernstein, 2015). These supports stimulate the acceptance and implementation of goals, norms and plans by intermediaries, and provides incentives that allows the orchestrator to, at some degree, steer the intermediaries' activities to some specific areas, allowing intermediaries to more effectively pursue their shared goals. This support can be material, as seen above, with some orchestrators providing

financial support to their intermediaries, but more importantly this support is commonly *ideational* by means of normative and cognitive guidance, technical expertise, access to information, access to influential actors and endorsement (Abbott & Bernstein, 2015; Abbott & Hale, 2014). This ideational support increases the legitimacy, the reputation and visibility, and the capability of intermediaries in achieving goals, by empowering them and at the same time increasing the steering capability of the orchestrator (Abbott & Hale, 2014). Moreover, ideational support can help to enlist more intermediaries and overcome resistance from skeptical ones (Abbott, 2017).

Orchestrators can steer and shape the goals and activities of its intermediaries in order to keep them aligned with the goals and priorities that the orchestrator possess which has a catalysing effect (Abbott and Hale 2014). *Steering* is a type of ideational support, in which positive or negative incentives are used to desired actions, setting agendas, guidance and coordination to particular areas (Abbott and Hale 2014). In this study, steering is assessed by looking at the mechanisms that a platform employs for shaping and coordinating and overall steering the activities by non-state actors.

*Information sharing and learning* are also forms of ideational support and are an important component when engaging new members, being crucial for convincing sceptical actors (Rietig and Perkins, 2018). Learning can take place through the exchange of information, sharing of experiences and collaborative knowledge production (Abbott, 2012, 2017). This learning is important since it can increase the capacity of weaker actors and cohesion between actors, which in turn can improve the function of a governance intervention as a whole (Abbott, 2014). This research assesses how platforms provide information to its members for their learning and how they encourage learning and information sharing between them by investigating the presence of learning and information sharing mechanisms.

Finally*, reputational incentives* such as endorsement and showcasing of success are used by orchestrators to emphasize particular actors' effectiveness, focus and other attributes (Abbott 2018, Abbott and Bernstein 2015). This creates an incentive for actors to follow and match the successes of other members of the orchestration, stimulating learning opportunities between actors and some level of steering, strengthening the overall orchestration (Abbott, 2018; Abbott 2014). This study looks at the presence of reputational incentives tools and strategies in order to analyze this indicator.

### 2.4.2.2 LEGITIMACY

Based on the framework by Bäckstrand & Kuyper (2017) this study will assess the effectiveness of each platform in regard to their ability to create and mobilize a broad support for climate action, or their legitimacy. According to the authors, a key finding in global governance literature is that effectiveness in orchestration is systematically related to the legitimacy of a governance arrangement.

At its core, legitimacy is necessary so individuals affected by the use of authority have a say on how it should be used (Bäckstrand & Kuyper, 2017). Orchestration initiatives such as the ones analyzed in this study, exercise authority to achieve their goals which in turn affects individuals. Thus, orchestration generates legitimacy demands in three ways. First, the decision to engage in orchestration

is an act of public authority which requires legitimation. Second, the practice of orchestration breaks links between citizens and states (who were empowered by the citizens). Moreover, orchestration as a soft mode of governance does not have much control over the activities of its intermediaries. Thirdly, some activities by the orchestrators entails significant impact on targets by their intermediaries, which then is essential that these activities are in line with the core goals of the orchestrator and as well as being provided with legitimacy to conduct their activities. Thus, based on these considerations, the framework created by Bäckstrand & Kuyper (2017) is anchored around the 'democratic values' of participation, accountability, deliberation and transparency to assess the legitimacy of orchestration which will be used on this study.

Bäckstrand & Kuyper (2017) focused on these values since they reflect well-known practices in democratic thinking such as liberal, participatory and deliberative models. Also, when considered together, these values defend democracy since it allows individuals in participating in how authority that notably affects their life is used, allowing individuals to demand justifications, transparent information and holding the authority accountable. Bäckstrand & Kuyper (2017) suggest that the measurement of these values should be based in a four-level range with 'significant presence, limited presence, nascent present and absent. The empirical information will then be compared on the basis of the idealized democratic values proposed by the authors.

Firstly, the democratic value of *participation* means that the individuals that are affected by the use of authority should have the ability and opportunity to participate in how the authority is exercised. This entails that individuals should have equal capacity to shape the laws, rules and regulations as well as set the agenda of the activities that will affect their lives. This equality of participation can often be in the form of representation as not all individuals can always be involved in the decision-making processes. Self-appointed representatives such as non-governmental organizations (NGOs), interest groups or others, or national representatives, can all aid in connecting individuals with the power-wielding authorities (Macdonald, 2008). The way in which equal participation is guaranteed will vary depending on the institutional scheme of the orchestration.

Secondly, *deliberation* provides individuals affected by decisions with the reasoning for how rules are applied and formulated in different contexts (Habermas, 1996). It also means that the representatives of those individuals affected by the authority have the chance of putting their reasons forward and having a response.

Thirdly, *accountability* means that the individuals affected by the decision-making should possess the right to hold authorities to a set of standards, to evaluate if the authorities have fulfilled their responsibilities with regard to these standards and to impose sanctions if these responsibilities are believed to not have been met (Grant & Keohane, 2005). This value allows affected individuals the opportunity to halt arbitrary exercise of authority and hold decision-makers accountable for their actions. Moreover, Bäckstrand & Kuyper (2017) discuss that operative accountability mechanisms offers an ex

ante inducement for decision-makers to reflect on how affected individuals will react to decisions made in their name.

Lastly, *transparency* is essential, if accountability is to be performed well. Transparency is considered by the authors, as the means that actions taken by institutions and public actors are disclosed. It should be offered to the parties affected by the decisions, being promoted and enhanced by requirements for information. According to Peixoto (2013) accountability can only be useful if there is an availability of transparent information. Thus, due to the interconnections between transparency and accountability Bäckstrand & Kuyper (2017) suggest analyzing these two values together.

### 2.4.2.3 OPERATIONALIZATION OF VARIABLES

Table 1. Indicators for effectiveness and legitimacy and their variables.

| Concept | Indicator | Operationalization of variables |
|---------|-----------|--------------------------------|
| Effectiveness: Catalytic Impact (Abbott, 2017, 2018; Abbott et al., 2012; Abbott & Bernstein, 2015; Abbott & Hale, 2014; Bernstein & Hoffmann, 2018; van der Ven et al., 2017) | • Scaling | • Types of members in the platform<br>• Number of members in the platform<br>• Presence of enlisting strategies |
| | • Material support | • Presence of financial, technical or administrative support<br>• Presence of strategies connecting donors or funders to members |
| | • Ideational Support | • Presence of steering mechanisms (e.g. priorities, objectives, areas of focus)<br>• Presence of learning and information sharing mechanisms and resources<br>• Presence of networking events or joint projects between members<br>• Presence of reputational incentives (success stories, best practices, etc.) |
| Legitimacy (Bäckstrand & Kuyper, 2017) | • Participation | • Involvement of citizens (or representatives) in the decision-making<br>• Presence of members in the decision making |
| | • Deliberation | • Presence of justifications on the activities done by members<br>• Presence of justificatory demands by the platform to the members |
| | • Accountability | • Presence of monitoring and reporting mechanisms |
| | • Transparency | • Presence of publicly available information on the activities done by members |

# 3. TECHNICAL RESEARCH DESIGN

## 3.1 RESEARCH STRATEGY (METHODS AND TECHNIQUES)

The present research uses a multi-method approach to gather the necessary information in order to assess the effectiveness and legitimacy of non-state action platforms at local and regional levels. The research will be qualitatively driven with the analysis taking place through the analytical frameworks explained in section 2. Thus, this chapter will start with the research methods to be applied in this research and the accompanying data collection methods. In section 3.1.1 the choice for a comparative case study is explained followed by the case selection (section 3.1.2). Section 3.3 will present the research materials.

### 3.1.1 COMPARATIVE CASE STUDY

A comparative case study is composed by interrelated cases, which are separately examined in the first stage of the research, following a pre-established pattern that facilitates comparisons in the second stage of the research (Verschuren et al., 2010). In this second stage, the results from the first stage are used in a comparative analysis of all the cases in the study (Verschuren et al., 2010). By conducting a comparative analysis, the researcher tries to uncover explanations regarding the similarities and differences between the cases studied in the first stage of the research (Verschuren et al., 2010).

According to Bryman (2008) one of the most common forms of comparative analysis are a cross-national or cross-cultural comparative case study analysis. This type of research occurs when researchers examines particular phenomena or issue in more than two countries with the aim of seeking explanations for similarities and differences, or social realities in different socio-cultural contexts (Bryman, 2012). This type of methodology allows the researcher to further realize that research findings, in the social science field are often culturally specific (Bryman, 2012).

Comparative case studies are commonly used in the field of climate governance. It is often used to assess how countries deal with climate mitigation and adaptation across different socio-economic and cultural patterns and different practices. The results of this methodology could be used to encourage further developments in policy development.

Therefore, for this research a comparative case study allows for an in-depth analysis of the effectiveness and legitimacy of climate orchestration platforms in 6 different countries, 1 metropolitan area and 2 regions of the world. The effectiveness and legitimacy are the objectives of evaluation, for example, the extent to which climate action is effective regarding its original policy goals of mitigation and adaptation. Moreover, the comparative case study allows the observation of the similarities and differences, such as the factors that contributes to effectiveness and legitimacy in non-state climate actions platforms.

### 3.1.2 CASE STUDY SELECTION

The local, regional and national orchestration initiatives chosen for this study were selected on the basis of the relevance of assessing orchestration initiatives in the Global North and South previously discussed by several authors (Chan, Ellinger, et al., 2018; Chan & Amling, 2019). For example, Chan and Ellinger (2018) highlighted the importance of initiatives targeting non-state actors in countries in the South to help redressing the imbalances between developing and developed countries, such as the underrepresentation of stakeholders from developing countries. Chan and Amling (2019), observed great differences between high-income countries and developing ones when it comes to implementation, with deficit persisting in developing countries, and overrepresentation of members from the north of the globe in the context of the GCAA. Moreover, the authors also pointed to an apparent higher rate of implementation growth in developing countries that could potentially improve adaptation and resilience in climate vulnerable communities (Chan & Amling, 2019).

The orchestrators chosen also encompasses a broad spectrum of non-state actor platforms involved with climate mitigation and adaptation. Though, each platform chosen for this study has a different cultural and socio-economic context which influence their interests, goals and perceptions of climate change actions, together they will determine whether or not climate orchestration initiatives will help governments reach climate action goals, the Paris agreement objectives and the Sustainable Development Goals. The focus on these new platforms could present valuable insights that could lead to a supportive framework for actions and a stimulating context for non-state climate action initiatives and platforms. Generally, the platforms were created either in the run up to the Paris Agreement, or after it, between the years of 2015 and 2019. In all platforms, climate change actions have been aimed to be dealt in a national, local or regional level. They engage a diverse number of non-state actors from individuals to big companies, in a diverse range of sectors in different climate actions. This diversity is important since it provides the study with a broader view on these new orchestrators, their members and their activities, which is important for a topic which has insufficient information available in the literature.



Figure 3. Overview of the different scales of the platforms in this study

## 3.3 RESEARCH MATERIALS AND METHODS

*Desk-based research*

In order to understand the effectiveness and legitimacy of climate action platforms in addressing their own purposes and goals, a desk-based research was first conducted on each orchestrator regarding their establishment and main purpose using the search engine Google. The information found for each case was composed mostly by the information available on the website of each orchestrator, such as key documents, reports, presentations and other available online resources and information. Social media platforms such as Twitter, Facebook, LinkedIn and Instagram were also used to gather additional information on the activities of the different platforms.

*Interviews*

Semi-structured interviews were conducted with representatives of each platform through video calls using the software Skype and Zoom (Table 2). These representatives were usually the person responsible for the outreach and communications and management of the platform. The interviews were conducted in order to gather necessary information on each platform that was not available through desk-based research, the interview guide can be found in Appendix 1 of this study. Interviews were conducted in Spanish when it comes to interviewing experts within the platforms of Acción por el Clima Mexico (Mexico) and Comunidad Por El Clima (Spain), in Portuguese with ActionLac (Latin America) and in English with Fossilfritt Sverige (Sweden), Japan Climate Initiative (Japan), Climate Chance (France), We are Still In (United States) and the Vietnam Coalition for Climate Action (Vietnam). The software NVIVO 12 was used in order to analyze the interviews. Nodes for each indicator, presented in Table 1, were created in order to analyze the various materials used in this research such as interview transcripts, documents, etc.

Table 2. List of interviews.

| No. | Platform | Abbreviation used in this study | Contact person | Date |
|-----|----------|--------------------------------|----------------|------|
| 1 | Fossil Free Sweden | FS | Peter Söderberg, Communications officer | 25/06/2020 |
| 2 | Comunidad #Por El Clima | CPEC | Pablo Barrenechea, assistant director | 24/07/2020 |
| 3 | We Are Still In | WASI | Tansy Massey-Green, Intern WWF | 23/06/2020 |
| 4 | Japan Climate Initiative | JCI | Ken Tanaka, WWF-Japan, Japan Climate Initiative Secretariat Team | 29/06/2020 |
| 5 | Alianza para la Acción Climática del Area Metropolitana de Guadalajara, Mexico | ACA-GDL | Rocío de la Torre, local coordinator | 24/06/2020 |
| 6 | Vietnam Coalition for Climate Action | VCCA | Quoc Anh, VCCA WWF-Vietnam coordinator | 01/07/2020 |
| 7 | Climate Chance | - | Romain Crouzet, program director | 10/07/2020 |
| 8 | ActionLAC | - | Paula Ellinger, program manager | 26/06/2020 |

# 4. CASE STUDIES

## 4.1 CASE STUDY: FOSSILFRITT SVERIGE, SWEDEN



INTRODUCING THE PLATFORM

'Fossilfritt Sverige' or 'Fossil free Sweden' in English is a platform initiated by the Swedish government before the COP21 in Paris, in 2015. The platform originally started from a government initiative in which actors from around the country were invited to support the Swedish government in its climate actions and it initially gathered over 150 actors engaged (Interview 1). FS is aimed at promoting dialogue among non-state actors in Sweden in the reduction of greenhouse gas emissions (*Fossil Free Sweden*, n.d.). The platform's goal is to contribute to the ambition of transforming Sweden in one of the first fossil free countries in the world (*Fossil Free Sweden*, n.d.). The initiative is open to any actor interested in supporting the declaration of the initiative which stipulates that actors participating in the Fossilfritt Sverige platform share the view of a fossil free world and present concrete measures to do so (*Fossil Free Sweden*, n.d.). FS supports its members in identifying opportunities and obstacles in their transition and encouraging politicians in creating the appropriate setting for this transition to take place rapidly (*Challenges*, n.d.). Interested actors, need to support the declaration of the platform which stipulates that members should share the view of Sweden's leadership for a fossil free world (*Declaration by the actors*, n.d.).

## 4.2 CASE STUDY: COMUNIDAD #POR EL CLIMA, SPAIN



INTRODUCING THE PLATFORM

Comunidad #Por El Clima (CPEC) is a platform founded in November 2016 by the Spanish Climate Change Office and the Biodiversity Foundation (Spanish Ministry of Agriculture, Food and the Environment), Red Cross, WWF, SEO/Birdlife, Grupo Español de Crecimiento Verde (translated: Spanish Green Growth Group) and the UN Global Compact (Lorenzo, 2016). The objective of the platform is to accelerate climate action in all different sectors of society by bringing together climate action pioneers (*La Comunidad #PorElClima*, n.d.).

The platform has its roots in the "A Million Commitments to the Climate'" project by the Spanish Ministry of Agriculture, Food and the Environment which had the goal of collecting a million commitments to climate action from the Spanish society to present at the COP21 in Paris in 2015 which

later inspired the establishment of the CPEC (*Comunidad #PorElClima*, n.d.). The Comunidad #Por El Clima is also responsible for organizing the Hostelería #Por El Clima, a platform for restaurants and bars committed to climate actions, the Escaparate #Por El Clima a platform which gathers sustainable products and services and the Platforma Española de Acción Climática (Spanish Climate Action Platform) a public-private initiative with the objective to contribute strengthening the Spanish economy towards a more competitive, innovative and low carbon economy, using the Paris Agreement targets as a framework for action (*Comunidad #PorElClima*, n.d.). These platforms were created due to the importance of some sectors to the country and the need for connecting specific actors and sectors. An example is the Hosteleria #Por El Clima which was created due to the importance of pubs and restaurants in a country where tourism is one of the main economic activities (Interview 2).

## 4.3 CASE STUDY: WE ARE STILL IN (UNITED STATES)

### INTRODUCING THE PLATFORM

Alliances for Climate Action (ACA) is a multi-sectoral worldwide network that connects states, cities, private sector, universities, investor and civil society in a domestic level, with the objective of working together with national governments to support the implementation and delivery of climate goals and the enhancement of these goals in the countries where it is present (*Alliances for Climate Action*, n.d.). In this study, four of these platforms are assessed: We Are Still In (WASI) in United States which joined ACA after its establishment, Japan Climate Initiative (JCI) the second to be established, the Alliance for Climate Action - Mexico (ACA-MX) the third ACA in the world, and the Vietnam Coalition for Climate Action (VCCA) which is one of the latest to be founded.

In United States, the We Are Still In (WASI) platform was founded in June 5, 2017 in response to the withdrawal of the United States from the Paris Agreement (*Alliances for Climate Action*, n.d.). It originally started as a statement of support to the Paris Agreement signed by business leaders, mayors and governors which then progressed to a coalition and a movement for collaboration and action (*About*, n.d.). It is a bottom-up initiative, focused on keeping the commitments of the Paris Agreement (*About*, n.d.). The objective of the platform is to motivate ambition from local leaders to fulfill commitments of the United States under the Paris Agreement, to ensure American climate leadership at the global scale and expand climate action support within the country through collaboration between businesses, cities, universities and other local and state level sectors (*We Are Still In Introductory Presentation*, n.d.). The platform is coordinated by "The American Sustainable Business Council, B Team, Bloomberg Philanthropies, Center for American Progress, Ceres, CDP, Climate Mayors, Climate Nexus, C40,

C2ES, Environmental Defense Fund, Environmental Entrepreneurs, Georgetown Climate Center, Health Care Without Harm, ICLEI, National League of Cities, Rocky Mountain Institute, Second Nature, Sierra Club, Sustainable Museums, The Climate Group, We Mean Business, World Resources Institute (WRI), and World Wildlife Fund (WWF)" (*About*, n.d.).

## 4.4 CASE STUDY: JAPAN CLIMATE INITIATIVE (JAPAN)



INTRODUCING THE PLATFORM

The Japanese Climate Initiative (JCI) is also part of the Alliances for Climate Action platforms led by the WWF. It was established in July 2018 by WWF-Japan, the CDP Worldwide-Japan and the Renewable Energy Institute (*Japan Climate Initiative – JCI*, n.d.). Moreover, the platform started with the support of over 100 local actors including companies, research institutions, NGOs and local governments. JCI was inspired by the We Are Still In platform (Section 4.3) and its "leadership-through-action" idea (*Japan Climate Initiative – JCI*, n.d.). The goal of the JCI is to strengthen the communication and the exchange of solutions and strategies for climate action, among the actors that are implementing climate actions in Japan. The aim is to support them and help them on building a decarbonized society as envisioned by the Paris Agreement (*Japan Climate Initiative – JCI*, n.d.). The platform focusses especially on the expansion of renewable energy and the promotion of energy efficiency, in order to achieve its goals.

## 4.5 CASE STUDY: ALIANZA PARA LA ACCIÓN CLIMÁTICA DEL AREA METROPOLITANA DE GUADALAJARA, MEXICO



INTRODUCING THE PLATFORM

In Mexico, the World Wildlife Fund (WWF) is developing local alliances in order to build a national coalition with a variety of stakeholders to support climate action in the biggest metropolitan areas of Mexico, with the first one having started in Guadalajara, the second in Monterey and a third soon in Ciudad de Mexico. The aim is to unite state and local governments, businesses, civil society and academia in advancing Mexico's climate targets, working with all economic sectors in the country in

order to accelerate and further develop the contribution of the country to the Paris agreement (*Alliances for Climate Action*, n.d.).

Though the name and description on the website of the ACA initiatives and the webpage of ACA-MX comprises all three metropolitan areas as part of the platform, each area conducts their activities independently from each other and are joined by different members (Interview 5). According to the one in Guadalajara, the two platforms (Guadalajara and Monterey) collaborate often and keep each other updated on their activities, but the separation is necessary due to distance between the places and their differences when it comes to their main economic sectors and the according climate action needs (Interview 5). Thus, this study looks into the ACA-MX based in Guadalajara (ACA-GDL) as it was the first of its kind in the country, with a longer time conducting activities. The Alianza para la Acción Climática del Area Metropolitana de Guadalajara (ACA-GDL) (translated: Alliance for Climate Action of the Guadalajara Metropolitan Area) was launched in August 2018 by WWF Mexico together with the Instituto Metropolitano de Planeación (IMEPLAN) (translated: Metropolitan Institute of Planning) and the Government of Jalisco, the state in which Guadalajara's metropolitan area is located (*Alianza Para La Acción Climática de Guadalajara - Founding Declaration | WWF*, n.d.).

## 4.6 CASE STUDY: VIETNAM COALITION FOR CLIMATE ACTION, VIETNAM



### INTRODUCING THE PLATFORM

Vietnam Coalition for Climate Action (VCCA) is a platform in the Alliances for Climate Action. The platform started in August, 2019 and it was established by WWF-Vietnam together with the GreenID (*Alliances for Climate Action*, n.d.). The platform represents associations, research and civil society institutions, local and multinational companies, local governments, academic institutions, and banks and investors (*Alliances for Climate Action*, n.d.). Some of the members of the platform includes large companies such as H&M, as well as Vietnamese actors including Solar BK and Vietnam Textile and Apparel Associations and academic actors such as Hue University (*Alliances for Climate Action*, n.d.). The objective of the VCCA is to take ambitious climate actions with the aim to support the country's targets under the Paris Agreement (*Alliances for Climate Action*, n.d.).

## 4.7 CLIMATE CHANCE, FRANCE AND FRANCOPHONE AFRICA



### INTRODUCING THE PLATFORM

Climate Chance started in 2015 before the Paris Agreement at the COP21 (*Background and Missions*, n.d.). It originated from the World Summit Climate and Territories which was organized by global networks of non-state actors and communities with the aim of raising the attention of negotiating states by non-state actors, highlighting the commitment of stakeholders from the French territories to the agenda and putting forward collective proposals to the official negotiations at the COP21 (*Background and Missions*, n.d.). The platform was established by Ronan Dantec, senator and former vice-president of the city of Nantes and spokesperson on Climate for UCGL (United Cities and Global Governments) and president of Climate Chance (Interview 7). The objective of the platform is to strengthen the climate actions by non-state actors to contribute to the achievement of the Paris Agreement objectives through networking (*Background and Missions*, n.d.).

## 4.8 ACTIONLAC, LATIN AMERICA



### INTRODUCING THE PLATFORM

ActionLAC is a platform developed by Fundación Avina (translated: Avina Foundation), a Latin America-based foundation aimed at advancing sustainable development in the region ("About ActionLAC," n.d.). ActionLAC was founded in 2016, with the aim to accelerate the capacity of Latin America's region to respond to climate change by stimulating climate actions with non-state actors and placing Latin America within the global context of climate action ("About ActionLAC," n.d.). It seeks to mobilizes commitments from all sectors with the goal of involving a great number of Latin American actors in the transition to a low carbon economy, resilient cities, communities and companies by 2020, the year in which the Paris Agreement starts being in effect. It aims to accelerate the NDCs of the region and go beyond these targets ("About ActionLAC," n.d.). According to its website, ActionLAC is a platform aimed at supporting actors throughout the "life-cycle of their climate actions", in the main stages of their initiatives, mobilizing their commitments, helping actors develop effective interventions, monitoring, evaluating and revising their actions, catalyzing capital, promoting learning across initiatives and analyzing their overall impact ("About ActionLAC," n.d.).

# 5. Effectiveness: Catalytic Impact

## 5.1 Fossilfritt Sverige, Sweden

### Scaling

FS currently has 477 members composed of businesses (328), subnational government (81), organizations (61) and education and research actors (7). (Figure X) (Interview 1) (citation of the website).
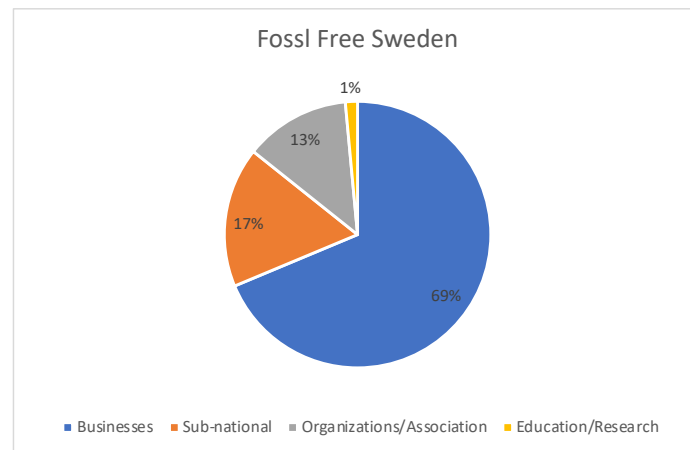


Figure 4. Overview of FS members per type of actor in percentage.
Retrieved from http://fossilfritt-sverige.se/aktorer/

FS the platform initially started with 150 members (Figure X), which as see in section 4.1 joined through an initiative of the Swedish government prior to the COP21 and has been increasing its number of members progressively over the years (Figure X).
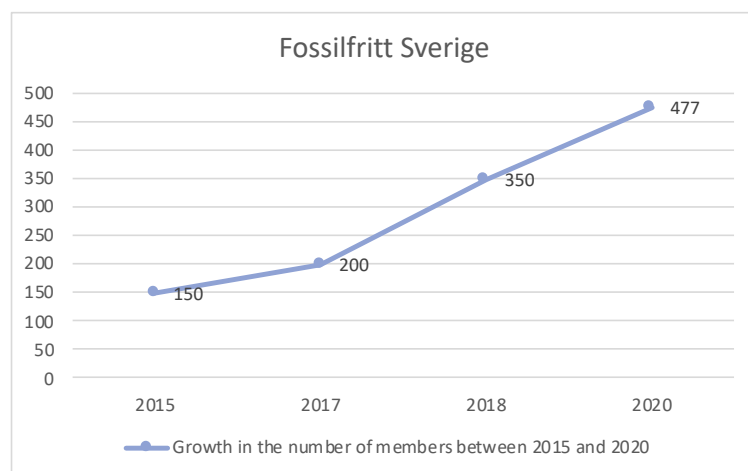


Figure 5. Growth in the number of members of FFS between the years of 2015 and 2020.
Retrieved from https://web.archive.org/web/*/http://fossilfritt-sverige.se/aktorer/

In the beginning of its activities, the platform enlisted its members by reaching out to companies, municipalities and organizations asking them to join the platform. Nowadays, the platform has on average 5 to 10 new applications from interested actors each month. The actors themselves

contact the platform through an online form on the website of FS, requesting to join the initiative, which require less effort from FS when it comes to enlisting new members. As the interviewee of FS (interview 1) explained *"after a while it* (the platform) *grows organically"*. Moreover, currently, the platform is not focusing on expanding its number of members, as the interviewee explained:

> *"At this point it doesn't make much sense for us now to push this* (enlisting new members) *more aggressively because we are over 450* (number of members). *We are quite content with that"*. (Interview 1).

As a consequence of the high number of members engaged, which according to the platform is already fairly sufficient, and the lesser efforts required in enlisting members for its continuing growth, the platform is now focusing on increasing the ambition of members' actions. FS wants to focus on achieving the implementation of its roadmaps and engage more members on joining their challenges, which are the main activities of the platform. As the interviewee emphasized:

> *"We* (FS) *don't think that we need to actually grow much more now. It's more like how can we make this group* (members) *more active? How can we get them to to like sign up for more challenges and stuff like that?"*. (Interview 1).

> *"The biggest part of our work is to make these roadmaps happen and to get the policy shifts that will allow them to happen, finding the right type of support and engaging different parts of our actors. So now we are looking for ways to implementing these roadmaps"*. (Interview 1).

It is possible to observe that FS is entering a different type of scaling focused on expanding their governance efforts and generating more substantive effects. This type of growth has the potential of increasing the effects of its members' climate actions, advancing the platform's goal, which in the case of FS is accelerating the decarbonization of Sweden in order for the country to become fossil-free by the year of 2045.

However, to achieve such a societal transformation FS will need a large diversity of actors and actions, and as seen in Figure 4 the platform is mostly engaging businesses, with other types of actors underrepresented. Bernstein and Hoffman (2018) noted that as decarbonization is a collective problem it demands actions from a wide range of actors in order to be achieved. Though FS is content with its current numbers and growing steadily, if the platform does not focus on expanding its diversity of actors enlisted it could hinder its catalytic impact in the long run as it curtails its influence across wider audiences.

FS does not provide any financial support for its members (Interview 1). However, the platform arranges events such as workshops, meetings and roundtables on financing topics such as how to finance climate actions and industry transitions (Interview 1). Financial institutions such as banks are part of the event which works as a potential connection of members to funders (Interview 1). This kind of support depends on the status and position of the platform and it depends on the relationship the orchestrator builds, rather than the financial resources available (Abbott and Bernstein, 2015). Due to the high-level of FS as a platform since it is run by the government of Sweden, and the fact that it is based on a developed country, it is possible that the lack of material support does not affect the platform's catalytic impact significantly, as the lack of material resources is possibly not a big deterrent for most intermediaries.

In regard to ideational support, more specifically steering, FS has developed four challenges that can be implemented by the members with the aim reducing their GHG emissions. The purpose of these challenges is to gather a high number of actors involved in order to show the ambition of the participants to organizations, politicians and the public, raise awareness to these targets and inspire others to participate (*Challenges*, n.d.). They are varied, composed by the transport challenge, which focus on the goal to make domestic transport fossil free before 2030, the solar challenge which focuses on installing solar panels before the year of 2020 and the internal travel tax challenge, which sets an internal price for business trips that have a high GHG emission and lastly the company car challenge (*Challenges*, n.d.). These challenges gather a great number of actors, with the transportation challenge, for example, engaging over 250 members (Interview 1). Moreover, Fossil Free Sweden draws up roadmaps in which actors from business actors from different sectors describes how and when they will be fossil free, the technological and investments solutions needed for this to happen and the obstacles that will have to be overcome in order to become fossil free by 2045 (*Roadmaps for Fossil Free Competitiveness | Fossilfritt Sverige*, n.d.). As an example, the roadmap for a climate neutral concrete industry, drawn up by the concrete sector highlights the challenges of growing need for infrastructure and housing and the need to be fossil free by 2045 (Fossilfritt Sverige, n.d.). By creating these 'challenges' FS can shape and steer the goals and the activities of its intermediaries. These are probably significantly important for governmental initiatives such as FS since it ensures the adoption of activities that are in line with the governments' mandate and goals. Conversely, when it comes to the 'roadmaps' the Swedish government can through FS's work, ensure that government policies are consistent with the needs of different sectors when it comes to achieving the national goal of Sweden being fossil free by 2045.

Regarding information sharing and learning, the platform does information campaigns on topics such as how to set targets and how to change company cars for emission reductions (Interview 1). It also organizes conferences, workshops and roundtable discussions around specific topics once or twice a year, for example lately they have been focusing on workshops on public procurement since

they believe it is an important issue when it comes to driving change in the country (Interview 1). These activities happen only once or twice per year and it's the only learning activity which gather the members together, providing a chance for learning and networking between members (Interview 1). FS has tried in the beginning of their activities to organize group works among members, but it did not work since as the interviewee described:

*"(..) our actors are so diverse; they are so different that they didn't have so much in common".* (Interview 1).

Information sharing from the platform to the members and learning between members help intermediaries in pursuing their actions more effectively by engaging, guiding, connecting and empowering members in their further implementation of actions. By not encouraging learning between them, FS loses the opportunity that the sharing of best practices and experiences between members can bring.

Lastly, regarding reputational incentives, good examples of practices from their members are presented in the FS website, but its purpose is more for the learning between members, rather than to create a 'race to the top' or provide visibility to the public (*Lärande Exempel*, n.d.). Moreover, according to the platform this type of support is not useful for the learning of the members and they intend to discontinue it, as the interviewee explained:

*"We also have some good examples in the website but that was proved to be quite time consuming and a bit hard for us to work with and we will probably phase that out".* (Interview 1).

*"We know this is something many actors ask for: "we need good examples". But then to find the match and the forum to present them… that is hard. We have many good examples in the website. That's very good for the ones who find them. But who will find them? Because when you look for climate solutions you would need either a database that you know there is much you can find there. But it doesn't seem like actors work in that way. When they say they want a good example I'm not sure they know exactly what they want".* (Interview 1).

## 5.2 COMUNIDAD #POR EL CLIMA, SPAIN

### SCALING

Comunidad #Por El Clima has over 19,100 actors, which according to their website are comprised by over 1,300 businesses, 200 organizations (e.g. NGOs, institutes), 200 subnational governments and 13,000 individual citizens (Figure 6) (*101 iniciativas #PorelClima*, n.d.; *La Comunidad #PorElClima*, n.d.).
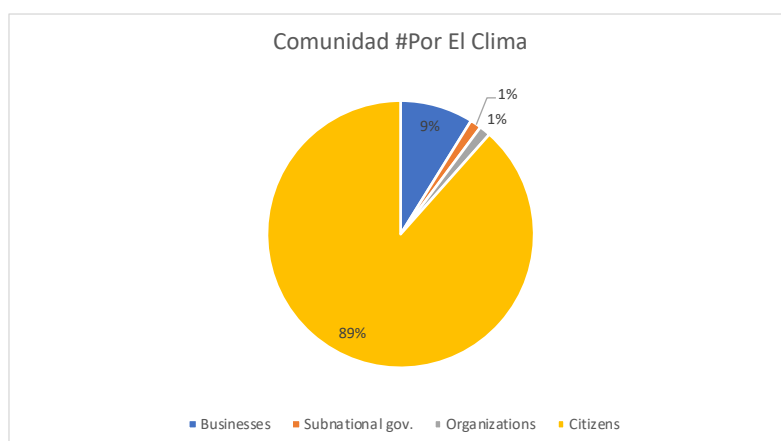


Figure 6. Approximate overview of CPEC member composition per type of actor in percentage. Retrieved from https://porelclima.es/101-iniciativas-porelclima

Although the platform was inspired by the "A Million Commitments to the Climate'" project from the Spanish government (Section 4.2), it begun with 0 members in 2016 to over 19,100 members at the present time (July/2020) (Figure 7) (Interview 2). During 2017 the growth was slow (see Figure 7), with the platform still developing itself and its enlisting mechanisms (Interview 2). In 2018 the platform accelerated its process of scaling by giving visibility to the climate actions of their members which resulted in a fast growth in the number of members (Figure 7).

*"In 2018 we decided to accelerate the process of change and development of the Comunidad #Por El Clima. What we tried to do was to give clear visibility to the actors and the actions they were developing and since then we have had a radical, very fast change* (in the number of members)*, especially between the half of 2018 to the end of 2018".* (Interview 2, translated from Spanish).
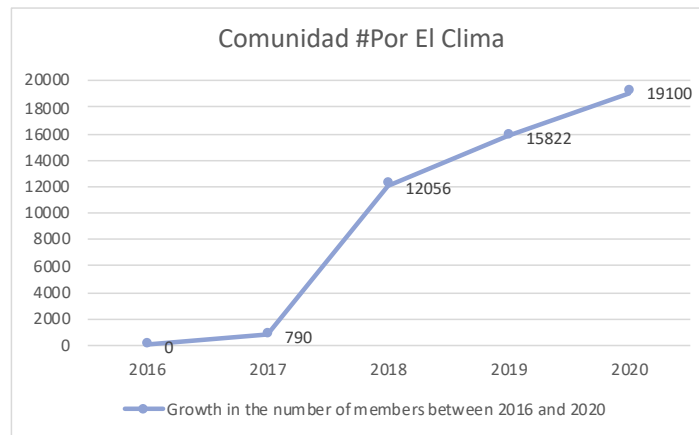
Figure 7. Growth in the numbers of members of CPEC between the years 2016 to 2020.
Retrieved from https://web.archive.org/web/*/https://porelclima.es/

The platform believes that the growth in 2019 (Figure 7) was due to youth climate movements and the worldwide interest in climate change that it sparked, together with the COP25 in Madrid, the public's interest for the platform grew exponentially going from approximately 60 thousand views of their website per month to 120 thousand views and its number of members continued to grow (Interview 2).

*"So, we always thought that we didn't do anything different. We think that the change was from society that demanded more information on climate change and more on climate actions. We continued last year increasing our process of growth."* (Interview 2, translated from the original in Spanish).

Comunidad #Por El Clima is the biggest platform in number of members in this study. However, as seen in Figure 6 this growth is mostly centered around one type of actor, citizens. Though this could, at first sight, be seen as a problem for the climate impact of the platform, as in terms of carbon emissions, citizens have a much lower carbon footprint compared to companies or subnational actors; at the same time it has the potential to create transformation through a multilevel scaling strategy. When it comes to its potential, by having a great number of members if coupled with the provision of mechanisms for durability such as material and ideational support, the platform has the potential to catalyze change in a broad level.

It is possible to observe that the platform has had a very high growth in the number of members, especially after undergoing changes in the way of presenting their actions. This growth also continued due to the climate change momentum in 2019. These examples show that experimenting can help platforms in their scaling and that social movements could be explored as a way of accelerating their catalytic impacts.

In relation to enlisting, the platform enlists its members mainly online, using its own webpage and doing digital marketing campaigns, such as "content marketing" campaigns in different platforms,

such as social media platforms (Interview 2). Since 2019 it also started participating in climate events such as the ones in the COP 25 Madrid last year, and recently started organizing their own in-person events, which as the interviewee explained:

*"(in-person events) works for raising the attention to everything that is digital (of the platform), both in our websites and our social media networks and the interest in our webinars and other things"* (Interview 2, translated from the original in Spanish).

However, these in-person events have been on pause since the beginning of the current global pandemic (Interview 2) with only the online activities still going.

Members are also encouraged to share their commitments in social media platforms in which one of the goals is to inspire others to join the platform and take their own climate commitments, accelerating climate actions in the society (Interview 2). This implies that the platform keeps on experimenting with new ways of enlisting, coupling different strategies, online and offline, and using its own members' actions, catalyzing new members and climate actions in a broader context.



Figure 8. Some of the members of Comunidad #Por El Clima. Adapted from La Comunidad #Por El Clima (n.d.). Somos [screen capture].
Retrieved from https://porelclima.es/somos

MATERIAL AND IDEATIONAL SUPPORT

The platform has recently launched a financial support project focused on forest reforestation in which rewards will be given for reforestation projects in areas where forest fires have happened recently in Spain (Interview 2). The objective of this contest is to contribute to forest and biodiversity conservation by helping finance projects in this topic (Interview 2). The platform is also working on providing

technical assistance to its members by developing a tool for calculating their carbon footprint that is planned to launch by the end of this year (Interview 2). This tool is being developed for all types of members to use, but it is especially meant for smaller businesses or smaller NGOs, since for these actors calculating their carbon footprint is a challenging task as they do not possess the necessary recourses for having a sustainability team (Interview 2). The platform has recently developed a tool for hospitals to calculate their carbon footprint since for hospitals it is a very complex process to calculate their climate impact (Interview 2). This tool was developed inspired by a similar one that is being used in France, but the platform has not officially launched it yet (Interview 2). For the platform Hosteleria #Por El Clima which was created by Comunidad #Por El Clima, there is already a carbon footprint calculator available for their members (Interview 2).

Moreover, CPEC steers members' actions by offering a tailored menu of commitments, which varies per type of actor (business, citizen, public administration and organization (*Acciones - Comunidad #PorElClima*, n.d.). For example, citizens can choose commitments such as to maintain the temperature in their fridge at 5°C degrees and the freezer at -18°C in order to reduce the emissions related to energy consumption (*Mantengo la nevera a 5 ºC y el congelador a -18 ºC*, n.d.).

Regarding information sharing and learning, there is a webpage dedicated to all these commitments discussed above, in which each commitment is explained with information regarding its carbon impact in kilogram per year, the equivalent of its carbon footprint in car travel in kilometers, the importance of the action and information on the ways in which the commitment can be achieved (*Acciones - Comunidad #PorElClima*, n.d.). Comunidad #Por El Clima provides a 'toolbox' with over 400 resources such as documents, videos and examples of good practices available to the public with the objective to support anyone in their climate actions (*Toolbox #PorElClima - Herramientas que te ayuden a actuar contra el cambio climático.*, n.d.). The platform organizes webinars around different topics of climate change in which members of the platform are invited as presenters (Interview 2). These webinars are open to anyone, member or not, that would like to participate (Interview 2).

Furthermore, in regards to reputational incentives, in the website of the platform there is a webpage with over 1,400 "success stories" in which the platform or members themselves share experiences and best practices, raise awareness for climate issues and showcase good examples of climate action, which function serves the purpose of learning and gives reputational incentive for members (*Historias #PorElClima*, n.d.). Along these lines, the platform has also substantial online presence with over 10.000 followers on Twitter where members can also request the platform to share their actions and commitments serving as podium for members with limited communication resources and it can be used to increase a member reputation by showcasing their contributions (Interview 2). CPEC has an initiative called '101 Business Examples of action #For the Climate" (original: 101 Ejemplos Empresariales de Acciones #Por El Clima) which gathers 101 climate action examples from small, medium and large business actors (*101 iniciativas #PorelClima*, n.d.). The aim of this initiative

is to give visibility to the most innovative and ambitious climate actions created by their business members.

Finally, in regard to networking, activities are organized according to the type of member, with an especial focus on businesses and members from pubs and restaurants from the Hosteleria #Por El Clima platform (Interview 2). For example, last year in the COP25 the platform organized an event which gathered over 150 business actors (Interview 2). Another example of networking activity took place in the city of Zaragoza, in which one neighborhood in the city contains 75 pubs and restaurants that are members of the Comunidad #Por El Clima. There the platform organized networking activities with the members and they are developing a "neighbor" initiative in which they are trying to get all of these members in the region to change their energy subscriptions to ones stemming from renewable sources (Interview 2). However, the platform does not organize any networking activity in the citizen level as the interviewee explained:

*"On the citizen level it's complicated. We believe there are other platforms that are more clearly defined to do this* (networking for citizens)." (Interview 2, translated from the original in Spanish).

## 5.3 WE ARE STILL IN, UNITED STATES

### SCALING

Since its establishment in June 2017 the platform doubled its size, having currently 3,905 members from all of the 50 states of the United States (*About*, n.d.). The platform is composed by faith groups (900 members), tribes (12 members), artists (25 members), cultural institutions (84 members), business and investors (2274 member), states (10), counties and cities (290), colleges and universities (353 members) and health care institutions (32) and it claims to represent around 155 million Americans, amounting for approximately half of the population of the country (Figure X)(*About*, n.d.). Originally, the platform started with a pledge made by over 1,200 actors in 2017 and has increasingly been engaging new members since (*We Are Still In Introductory Presentation*, n.d.).
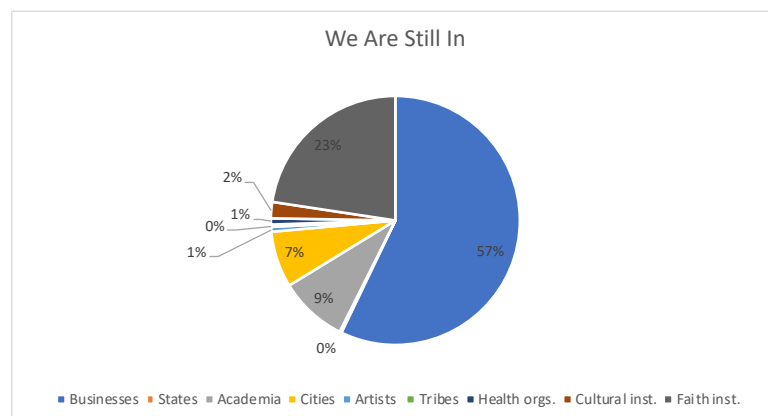
The platform mainly engages its members at climate events which they participate, such as the Global Climate Action Summit in 2018 in California in which the platform observed a substantial number of new members joining the platform or during the Conference of the Parties, which they attend every year (Interview 3). WASI estimates that it attracts approximately 5 members each month, mostly from its reputation, with members joining by their own initiative (Interview 3). The platform originally aimed to gather as much support (members) as possible, as it started as a pledge with the intention of building a collective force (Interview 3). However, the platform has progressively been looking at increasing its ambitions in regard to the climate commitments of its members (Interview 3). Hence, WASI just like FS has been focusing on scaling the ambitious of its activities increasing its catalytic potential by generating actions that are more difficult to reverse over time (van der Ven et al., 2017).

MATERIAL AND IDEATIONAL SUPPORT

The platform does not provide any sort of financial, technical or administrative assistance, being these types of support, currently not a part of their formal activities or goals (Interview 3). However, the platform recognizes the need for financial support as explained by the interviewee:

*"That has not been a part of what we offer in the past and that is something we are looking at because we understand that it is a huge barrier to climate action, especially when our federal government isn't providing the funding (...) funding is very important our funders know it".* (Interview 3).

Regarding ideational support, starting with *steering*, the platform provides its members with a "menu" of commitments which they can choose from when signing up to the platform (Figure X) (*Commitments | We Are Still In*, n.d.). This list of commitments was developed together with supporting organizations following mitigation, adaptation and climate communication actions by leading institutions and organizations (*Commitments | We Are Still In*, n.d.). Members can choose climate action commitments according to their sector (business, faith group, etc.) and different types of commitments they want to take, such as policy, carbon pricing, public engagement, education and training, transportation, reporting and others (Figure 10).

Figure 10. List of commitments.
Adapted from We Are Still In. Commitments [image, screen capture].
Retrieved from https://www.wearestillin.com/commitments

In regard to information sharing, the platform provides in its website information about each commitment which on a varying level highlights the importance of a commitment, explains the strategies and how to achieve each commitment and provide links to the website of other organizations and initiatives that the member could join in order to achieve the commitment or acquire further knowledge about it (Figure X) (*Commitments | We Are Still In*, n.d.). The platform has also a resources page with varying information on climate actions in diverse forms, such as videos, documents, links to other websites, etc.

Moreover, WASI has the ability to connect the signatories with each other aimed at learning and networking (Interview 3). These take place during events in which members are gathered, panelists and presenters connect with each other (Interview 3). Moreover, members can in their commitments indicate their interest in collaboration and the areas they would like to collaborate. However, there is no direct mechanism for contact between members. If a member wants to connect with another member it is necessary to contact the platform which will then make the connection between them (Interview 3).

Lastly, concerning *reputational incentives* the platform dedicates in its website a webpage called 'Success stories' in which good practices from their members are presented (*Success Stories | We Are Still In*, n.d.). These success stories are tracked from information found on the media of the member by the platform (Interview 3). These are meant to increase learning by sharing with other

members (or anyone interested) good practices and examples and also provide members with some reputational incentive for their good work (Interview 3).

## 5.4 JAPAN CLIMATE INITIATIVE, JAPAN

### SCALING

Since its establishment in June 2018 when it started with 104 companies (Japan Climate Initiative, n.d.) the platform have already enlisted 486 members, from which over 340 are companies, including major companies such as Panasonic, Mitsubishi and Sony; over 30 are cities and municipalities, including big metropolitan areas such as the Tokyo Metropolitan Government and the city of Osaka; and 104 others, such as associations, cooperatives and research institutes (Figure X) (*Japan Climate Initiative – JCI*, n.d.). According to the platform, within one year of its establishment it had over 380 members enlisted, and in 2 years, over 400 members were part of the platform (Interview 4).
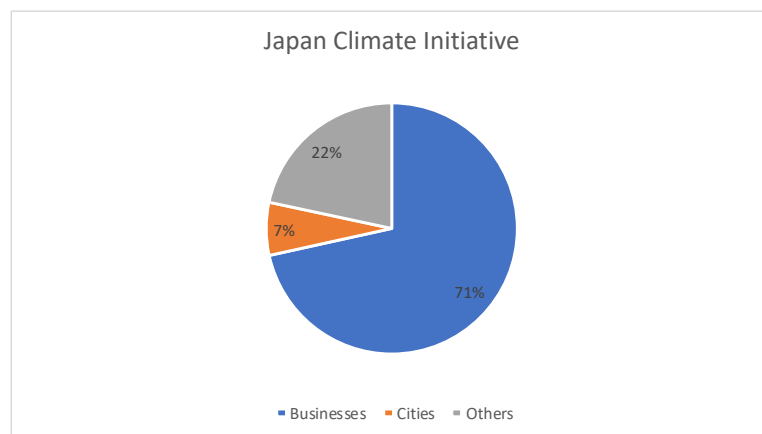


Figure 11. Overview of JCI members per type in percentage.
Retrieved from https://japanclimate.org/english/

The platform enlists members by occasionally approaching specific actors such as companies or local government, but most of the actors join by their own initiative (Interview 4).

> *"Sometimes we approach specific companies or local government that we want them to join JCI, but most of the members that are joining already JCI, joined with their own intention. So, we didn't invite them, but they wanted to join JCI. That's why they're in the list."* (Interview 4).

They believe that the great number of actors in the platform is due to the platform offering actors a podium in which they can speak about climate action in the country, which has been going through changes when it comes to non-state climate action debate in the recent years (Interview 4).

> *"When we launched JCI, we didn't expect such great numbers of non-state actors joining JCI. We are not sure, but I think non-state actors in Japan have been waiting for a place to speak up*

*for climate action. So, I think that this has been changing. Something has been changing in Japan in terms of climate action by non-state actors."* (Interview 4).

As seen in many of the cases above, JCI also has an imbalance regarding its type of members. The platform is aware of that, as according to the interview it is trying to increase the number of constituencies part of the platform. In regard to its growth in number of members, the platform has been progressively expanding the reach of its efforts across a bigger audience, by filling an apparent gap in the country in regard to climate action.

MATERIAL AND IDEATIONAL SUPPORT

JCI does not have offer any financial or technical support to its members, since it does not possess the financial resources necessary to provide this sort of support (Interview 4).

Regarding ideational support, the platform does not steer its members activities to any specific type of activity or sector, the overall goal is the decarbonization of the Japanese society in which actors are free to choose the actions necessary to reach this goal. In regard to information, the platform provides information to its members by sharing its expertise (Interview 4). Partner organizations, the secretariat and the steering committee of the platform each possess their own expertise in a diverse range of topics, which is used in order to help members in committing to more ambitious climate actions (Interview 4). As an example, the CDP (Carbon Disclosure Project) Japan, which is part of the secretariat of the JCI has expertise in the business and financial sectors related to climate action (Interview 4). WWF, also a member of the secretariat has projects on ocean, forest and climate change (Interview 4). Lastly, the Renewable Energy institute has expertise on expanding renewables (Interview 4). The platform also organizes seminars and workshops in which this expert knowledge is shared with the signatories and climate change topics are presented as the interviewee explained:

*"We sometimes organize some seminars and workshops for signatories and so that they can gather together. We provide them with some new information on climate actions and what's happening in the world. Signatories can learn what's going on in the world and in Japan (in terms of climate action)."* (Interview 4)

Moreover, members participate as speakers in these events sharing their experience in climate action, such as their best practices, methods for GHG emissions reductions and their own expertise with other members, encouraging learning and offering some reputational incentive for members within the platform (Interview 4). These events include also some allocated time for informal gathering between members, such as coffee-breaks aimed at creating a networking experience between members, strengthening their ties and their learning (Interview 4).

## 5.5 Alianza para la Acción Climática del Area Metropolitana de Guadalajara, Mexico

### Scaling

The ACA-GDL operates in 9 different municipalities that comprises the metropolitan area of Guadalajara (citation). Members include subnational governments, universities, domestic waste and energy companies and other organizations such as institutes and NGOs (Figure X). The platform started in August 2018 with 35 members and since then it has engaged over 50 members (Interview 5).
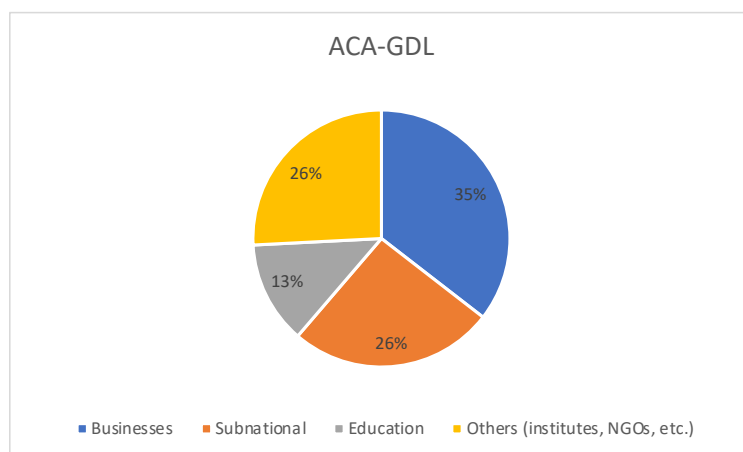


Figure 12. Overview of ACA-GDL members per type in percentage.
Retrieved from https://www.alliancesforclimateaction.org/mexico.html

At the beginning of its activities the platform started enlisting members by contacting actors that they believed would be a good addition to the platform, which later changed with the start of 'working groups' (Interview 5). Since then, actors have been approached and enlisted according to the themes of the 'working groups' (e.g. renewable energy, waste management) and their needs, with key actors being identified by the platform and also with the help and input from the members (Interview 5). There is no online form or any online application tool, with actors being personally contact by the platform and invited to join ACA-GDL as the interviewee explains:

*"The only contact (of the platform) is my email. We have an appointment (ACA-GDL and the actor), we talk, and they join* (the platform). *We continue identifying key actors that are needed for the platform, such as the objectives of each project and they continue to join. This is the way in which actors join us through workgroups, as member of the alliance."* (Interview 5).

Though the distribution of members per type seems balanced, which is in favor of the platform in terms of its scaling potential, the growth in the total number of members has been very low. Even when taking into account the fact that this is the only platform in the study acting in a local scale, the metropolitan area of Guadalajara is the second most populated in the country, with over 4 million inhabitants which

points to a slow growth in the number of members as it is a large region (*Guadalajara Metropolitan Area | Gobierno Del Estado de Jalisco*, n.d.).

MATERIAL AND IDEATIONAL SUPPORT

The platform provides some technical support for its members in the form a mechanism for quantifying the process of separation and management of waste.

Regarding the ideational support of coordination and steering the platform organizes "working groups" according to themes such as renewable energy or waste management. Interested members can sign up for these working groups around different themes working together with others to reach common goals. (Interview 5). The platform also provides ideational support with information sharing and learning activities such as courses, webinars and workshops for the members (Interview 5). Moreover, experiences, best practices and success stories are shared by members during meetings and through internal communication email, providing both learning and reputational incentives for members (Interview 5).

In relation to networking, the platform organizes every 2 months a general meeting in which all members and invited to attend (Interview 5). In these gatherings new members are introduced to all the members in the platform, members have the opportunity to connect with one another, and ask for collaboration in climate actions, among other activities that will be discussed in the next section (legitimacy) of this research (Interview 5). Moreover, ACA-GDL works in connecting members by sharing their own activities and events among all the actors in the platform through their mailing list (Interview 5).

## 5.6 VIETNAM COALITION FOR CLIMATE CHANGE, VIETNAM

SCALING

The VCCA platform has just completed one year of operation. It started with 15 members when it was launched, having currently 42 members (Interview 6). It engages businesses, NGOs, financial institutions, consumers, associations and research institutions (VCCA Brochure, n.d.).
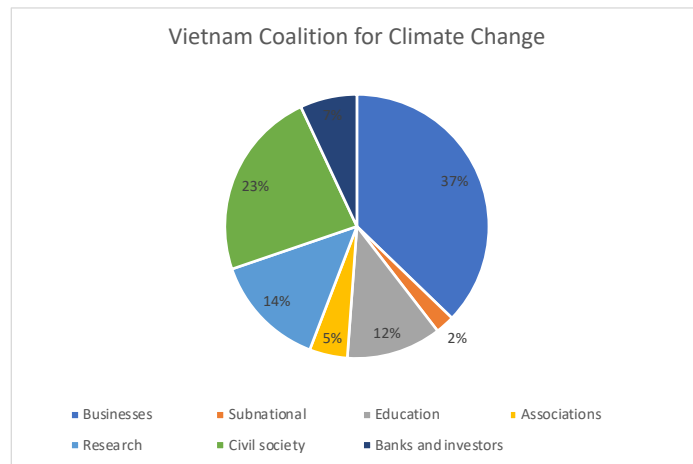
Figure 13. Overview of VCCA members per type in percentage.
Retrieved from https://www.alliancesforclimateaction.org/vietnam.html

The platform led by the efforts of the WWF-Vietnam and the GreenID started reaching out to potential members months before its launch, promoting their mission and their goals, inviting members from different sectors such as universities and businesses (*Alliances for Climate Action*, n.d.). VCCA's current focus is to increase its number of members, especially members from the private sector, with several activities planned in the coming months for this goal, such as meetings and events focused on presenting the NDCs of Vietnam and the targets of the Paris Agreement for potential members in different parts of the country, since as of now most members are from Hanoi, where the platform is based (*Alliances for Climate Action*, n.d.). The platform has just one year but seems to be working hard in enlisting ne member, having already tripled its number of initial members. Though when compared to other platforms in this study VCCA has presented a slower growth than similar national platforms such as JCI and FS.

MATERIAL AND IDEATIONAL SUPPORT

Starting with material support, the platform does not provide any type of financial, technical or administrative support to their members (Interview 6). According to the platform, financing the implementation of members' climate actions are in the future plans of the VCAA, however, currently the main focus of the platform has been on increasing their number of members since they have just started their activities (Interview 6).

> *"It's a long-term plan. Maybe after one or two years we can do something to support the members".* (Interview 6).

When it comes to ideational support particularly steering, VCCA has been focusing its activities specially the business and industry, and energy sectors (Interview 6). Accordingly, its information sharing is focused on climate actions from the point of view from these sectors (Interview 6). The platform has a 'solar rooftop' project in which over 20 of its members are participating (Interview 6).

In order to support members of this project, the platform focus on keeping members up to date with the new policy developments on solar energy in the country, since Vietnam has recently passed a law regarding the development of solar power energy (Interview 6).

In regard to learning, VCCA organizes regular meetings bringing decision-makers together with members, in order to encourage a dialogue about these new policy developments in solar energy in the country (Interview 6). Meetings and workshops are organized around different themes, in which members of the platform and decision-makers from the national level such as representatives of the Ministry of Industry and Trade and the Ministry of Management and Resources are brought together providing both learning and networking support for its members (Interview 6). The platform observes that these activities are especially relevant for smaller actors, such as small businesses, since it gives them a chance to have to discuss their needs with decision-makers on the national level, which would otherwise be very difficult to arrange themselves (Interview 6).

Regarding networking, through the organization of events such as the above-mentioned meetings and workshops, members have the chance to connect with each other and with other actors (Interview 6). Moreover, members frequently organize their own events, which the platform shares with all the other members through a mailing list organized by the platform (Interview 6). Reputational incentive is another priority of the platform, in which the is investing their efforts (Interview 6). They have recently finalized a study about the members, with the aim of providing members with a reputational incentive by showcasing their actions and providing members with a document that can be shared with their stakeholders (Interview 6). The platform has also an internal newsletter which its content is focused on showing the member's good practices towards climate action (Interview 6). Lastly, they are developing a documentary in which "best cases" will be selected to be presented (Interview 6). The aim of this documentary is to showcase their members best practices in climate action to the general public (Interview 6).

## 5.7 CLIMATE CHANCE, FRANCE AND AFRICA

### SCALING

Climate Chance gathers all the 9 non-state actors constituencies recognized by the UN which are local authorities, business and industry, NGOs, workers and trade unions, scientific and technological community, farmers, indigenous peoples and communities, women and children and youth in its activities (*Background and Missions*, n.d.). These are represented by many institutions, associations, NGOS, organizations, among others (Figure 14).
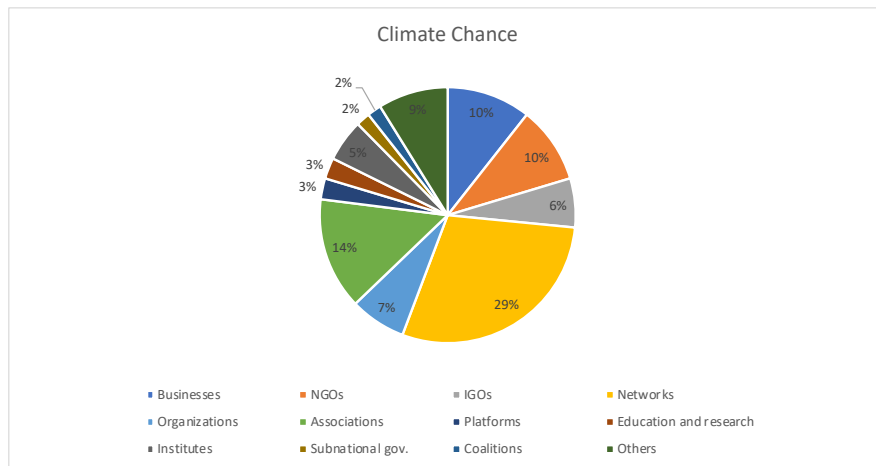
Figure 14. Overview of Climate Chance members per type in percentage.
Retrieved from https://www.climate-chance.org/en/get-involved/african-coalitions/ and https://www.climate-chance.org/en/get-involved/global-coalitions/

Climate Actions work through 'coalitions' together with other actors, on a variety of themes aimed at creating synergies between different kinds of actors by encouraging the development of projects and initiatives and information sharing between coalition members (*African Coalitions*, n.d.). The African coalitions created in 2018, for example, involve local actors such as local authorities, companies, associations and others on themes that affect the region, such as climate adaptation and urban development (*African Coalitions*, n.d.). There are currently 9 coalitions focused in the African region with 48 members involved and 17 global coalitions involving 110 different actors  (*African Coalitions*, n.d.; *Global Coalitions*, n.d.). The global coalitions were most established between 2015 and 2016 and all the African coalitions in 2018 during the Climate Chance Summit Africa 2018 (*African Coalitions*, n.d.; *Global Coalitions*, n.d.). Moreover, the platform organizes every year annual summits, which gathers a great diversity of NSAs, in international or regional summits offering "a work setting and monitoring framework" for the African and global coalitions (*Climate Chance Summits | Climate Chance*, n.d.). The first summit that started the platform in 2015 gathered 1,400 actors in Lyon, France (*Climate and Territories Summit 2015*, n.d.). The second one in 2016, in Lyon, France, gathered nearly 3,000 actors (*Climate Chance Summit 2016*, n.d.). In 2017, 2018 and 2019 the summits were organized in the African continent in Morocco with over 5,000 participants, in Ivory Coast with 600 participants and in Ghana with 2,000 participants (*Climate Chance Summit 2017 | Climate Chance*, n.d.; *Climate Chance Summit Africa 2018 | Climate Chance*, n.d.; *Climate Chance Summit Africa 2019*, n.d.).

Climate Chance enlists participants with through their events, and with the support of a group of 60 actors that act as ambassadors of the platform, composed by representatives from all the 9 constituencies of the UNFCCC (see section 10.1). These 60 ambassadors are also responsible for engaging other actors and networks to collaborate with the platform.

The platform occasionally provides some financial support to speakers and representatives so they can attend the events of the platform in case the person or organization does not have the necessary funds to pay for flights, accommodation and other traveling expenses. Also, the platform works in connecting donors and funders with participants (Interview 7). The platform ensures that funders such as the European Commission, the French Development Bank (AFD) and others, are invited to attend their events (Interview 7). Moreover, during these events there are always sessions dedicated to the topic of financing for the attendees aimed at helping actors acquire funding to advance their climate actions, creating an enabling environment for action (Interview 7).

Regarding the provision the ideational support the platform organizes many events such as their Climate Chance Summit, which are organized every year, with varying themes and in hosted in different countries (Section 10.2.1). As examples of these events, the first one, the Climate and Territories Summit was the event that started the platform in 2015 before the Paris Agreement, it had the goal of giving a voice to non-state actors ahead of the COP21, and it was organized in Lyon, France (*Climate and Territories Summit 2015*, n.d.). The last one, the Climate Chance Summit Africa 2019 was hosted in Accra, Ghana, on the theme "Working together to step up climate action" which mostly actors from African countries attended (*Climate Chance Summit Africa 2019*, n.d.). These events deliver all manners of ideational support, providing guidance and steering since every year they are focused on a different topic, learning between members, information sharing and networking by bringing actors together and showcasing their work and good practices and connecting them with each other and other important actors such politicians and funders. It also provides reputational incentives since these events provide participants with a podium in which to showcase their work to variety of actors.

Furthermore, in relation to networking, each summit has a call for proposal for good practices for the purpose of presenting these good practices at the event (Interview 7). The platform reviews these submissions and before the start of the event they already connect actors which are doing similar actions, with each other, in order to encourage networking opportunities before the event (Interview 7). As an example, their Climate Chance Summit Africa 2019 had over 400 proposals of good practices submitted by local actors which connected a great number of actors even before the summit took place (Interview 7).

Moreover, the platform also has other mechanisms of ideational support beyond their summits and events such as information sharing through their 'cartography for action' in its website in which climate actions around the world are catalogued in a map with an emphasis on good practices (*Cartography for Action*, n.d.). Climate chance also organizes regularly webinars on different topics related to climate action, they produce newsletters in which members' and platform's events are shared, they have a 'climate library' containing various resources about non-state climate actions and a climate agenda which gathers all the events happening in the climate community (*Get Informed | Climate*

*Chance*, n.d.). Lastly, they produce synthesis reports of climate initiatives all around the world with the aim to better understand climate action challenges and strategies from non-state actors from around the globe (*2019 Synthesis Report on Climate Actions | Climate Chance*, n.d.).

## 5.8 ACTIONLAC, LATIN AMERICA

### SCALING

According to its website, ActionLac acts in 12 different countries in Latin America: Argentina, Bolivia, Brazil, Chile, Costa Rica, Ecuador, El Salvador, Guatemala, Mexico, Paraguay, Peru and Venezuela ("Acción Climática," n.d.). The platform is composed by a variety of actors: businesses, civil society, subnational actors, local experts and practitioners, hospitals, academia, small businesses, and NGOs ("Acción Climática," n.d.).
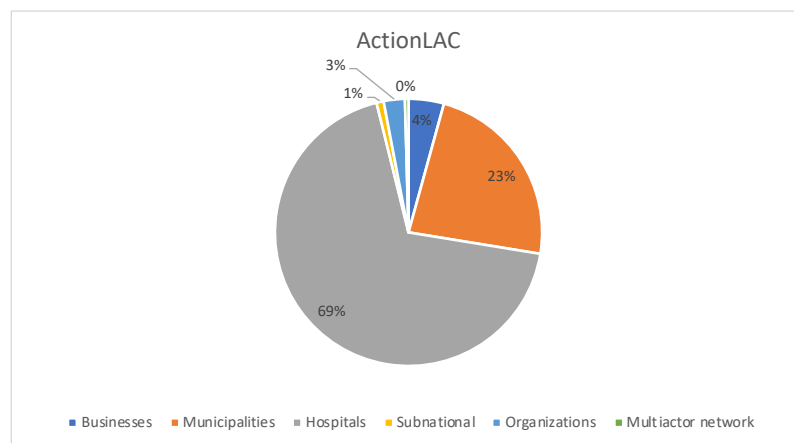


Figure 15. Overview of Climate Chance members per type in percentage.
(P. Ellinger, personal communication, June 26, 2020).

The platform has 3 different types of membership, which amounts for over 1.100 members around the Latin American region (Interview 8). The first type of membership are the networks Red Argentina de Municipios ante el Cambio Climático (RAMCC) (translated: Argentinian Network of Municipalities Against Climate Change) which comprises of 213 members; the second one the Red Chilena de Municipios ante el Cambio Climático (RedMuniCC) (translated: Chilean Network of Municipalities in face of Climate Change) with 59 members; the Red Global de Hospitales Verdes y Saludables (translated: Global Network of Green and Health Hospitals) encompassing 801 members; the Network of Companies Leaders with 50 members and the Red de Empresas Líderes por la Acción Climática (ELAC) (translated: Network of Leader Companies in Clima Action) with 50 members (Interview 8). The second type of member are the declarations with the Declaratoria por el Acceso al Agua (translated: Declaration for Water Access) with 19 members and the Declaratoria "Gran Chaco Resiliente" (translated: Declaration Gran Chaco Resilient) with 28 members (Interview 8). The last type of membership are the individual institutions, municipalities, NGOs, alliances and others which

amounts for approximately 50 members (Interview 8). The platform attracts and engage their members mostly digitally through emails, website and online events and courses such as webinars and online workshops, and sporadically in events such as during the COPs annually in which they organize events (Interview 8).

MATERIAL AND IDEATIONAL SUPPORT
Starting with material support, ActionLAC offers its members financial and technical support (Interview 8). In relation to the latter, ActionLAC offers technical support and tools for interested actors to create their own climate action initiatives like the declarations (Acelerando la acción climática en América Latina, n.d). It also offers members consulting services for the development of climate goals (Acelerando la acción climática en América Latina, n.d). When It comes to financial support ActionLAC offers access to funding and seed capital (Interview 8). As examples of this financial support, ActionLac provided the Argentinian Network of Municipalities Against Climate Change with funding for the organization of webinars on the topic of adaptation and mitigation action for the municipalities that are part the network (Interview 8). Another example of funding is the individual member Engajamundo (Brazil) a youth leadership organization which organized a series of events for 70 young leaders in Brazil with the objective of preparing them to attend the COP25 (Interview 8). Seed capital was also given to some of the members during an online course organized by ActionLac (Interview 8). In this course, for example, the National University of Patagonia was provided seed capital to implement their climate actions which were formulated and presented during the course and chosen by ActionLac for the grant (Interview 8).

Regarding ideational support, specifically the steering of activities, members of the platform are committed to realizing climate actions in different areas which usually varies depending on the network or declaration which members can be a part of: design and promotion of public policies, capacity building and awareness, production of strategic alliances, implementation and change in practices, management and production of knowledge, and advocacy (*ActionLAC Es La Plataforma Que Busca Acelerar Respuestas Contra El Cambio Climático.*, n.d.). Moreover, the platform also separates the actions by its intermediaries into 'action areas' which corresponds to the areas impacted by the climate action. These areas are adaptation/resilience, water, cities and human settlements, energy, climate finance, oceans and coastal areas, waste and land use (*ActionLAC Es La Plataforma Que Busca Acelerar Respuestas Contra El Cambio Climático.*, n.d.).

Regarding information sharing, ActionaLAC often organizes webinars, online courses and workshops, which are open not only for their members but for any interested actor (Interview 8). These activities have the objective of not only providing building the capacities of members (or any interested actor) but it also works for enlisting new members for the platform (Interview 8). ActionLAC focusses also on knowledge management, having organized some activities on this topic during events, such as the Latin American Climate Action Week and the COPs every year (Interview 8). Moreover, ActionLac

has an online database containing all the climate action networks operating in the region with the objective of identifying, strengthening and giving visibility to non-state actors in Latin America use (*ActionLAC Es La Plataforma Que Busca Acelerar Respuestas Contra El Cambio Climático.*, n.d.).

The platform also has a newsletter with variable frequency, in which information on the activities of members such as events and climate actions are shared with all members of the platform (Interview 8). The platform does not formally organize any networking events or group work between members (Interview 8). However, there were some sporadic events such as the ones organized during the Global Climate Action Summit in which the networks were invited to participate and learn with each other (Interview 8). Lastly, the platform provides reputational incentives in the form of seed grants for implementation, for example during courses, for the best climate action plans elaborated by the participants, and also fellowships for courses (Interview 8).

Table 3. Overview of effectiveness results

| Indicator | FS | CPEC | WASI | JCI | ACA-GDL | VCCA | Climate Chance | ActionLAC |
|---|---|---|---|---|---|---|---|---|
| **Scaling** | Multi-actor Stable growth | Multi-actor Very high growth | Multi-actor Stable growth | Multi-actor Stable growth | Multi-actor Low growth | Multi-actor Low growth | Multi-actor Medium growth | Multi-actor High growth |
| **Material and ideational support** | No material support Steering, information sharing, networking | Financial support Menu of commitments (steering) Information sharing Networking (only for business sector) Reputational incentives | No material support Menu of commitments (steering) Information sharing Networking Reputational incentives | No material support No steering activities Information sharing and learning Networking Reputational incentives | Technical support Steering Information sharing and learning Networking | No material support | Limited financial support | Technical and financial support |

# 6. LEGITIMACY

## 6.1 FOSSILFRITT SVERIGE, SWEDEN

### PARTICIPATION

As seen in section 5.1, all Swedish actors are invited to participate in the platform, reproducing a multi-actor logic of participation which in theory could be considered to give access to a range of NSAs to the agenda-setting of the platform.

Problems arise when the main activities of the platform the 'challenges' and 'roadmaps' are looked at. Starting with the roadmaps one of the platforms main activities as explained by the interviewee:

*"The biggest part of our work is to make these roadmaps happen and to get the policy shifts that will allow them to happen, finding the right type of support and engaging different parts of our actors. So now we are looking for ways to implementing these roadmaps".* (Interview 1).

The platform focusses its roadmaps activities in its business actors only, with each roadmap focused on a different industry (Fossilfritt Sverige, n.d.). So far, there has been thirteen roadmaps submitted by the government each focused on one industry: concrete industry, rock material, construction, cement, grocery, digitalization consultancy, airline, mining and mineral, shipping, forestry, steel, heating and transport (Fossilfritt Sverige, n.d.). Though these combinations and categories are important for the 'fossil free' objective of the platform they are far from being inclusive since it focus solely on large industries. This can obstruct the participation of smaller business actors and the other types of actors in the activities of the platform missing on their contribution and limiting the scope. In relation to their activities on the 'challenges' the platform describes that companies, organizations, municipalities and regions can participate. There are four types of challenges: transportation challenge, solar panel challenge, the climate change challenge (which is focused on implementing an internal fee for travels with large emissions of GHG) and the business car challenge (*Challenges*, n.d.). Again, these challenges are focused greatly on businesses and a few other actors and it is restricted to mostly two areas of actions: energy and transportation, limiting the agenda of the platform to a few issues that most certainly cannot include the participation of all actors and the interests of all affected parties.

### DELIBERATION

The criteria for actors to join FS is that when joining the platforms intermediaries have a justificatory demand of 'having clear goals and showcasing them to the public' (*Declaration by the actors*, n.d.). These are self-described climate actions that are published in the website of the platform with no

guidance to what constitute a 'goal' (Fossilfritt Sverige, n.d.). Moreover, most of these commitments are published once, only when the actor joins the platform and not consistently updated or monitored by the platform after this initial stage (Interview 1). This affects the quality and level of justifications given by the actors to affected parties as the information is not consistently available. Moreover, in relation to activities such as the 'challenges' the level of justifications given by intermediaries varies widely. Some actors provide detailed accounts of their actions including deadline for actions, goals, explanation on the ways the actor will achieve its goals, others provide very little information to none. When it comes to the 'roadmaps', there is a higher level of justification as each roadmap submitted to the Swedish government is publicly available for download in the website of the platform, containing information on the importance of the industry to the society, current situation of emissions and the industries' needs in order to become fossil free (Fossilfritt Sverige, n.d.).

ACCOUNTABILITY AND TRANSPARENCY

FS has no appropriate mechanism in place that ensures the comparability and clarity regarding the actions by its intermediaries and the transformative potential of these actions to affected parties (Interview 1). The platform explained that this lack of accountability mechanisms is due to a lack of resources and they are aware of the problem as the interviewee explains:

> *"We don't do any sort of evaluation on them. We don't have the resources to do that (accountability mechanisms). We just work to try to inspire them. The problem here is that someone looking from the outside can think that companies get the FS stamp of approval, but we don't stand behind them, they stand behind us. We are aware about the issue".* (Interview 1).

Regarding to the transparency of information on targets, the 'challenges' of FS present public information on each target and the deadline each the actor wants to reach the target (*Challenges*, n.d.).

## 6.2 COMUNIDAD #POR EL CLIMA, SPAIN

PARTICIPATION

Participation is open for any type of actor, including citizens, being the only platform in this study to include this type of actor and the one most represented in the platform in number of members (see section 5.2). Climate actions covers a wide range of topics: water, consumption, energy, carbon footprint, mobility, waste prevention and management and adaptation (*Acciones - Comunidad #PorElClima*, n.d.). Moreover, 'actions' are also organized per type of actor, which for example for citizens, actions can be as simple as "to turn off the tap while brushing your teeth" and for companies can be related to their products and services such as 'calculating the carbon footprint of products and services" (*Acciones - Comunidad #PorElClima*, n.d.). This shows that the platform's 'climate actions'

are tailored for increasing the chance of participation of each kind of actor offering a wide range on themes and types of actions. However, as seen in section 5.2 though the biggest number of members in the platform are citizens, activities such as networking and other group activities are aimed at business actors with no activity of the kind for citizens. This affects the inclusiveness and equal participation of the platform as it limits the participation of some activities to a few types of actors.

DELIBERATION

The criteria for the inclusion of an actor at CPEC includes the justificatory demand of showcasing contributions publicly. These contributions can be chosen by the actor from a menu of 'climate actions' available on the website of the platform (*Acciones - Comunidad #PorElClima*, n.d.). Each member, upon registering immediately has a public profile available showcasing their actions (*Somos La Comunidad #PorElClima*, n.d.). Yet, these contributions just as discussed in the case of FS platform above, are not monitored by the platform, making it challenging for affected individuals to understand how these commitments could be reliable efforts for tackling the climate change issue.

ACCOUNTABILITY AND TRANSPARENCY

The platform does not have a monitoring, reporting, or evaluating mechanism in place since it believes that adding mandatory mechanisms of monitoring and reporting could hinder the platform's scaling, its main focus (Interview 2).

> *"Since the beginning we made the decision to not put any limitations* (for membership)*. We continue believing that we are not in the moment to prescribe and demand from the members of the Comunidad to do certain things or to not do. We believe it continues to be important the volume* (of actions)." (Interview 2, translated from Spanish).

> *"We need volume, we need thousands and thousands of people and companies that say that "my objective is the decarbonization of society". However, we did not get there yet, this is not the time yet* (for accountability)*. We believe that the time will come, but we are still not there".* (Interview 2, translated from the original in Spanish).

Moreover, the platform observes that it does not have the financial resources, such as a large team, necessary for implementing accountability mechanisms that would be able to account for all its 19,000 members (Interview 2). They believe that since the climate commitments of members are public it functions to some degree as an incentive for members to deliver on their commitments which is sufficient for the time being (Interview 2). The only information publicly available are the climate contributions actors commit to take.

## 6.3 WE ARE STILL IN, UNITED STATES

### PARTICIPATION

WASI has a diverse range of actors participating in the platform, though as seen in section 5.3 there is an over-representation of business actors that alone accounts for more than half of the number of members. Moreover, the platform does not include participation for citizens, but it does have a page dedicated to informing citizens on how to indirectly participate in the goals of the platform (*How Can Individuals Get Involved?*, n.d.). This does not count for participation, but at least it acknowledges the problem and provides alternatives for citizen contribution to the agenda.

In regard to its activities, events are open for all members and all members are invited to conduct presentations and panels at the events (Interview 3). Furthermore, WASI's 'climate commitments' (see Figure 10 for an example) are separated per type of actor, including all actors in the platform and covering a wide range of topics: Carbon pricing, waste and resource management, climate action targets, energy efficiency, HFCs and methane, investment, land use, resilience, policy, public engagement, renewables, reporting, resilience, resource and waste management and transportation (*Who's In*, n.d.). By engaging a diverse range of actors, covering varied thematic areas with its commitments, organizing events for all and tailoring commitments taking into account its members differences WASI offers a quite inclusive and equitable participation which can be improved if the platform redress the its participation imbalance.

### DELIBERATION

When joining the platform actors are enquired by WASI to provide information on three different questions (*Who's In*, n.d.) :

1. *What climate actions are you currently taking?*
2. *What additional climate actions more are you able to can you do?*
3. *How may you be interested in collaborating with others, and what support do you need to achieve your climate actions?*

However, this information is only made public if the actor agrees with the publication. Public profiles usually contain the climate contributions intermediaries are willing to take or that they have already been that are either chosen from the platform's 'menu of contributions' or self-described by the actor. In case the actor already reports through other platforms of carbon disclosure such as the CDP or NAZCA, among others, it is then not obligated to provide information that was already delivered to these platforms (*Who's In*, n.d.). The intermediary can offer the link to the public information available instead. However, the level of any type of information is up to the actor to decide. These facts show that the deliberative quality of the justifications of WASI have some critical problems. First, since the publication of member's profile is not mandatory, there are only 980 public profile with the climate contributions of the actors, even though the platform has currently over 3,900 actors (*Who's In*, n.d.). Second, as information are self-described with no minimal justifications required, the level of

information on contributions are extensively varied, with some actors providing extensive information on its contributions and some providing very few. This shows a considerable gap in its deliberative efforts, as justifications about commitments are substantially missing.

ACCOUNTABILITY AND TRANSPARENCY
WASI does not have any accountability mechanisms in place. Though as seen on the section above, it offers a chance for actors to connect its public profile to existing carbon tracking tools, the information is not mandatory and not all actors have access to these external tools or use them. The platform understands the importance of accountability and are currently looking for carbon emissions tracking tools that could be set up and other options that could potentially be integrated to the platform in the future (Interview 3).

Regarding transparency the climate contributions of 975 members are available on the website of the platform for the public as seen on deliberation section. However, it does not present a complete account of all actors and since some of the descriptions of commitments are self-declared with to criteria of what qualifies a target the transparency is minimal.

## 6.4 JAPAN CLIMATE INITIATIVE, JAPAN

### PARTICIPATION
Japanese companies, municipalities, research institutions and civil society organizations can participate in the JCI platform. Section 5.4 presented the member's composition and it was possible to see that business actors, like FS and WASI are also over-represented in the platform. However, as also seen in section XX the platform is currently aiming at increasing the participation of other constituencies in the platform. In regard to its activities JCI organizes in-person events such as workshops and seminars in which all members types are invited to participate (section 5.4). These events do not have specific themes, being around general topics.

### DELIBERATION
As it is explained in the website of the platform "there are no specific requirements for member organizations, but they are expected to make active efforts on a voluntary basis." (*Japan Climate Initiative – JCI*, n.d.). Accordingly, there are no justifications on the contributions of members, of any kind, available in the website of the platform.

### ACCOUNTABILITY AND TRANSPARENCY
As seen in the section above, there are no specific requirements for member organizations, as they are expected to make efforts towards the goals of the Paris Agreement on a voluntary basis. Along these lines, the platform does not possess any formal mechanism for monitoring, reporting or comparing

members actions in place. The platform states that the reason why there is no mechanisms in place is due to the fact that the current focus of the platform is to enlist a great number of actors and encourage them to take actions (Interview 4). JCI believes that in case there were mandatory commitments or related obligations it would be difficult to enlist actors to join the platform (Interview 4). Moreover, the platform wants to expand its diversity of members in order to increase its advocacy capacity.

*"We don't ask for report from signatories. We just encourage them to take actions. There is a reason why we don't ask any report from them. It's because we want as many non-state actors as possible to join JCI. If we request any report, duty or commitment from the signatories we couldn't get such a great number of signatories. We set the criteria to join JCI very low, because we want as much non-state actors in Japan as possible to join JCI. By doing so, at least, each signatory declares to stand in the frontline of climate actions in Japan, as it is written in the founding declaration."* (Interview 4).

*"We also want different constituencies such as academia, religious groups, cultural institutions etc. One of the reasons why we want many signatories and constituencies is that when we do policy advocacy or make statements to the public, the more signatories and constituencies opt in, the stronger the voice of JCI can be."* (Interview 4).

Regarding the transparency of its members targets and actions there is no available information on their webpage.

## 6.5 Alianza para la Acción Climática del Area Metropolitana de Guadalajara, Mexico

### Participation

Governments, universities, companies, and civil society actors are encouraged to participate at the ACA-GDL (*Alianza Para La Acción Climática de México (ACA-MX) | Alliances for Climate Action*, n.d.). As presented in section 5.5 the platform has a balanced participation when it comes to the number of different of each type of actors, with participation being fairly equal among the different actors. However, there are a few problems identified when it comes to ensuring equal and inclusive participation. As presented in section 5.5, ACA-GDL focusses a great part of its enlisting on the needs of its ongoing activities. This limits the participation in the platform to mostly actors that have the expertise needed and not on creating a wide-ranging participation and support. In relation to the platform's activities, the platform has currently activities on a few thematic areas: water, energy, urban greening and waste management. However, these themes are chosen by the members themselves according to their own interests and any member can start its own working group.

The website of the platform does not contain any publicized justifications on its members contributions to climate change efforts. The website presents that "alliance members aim to demonstrate real commitment to climate action" and according to the interviewee prospective members do have to show their commitments to climate action when joining the platform (*Alianza Para La Acción Climática de México (ACA-MX) | Alliances for Climate Action*, n.d.). However, there is no demonstration of commitments publicly available for affected individuals, greatly affecting the deliberative attribute of ACA-GDL.

ACCOUNTABILITY AND TRANSPARENCY

ACA-GDL has no mechanism for accountability set up in the platform. The platform highlights the difficulty of creating parameters for comparison of climate actions, since it is a multi-sectoral platform with different types members (businesses, academia, sub-national) (Interview 5).

Regarding transparency the platform does not have a website for itself, with most of its communication is done internally through email (Interview 5). The information available online for the public is in a website dedicated to all Alliances for Climate Action initiatives, with each initiative having a webpage with limited information regarding each platform, which is also the case for the other ACAs platforms in this study (JCI and VCCA).

## 6.6 VIETNAM COALITION FOR CLIMATE CHANGE, VIETNAM

The platform has a multi-actor participation composed by local and multinational companies, associations, banks and investors, local government, academic, research and civil society institutions. In terms of numbers, in general, participation is quite balanced among the different types of actors (Figure 13, Section 5.6) with some underrepresentation from subnational actors with only one member from this type, but since the platform has a low number of members in total and have just started their activities, participation can be considered diverse. VCCA carries out 5 programs in different themes such as solar panels for homes and buildings, mitigation and adaptation plans for cities, agriculture and renewable energy integration, green production focused on industries and renewable energy jobs for citizens, women and youths (*Alliances for Climate Action*, n.d.). These programs mobilize a wide range of different actors covering an extensive scope of different actions and themes.

DELIBERATION

As VCCA have the same type of website as ACA-GDL and JCI (Sections 5.5 and 5.4). The platform has the same deliberation gap as the two other platforms and does not provide any public justifications of its intermediaries' contributions.

ACCOUNTABILITY AND TRANSPARENCY

The platform does not have any monitoring, reporting or comparing mechanism in place. Regarding transparency the website of the platform provides the list of members in the platform but there is no information on members' actions (*Alliances for Climate Action*, n.d.).

## 6.7 CLIMATE CHANCE, FRANCE AND FRANCOPHONE AFRICA

### PARTICIPATION

Climate Chance is open for participation from all 9 constituencies recognized by the UNFCCC and as seem in section 5.7 has quite a diverse participation from many types of actors that represents these 9 constituencies. The work of Climate Chance with coalitions covers a multitude of themes such as culture, jobs, ocean, education, mobility, agriculture, forests, energy, finance, among several others, involving a diverse group of actors (*Get Involved in the Climate Chance Summits and Coalitions*, n.d.). As Climate Chance is a platform that works both in the North and South of the Globe, in relation to the geographical distribution of participation, the platform has 17 global coalitions involving 96 actors, and 9 African coalitions involving 37 actors (*African Coalitions*, n.d.; *Global Coalitions*, n.d.). Though this points to a North-South imbalance many of the global coalitions focus on several places of the world, such as other developing countries, through the work of international networks and IGOs such as the UNDP, though most of the work of the platform as explained by the interviewee is based on Europe and Africa. Moreover, the annual summits present a geographical balance between North and South with the first two summits being hosted in France and the other three in African countries (*Climate Chance Summits | Climate Chance*, n.d.). Additionally, participation during these summits, all and the other events such as workshops and the events during the COPs are open for anyone interested and also covers a diverse range of topics in which members are invited to present (Interview 7).

### DELIBERATION

Climate Chance provides information on the contributions of the members to climate commitment according to each coalition(*African Coalitions*, n.d.; *Global Coalitions*, n.d.). The African coalitions have consistently equal information regarding their work presenting the current situation of the problem, the objectives of the coalition for tackling the problem and the plans and strategies needed in order to achieve the objectives(*African Coalitions*, n.d.). However, the global coalitions present varying level of information, missing important justifications about commitments (*Global Coalitions*, n.d.). The annual summits of the platform offer venues for deliberation between the platforms and a variety of NSAs (Interview 7). These summits provide direct justifications on the work of the different coalitions to affected parties.

Climate Chance does not have any accountability mechanisms in place to monitor and review the actions of its members within its coalitions (Interview 7). The platform has surveys that are sent to the members in an attempt to monitor track the progress in the work of the coalitions, but there is no formal obligation for members to complete it (Interview 7).

*"We do send surveys after, for example, after summits within one coalition or another. And if they are nice, they answer, you know, it's really hard. We try. So it depends on their goodwill to report it (progress on targets)."* (Interview 7).

Publicly available information on the coalitions' work vary, but in general each coalition has information on the goal of the coalition and the members that are part of it.

## 6.8 ActionLAC, Latin America

### PARTICIPATION

ActionLAC's participation varies depending in each of the network or declaration an actor would like to join. In the Declaration for Water Access, civil society, water managers, subnational governments and national and international funders are invited to participate (*Declaratoria Por El Acceso al Agua - ActionLAC*, n.d.). In the Gran Chaco Declaration, which is also a multi-actor network, actors must be from the Gran Chaco area (*Declaratoria Gran Chaco Resiliente - ActionLAC*, n.d.); and in the Argentinian Network of Municipalities against Climate Change and the Chilean Network of Municipalities in face of Climate Change actors must be municipalities from Argentina and Chile, respectively (*Red Argentina de Municipios Frente al Cambio Climático - ActionLAC*, n.d.; *Red Chilena de Municipios Ante El Cambio Climático - ActionLAC*, n.d.). Lastly, in the Green and Healthy Networks of Hospitals – Latin America, hospitals from the region are the participants and in the Network of Companies Leaders in Climate big companies, small to medium companies, entrepreneurs and NGOs from the Latin American region are allowed to participate(*Red Global de Hospitales Verdes - ActionLAC*, n.d.)Tr. Though this membership by network or declaration limits the range of actors participating by actor type and location, the platform has an inclusive mechanism for participation that allows interested actors to create their own initiatives and join the platform. Groups of at least 5 members from organization, individuals, networks and other collective actions with a common climate change commitment can create their own initiative (e.g. declaration). Furthermore, the platforms activities such as online workshops and courses are open for the general public. Based on these efforts, ActionLAC can be considered to have an equal and inclusive participation.

ActionLAC provides justifications regarding the contributions of its intermediaries through its map of climate actions (Figure 16).



Figure 16. Example of ActionLAC "Climate Actions LAC" map. Adapted from ActionLAC. [image, screen capture]. Retrieved from https://actionlac.net/

In this map, justifications for the actions of members can be tracked by declaration or network, by country, action area (e.g. water, adaptation), by type (e.g. financing, public policy) and actor ("About ActionLAC," n.d.). The information provided is consistent across all actors in the map showcasing publicly the climate action of the member, the progress of the action and the country where the action was implemented ("About ActionLAC," n.d.). This map does not contain the information of all actors yet, as the platform just launched this tool at the beginning of this year, and it is currently in the process of contacting the actors in order to gather up-to-date information on the actions and their progress (Interview 8). According to ActionLAC, the aim is to provide updated information on the actions of its members, since these have not been updated since the beginning of the platform, in a consistent manner (Interview 8). Thus, it is possible to find positive efforts from ActionLAC aimed at improving its deliberative quality.

ACCOUNTABILITY AND TRANSPARENCY

ActionLAC is the only platform investigated that have made attempts to create an accountability mechanism to monitor, compare and provide clear and public information on its members targets. This mechanism is found only for the Declaration for Water Access initiative, which has a document for public download (*Declaratoria Por El Acceso al Agua - ActionLAC*, n.d.) . In this document, the targets for each commitment is presented in a consistent way for each actor. Moreover, there is information on the deadline date of targets, the progress of the actor throughout a set timeline, the actions taken so far,

the actions that are still missing in order to reach the target, the country of the action and the person responsible for monitoring this action inside ActionLAC (*Declaratoria Por El Acceso al Agua - ActionLAC*, n.d.). However, the information on the document is consistent and complete until August 2017. After this date there is no further information on the actions publicly available. Regarding transparency, as discussed in the previous section (deliberation), there are publicly available information of the targets that each actor is committed to, but they are not yet available for all actors.

Table 4. Overview of legitimacy results

| Indicator | FS | CPEC | WASI | JCI | ACA-GDL | VCCA | Climate Chance | ActionLAC |
|---|---|---|---|---|---|---|---|---|
| Participation | Multi-stakeholder<br><br>Business actors are majority<br><br>Activities focused on business actors<br><br>Activities' are focused on a few topics | Multi-stakeholder<br><br>Citizens dominate<br><br>Activities focused on business actors and a specific sector<br><br>Diverse range of themes | Multi-stakeholder<br><br>Business actors are majority<br><br>Equal participation on activities<br><br>Diverse range of themes | Multi-stakeholder<br><br>Business actors are majority<br><br>Equal participation on activities | Multi-stakeholder, though participation is restricted<br><br>Equal participation on activities<br><br>Restricted number of themes, though open scope | Multi-stakeholder<br><br>Equal participation on activities<br><br>Diverse range of activities' themes | Multi-stakeholder<br><br>Equal participation on activities<br><br>Diverse range of activities' themes | Multi-stakeholder<br><br>Hospitals are the biggest group of actors<br><br>Equal participation on activities<br><br>Restricted number of themes, thought the platform has an open scope |
| Deliberation | Varying level of justification among members | Consistent justification though not monitored regularly | Varying level of justification among members | No publicly available justification of contributions | No publicly available justification of contributions | No publicly available justification of contributions | Varying level of justification<br><br>Open venue for public deliberation | Consistent justifications though still in progress |
| Accountability | None | None | None | None | None | None | None | None |
| Transparency | Public information on commitments | Public information on commitments | Public information on commitments | None | None | None | Public information on commitments | Public information on commitments |

# 7. DISCUSSION

In order to assess the extent of the effectiveness and legitimacy of climate orchestration platforms, a framework of catalytic impact and legitimacy (Section 2.4.3.1) was applied across the cases to gather the results. Cases were strategically chosen to represent a diversity of scales and places in order to provide generalized insights on climate platforms worldwide. At the same time, each case was presented in-depth in order to reveal individual highlights that could be relevant for the recommendations part of this study and for the more exploratory objective of this research.

## EFFECTIVENESS: CATALYTIC IMPACT

The present research looked at climate orchestration platforms' scaling and provision of material and ideational support in order to assess their catalytic impact potential and thus, their performance when it comes to their climate change efforts. For scaling this study investigated the (1) the different types of actors and their proportions in each platform, (2) the growth in number of actors over the years and (3) the strategies platforms use when enlisting new members in order to best

understand how this scaling takes place. In regard to material and ideational support, material support was analyzed by looking at (1) the presence of technical, administrative or financial supports and or (2) the connection of members to funders and/or donors. Ideational support was analyzed by looking at the provision of (1) steering, (2) information sharing, (3) learning, (4) networking and (5) reputational incentives.

As the platforms in this study aim to contribute to maintaining global warming by 'well-below 2°C' target of the Paris Agreement, action must be catalyzed at multiple systems and scales. Hence, it is imperative that orchestrators engage a wide range of different actors, in their regions, countries and communities and build the necessary capacities for effective climate action.

In general, most platforms in this research have been successfully growing and expanding their influence across their different scales, enlisting the contributions of a wide variety of non-state actors and providing most of the material and ideational support necessary. However, they still have several challenges that need to be overcome, as well as opportunities that could be explored in order to lead the transformative changes they aim to achieve.

The findings show that several platforms are engaging and supporting smaller and/or underrepresented actors such as small business and cities, local actors, faith institutions, indigenous leaders, individual citizens, community organizations and several others (CPEC, WASI, ACA-GDL, VCCA, Climate Chance, ActionLAC). This is important for promoting social justice in the global climate change efforts and has been especially accentuated in the platforms that conduct work in developing countries (ACA-GDL, VCCA, ActionLAC, Climate Chance). These platforms in general fared better in regard to the balance between the different types of actors (ACA-GDL, VCCA, Climate Chance) and have presented a special concern in their material and ideational support for these actors, by offering material support (ACA-GDL, ActionLAC, Climate Chance) and aiming to connect and improve the representation of smaller, local actors at national and international spheres (ACA-GDL, VCCA). Contrarily, platforms focused on actions in the Global North were the ones that in general, presented the most pronounced imbalances in the number of actors (FS, CPEC, JCI, WASI,) specially when it comes to business actors. FS, JCI and WASI all have business actors accounting for over 50% of the total amount of actors' type in their platforms and CPEC though most of its members' type are 'citizens', the platform focusses a great part of its ideational support, such as networking activities, on businesses. However, in the case of JCI and WASI these platforms are currently focusing on bringing on board a bigger diversity of actors. For example, WASI is now trying to bring on board smaller actors and JCI wants to engage other constituencies, showing that some are trying to address the issue. Platforms needs to engage a wide range of actors at different levels in order to tackle the ambitious goals of the Paris agreement and decarbonization that they aim to achieve. Bringing on board a several different actors can help increase the support platforms give by improving the quality of learning between members as different opinions are brought to their dialogues, expanding the network of

members' connections and the influence of platforms across a wide public, thus, increasing the catalytic impact potential of platforms.

In terms of growth in the numbers of members, platforms have been growing progressively over the years as seen in the graphs in Sections 5.1 to 5.8. An interesting finding in relation to growth and the catalytic impact potential of a platform, is the fact that some platforms (FS, WASI, JCI) have reached a point in its scaling where growth no longer demand big efforts in enlisting as most of the new memberships happen from the individual initiative of each actor. This open up space and resources for platforms to increase the ambitions of its governance efforts which can improve their catalytic contributions to climate governance. Bernstein and Hoffman (2018) called this type of scaling 'self-organized' scaling, which the authors observed to have the potential of producing growing returns in terms of actions, as more interventions reduces barrier and encourages other interventions (Bernstein and Hoffman, 2018). Moreover, van der Ven et al. (2017) discuss that this type of scaling leads to actions becoming more difficult to reverse overtime. Thus, it remains to be seen rather these platforms will progress in this type of scaling as they are hinting on doing so.

Furthermore, it was possible to observe that some platforms had a slow rate of growth in the beginning, as they were still defining their operations (FS, JCI, CPEC) but after this initial stage started to progressively grow. This shows that some experiments take some time before they start scaling, which can potentially explain, in part, the reason for the slower growth rates on found on the ACA-GDL and VCCA platforms.

In terms of support most platforms in this study, due to the lack of resources, do not provide any sort of material support (JCI, WASI, VCCA, FS) or provide very little (Climate Chance, ACA-GDL, CPEC), with the only exception being ActionLAC. ActionLAC is the only platform investigated that possess a quite complete material support mechanism in the for of financial support. As seen in section 5.8 ActionLAC offers its members seed financing for the implementation of climate actions, financial support for strengthening and accelerating the activities of their networks and declarations and fellowships for their courses, which are opened to the general public. Material support strengthens members' operational capacities to follow the collective goals of platform and reducing the risk of failure for due to lack of resources. This is especially important for platforms working on developing countries such as ACA-GDL, Climate Chance, VCCA and ActionLAC as it can be assumed that a great part of their members lack the financial resources to implement their actions. By contrast it can be easily assumed that for members of platforms from developed countries the provision of material support is less urgent. However, in platforms like WASI, the lack of funding from the national government can hinder its catalytic potential, affecting specially its smaller and most vulnerable actors. Additionally, there is no guarantee that smaller, local and marginalized actors in other developed countries have easily access to funding for implementing their actions. Thus, material support is not a matter of developing countries alone, being an important element for catalytic impact and should be taken into account as platforms aim to achieve ambitious goals.

Interestingly, some of platforms that do not possess the means for providing material support for the implementation of actions themselves, such as FS and Climate Chance, are working on solving this problem by connecting funders and donors to their members. This type of support depends on the relationships and connections that these platforms build between their intermediaries and the funders and donors in order to work. Hence, in this case networking activities and open events are essential in order for this strategy to work. This type of strategy can serve as an example for other platforms that are struggling with the provision of financial support, being an alternative for filling this gap in support.

In regard to ideational support, starting with steering, some platforms steer the behavior of members by making members choose from a 'menu' of climate actions (WASI, CPEC) and by organizing activities such as challenges (FS), summits (Climate Chance) and action programs around specific themes (ACA-GDL, ActionLAC, VCCA). These types of steering increases the effectiveness of member's actions, as it fills gaps in actions by dividing the work between members, keeping members in line with the objectives of the platforms and steering the behavior of actors to actions that are more appropriate to each actor type and/or that are proven to be effective. It is also important to highlight that for governmental initiatives such as FS steering is very important since it ensures the adoption of activities that are in line with the governments' mandate and goals (Abbott and Bernstein, 2015). Additionally, when it comes to the 'roadmaps' the Swedish government can through FS's work, ensure that government policies are consistent with the needs of different sectors when it comes to achieving the national goal of Sweden being fossil free by 2045.

In terms of information sharing and learning, platforms have a multitude of different approaches and tools for providing this type of ideational support, using generally a combination of many different strategies. Although, it is not possible to capture in a comparison all the different characteristics of these types of support, the most common approaches were grouped here. Starting with online strategies, most platforms provide an extensive number of online resources in their websites, such as documents, videos, booklets, links to other websites and other types of resources (WASI, CPEC, Climate Chance) and online events such as courses, workshops and webinars (CPEC, Climate Chance, ActionLAC, ACA-GDL). Most of these resources are not only available to the members of the platforms but also to the general public. The fact that these platforms provide a great amount of publicly available information not only serves to benefit the learning and information sharing to their actors but also for the general public, increasing these platforms' catalytic impact by generating indirect impact, as the general public is not the aim of these type of material, but nonetheless benefit from it. Moreover, publicly available information and activities open for all can also act as an enlisting mechanism since it can stimulate interest for the activities of the platform from a bigger public. This is important specially for platforms such as CPEC which also enlists citizens and to platforms in which their enlisting is based mostly on online mechanisms (ActionLAC, CPEC). Bernstein and Hoffman (2018) observed that learning and the demonstration of effects made by the C40 network for example, enabled them to grow and become leaders in climate change efforts, as these types of practices build capacity for scaling.

When it comes to networking platforms engages a myriad of strategies to encourage networking between members. For example, the Japan Climate Initiative reserves some time at the end of each event, in which food and beverages are served aimed at creating a relaxed atmosphere suitable for networking. Climate Chance is another interesting example, since it organizes networking activities before and during their summits by connecting actors that are doing similar activities with each other months before the event. Comunidad #Por El Clima also has a similar approach to networking, since they also group similar actors, such as members of the hospitality sector or business in networking activities. We Are Still In and ActionLAC uses the their annual presence at the COPs every year as a chance to organize activities to connect their members, and VCCA and ACA-GDL reserves networking space during their regular meetings. Such a variety of activities can improve the effectiveness of collective actions, which though are difficult to measure, are as important as scaling or material support since it incentivize learning between diverse types of members that would otherwise not so easily be able to learn and meet with each other (e.g. smaller actors and multinationals), providing them with opportunities to learn from their success and failures and create connections among them.

Lastly, when it comes to reputational incentives platforms uses varied strategies, but mostly it relies on the strategy of showcasing successes. Platforms such as FS, WASI and CPEC dedicate a page in their website in which members good work are exposed as "success stories". In the case of JCI and Climate Chance members are invited to be speakers during events, presenting their best practices and good work, and the platform, like ActionLAC, manages an online 'map of climate actions' publicly available on their website. Moreover, ActionLAC provides grants and fellowships for members with good performance during their courses and workshops. Finally, VCCA is one of the platforms with the most different combination of reputational incentives. They have recently finished a case study highlighting their members' climate actions with the aim of giving members a convenient document to be shared with their stakeholders and the platform has a project for this year in which a documentary will be produced highlighting some of their members' "best cases" to the general public. Reputational incentives are especially important for new platforms such as VCCA, since in order to be effective new organizations must gain recognition and legitimacy rapidly (Abbott and Hale, 2014). Moreover, showcasing successes creates incentives for other members to emulate it, provides learning opportunities by the dissemination of good practices and to some extent peer pressure and competitiveness creating a 'race to the top' among members (Abbott, 2018; Abbott, 2014).

Overall, the eight platforms analyzed in this study possess (on varying degrees) most of the requirements considered as necessary for triggering and nurturing NSAs actions. Considering the differences in scale and time of operation, most seem to be successfully expanding its influence across their different scales (regional, national and local) and supporting the actions of its members by providing a diverse range of ideational support. However, in order catalyze broader transformative changes, such as the achieving the targets of the Paris Agreement or the decarbonization of their societies, platforms still have to overcome some of the challenges described in this section, such as

redressing imbalances in the diversity of members (FS, WASI, CPEC, JCI, ActionLAC) and providing material support to their members (FS, WASI, JCI).

Future work could look at whether or not platforms are advancing in their scaling, especially looking at the ones that are currently giving hints of scaling the ambitions of its governance efforts. Moreover, this research looked at the impact of platforms through a forward-looking approach assessing effectiveness in a broader context qualitatively. While it contributes addressing the gap in the literature regarding national, regional and climate orchestrations further literature could look at these platforms in a more direct way by investigating their quantitative contributions such whether it reaches their emissions reduction targets or their goals. This type of research is relevant in order to assess the aggregate impact of actions and provide a way to quantitatively verify their efforts. While the approach used in this research does not limit the analysis to one quantitative indicator that platforms could "pass or fail" the knowledge gap in regard to national, regional and local platforms is still large and a combination of methods could further enrich the literature by providing a richer framework of knowledge regarding these orchestration efforts.

LEGITIMACY

When it comes to legitimacy the 8 cases studied reflected a multi-stakeholder logic engaging a wide range of actors, giving them actors access to the agenda-setting of these platforms, reflecting a significant level of participation though with some imbalances. Problems arise when looking at the deliberative quality of the platforms, and the presence of accountability mechanisms and of accurate, clear and publicly available information on commitments.

Some platforms have a significantly inclusive and equal participation, such as Climate Chance that includes all 9 UNFCCC constituencies in its platform, represented by a great variety of actors' types (NGOs, associations, etc.). The platform has a diverse range of themes for its coalition work, and summits that engages a variety of local actors and are open for all, members and the general public alike. Members are invited to present as speakers and if needed they receive financial support for their travel expenses. This is especially important for a platform that works in both North and South regions of the world, as it can prevent geographical imbalances in participation between these regions, by working to include the most vulnerable actors that would otherwise not be able to participate.

ActionLAC and VCCA also engages a diverse number of local actors in their work, covering a wide range of themes with its activities and events open for all its members, and in the case of ActionLAC also the general public. Similarly, WASI encourages the participation of a wide range of actors, though with some imbalance, and hold a diverse number of themes in their commitments and, like JCI and ACA-GDL, organizes events in which all members of the platform are equally invited to attend and participate.

However, the findings showed a few problems in some of the platforms in relation to participation. As seen in the section above (Section 8.1), several of the platforms (FS, WASI, JCI,

CPEC, ActionLAC) present imbalances when it comes to the quantity of different types of actors participating in the platform, with an overrepresentation of some actors over others, which could limit the participatory quality of these platforms. This imbalance is also reflected on the activities of some platforms (FS, CPEC). Platforms should aim to have open agendas that gathers the support from all their different actors and not limit their efforts and activities to a few themes and types of actors, restraining the agenda and the extent of participation.

The platforms in this study have, in general, still a long way to go in terms of deliberative legitimacy, which can be regarded as limited (FS, CPEC, WASI, Climate Chance and ActionLAC) and absent (JCI, ACA-GDL, VCCA), as they struggle to monitor contributions (all platforms), have inconsistent justifications among members (FS, Climate Chance) or even lack justificatory demands from their intermediaries (JCI, ACA-GDL, VCCA). FS, WASI, CPEC, ActionLAC and Climate Chance all demand justifications from their members such as publicly showcasing their commitments and contributions or demonstrating their capacity to deliver on their climate commitments. However, all of them lack regular monitoring on the progress and implementation of the commitments by their intermediaries. ActionLAC has been trying to improve the situation by launching this year a 'map of actions', in which the purpose is tracking and updating the progress on the commitments of all members in the platform.

Some other platforms also try to monitor the progress of their members (FS, WASI, Climate Chance) however, these monitoring demands are voluntary and as a result very few members collaborate with these platforms, since there are no sanctions in case they do not. As explained by some of platforms (FS, ActionLAC) members usually provide justifications on their targets publicly when they sign up for the platform, but do not update this information after this initial stage. In the case of WASI, members are not even required to publicly showcase their commitments, as they can sign up to the platform but still opt out of showcasing it publicly. FS does not have a clear criterion on what a climate commitment should look like. Members from FS can self-describe their commitments, which result in a varying level of information among members. Lastly, in the cases of JCI, ACA-GDL and VCCA there is an entire absence of public information on actor's justifications.

Climate Chance is an exception among cases since it is the only platform in this study that provides its summits an open, inclusive and direct chance for affected parties to receive justifications and contest decision-making.

In terms of accountability, the situation is even more problematic as none of the platforms in this study have accountability mechanisms in place in order to monitor, compare and review the progress and performance of their intermediaries' commitments with the aim to measure the impact of their actions (or the aggregate impact) linking this information to affected individuals and climate targets. The reason given by several platforms for the absence of accountability mechanisms is the lack of resources for implementing them (FS, CPEC) and/or the fact that they believe it will hurdle their scaling, as it will make membership no longer 'low-commitment', creating an impediment for members

to join the platform (CPEC, JCI). Moreover, ACA-GDL also described the challenge that would be to set up an accountability mechanism for a diverse group of actors, since it would be necessary individual mechanisms for each type. Nevertheless, many platforms are aware of the issue and they plan to address it in their long-term plans (WASI, VCCA, ACA-GDL, CPEC). ActionLAC is the only platform that got close to an accountability mechanism with some efforts in the direction of having monitoring in place to one of its declaration.

Regarding the transparency of intermediaries' actions, without accountability, transparency is limited. Several platforms have in their website a publicly available profile for their members (CPEC, WASI, FS). These profiles usually contain information about the member (name, contact information) and a varying degree of information regarding the member's climate action, such as climate commitments, deadlines, progress, good practices, etc. In the case of ActionLAC, the platform provides a map of actions showing members' commitments according to their geographic location, since it is a regional platform. Climate Chance has for each coalition a list of members involved and some varying information on their aggregate goals. In the case of JCI, ACA-GDL and VCCA there are lists with the number of members in the platform, though with no information on their actions.

This research contributes to shedding some light to the existing literature gap of existing studies focusing on the legitimacy of national, regional and local climate action platforms. In general, platforms still have a long way to go in regard to legitimacy. Starting with participation, all platforms have a multi-actor criteria for participation, and some actors have shown great efforts in ensuring equal and inclusive participation for all their members. In general, platforms faired quite well in this indicator with some imbalances found in the number of members' type and access to activities by some platforms which requires the attention in order to fully engage its members. In terms of deliberation several platforms provide justifications regarding their members actions, however these are not monitored regularly, and many platforms lack clear guidelines for members to compose their justifications. Some platforms, do not even have any publicly available information, providing affected individuals with absolutely no opportunity to question decision-making. Lastly, in regard to accountability and transparency platforms all platforms lacked the presence of accountability mechanisms and transparency is limited to showing the connection of members to their commitments or just to the platform, in the case of JCI, ACA-GDL and VCCA.

Future studies could look at the stimuli and barriers for the implementation of accountability and transparency mechanisms at national, regional and local platforms, as several platforms seem to see no advantages to implementing these types of mechanisms or are afraid of the impact they could have in their scaling.

# 8.RECOMMENDATIONS, LIMITATIONS AND CONCLUSION

Based on the previous sections which discussed the extent of effectiveness and legitimacy of climate action platforms and their similarities and differences, this section presents recommendations aimed at improving and enhancing their overall performance and legitimacy. These can be applied by practitioners and it is based on the literature of orchestration and the strengths and the opportunities for identified across the eight cases.

Bäckstrand & Kuyper (2017) in their work analyzing the legitimacy of orchestration initiatives by the UNFCCC observed in their studies that global orchestrators such as NAZCA and the LPPA also have accountability and transparency gaps in their governance efforts. This can be viewed as an opportunity for national, regional and local actors to 'stand out' by offering a significant improvement to non-state actors in the form of accountability and transparency mechanisms. However, as there is a general concern among platforms that increased regulation could hinder scaling; accountability mechanisms could be voluntary in the beginning as NSAs and platforms could experiment with it and its implications.

Along these lines, in order to improve legitimacy indicators, such as deliberation and accountability and transparency, platforms such as JCI, ACA-GDL and VCCA have to think on investing on their online presence, since the absent of a proper website for each of these platforms curtails its ability to provide easily accessible public justification on their actions and their members' actions. This could improve the visibility of the platform and their members to the general public, increasing their enlisting opportunities and information sharing.

CPEC's scaling (Section 5.2) showed that social and political moments present great opportunities for advancing the scaling and consequently the catalytic potential of platforms. The platform had a significant increase in public interest and in the growth of new members during the momentum created by the youth climate movement of 2019. Similarly, the current Covid-19 situation could offer a chance for platforms to highlight the importance of non-state climate actions in a 'post-pandemic' recovery of countries and the connection of the climate change emergency to the current global emergency we are currently facing.

## LIMITATIONS OF THE RESEARCH

In regard to the limitations, due to the time and scope of this study, it was not possible to investigate the effectiveness and legitimacy of the cases from the perspective of the non-state actors that are part of these platforms. Moreover, language barrier was a problem due to the fact that some documents are in their original language and translating services, such as Google translator may have failed to translate the ideas and concepts in their full meaning. Lastly, the addition of more cases could have increased the external validity of this research and originally 12 platforms were contacted with a request for

interview. However, 4 platforms did not answer the request and the amount of information publicly available was not sufficient for conducting an analysis.

## CONCLUSIONS

This research analyzed the effectiveness and legitimacy of eight climate action orchestration platforms from all over the world in order to answer the research question of: *To what extent and how are national, regional and local orchestration platforms effectively catalyzing non-state climate actions and creating democratic legitimacy aimed at mobilizing a broad support for these actions?*

In order for this assessment to be conducted the websites of each platform were thoroughly analyzed, 8 interviews were conducted with the respondents from each platform, documents were translated and analyzed and the literature on orchestration, transnational governance and non-state actors were examined in order to be able to develop a framework for effectiveness and in the case of legitimacy the work of Backstrand and Kuyper (2017). For assessing effectiveness, the indicators of scaling and material and ideational support were applied. For legitimacy it was assessed the democratic values of participation, deliberation, accountability and transparency.

The results show that the platforms in this study have a great potential in regard of catalytic impact, as most of them engage a large number of members and provide a great range of ideational support. Some challenges were found in regard to the diversity of members, with some platforms engaging mostly one type of members and most of them lacking meaningful material support. However, as they are still in the initial stages of their activities it is expected that with time, they will work redress these imbalances as some platforms are already starting to do.

With respect to legitimacy platforms in general have inclusive and equal participatory processes with a few exceptions. However, in relation to deliberation platforms presented a rather limited deliberative quality, with some having completely absent deliberative justifications. Lastly, in regard to accountability and transparency no platform had any accountability mechanism in place and transparency was overall limited with varying levels of information on member's commitments available in some platforms and complete absence in others.

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# APPENDICES

## APPENDIX 1 – INTERVIEW GUIDE

Each interview was adapted for each case as platforms varied in regard to the amount of information available online. The list below provides an overview of some general questions.

**Effectiveness: Catalytic impact**

- How many actors are currently participating in the platform?
- What are the types of actors participating in the platform?
- How did this growth take place?
- How does the platform engage new members?
- Does the platform provide any sort of financial support to its members? How?
- Does the platform connect member to donors, funders or other actors that could provide financing support?
- Does the platform provide technical or administrative assistance? How?
- Does the platform set objectives for its members? How?
- Does the platform set priorities for its members? (Guidance. E.g. where to focus action)
- What kind of information does the platform provide to its members in order for them to reach the targets?
- In general, how does the platform help in the implementation of targets and/or objectives? (How does the platform provide support for its members?)

- Does the platform encourage learning between members? How? (e.g. sharing experiences and best practices of implementation)
- Does the platform promote networking between the participants? How?
- Does the platform encourage cooperation between members? (e.g. joint projects)
- How does the platform ensure recognition of an intermediaries 'good work'?
- Does the platform showcase its members successes? How? To whom?

**Legitimacy**

- Who participates in the agenda of the platform?
- How does the platform ensure equal and inclusive participation?
- Is there any type of actor do you find underrepresented at your platform, and why is this the case?
- Are there venues for deliberation?
- Do the members have to provide justification for their commitments (commitment level, output, strategy, progress)?
- Does the platform keep up-to-date and consistent records on the activities by its members? How?
- Do the participants have to report progress on targets and commitments to the platform?
- If yes, what does the platform require participants to report on?
- What is the procedure for this reporting? What happens if they do not report?
- How often do they have to report? How often is this monitored?
- How are the results of members' actions compared? Are there parameters for comparison?