



Lima-Paris Action Agenda Independent Assessment Report

December 7, 2015

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About this report

Analysts from seven global civil society groups and research organizations in Europe, the US, and India, under the umbrella of the Galvanizing the Groundswell of Climate Actions network, conducted an independent assessment of the Lima-Paris Action Agenda initiatives. The aim of the independent assessment was to evaluate the overall trends, strengths, and weaknesses of the LPAA initiatives across a range of criteria, and to offer insights on how the LPAA can best accelerate climate action beyond COP21. The assessment was not a formal part or requirement of the LPAA, nor was it funded by the LPAA partners; however the endeavor was supported by the LPAA steering committee. The assessment analyzed 72 initiatives in the six weeks before COP21 and found significant transformative potential, wide geographic participation, and robust capacity to deliver, as well as specific areas for further development and strengthening. An online version can be accessed here: <http://www.climategroundswell.org/blog-test/lpaa/report> Questions about the report can be addressed to Dr. Thomas Hale (Thomas.hale@bsg.ox.ac.uk) or Mr. Brendan Guy (bguy@nrdc.org).

Who we are: Galvanizing the Groundswell of Climate Actions

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

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

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

www.climategroundswell.org

I. Executive summary

This independent report has assessed 72 initiatives under the Lima-Paris Action Agenda (LPAA). The initiatives cover all twelve LPAA themes, with about two-thirds of initiatives launched in 2014-2015. Analysts from six research organizations and civil society groups in the Europe, India, and the United States compiled information from the LPAA partners, public sources, and questionnaires sent to initiatives in order to perform this assessment. Organizations did not assess initiatives in which they were organizers or participants.

The assessment was carried out in the six weeks before COP21. This accelerated timeframe allowed the report to capture the most up-to-date information on the initiatives as they came together in advance of COP21. At the same time, this timeframe necessarily limited the depth of the analysis that was possible.

Three key findings emerge from this initial assessment:

1. Substantial transformative potential, but more clarity needed

On balance, the initiatives make a strong contribution to mitigating climate change. While it is not possible to estimate an overall emissions reduction figure for the LPAA initiatives due to the diverse methodologies initiatives have used to describe their emissions impact, drawing from initiatives' self-reported targets and other studies, we surmise the potential emissions impact to be on the order of a several gigatonnes of CO₂-equivalent per year, similar in magnitude to national climate contributions.

Beyond mitigation, around one-third of assessed initiatives seek direct adaptation benefits, while half specify additional development benefits in the realms, health, biodiversity, food security, and growth and poverty alleviation. However, the emphasis on adaptation and resilient development in initiatives could be strengthened in the Action Agenda going forward.

While the LPAA initiatives therefore embody a high level of ambition, a number of initiatives would benefit from greater clarity on the nature of their targets and intermediate milestones toward achieving them. For example, of the 44 initiatives that primarily emphasize mitigation, just 19 put forward a specific emissions reduction target.

2. Broad but geographically uneven participation

The LPAA brings together an extraordinary range of actors from every corner of the globe. The assessment has found over 10,000 instances of participation in LPAA initiatives.¹ Only 15 countries do not have a single actor participating in an LPAA initiative. Beyond sub- and non-state actors, 146 national governments themselves participate as active partners in LPAA initiatives. Moreover, LPAA initiatives aim to be implemented in every single country in the world except one (Liechtenstein).

However, this broad scope does not mean that the LPAA initiatives are geographically balanced. Fully 84% of the instances of participation come from OECD countries, and 83% from Annex 1 countries. If a single large, Europe-focused initiative (the Covenant of

¹ The assessment measures "participation" as the number of times any actor joins any initiative, not the absolute number of actors participating in any initiative. For example, if the government of France joins 20 initiatives, it is counted as 20 instances of participation, not just one. This measure has the advantage of capturing both the breadth and intensity of participation across actors.

Mayors) is excluded, these figures drop to 64% from OECD and 52% from Annex 1 countries. In general, participation is highest in Europe and North America, though the assessment found medium levels of participation in large developing countries like Brazil, Mexico, and South Africa. The United States has ten times as many actors participating in LPAA initiatives as India or China.

This imbalance is also reflected in the leadership of LPAA initiatives. Most lead partners are either international organizations (39%) or civil society groups (26%). While some of these organizations are global in nature, lead partners and initiative secretariats are concentrated in the global North, with over half based in Europe and a further 20% based in the United States.

3. Reasonably robust institutional capacity to deliver, but room for improvement

Around half of the initiatives can be considered robustly institutionalized with staff or secretariats (40), budgets (23), work plans, and monitoring arrangements (38). These organizational features are key for the effective delivery of commitments over time. However, a number of initiatives, including some that have existed since COP20 or the September 2014 Climate Summit, continue to lack these key organizational features.

Going forward beyond COP21, four specific steps can strengthen the Action Agenda:

- 1. Progressive strengthening of target-setting and institutional capacity:** Helping initiatives to develop increasingly transparent and precise targets and work plans, as well as robust organizational structures to deliver their goals, will be crucial as the Action Agenda matures. Instead of seeking to “regulate” initiatives by mandating such features, the Action Agenda can work with initiatives to define best practices and reward upward convergence. Funding for initiatives is a key barrier that high-level political leadership, match-making, and stronger institutional capacity can all help to resolve.
- 2. Tackling geographic and thematic gaps:** While consolidating its success, it will be essential for the Action Agenda to expand both its thematic and geographic coverage. Key areas for expansion include agriculture, lifestyles, and adaptation. Priority countries for expansion include China, India, and Indonesia.
- 3. Managing fragmentation through light-touch matchmaking:** The assessment reveals a number of inter-linkages between initiatives. In general, the groundswell of climate action benefits from a healthy balance of coordination and competition among initiatives operating in similar realms. That said, there is a role for light-touch political leadership to align similar initiatives in order to prevent redundancy and promote positive linkages.
- 4. Institutionalizing a long-term Action Agenda to provide ongoing high-level political support:** The assessment reveals the key role played by high-level political leadership and a dedicated core team in driving forward the Action Agenda. Institutionalizing the Action Agenda in a way that preserves and increases the high level of political attention and human capacity it has received thus far is crucial for facilitating implementation of current initiatives, and catalyzing, seeding, and scaling up new ones beyond 2015.

II. Introduction: Assessing the LPAA to strengthen its impact

The LPAA is part of a bold new phase in the global governance of climate change. As countries negotiate the institutional architecture for the post-2015 climate regime, and alongside the over 170 national contributions countries have put forth, an extraordinary groundswell of climate action has emerged. This groundswell comes from all sectors of society, bringing cities, regional governments, private sector companies, civil society groups, and other actors together in partnership with national governments and international organizations to take concrete steps to reduce greenhouse gases, adapt to a changing climate, and build resilient development. These actions have grown considerably in scope and ambition over the last two decades, reaching a phase of accelerated growth in recent years.

The groundswell of climate actions represents a crucial element of the broader transformation the global community is seeking to precipitate at COP21. First, as noted below, many of the initiatives offer substantial direct benefits in terms of mitigation and adaptation, as well as broader sustainable development objectives. These benefits both help national governments to deliver on their pledges, making national commitments more credible, and in many cases go far beyond them. Second, as the groundswell of climate action grows, it develops new tools for tackling climate change, mobilizes additional resources, and builds larger constituencies for climate action. All of these factors help create conditions under which national governments will be increasingly confident to raise their level of ambition in the future. And finally, climate initiatives can reach beyond the level of policy to engage all levels of the economy and society in climate action, helping to promote the systemic and transformative changes required to address the climate challenge.

In recent years, governments and international organizations have increasingly recognized and supported the groundswell of climate actions. At the UN Climate Summit in September 2014, the UN Secretary-General invited cities and sub-national governments, companies, investors, civil society, and other groups to join governments and international organizations in developing action-oriented initiatives in high-impact sector that affect climate change. These efforts were escalated at COP20 in Lima, with the Peruvian government convening a High Level Action Day to highlight climate actions from across society, and launching the Non-state Action Zone for Climate Action (NAZCA), an online portal that tracks both individual and cooperative climate actions from sub-national governments, private sector actors, and other stakeholders.

Building on these successes, the LPAA aims to accelerate this groundswell of climate action, and bring it to a higher level of level of scale and ambition, by seeding and nurturing cooperative climate initiatives. Comprising the presidencies of COP20 (Peru) and COP21 (France), the UNFCCC Secretariat, and the UN Secretary-General's Climate Change Support Team, the LPAA helped to cultivate a package of dozens of initiatives, both new and mature, across twelve thematic areas at COP21. While the four LPAA partners have worked actively to mobilize and nurture initiatives, the initiatives strongly reflect the bottom-up priorities and impetus of the thousands of actors that form them.

The purpose of this report is to assess these cooperative initiatives, with a particular focus on how the Action Agenda can be strengthened in order to be even more effective going forward. What has been achieved thus far, and what now remains to be done after Paris?

The assessment is guided by a number of criteria put forward by the LPAA in order for a cooperative initiative to be included, such as:

- Be cooperative, be inclusive, open and regionally balanced.
- Be ambitious: short and long term quantifiable targets – transformative actions guided by a 2°C and resilient pathway.
- Be science based: Address a concrete impact of climate change mitigation or adaptation issues to get us on a resilient and below 2°C pathway.
- Have the capacity to deliver. Ability to directly deliver and implement commitments.
- Showcase implementation of existing commitments (sufficient level of maturity in Paris)
- Follow-up and report. Ready to report on implementation.

This assessment report limits its scope to these criteria, and did not consider broader issues that would require a much deeper analysis including, *inter alia*, the human rights or gender impacts of the initiatives. Nor does it consider the performance of participants in LPAA initiatives vis-à-vis these criteria outside of their participation in the specific initiatives considered here.

Overview of the assessment process

The concept of an independent assessment of the LPAA was initially offered to French Special Representative for COP21 Laurence Tubiana and the LPAA Steering Committee by a group of civil society and research organizations in July 2015. The organizations proposed to undertake a preliminary assessment of the LPAA initiatives to analyze their action plans, offer constructive feedback for improvement, and identify any gaps or potential areas of concern before COP21. The organizations that proposed the assessment possessed a wealth of experience in assessing a wide range of cooperative initiatives, including those launched at previous international summits, and had found that one of the primary factors for initiatives' success is ensuring that they are structured in a robust manner from the time they are launched.

The incoming French presidency of COP21 accepted the proposal to conduct an independent assessment in September 2015. The endeavor came under the banner of Galvanizing the Groundswell of Climate Actions (GGCA), a network of organizations that seek to bring the climate actions from cities, regions, companies, and other groups to a higher level of scale and ambition. A Memorandum of Understanding and a Terms of Reference were finalized between GGCA and the LPAA in October 2015. While the LPAA Steering Committee cooperated with GGCA to share information regarding its work, it did not participate in the assessment in any way. Nor did the LPAA provide any funding to GGCA or its constituent organizations for the purposes of this report.

The LPAA team sent GGCA the templates they had received for LPAA Steering Committee approved initiatives. The assessment team populated a database with the names of initiatives received from the LPAA, and coded them for 61 characteristics that operationalized the criteria promulgated by the LPAA.² In this the assessment team drew on information provided by initiatives to the LPAA, public sources, and existing studies including the Climate Initiatives Platform.³ The assessment team did not independently verify the information provided by initiatives except where relevant information was publically available.

² The coding work drew on methods developed in various previous studies, including Sander Chan, Robert Falkner, Harro van Asselt and Matthew Goldberg, "Strengthening non-state climate action: a progress assessment of commitments launched at the 2014 UN Climate Summit," Centre for Climate Change Economics and Policy Working Paper No. 242; Grantham Research Institute on Climate Change and the Environment Working Paper No. 216. Available: <http://www.lse.ac.uk/GranthamInstitute/publication/strengthening-non-state-climate-action-a-progress-assessment-of-commitments-launched-at-the-2014-un-climate-summit/>

³ Climate Initiatives Platform, available at www.climateinitiativesplatform.org

A team of graduate students from the Blavatnik School of Government at Oxford University was trained in the method for coding the database, and quantitatively assessed each initiative based on the templates provided and other easily accessible information such as initiative websites. At the same time, the GGCA team prepared an initial qualitative assessment of each initiative based on the same information.

The assessment team began reaching out to initiatives in early November to share initial assessment. The team sent a letter to initiatives received from the LPAA that included an explanation of the overall assessment exercise and the provision that initiatives were free to opt-out of the assessment if they so choose. Attached to the letter were several key questions about the initiative based on a preliminary review of its template and other sources, and a questionnaire that requested information where no data were available when the initiative was coded. Follow-up emails were sent to the initiatives reminding them of the opportunity to provide feedback, and some phone calls were scheduled to explain the criteria of their initiatives and provide more in-depth feedback.

The initial qualitative assessment and the feedback received from initiatives (if any) were compiled into final qualitative assessments for each initiative, which were conveyed to the LPAA. A draft report was prepared by the assessment team and delivered to the LPAA on November 23, 2015, and a final version was published on the GGCA website on November 27, 2015.

The assessors commend the LPAA Steering Committee for taking an open and transparent approach to this assessment, and for giving wide scope to independent civil society and research organizations to review the LPAA initiatives before they were made public. We believe that this transparency will make the Action Agenda increasingly credible and effective at COP21 and beyond.

III. Overview of assessed initiatives

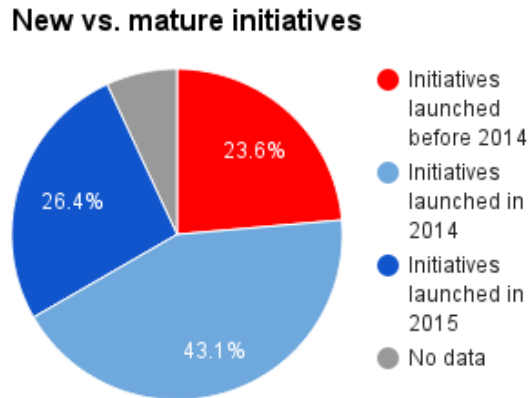
While the exact number of initiatives to be included within the LPAA may fluctuate, 72 initiatives are assessed in this report representing the vast majority of LPAA initiatives. Because any additional initiatives are not expected to differ significantly from those included in this assessment, we can be reasonably confident that the conclusions and inferences drawn will generalize to the LPAA as a whole.

Table 1: Overview of the assessment

Initiatives submitted for assessment	Templates received	Initiatives sent questionnaires and draft qualitative assessments	Responses received from initiatives
72	40	65	26

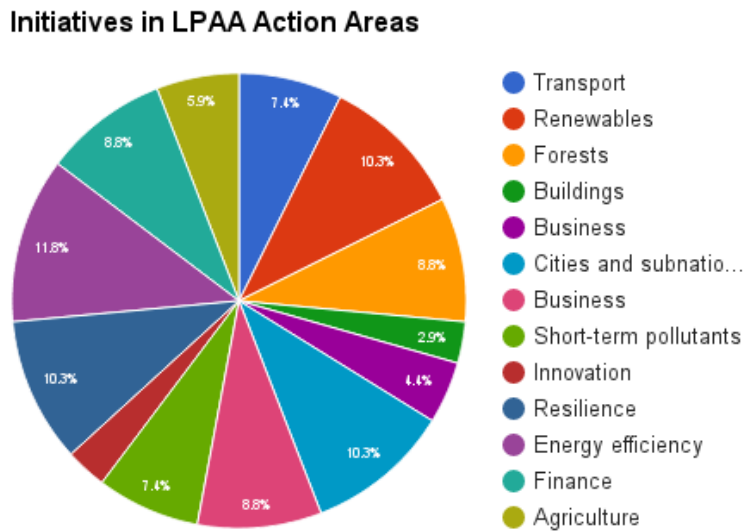
The LPAA has sought both to seed new initiatives and to strengthen and scale-up new ones. Of the 72 initiatives, 19 have been launched this year (2015) and 31 were launched last year (2014, primarily at the UN Secretary-General’s Climate Summit), meaning that about two-thirds are of relatively recent origin.

Figure 1: Initiative launch dates



The LPAA initiatives are relatively evenly distributed across the 12 thematic areas.

Figure 2: Number of LPAA initiatives across thematic areas



A complicating factor for the assessment is the overlap and linkage between initiatives. For the purposes of this report, we have assessed each of the individual 72 initiatives independently. In practice, however, a number of initiatives are closely interrelated, and these linkages should be kept in mind when interpreting the results below. Prominent examples of overlap and linkage include:

- The **Global Energy Efficiency Accelerator Platform** encompasses several (existing and new) accelerator initiatives, including: the District Energy Accelerator, the Building Efficiency Accelerator, the Efficient Appliances Accelerator/Global Partnerships on Appliances and Equipment, the Lighting Efficiency Accelerator/en.lighten initiative, and the Vehicle Fuel Efficiency Accelerator/Global Fuel Economy Initiative.
- The Protection of 400 Million Hectares of Forests by Indigenous Peoples and Lima Challenge initiatives are part of the larger **New York Declaration on Forests**. The Bonn Challenge focuses on realizing many pre-existing international commitments to land and forest restoration, and aims to restore 150 million hectares of the world's deforested and degraded lands by 2020; its goal is reiterated and scaled up beyond 2020 by the New York Declaration of Forests. Many of the goals made by other forest initiatives may also indirectly support or overlap with the Declaration. For instance, the Zero Deforestation Commitments from Commodity Producers and Traders will help accomplish its deforestation reduction goal.
- The **Climate and Clean Air Coalition to Reduce Short-lived Climate Pollutants (CCAC) initiatives** include the CCAC Green Freight Initiative, CCAC Oil and Gas Methane Partnership, and CCAC Phasing Down Climate Potent HFCs (in addition to others not considered in this assessment).
- The **Low Carbon Technology Partnerships Initiative (LCTPi)** forms an umbrella organization for the Carbon Capture and Storage, Cement, Chemical, Renewables, and Cement sustainability initiatives (in addition to others not considered in this assessment).
- Many signatories among initiatives to put a price on carbon, such as the Business Leadership Criteria on Carbon Pricing and Put a Price on Carbon initiatives, overlap. The Put a Price on Carbon campaign from We Mean Business, headed by CDP, advocates companies to adopt the UN Global Compact's Business Leadership Criteria on Carbon Pricing.

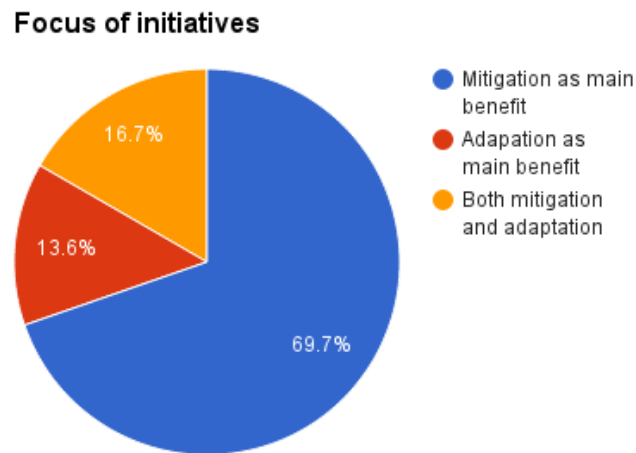
Some of this overlap results from synergies between “declarations” that announce their signatories’ intent to support or implement climate action, and “operational” initiatives that focus on implementing specific program activities. For instance, while the New York Declaration on Forests sets a broad goal to reduce deforestation, the Protection of 400 Million Hectares of Forests by Indigenous Peoples, Lima Challenge, and Zero Deforestation Commitments from Commodity Producers and Traders initiatives all focus on targeting specific actors and strategies to help achieve that overall objective.

A. Impact

A focus on mitigation

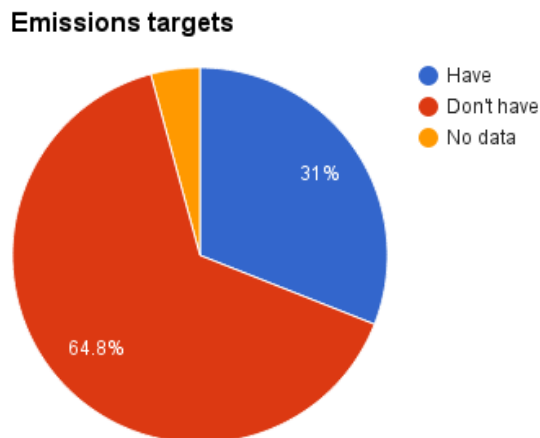
Mitigation is the overarching focus of the LPAA initiatives, with nearly three quarters of initiatives seeking mitigation as the main benefit and a further 20 percent seeking both adaptation and mitigation benefits in equal measure.

Figure 3: Mitigation versus adaptation as the main benefit



Around 30% of initiatives set a specific greenhouse gas (GHG) mitigation target. Of the 46 initiatives that put a primary emphasis on mitigation, 19 initiatives set specific GHG reduction targets, while 25 do not. Note, however, that mitigation-oriented initiatives may include targets that do not aim at direct emissions reductions, such as developing new methodologies for carbon accounting or new technology partnerships, or expressing targets in, for example, renewable energy installed. Emissions targets are helpful to express where possible, but may not be appropriate for all initiatives, many of which work to develop the methods, financing, or knowledge that will ultimately lead to emissions reductions (see below). For these initiatives, it is instead useful to set other forms of targets (e.g. the number of actors engaged, the amount of financing mobilized, etc.).

Figure 4: Initiatives with emissions targets



12 initiatives described their specific emissions benefits or greater potential. There is a great variety in the types of reported targets, with some more specific than others. Because these self-reported figures take different forms (e.g. absolute reductions versus intensity reductions) and use different methodologies, it is not possible to aggregate them. It is also outside the scope of this assessment to independently verify the figures put forward by initiatives. That said, drawing on self-reporting from the initiatives and other studies, we can conclude that the maximum potential of the LPAA initiatives is on the order of a few gigatonnes of CO₂e per year, similar in magnitude to the national pledges.

Table 2: Selected self-reported emissions reductions (in terms of targets or potential impacts)

Initiative	Emissions reductions, targeted or potential
En.lighten Initiative	Reduce 35 million tonnes of CO ₂ annually.
Carbon Capture and Storage (CCS) / LCTPi	Potential to store 1 GtCO ₂ e annually by 2030 and reduce approximately 6 GtCO ₂ e cumulative emissions between 2015 and 2030.
Life Beef Carbon – Toward the low carbon beef farm	Reduce 120,000 tons CO ₂ e until 2025.
Mobilise Your City	Assist cities in their efforts to cut at least 50% of their urban transport-related emissions by 2050, compared to business as usual. Cut global urban passenger transport CO ₂ emissions by 1.7 GtCO ₂ e.
Refrigerants, Naturally!	By the end of 2014, 10 years after the start of Refrigerants, Naturally!, members will have placed 3.7 million units using natural refrigerants worldwide. This will prevent the emission of around 20 million metric tons of CO ₂ e (cumulative).
District Energy Accelerator	Cut 1,500 TWh in electricity consumption per year by 2030.
Compact of States and Regions	Cut emissions by 2 Gt CO ₂ e by 2020, and by 7.9 GtCO ₂ e by 2030.
Global Energy Efficiency Accelerator Platform	Investing an additional \$11.8 trillion in end-use efficiency over 2012-2035 would save consumers \$17.5 trillion in energy expenditures cumulatively and reduce annual CO ₂ emissions by about 7 Gt in 2035.
Chemicals / LCTPi	There is potential to achieve 0.4 Gt CO ₂ reduction per year in chemical industry emissions by 2030 and a potential of 1 Gt of CO ₂ savings per year from anticipated efficiency gains.
Carbon neutral Cities Alliance	Reduce greenhouse gas emission by 80% below 2000 levels by 2050 for participating cities.
Industrial Energy efficiency accelerator **	There is potential to reduce 3.92 Gt GtCO ₂ e, which is an 8% reduction in global energy use and a 12.4% reduction in global CO ₂ emissions.
Cement Sustainability Initiative / LCTPi	Scale up CO ₂ emission reductions in the range of 20-25% in 2030 compared to business as usual.

Global Geothermal Alliance	Achieve five-fold growth in the installed capacity for geothermal power generation and at least two-fold growth for geothermal heating by 2030, compared to 2014 levels.
New York Declaration on Forests	Cut natural forest loss in half by 2020, and end it by 2030. This will subsequently cut between 4.5 and 8.8 billion tons of carbon pollution every year – about as much as the current emissions of the United States.
Low Carbon Sustainable Rail Transport Challenge	Reduce specific final energy consumption from train operations by: 50% reduction by 2030 (relative to a 1990 baseline), and 60% reduction by 2050 (relative to a 1990 baseline). The overall potential impact for the three targets in 2050 is 1 Gt of transport emissions saved.
Montreal Carbon Pledge	Attract commitment from portfolios totaling US\$3 trillion in time for the COP21 in December 2015 in Paris.
Small Farms, big Impacts: Adaptation for Smallholder Agriculture Programme	Avoid or sequester 80 million tons of CO ₂ e by 2020.
The Covenant of Mayors	Participating cities commit to meet or exceed the European Union 20% CO ₂ reduction (compared with 1990 levels) objective by 2020.
Under 2 MOU	Each initiative member commits to limit emissions to below 80 to 95% below 1990 levels, or below two metric tons per capita, by 2050. Interim targets are typically set for 2025 or 2030.

Beyond the specific basket of LPAA initiatives, a number of other studies have estimated the potential mitigation impact of climate initiatives.

Table 3: Studies on the mitigation potential of climate initiatives

Report	# of initiatives assessed	Mitigation impact
<i>Climate commitments of subnational actors and business: A quantitative assessment of their emission reduction impact</i> , United Nations Environment Programme (UNEP)	15 international climate initiatives	These pledges could cut 2020 emissions by 2.9 Gt, narrowing the emissions gap by nearly one third.

<p><i>Understanding and increasing the impact of private sector cooperative initiatives</i>, Ecofys and the Cambridge Institute for Sustainability Leadership</p>	<p>5 (private sector only)</p>	<p>At their current level of ambition, these initiatives could cut 2020 greenhouse gas emissions by 200 Mt. However, their impact could grow to 500 Mt, an amount equivalent to the yearly emissions of 131 coal-fired power plants, if they were to be scaled up rapidly.</p>
<p><i>Towards a new climate diplomacy</i>, Yale University</p>	<p>29 commitments made at 2014 Climate Summit</p>	<p>The 8 quantifiable pledges that resulted from this meeting could, in total, reduce 2020 emissions by 2.5 Gt, an amount roughly equal to India's emissions in 2012. This would cut the 2020 emissions gap by approximately one quarter.</p>
<p><i>Climate action outside the UNFCCC: Assessment of the impact of international cooperative initiatives on greenhouse gas emissions</i>, PBL Netherlands Environmental Assessment Agency</p>	<p>17 international climate initiatives</p>	<p>The 9 quantifiable international climate initiatives operating outside the global climate negotiations, in addition to the top-500 companies reporting to the Carbon Disclosure Project, could deliver greenhouse gas emission reductions of 2.5 Gt CO₂-equivalent by 2020 and 5.5 Gt CO₂-equivalent by 2030, compared to a scenario without climate policy (approximately the same amount as national governments have pledged to reduce through the United Nations Framework Convention on Climate Change. However, the report also estimates a 70 percent overlap between these international initiatives and national pledges.</p>

Adaptation and resilience

Though mitigation is the principal focus of the LPAA initiatives, 13 percent focus primarily on adaptation, and another 16 percent focus in equal measure on mitigation and adaptation, meaning that nearly a third of the initiatives seek adaptation benefits.

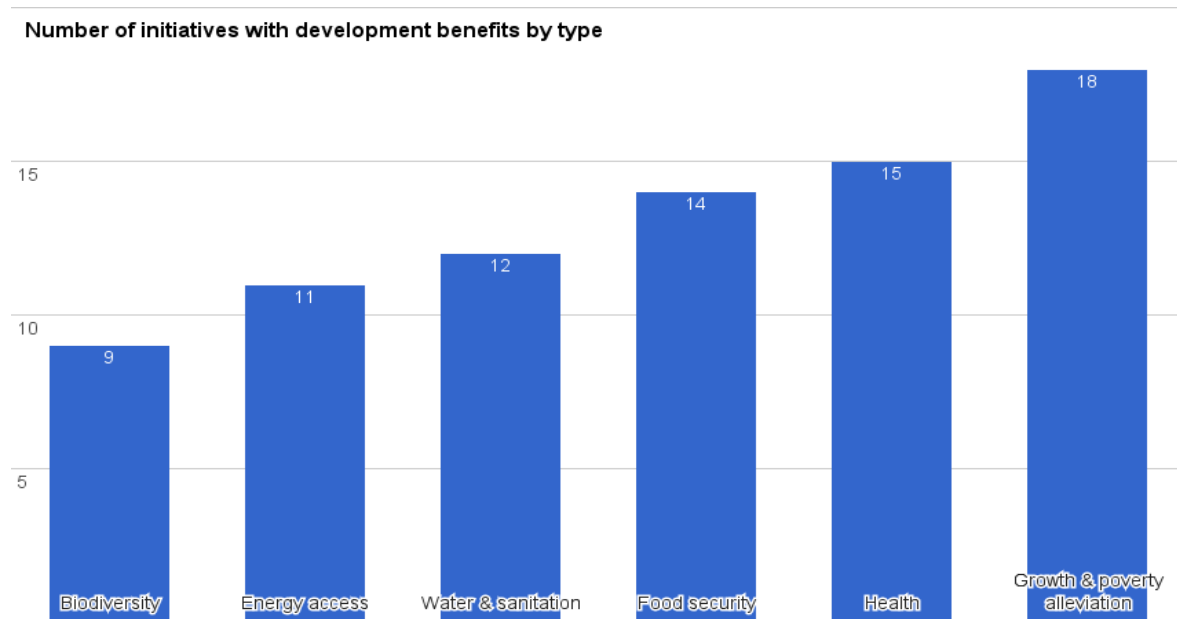
Table 4: Selected adaptation targets of initiatives

Initiative	Adaptation benefits
Small Farms, big Impacts: Adaptation for Smallholder Agriculture Programme (ASAP)	By 2020: 1) 8 million smallholders have increased their climate resilience; 2) 1 million hectares of land are managed under climate resilient practices; 3) water availability or efficiency has increased for 100,000 smallholder households; 4) 1200 community groups have been engaged in climate risk management, environmental and Natural Resource Management or Disaster Risk Reduction activities; and 5) US\$ 80 million of rural infrastructures are made climate resilient.
Banking Environmental Initiative (BEI)	1) Working with clients to increase yields and support livelihoods while achieving zero net deforestation by 2020 2) Promoting a 'circular economy' and promoting sustainable business.
New York Declaration on Forests	Supporting alternatives to deforestation driven by poverty and basic needs; restoring 150 million hectares of degraded land by 2020 and an additional 200 million hectares by 2030; improved forest governance with more secure forest and land rights for local communities and indigenous peoples (Goal 10).
Protection of 400 million hectares of forests by indigenous peoples	Avoid deforestation in 400 million hectares of forests.
Protected areas declaration	Number of hectares of protected areas under Master Plan that consider adaptation and mitigation activities by 2020 (to be announced in Paris).

Sustainable Development benefits

In addition to climate mitigation, adaptation, and resilience, the LPAA initiatives seek to provide a number of other benefits to a wide range of stakeholders. 38 of the 72 initiatives specify sustainable development benefits in the areas of water and sanitation, energy access, health, food security, biodiversity, and growth and poverty alleviation.

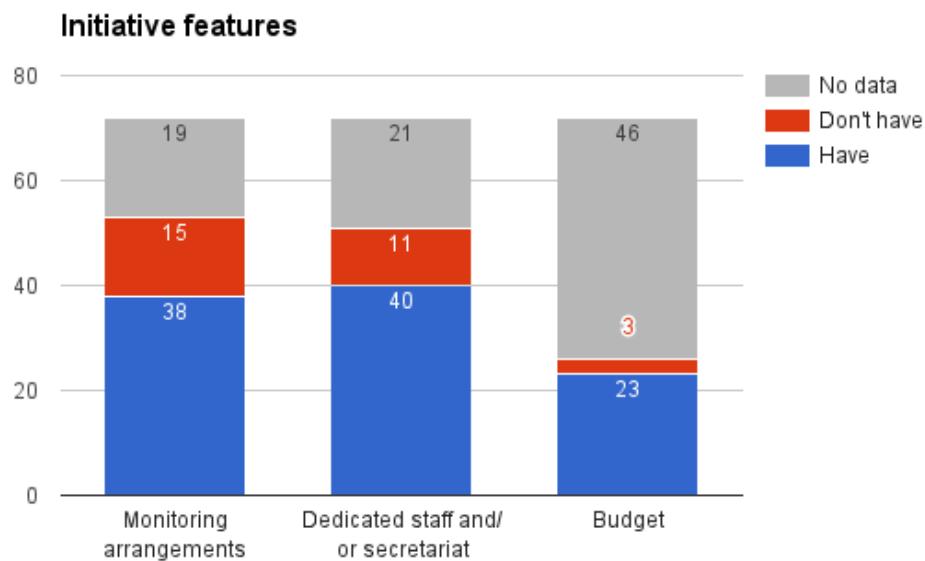
Figure 5: Sustainable development benefits of LPAA initiatives



B. Capacity, activities, and delivery

The initiatives were assessed regarding their institutional capacity to deliver on their commitments and targets. More than half of initiatives report having dedicated staff and/or a secretariat to implement the initiative, while only 23 report having a budget in place. More than half of initiatives also report having monitoring arrangements.

Figure 6: Initiatives with monitoring arrangements, staff/secretariat, and budgets



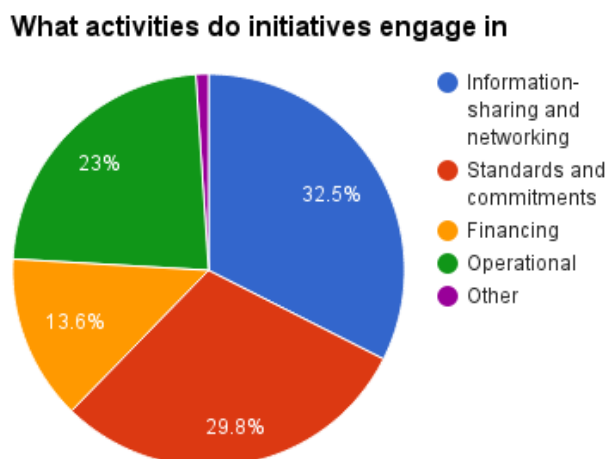
We might expect more mature initiatives to display more robust institutional arrangements, simply because additional time has elapsed to develop the initiative. This does not seem to be borne out by our analysis, however. There is no significant difference between initiatives

launched before 2015 and the newer initiatives launched in this year with respect to these dimensions.

It is important to note that the explicit presence of staff and budgets dedicated to initiatives is only a proxy for the initiative’s capacity to deliver. For example, where initiatives are primarily run as the core activities of the partner organizations, they may not specify additional staffing or budgetary arrangements. Additionally, some initiatives may have dedicated staff or budgets, but did not publicly disclose that information in the templates provided to the LPAA.

Initiatives engage in a number of different activities. Information-sharing/networking and standard- and commitment-setting are the most common, with approximately a third of the initiatives performing these functions. A quarter of initiatives are engaged in operational activities on the ground (e.g. project development and implementation), while around 13 percent engage in financing work.

Figure 7: Initiative activities



C. Participation

Because a number of actors participate in more than one initiative, it is not possible for this assessment to determine the absolute number of actors engaged in LPAA initiatives. Instead, we are able to measure “instances of participation,” that is, how many times various actors have joined an LPAA initiative. This distinction is important, because it means that the figures reported here count each time an actor participates in any LPAA initiative. For example, if the government of France participates in 20 initiatives, it would appear as 20 instances of participation, not one. In some ways this measure is a more accurate representation of participation because it captures the depth of participation as well as the breadth. **Overall, we find 10,553 instances of participation in the LPAA.** Note, however, that a single initiative, the Covenant of Mayors, accounts for 6,573 instances of participation – over half of the total – by itself. These instances of participation account for the cooperative initiatives within the LPAA,

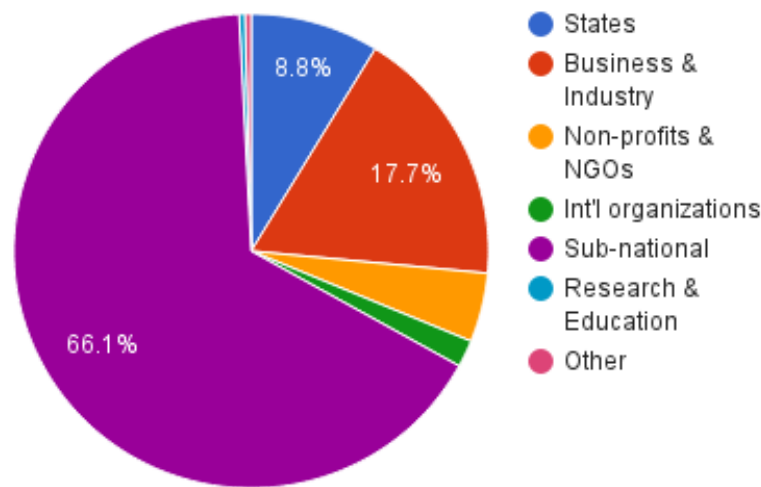
but are only a subset of the broader mobilization for climate action that includes individual initiatives and actions as captured through such platforms as NAZCA.

Participants by type

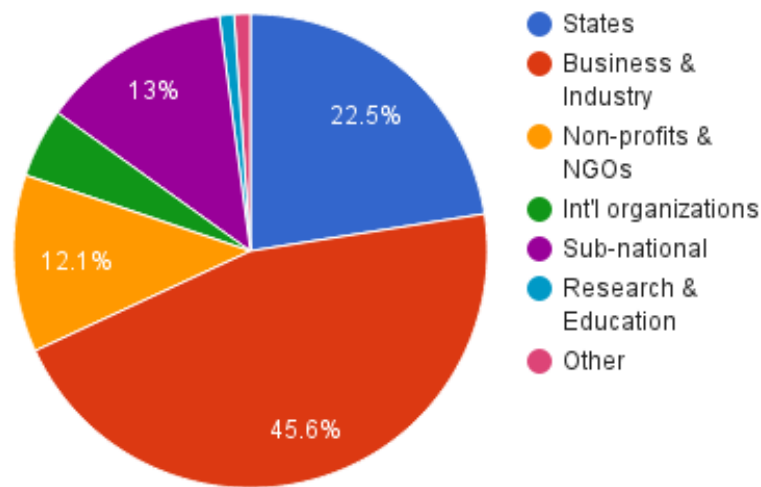
Subnational governments are by far the largest participants in the LPAA, accounting for over two thirds of the instances of participation. This is largely due to the size of the Covenant of Mayors. If this initiative is excluded, businesses instead make up the largest group. Of the 819 instances of nation-state participation, just 12% come from OECD countries. Similarly, just 27% of the instances of business and industry participation are Global 2000 companies.

Figure 8: LPAA instances of participation by type

Participation by type of actor



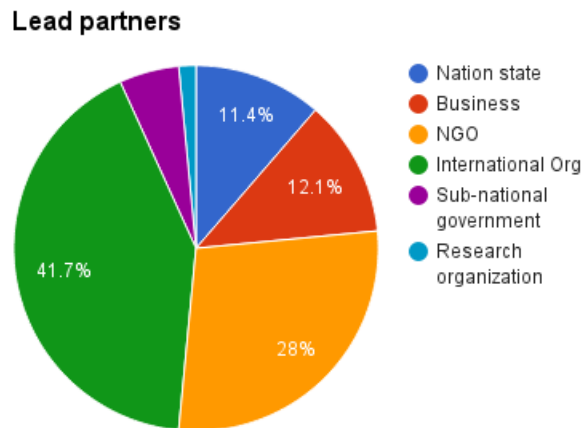
Participation by actor, excluding Cov. of Mayors



Lead partners

The lead partners of initiatives tend to be overwhelming international organizations (41%) and NGOs (28%). Sub-national governments, businesses, and nation states tend to lead fewer initiatives, even though they make up the vast bulk of participants. The strong role of civil society groups in leading initiatives is particularly noteworthy.

Figure 9: Lead partners of initiatives by actor type



Geography

Participation in the LPAA is broad. LPAA participants come from nearly every country in the world, with only 15 jurisdictions having no participants (governments, sub-national, private sector, etc.) in LPAA initiatives. 146 national governments are active participants in LPAA initiatives alongside international organizations, sub-national governments, private enterprises, and civil society.

Figure 10: Instances of participation in LPAA initiatives by country

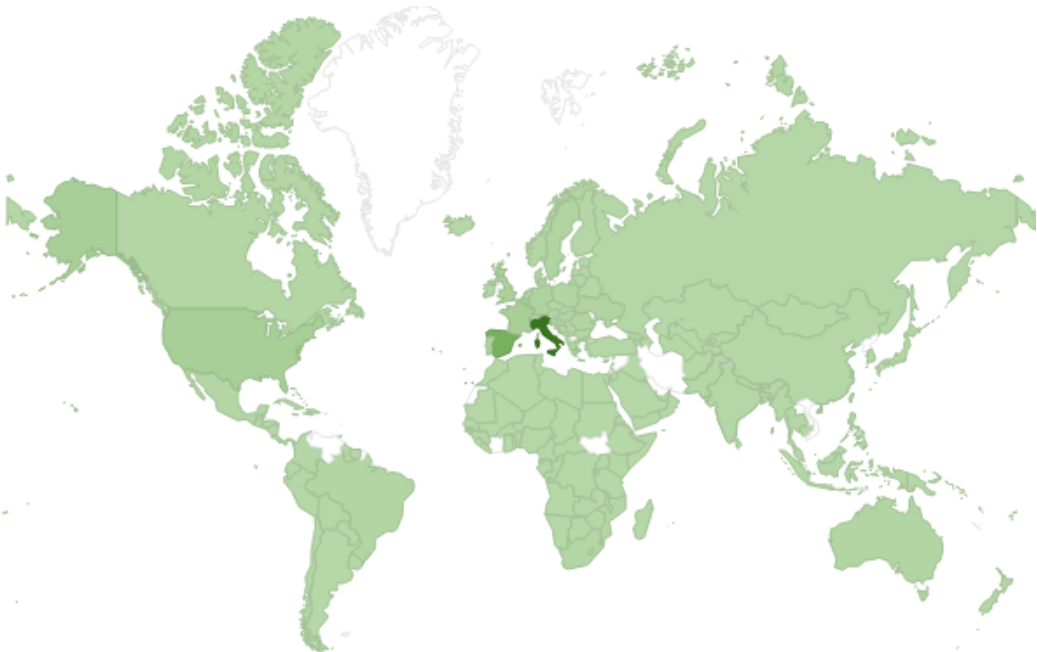
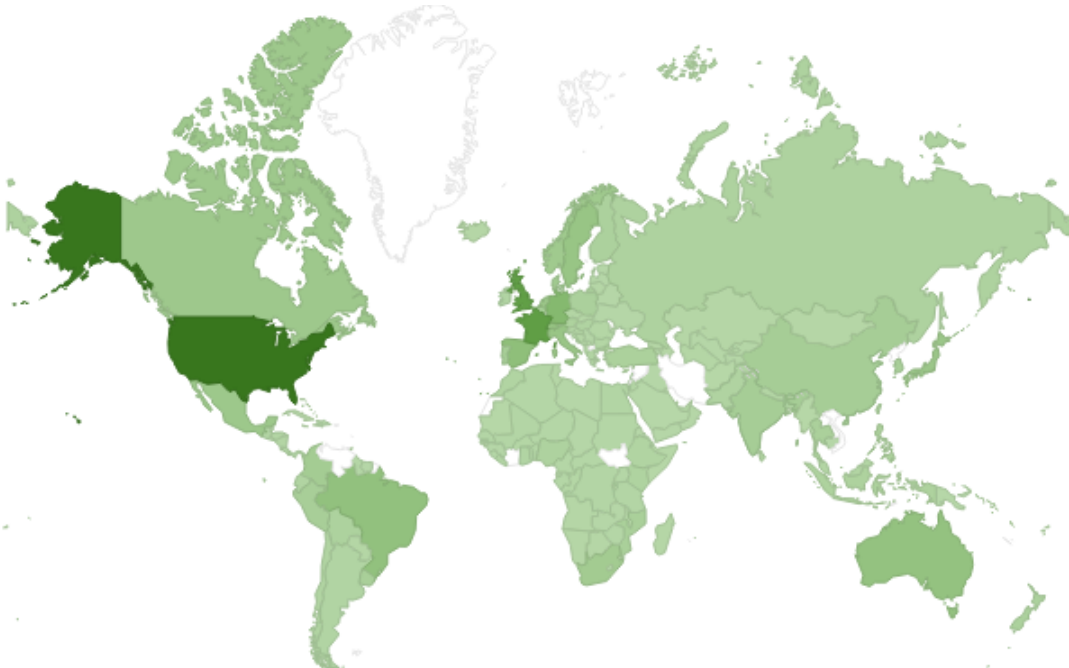
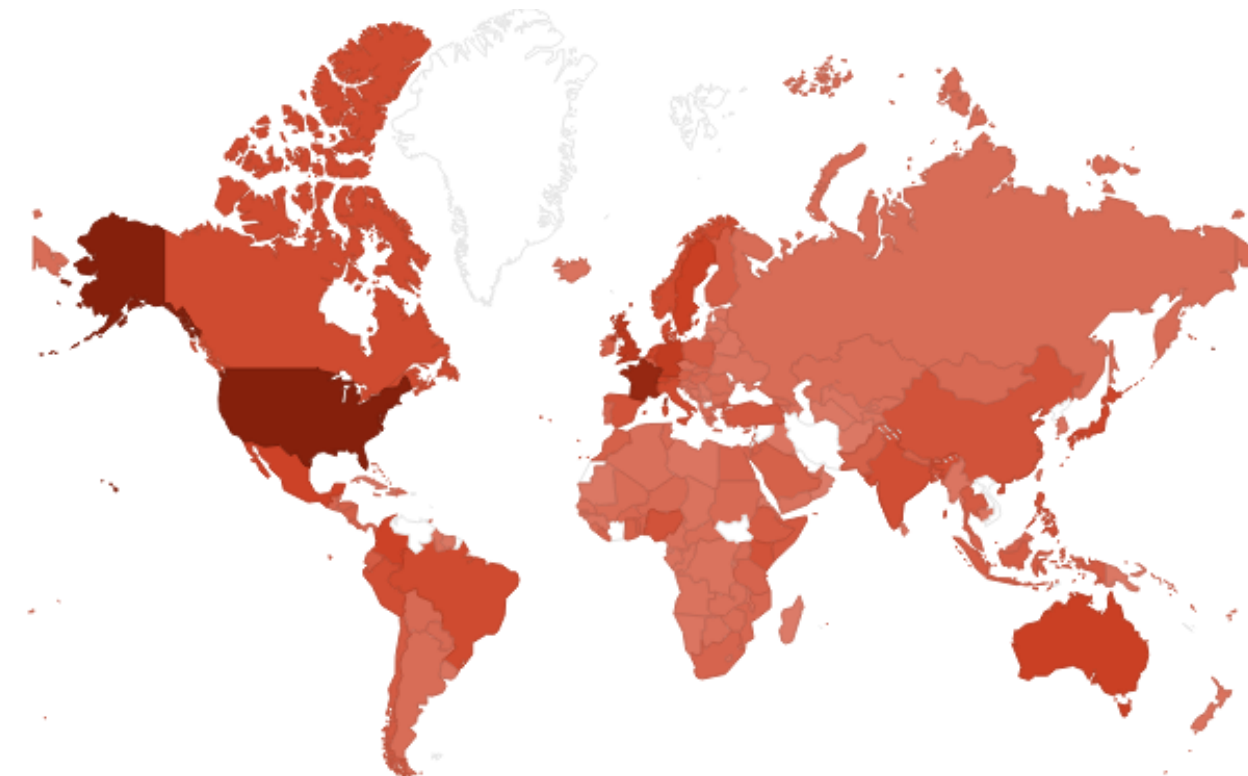


Figure 11: Instances of participation in LPAA initiatives by country, excluding the Covenant of Mayors



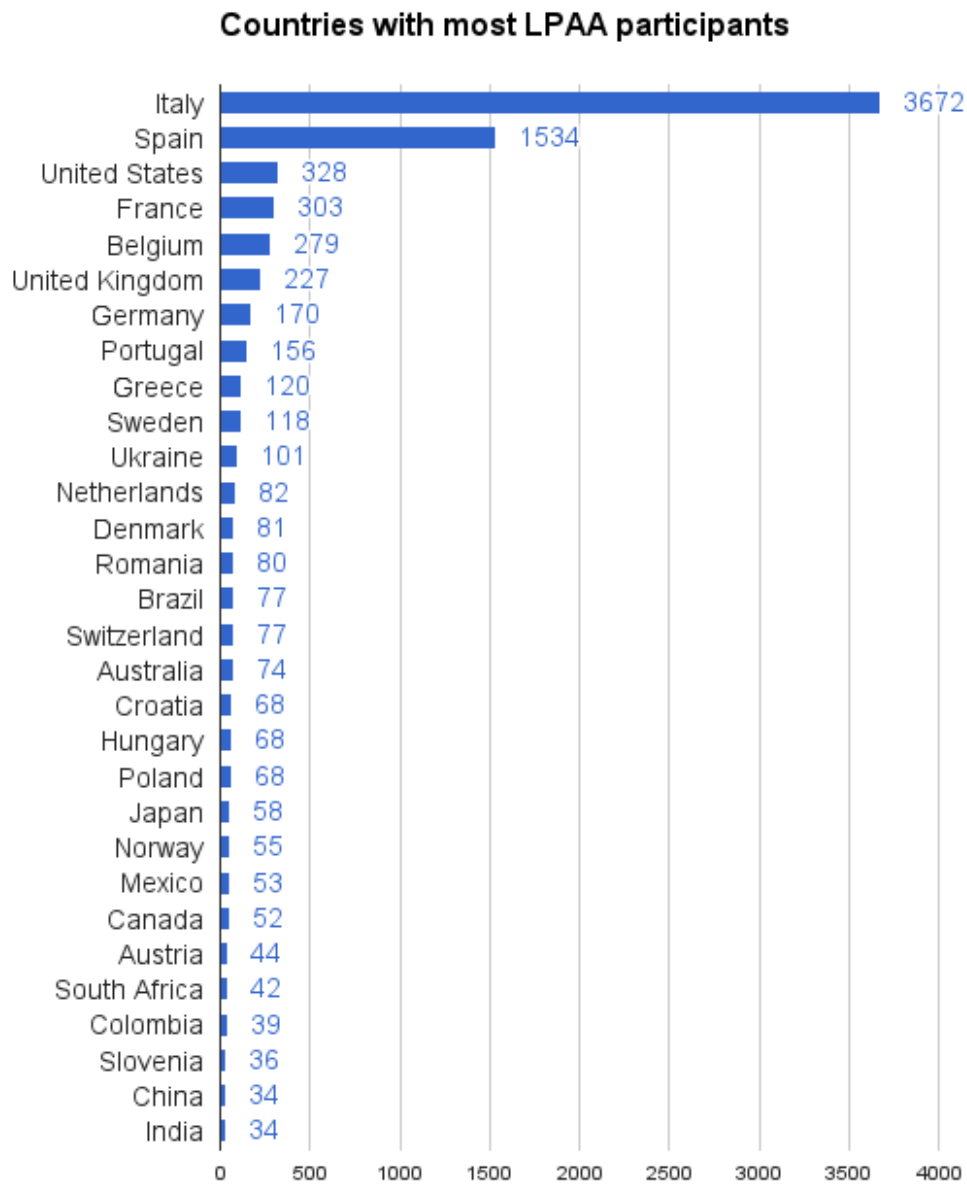
Moreover, At least one LPAA initiative will be implemented in every single national jurisdiction except one (Liechtenstein).

Figure 12: Number of LPAA initiatives implemented or seeking to be implemented, by country



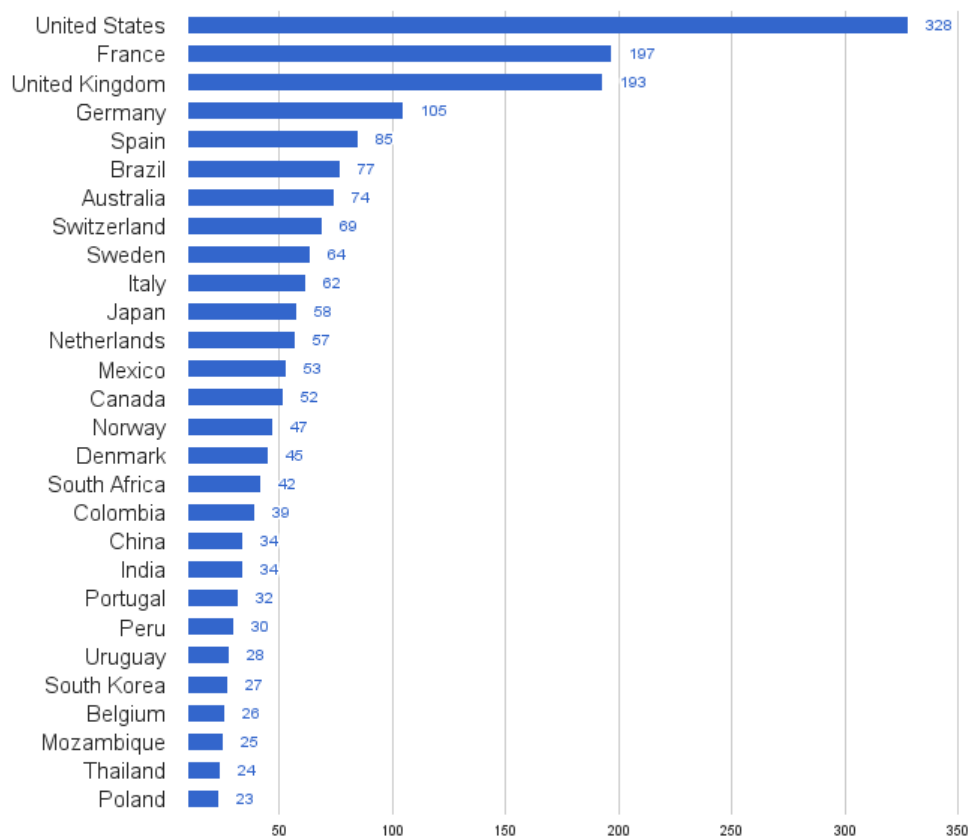
However, this participation is highly uneven across countries and regions. If the Covenant of Mayors is included, Italy participates more than any other country, with over 3,700 instances of participation. Excluding this single initiative puts the United States at the top of participants, with 371. Overall, 84% of the participants in LPAA initiatives come from OECD countries, with a similar ratio (83%) from Annex 1 countries. If the Covenant of Mayors is excluded, the picture becomes more balanced, with only 64% of LPAA participants coming from OECD countries and only 52% coming from Annex 1 countries.

Figure 13: Instances of participation in LPAA initiatives by country



Instances of participation in LPAA initiatives

Countries with most LPAA participants (excluding CoM)

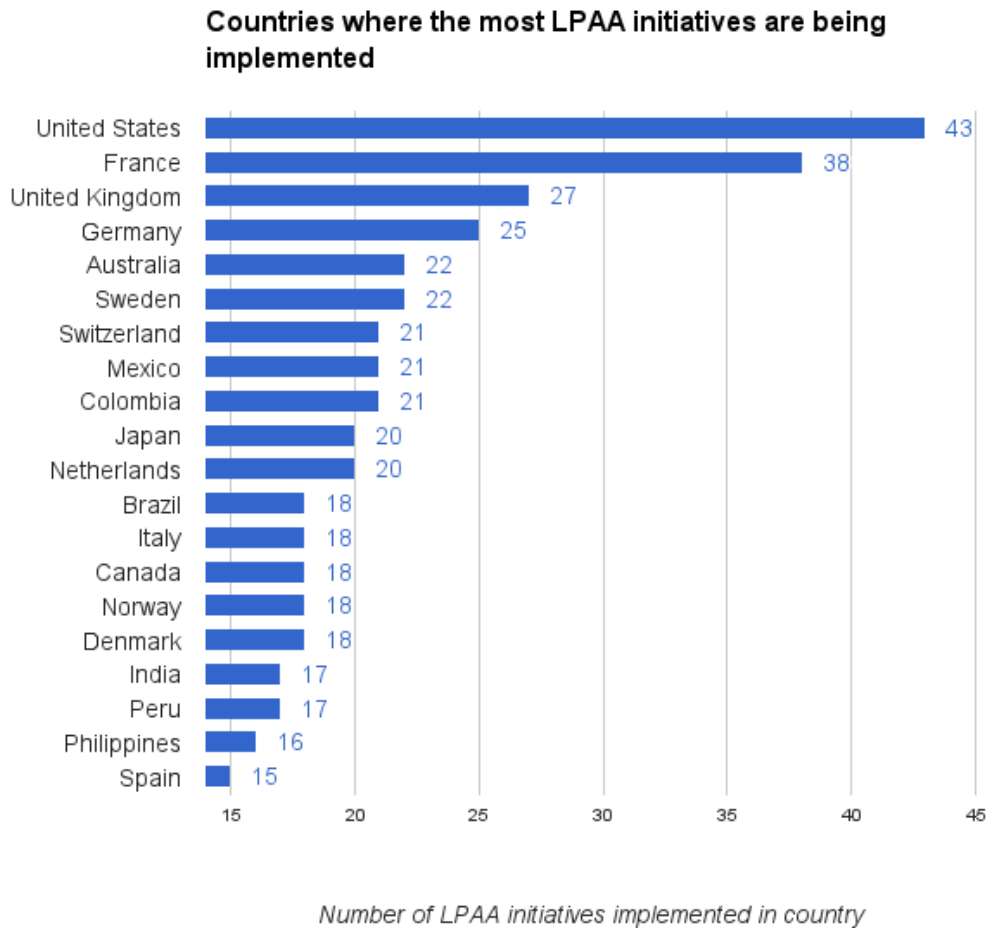


Instances of participation in LPAA initiatives

In general, participation is sharply skewed to the global North. While there is substantial participation in Brazil (77), Mexico (53), and South Africa (42), other large developing countries are not participating in sizeable numbers, with China and India showing just 34 instances of participation. Unsurprisingly, French organizations are very well represented in the LPAA initiatives. Broadening a number of the more French-dominated initiatives to a wider geographic base will be a crucial step after COP21.

A similar pattern repeats itself when looking at where LPAA initiatives will be implemented. While a few developing countries are strongly represented, much of the implementation of LPAA initiatives targets the global North.

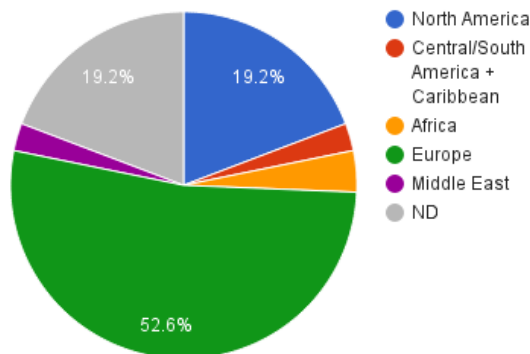
Figure 14: Where LPAA initiatives are implemented



Lead partners and initiative secretariats are also based overwhelmingly in the global North, with half in Europe and 20 percent in North America.

Figure 15: Location of initiative secretariats or lead partners

Location of initiative secretariats / lead partners



IV. Crosscutting trends

Through the qualitative assessment of initiatives, two cross-cutting trends emerged in terms of the strengths and weaknesses of initiatives:

Geographic distribution and leadership in the global south

A majority of LPAA participants are based in the global north. However, it is important to reiterate that a single initiative (the Covenant of Mayors, which began in Europe and has only recently begun to seek members in other parts of the world) strongly skews the distribution toward European countries. When this initiative is excluded from the analysis, a more balanced picture emerges, though more participation is still seen in developed countries. Similarly, when we look at where LPAA initiatives will be implemented, we see that most will take place in the global north.

This imbalance is in many ways to be expected, as it reflects both the higher levels of emissions in developed countries and the higher capacity that private companies and local governments, especially, have to engage in climate action in developed countries. Given these constraints, the thousands of instances of participation from developing countries represent a remarkable demonstration of leadership and commitment from many constituencies in the global south.

However, as one of the key LPAA criteria is for initiatives to be inclusive and regionally balanced, this distribution of participation could prove problematic for tackling rising emissions in emerging economies, for delivering the resilience and adaptation benefits that will be needed most in the Global South, and for the global ownership of the Action Agenda. Global initiatives require global leadership from various geographies for both operational purposes (i.e. involving local partners to implement in specific localities), but also to ensure credibility that the initiative serves a broad range of interests. While the French Government strongly demonstrated leadership in engaging French partners in many of the international initiatives and thematic areas that lacked capacity, it will be necessary to broaden the participation of many initiatives, especially those that seek to benefit developing countries, to a more inclusive set of geographies. Of particular importance is ensuring that organizations in the global south do not just participate in initiatives, but that they design and lead them.

SMART (Specific, Measurable, Accountable, Resourced, Time-bound) criteria

Many of the LPAA initiatives assessed have in place structures that will enable them to deliver on the LPAA criteria. These include being ambitious through setting short- and long-term quantifiable targets, having the capacity to implement commitments, and being ready to follow-up and report on progress. However, a number of initiatives could be greatly strengthened in these three respects. Specifically, many initiatives lacked concrete and quantifiable goals and targets with interim milestones and monitoring arrangements to benchmark progress. Many initiatives also lacked publically available work plans, and sustainable long-term financing sources. This could be due to the relatively young nature of a number of the LPAA initiatives, but should be a priority to address going forward.

V. Future Steps

On the eve of COP21, the LPAA has numerous successes to be proud of. The four lead partners have worked with many different organizations around the world to jointly construct an impressive package of initiatives that have the potential to make a strong contribution to fighting climate change. This blending top-down (from the LPAA) and bottom-up (from the initiatives and organizations) leadership is unprecedented in scale and is remarkably robust given the sheer coordination and complexity involved. The initiatives engage a wide range of stakeholders around the world across a multiplicity of high-impact climate action areas.

Several key steps can build on this success. The LPAA process has shown to be highly effective at mobilizing initiatives, and giving them increased visibility and enhanced recognition. Building on these crucial functions, an ongoing Action Agenda can ensure a supportive environment for climate initiatives after COP21. Elements of such supportive environment would include a system to track progress of climate initiatives, an increased focus on underrepresented action areas, and greater recognition to initiatives that are not yet recognized, especially those pertaining to adaptation.

Promote upward convergence toward SMART criteria for initiatives, as well as follow up and tracking

The LPAA has gone beyond many previous efforts by multilateral bodies to orchestrate action-oriented initiatives (e.g. Rio+10 and Rio+20) by signaling the need for initiatives to be institutionally robust, nudging them to consider specific targets, capacity to deliver, ongoing follow up, etc. These efforts have thus far been partially successful.

Going forward, the LPAA can help initiatives to deliver on their commitments by continuing to reward and recognize those that seek to strengthen their capacity to deliver. For instance, initiatives should be encouraged toward SMART criteria: set specific targets; allow tracking and verification of progress; ensuring ongoing ambition and accountability; secure sufficient financial, human and technical capacity; and be time-bound with milestones to assess progress. Currently, a considerable number of initiatives fall short on these criteria. Non-mitigation related targets often remain unclear; many initiatives do not have monitoring arrangements in place; and many initiatives do not specify clear timelines in work plans. These shortcomings may be due to the relative newness of initiatives and they may become “SMART-er” over time. The LPAA should signal to initiatives that this progressive evolution of criteria is the expectation, and help them to understand how best to move in this direction.

A key part of strengthening initiatives will be tracking them over time. The current set of LPAA initiatives has provided a wealth of information. However, they do not do this across the board, and in a consistent and regular manner. Consequently, it becomes difficult to systematically track their progress. After their initial launch at COP21, there is a risk that actions get out of the public view, and commitments are not delivered upon. Regular high-level follow up meetings, such as those proposed in the draft COP21 text, as well as the NAZCA platform, are essentially for tracking progress over time. Such tracking is not only of analytical value; it provides a better overview for effective measures to align non-state action with country contributions and internationally agreed targets, highlights thematic and geographic gaps, and facilitates knowledge exchange and matchmaking.

Focus on underrepresented action areas

The LPAA and its partners have steadily broadened their substantive focus. The 2014 UN Climate Summit featured 8 action areas, while COP21 will see the announcement of initiatives across 12 action areas: forests, agriculture, resilience, transport, building, private finance, short-lived climate pollutants, renewable energy, energy efficiency, cities and subnationals, business, and innovation. The LPAA has made particularly important progress in mobilizing initiatives in the areas of adaptation and resilience. Nonetheless, some thematic gaps remain. For instance, diet and lifestyle (i.e. food waste and loss) is an area where much remains to be gained in terms of mitigation and food security.⁴ Moreover, many of the adaptation and resilience actions remain at a fairly initial stage of development compared to the mitigation actions.

Focus on innovative and smaller scale initiatives

The LPAA effectively demonstrates the high potential of climate initiatives. It has intentionally selected initiatives for their large-scale and potentially transformative impact. However, a focus on large-scale, high impact, climate actions must not lead to the under appreciation of innovative, but smaller scale, initiatives. Smaller scale innovative initiatives may not have a great mitigation potential by themselves, but their influence may be great as they demonstrate solutions, and apply them to specific contexts. Through experimentation, they may also develop transformative new approaches. A focus on innovative smaller scale initiative may also address the relative underrepresentation of adaptation initiatives, and the current emphasis of initiatives led by actors based in the global north. Adaptation initiatives – which often are led by actors based in the global south – are often smaller scale, and apply solutions in local contexts. Such actions seem to largely remain “under the radar” in current international climate politics, apart from some of the UNFCCC Momentum for Change initiative Lighthouse Activities. A specific thematic focus on such actions in the Action Agenda may help to support this area of climate action going forward.

Balancing geographic representation of climate initiatives

The report finds some imbalances in the participation of actors between developing and developed countries. Developed country based actors represent the majority of lead partners in climate initiatives, though thousands of actors in the global south participate as well, demonstrating strong leadership. At the same time, most secretariats and staff dedicated of initiatives are based in the global north. While this does not necessarily mean that climate initiatives represent northern-based interests, since initiatives implement in almost all countries in the world, and many benefit developing countries, a better geographic pattern would increase the political support of climate initiatives, as well as increase the likelihood that attention is given to the most vulnerable countries and communities.

Manage fragmentation

The current set of LPAA initiatives also features some overlaps. For instance, the Compact of Mayors, Covenant of Mayors, Compact of States and Regions, and Under 2 MOU, share some jurisdictions. The possible double-counting of (both mitigation and adaptation) contributions

⁴ Potential initiatives in this area could involve sustainable dietary guidelines, integration of livestock emissions into carbon markets and trading systems, private sector commitments to eliminate food waste across the supply chain, etc.

risks to interfere with a comprehensive understanding of the aggregate impacts of climate initiatives. Moreover, different initiatives may duplicate each other's activities. The LPAA could play a role in proactively steering initiatives to address these overlaps, assisting in the coordination of different initiatives, and ensuring their efforts are complementary. For example, the Compact of Mayors and the Compact of States and Regions announced that they will forge a partnership after COP21 to ensure coherence between the initiatives and explore synergies between the two levels of government (local and regional).

Linking climate initiatives with sustainable development

The conjunction of the climate change agenda and the 2030 Agenda for Sustainable Development offers opportunities to build linkages and to focus on initiatives that deliver on both agendas. Many “partnerships for SDGs” – similar to LPAA initiatives but often lacking the same degree of structure – have climate co-benefits, while most climate initiatives also benefit sustainable and resilient development and contribute to the implementation of the Sustainable Development Goals and targets. Promoting climate initiatives with strong sustainable development benefits would help gain political and societal support for a long-term climate action agenda. In addition, the LPAA could coordinate its efforts to galvanize climate initiatives with similar efforts, for instance, those under the High-Level Political Forum on Sustainable Development that has the mandate to be a “platform for partnerships.” By learning from each other’s activities, the LPAA, HLPF and other orchestrators can help build better enabling environments for non-state and subnational initiatives and align them to deliver on multilateral priorities.

Ensuring a long-term action agenda

Finally, significant advances facilitated by the LPAA should be extended and expanded into the post-2015 climate architecture. Without sustained engagement and incentives, many commitments could soon become broken promises. A long-term Action Agenda, in the form of a durable and collaborative program, could provide effective coordination between non-state and subnational climate initiatives and multilateral processes. It could build on existing efforts to mobilize new and enhanced initiatives, and to achieve the widespread action and support needed for a low-carbon and climate resilient transformation. Sustained attention and recognition for ambitious climate actions will incentivize transparency, and also more effective delivery on promises. The LPAA’s post-2015 challenge may therefore be summed up as making sure that climate initiatives not only announce their commitments, but also realize them.

VI. Appendix: List of initiatives assessed

4 per 1000 - carbon sequestration in soils	Portfolio Decarbonization Coalition
Africa Clean Energy Corridor	Public Transport Declaration on Climate Leadership
Airport Carbon Accredited Neutrality Initiative	RE100
G7 Renewable Energy Initiative for Africa	Report climate change information in mainstream reports as fiduciary duty
Bonn Challenge (IUCN)	Scaling up private finance for renewables - Renewables LCTPi
Buildings Efficiency accelerator	Science-based target
Business Leadership Criteria on Carbon Pricing	The Covenant of Mayors
C40 Clean Bus Declaration	The SIDS Lighthouses
Carbon Capture and Storage (CCS) / LCTPi	Under 2 MoU
Carbon neutral Cities Alliance	United for Efficiency (U4E - Appliance Efficiency)
Global Green Freight Action Plan	Zero deforestation commitments from commodity producers and traders (WEF/ Tropical Forest Alliance)
CCAC Oil and Gas Methane Partnership	Zero routine Flaring by 2030
CCAC Phasing Down Climate Potent HFCs	Protected areas declaration
Cement Sustainability Initiative / LCTPi	Protection of 400 million hectares of forests by indigenous peoples
Cities Climate Finance Leadership Alliance	Small Farms, big Impacts: Adaptation for Smallholder Agriculture Programme (ASAP)
Clean Energy MoU	The Blue Growth Initiative (BGI)
Climate Risk early warning systems (CREWS)	Life Beef Carbon – Toward the low carbon beef farm
Collaborative Climate Action across the Air Transport World (ICAO / ATAG)	Promotion of smart agriculture towards climate change and agro-ecology transition in West Africa
Compact of Mayors	Global resilience Partnership
Compact of States and Regions	GWP Global Water, Climate and Development Programme (WACDEP)
District Energy Accelerator	R4 Rural resilience Initiative
Divest-Invest Global Movement	Banking Environmental Initiative (BEI)
En.lighten Initiative	Smart Risk Investing (SRI)
Food Security Climate Resilience Facility (FoodSECuRE)	Municipal Solid Waste
Global Alliance for Buildings and Construction (Global ABC)	Refrigerants, Naturally!
Global Energy Efficiency Accelerator Platform	Put a price on carbon (WMB)
Global Facility for Disaster Reduction and Recovery (GFDRR)	Caring for Climate
Global Fuel Economy Initiative	Responsible Corp. Engagement in Climate Policy
Global Geothermal Alliance	ACT – Assessing low Carbon Transition
Industrial Energy efficiency accelerator	Chemicals / LCTPi
Lima Challenge	Global District Energy Initiative
Low Carbon Investment Registry	International Solar Alliance
Low Carbon Sustainable Rail Transport Challenge	G7 Climate Risk Insurance Initiative
Mobilise Your City	Global Initiative on Food Loss and Waste Reduction
Montreal Carbon Pledge	
New York Declaration on Forests	
Paris Pact on Water and Adaptation to Climate Change in the Basins of Rivers, Lakes, and Aquifers	

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