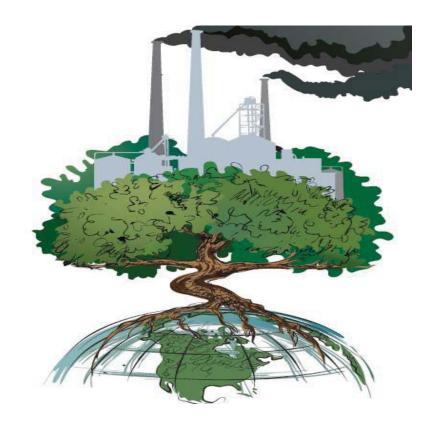
# Policy Coalitions in the Global Greenhouse:

Contestation and Collaboration in Global Climate Change Public Policy



Thesis submitted for the degree of Doctor of Philosophy, 2009

Faculty of the Arts and Social Sciences

University of Technology, Sydney

Ian M McGregor

BA (Hons) University of Strathclyde, MSc (London Business School)

#### **Abstract**

It is more than 20 years since 1985, when world climate and atmospheric scientists first issued an authoritative warning of the danger of global warming. In 1988, scientists, environmentalists and politicians from 48 countries endorsed the Toronto Declaration to address global warming that called for a twenty percent worldwide reduction in CO<sub>2</sub> emissions by the year 2005 leading to an eventual fifty percent reduction. Contestation and collaboration in the global climate change public policy process, involving a wide range of actors, has continued since then.

Two organisations were founded in 1989 by non-state actors on opposite sides of the climate policy debate. These were the Global Climate Coalition (GCC), which was established by a range of US business interests, and Climate Action Network (CAN) established by a range of environmental and scientific non-governmental organisations. The thesis documents, analyses and compares how each organisation was formed, organised and developed. It reviews how GCC and CAN enabled more effective national and transnational advocacy and how they fostered opposing policy coalitions on climate policy. The respective approaches are assessed, evaluated and contrasted as each sought to gain support for their opposing policy positions in the global climate change policy process.

The research uses a neo-Gramscian theoretical perspective and develops and applies an analytical framework focused on policy coalitions of state and non-state actors to investigate the role that non-state actors played in the global climate policy process. GCC and CAN played major roles within opposing policy coalitions that became particularly important in shaping the outcome of the global and national climate policy processes. The thesis focuses on the role of GCC and CAN and their associated policy coalitions in influencing the framing, developing, implementation and review of global climate policy. It examines the global climate change policy process through this analytical lens of contestation between policy coalitions from the creation of the Intergovernmental Panel on Climate Change in 1988 to the first Meeting of the Parties of the ratified Kyoto Protocol in 2005.

The thesis assesses the analytical framework and concludes by identifying critical issues that the current global public policy processes have encountered in developing and implementing effective global climate change public policy.

For Marilena and Andrew and all the other members of the future generations for whom we need to bequeath a healthy planet.

# **Certificate of Authorship/Originality**

I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of requirements for a degree except as fully acknowledged within the text.

I also certify that the thesis has been written by me. Any help that I have received in my research work and the preparation of the thesis itself has been acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis.

Signature of Candidate

Ian McGregor

### **Acknowledgements**

At a recent seminar, the presenter used a roller-coaster ride to illustrate the process of completing a PhD thesis with lots of ups and downs and steep learning curves. The only people who have been with me on the whole ride are my family, who have been supportive in many ways. I would particularly acknowledge my partner, Kate, who has not only helped me on the journey but also read and help with editing some chapters of the thesis.

My PhD research commenced at the UTS Institute for Sustainable Futures (ISF) in 2002 and was initially focused on Indicators of Ecologically Sustainable Development. In that period, I was greatly assisted in becoming familiar with Academic Research by my supervisor, Cynthia Mitchell and my co-supervisor, Juliet Willetts. My fellow ISF research students, Chris Reidy, Chris Reardon, Dick Clarke, Kumi Abeysuriya, Suzanne Grob, Simon Fane, Michelle Zeibots and others all helped get the roller-coaster ride started. My initial research concluded that there were well established Indicators of Ecologically Sustainable Development, however, that those that indicated our current development path was unsustainable were largely being ignored. This re-directed my PhD research into the area of Political Economy which was outside ISF's expertise so I had to find a new supervisor and faculty and research question within UTS.

Fortunately, I found James Goodman as a supervisor interested in my new research area in the School of Social and Political Change in the Faculty of Arts and Social Science at UTS. I would like to particularly thank James for the support, encouragement, advice and interest given by him during this Doctoral Research Sydney. His good humour, patience, dedication and thoughtful critique have been invaluable to me. I would also like to particularly thank Jeremy Walker who was Acting Supervisor while James was on leave in the second half of 2009.

There are many colleagues, fellow research students and others who have helped me on the roller-coaster ride and I would also like to acknowledge their support. In particular during the final year, we formed a group of three PhD students who read and critiqued each other's work and the support in that group of Melissa Edwards and Marie dela Rama have been invaluable. I would also like to acknowledge the support of Paul Baer of Ecoequity in acting as a sounding board on a whole range of climate change issues.

I also sincerely thank the interview participants who gave their time and thoughts generously for no immediate return. Their experiences and insights helped shape the direction of my thinking and their preparedness to participate informed and encouraged my research. I should also particularly acknowledge the UNFCCC Secretariat, particularly the NGO Liaison Office and its Library for the assistance they made available. The illustration on the cover page of the thesis is from a flyer for a Carbon Trading Seminar organised in September 2009 by the Australian Financial Markets Association.

## **Contents**

Abstract	i
Certificate Of Authorship/Originality	i
Acknowledgements	ii:
List of Figures	ix
List of Tables.	Х
Relevant Publications	X
Acronyms	xii
Chapter 1 – Introduction	1
Introduction	1
Global Governance and Global Public Policy	1
Global Environmental Change	3
Global Climate Change	5
The Problem of Global Warming	13
The Global Public Policy Response to Climate Change	17
Research Questions	23
Overview of the Study	25
Chapter 2 – Theoretical Frameworks and Methodology	27
Introduction	27
Global Governance	29
International Regimes	42
Theories of International Regimes	51
Theoretical Framework	63

Global Climate Change Public Policy - Framework for Analysis	65
Global Public Policy-Making Processes	77
Research Design and Methodology	82
Chapter 3 – Organisational Characteristics of CAN and GCC	87
Introduction	87
CAN and GCC - Formation and Initial Objectives	92
Comparison of Organisational Norms and Values	105
Membership of the Network NGOs – CAN and GCC	114
Organisational Management and Leadership	126
Conclusion: CAN, GCC and Policy Coalitions	139
Chapter 4: Policy Coalitions and the UNFCCC	144
Introduction	144
Agenda Setting	146
Global Public Policy Development	154
Policy Coalitions and Developing the UNFCCC	164
Assessment of the UNFCCC	171
Ratification, Implementation and Review	175
Conclusion: Fields of Contestation and the UNFCCC	180
Chapter 5 – Policy Coalitions and the Kyoto Protocol	187
Introduction	187
Emergence of the Ecological Modernisation Policy Coalition	188
Global Public Policy Development	191
US National Climate Change Policy Development	199

Policy Coalitions and Developing the Kyoto Protocol	206
Assessment of the Kyoto Protocol	216
Developing the Details of Global Climate Change Policy	221
Ratification of the Kyoto Protocol	226
The Effectiveness of the Kyoto Protocol	239
Conclusion: Fields of Contestation and the Kyoto Protocol	243
Chapter 6 - Conclusion	254
Introduction	254
Hegemony and Counter-Hegemony in the Global Polity	255
CAN, GCC and the Global Climate Policy Process	258
Hegemony, Counter-Hegemony and Global Climate Change Public Policy	260
Failure to Develop Effective Global Climate Change Policy	264
Developing Effective Global Climate Change Policy	272
Global Climate Change Public Policy Process and Policy Coalitions	273
Policy Coalitions Model and Fields of Contestation	279
Strengths and Weaknesses of the Theoretical Framework	283
The Implications and Limitations of the Research	285
Questions and Directions for Further Research	287
Bibliography	288
Appendix 1: List of Interviewees	316
Appendix 2: Groups and Individuals Associated with Exxon Mobil's Disinforma Campaign	
Appendix 3: GCC's Action Agenda for the 21 <sup>st</sup> Century from GCC's website	321
Appendix 4: 1996 IPCC letter to the GCC and the Climate Council	324

Appendix 5: CAN Regional Offices 2006	327
Appendix 6: CAN –Executive Summary of Agreed Position before COP6 in 2000	332
Appendix 7: 14 Influential US Conservative Think Tanks	333

# **List of Figures**

Figure 1: Major Actors in the Global Climate Change Policy Domain	9
Figure 2: Global warming and the safe-climate zone	14
Figure 3: Developing Countries' Dilemma	19
Figure 4: The Advocacy Coalition Framework	68
Figure 5: Policy contestation between advocacy coalitions:initial stages	70
Figure 6: Overview of Contestation between Policy Coalitions on Climate Policy.	72
Figure 7: The International Environmental Policy-Making Process	78
Figure 8: Major Fields of Policy Contestation within the Global Climate Change	
Public Policy Process	80
Figure 9: IPCC Report Process	151
Figure 10: The System of Institutions of the UNFCCC following COP1	193
Figure 11: Anti-Kyoto press advertising prior to US signing in 1997 primarily fund	ded
by the members of the Global Climate Coalition	204
Figure 12: George and Abdullah	238

## **List of Tables**

Table 1: Six types of global governance	.37
Table 2: Typology of Regimes	.48
Table 3: Market Enabling and Regulatory Regimes	.49
Table 4: Table 4: Six Major Fields of Policy Contestation within the Global Climate	;
Change Public Policy Process	.81

### **Relevant Publications**

Some of the research reported in this thesis was originally published elsewhere. I have listed relevant research publications arising from my PhD research below.

#### **Refereed Publications**

McGregor, I. 2008, 'Warming as usual - Radical change to international political economy required to address climate change', *Contemporary Issues For Heterodox Economics: Proceedings Refereed Papers Seventh Australian Society of Heterodox Economists Conference 2008*, Sydney, Australia, 8-9 December 2008

McGregor, I. 2008, Organising to Influence the Global Politics of Climate Change. Australian and New Zealand Academy of Management (ANZAM) – Refereed Conference Proceedings, Auckland, New Zealand, November 2008

McGregor, I.2007, Limiting Global Greenhouse Gas Emissions - An Urgent and Overdue Ecological Economics Measure on Climate Change. 2007 ANZSEE Conference "Re-inventing Sustainability: A climate for change", ANZ Society of Ecological Economics – Refereed Conference Proceedings, Noosa, Australia, July 2007

McGregor, I. 2006, Power, profits and the planet - fossil fuel corporations putting profits before planet - promoting burning as usual! Essays in Heterodox Economics: *Proceedings of Fifth Australian Society of Heterodox Economists Conference, Society of Heterodox Economists*, Sydney, Australia, December 2006

McGregor, I. 2006, Corporate Capitalism: A barrier to be overcome to enable Ecologically and Socially Sustainable Development. *Portal: A Journal of Multidisciplinary International Studies*, 3 (1), 1-26.

McGregor, I. 2004, An integral ecology of commerce to avoid dystopia. *Australian and New Zealand Academy of Management(ANZAM) – Refereed Conference Proceedings*, Dunedin, New Zealand, December 2004

McGregor, I. 2003, Is Australia progressing towards ecologically sustainable development. *Environmental Health*, 3, 31-45.

#### **Conference Papers – Abstract Refereed**

McGregor, I. 2008, Contention, Civil Society and Climate Change. *International Institute of Sociology Meeting*, Budapest, Hungary, June 2008

McGregor, I. 2008, Climate Change - A Major Failure of Environmental Management. Invited presentation at Environmental Management: Workshop - More of the Same or Time for Change?, Cottbus, Germany, January 2008

McGregor, I. 2008, Warming as Usual - Radical Change to International Political Economy Required to Address Climate Change. *Union for Radical Political Economics at Allied Social Science Association Conference*, New Orleans, Louisiana, January 2008

McGregor, I. 2006, Globalisation and Global Warming: role of two Non-Governmental Organisation Coalitions in development of international public policy. *International Sociological Association World Congress*, Durban, South Africa, July 2006

### **Acronyms**

ACF Advocacy Coalition Framework

AGBM Ad Hoc Group on the Berlin Mandate

AGGG Advisory Group on Greenhouse Gases

AOSIS Alliance of Small Island States

API American Petroleum Institute (a BINGO)

BINGO Business and Industry Non-Government Organisation

BTU British Thermal Unit

CAN Climate Action Network

CANA Climate Action Network Australia

CANLA Climate Action Network Latin America

CANSA Climate Action Network South Asia

CANSEA Climate Action Network South East Asia

CIEL Center for International Environmental Law

CO2 Carbon Dioxide

CNE Climate Network Europe

COP Conference of the Parties to the UNFCCC
EDF Environmental Defense Fund (a US ENGO)

ENGO Environmental Non-Government Organisation

EPA Environmental Protection Agency (US Government Agency)

EU European Union (includes what historically was the EC- European

Community)

FOE Friends of the Earth

FIELD Foundation for International Environmental Law and Development

G8 Group of eight most major economies in the world G77 Group of Developing Countries (now more than 77)

GCC Global Climate Coalition

GDRs Greenhouse Development Rights

GHGs Greenhouse Gas(es)

GNP Gross National Product

ICCR Interfaith Commission on Corporate Responsibility

ICSU International Council of Scientific Unions

IETA International Emissions Trading Association

INC International Negotiating Committee (on Climate Change)

IPCC Intergovernmental Panel on Climate Change

IR International Relations

MOP Meeting of the Parties to the Kyoto Protocol

NASA National Aeronautics and Space Administration

NRDC Natural Resources Defense Council (a US ENGO)

NGO Non-Government Organisation

OECD Organization for Economic Cooperation and Development (major

developed economies)

OPEC Organisation of Petroleum Exporting Countries

SEI Stockholm Environment Institute
SWCC Second World Climate Conference

UK United Kingdom
UN United Nations

UNCED United Nations Conference on Environment and Development

UNEP United Nations Environment Program

UNFCCC UN Framework Convention on Climate Change

US United States of America

USCAN US Climate Action Network

WBCSD World Business Council for Sustainable Development

WEF World Economic Forum

WMO World Meteorological Organisation

WWF World Wide Fund for Nature also known as World Wildlife Fund (an

international ENGO)