



Delft University of Technology

ENCLUDE – Summary of Collective Actions

WP6 – ENCLUDE Academy for Energy Citizen Leadership

Djinlev, Vanja; Pearce, B.J.

DOI

[10.5281/zenodo.7123907](https://doi.org/10.5281/zenodo.7123907)

Publication date

2022

Document Version

Final published version

Citation (APA)

Djinlev, V., & Pearce, B. J. (2022). *ENCLUDE – Summary of Collective Actions: WP6 – ENCLUDE Academy for Energy Citizen Leadership*. (pp. 1-45). <https://doi.org/10.5281/zenodo.7123907>

Important note

To cite this publication, please use the final published version (if applicable).
Please check the document version above.

Copyright

Other than for strictly personal use, it is not permitted to download, forward or distribute the text or part of it, without the consent of the author(s) and/or copyright holder(s), unless the work is under an open content license such as Creative Commons.

Takedown policy

Please contact us and provide details if you believe this document breaches copyrights.
We will remove access to the work immediately and investigate your claim.



ENCLUDE

Energy Citizens for Inclusive
Decarbonization

ENCLUDE – Summary of Collective Actions

**WP6 – ENCLUDE Academy for Energy
Citizen Leadership**



31.01.2022

Vanja Djinlev, BinBin J. Pearce

ETH Zurich

Version: 3



www.encludeproject.eu

Vanja Djinlev	ETH Zurich
vanja.djinlev@usys.ethz.ch	https://tdlab.usys.ethz.ch

Disclaimer

The sole responsibility for the content of this publication lies with the authors. It does not necessarily reflect the opinion of the European Union. Neither INEA nor the European Commission is responsible for any use that may be made of the information contained therein.

Copyright Message

This report, if not confidential, is licensed under a Creative Commons Attribution 4.0 International License (CC BY 4.0); a copy is available here: <https://creativecommons.org/licenses/by/4.0/>. You are free to share (copy and redistribute the material in any medium or format) and adapt (remix, transform, and build upon the material for any purpose, even commercially) under the following terms: (i) attribution (you must give appropriate credit, provide a link to the license, and indicate if changes were made; you may do so in any reasonable manner, but not in any way that suggests the licensor endorses you or your use); (ii) no additional restrictions (you may not apply legal terms or technological measures that legally restrict others from doing anything the license permits).



ENCLUDE project has received funding from the European Union's Horizon 2020 Research and Innovation programme under grant agreement No 101022791



ENCLUDE PROJECT & DELIVERABLE PROFILE

Project Acronym and Full Name:	ENCLUDE - Energy Citizens for Inclusive Decarbonization
Grant Agreement No.:	101022791
Programme:	H2020-EU.3.3.6. - Robust Decision Making and Public Engagement
Topic:	LC-SC3-CC-1-2018-2019-2020 – Social Sciences and Humanities (SSH) aspects of the Clean-Energy Transition
Funding Type:	RIA - Research and Innovation Action
Deliverable:	6.1
Work Package:	6
Deliverable Due Date:	31.01.2022
Actual Date of Submission:	31.01.2022
Dissemination Level:	Public
Lead Beneficiary:	ETH ZURICH
Responsible Author:	Vanja Djinlev
Contributor(s):	BinBin J. Pearce
Internal Reviewers:	Gosia Mątownska (THINK E) and Michael Brenner-Flieser (JOANNEUM RESEARCH FORSCHUNGSGESELLSCHAFT MBH)

Preface

The H2020 Energy Citizens for Inclusive Decarbonization (ENCLUDE) project aims to help the EU fulfil its promise of a just and inclusive decarbonization, adopting the principles of sharing and co-creating new knowledge and practices that are aimed at maximizing the number as well as the diversity of citizens and societal actors who are willing and able to contribute and take any form of action in the energy transition. Catalyzing chain reactions of decarbonization activities across the European Union will be achieved through the ENCLUDE Academy for Energy Citizen Leadership. We focus on a bottom-up approach of citizen engagement for decarbonization actions by identifying, networking and supporting local community leaders who have the intention to lead energy initiatives. A part of this support includes providing leaders with an overview of past collective actions across different contexts and time periods to help provide a historical context for current efforts towards societal transformation.



1. Changes with respect to the DoA

None

2. Dissemination and uptake

This deliverable presents a key part of the content used in the training modules for the ENCLUDE Academy for Energy Citizen Leadership. It enables future Energy Citizen Leaders to understand 'how' and 'why' collective actions for social and societal transformation take place. Moreover, this deliverable can be seen as a resource base of past collective actions that can be used to understand how future collective actions can be carried out in the context of the energy transition. As such, this report may easily be used both within and outside of the project, by researchers interested in the topic of collective actions and energy transition.

3. Short Summary of results














Analyzing the two collective actions brings valuable insights that may be applied on the energy transition context. More specifically, the two case studies show the different transformation pathways through which change happens at large scale. These collective actions are also centered around different resources – cigarettes as a tangible product, and justice as a non-tangible resource. As the energy transition has elements from both collective actions, the insights from the analysis may be related not only to the use of technology and the related practices, but also to the justice elements found within the changes that need to be carried in the future.

4. Evidence of accomplishment

This report serves as evidence of accomplishment.



LIST OF PARTICIPANTS

	Participant Name	Short Name	Country	Logo
1	EIDGENOESSISCHE TECHNISCHE HOCHSCHULE ZUERICH	ETHZ	Switzerland	
2	UNIVERSITY OF PIRAEUS RESEARCH CENTER	UPRC	Greece	
3	TECHNISCHE UNIVERSITEIT DELFT	TUD	Netherlands	
4	UNIVERSITY COLLEGE CORK - NATIONAL UNIVERSITY OF IRELAND, CORK.	UCC	Ireland	
5	UNIVERSITY OF GLASGOW	UOG	United Kingdom	
6	JOANNEUM RESEARCH FORSCHUNGSGESELLSCHAFT MBH	JR	Austria	
7	TH!NK E	THNK	Belgium	
8	UNIVERSITEIT UTRECHT	UU	Netherlands	
9	GREEN PARTNERS SRL	GP	Romania	
10	ZDRUZENIE CENTAR ZA ISTRAZUVANJE I INFORMIRANJE ZA ZIVOTNA SREDINA EKO-SVEST	Eko-svest	North Macedonia	
11	MISSIONS PUBLIQUES	MP	France	
12	HOLISTIC IKE	HOLISTIC	Greece	
13	UNIVERSITY OF VICTORIA	Uvic	Canada	



Executive Summary

In line with EU's 2050 decarbonization agenda, the H2020 Energy Citizens for Inclusive Decarbonization (ENCLUDE) project aims to help the EU fulfil its promise of a just and inclusive decarbonization, adopting the principles of sharing and co-creating new knowledge and practices that are aimed at maximizing the number as well as the diversity of citizens and societal actors who are willing and able to contribute and take any form of action in the energy transition. Catalyzing chain reactions of decarbonization activities across the European Union will be achieved through the ENCLUDE Academy for Energy Citizen Leadership. We focus on a bottom-up approach of citizen engagement for decarbonization actions by identifying, networking and supporting local community leaders who have the intention to lead energy initiatives. A part of this support includes providing leaders with an overview of past collective actions across different contexts and time periods to help provide a historical context for current efforts towards societal transformation.

To do this, we sort through the vast and diverse literature documenting and analyzing collective actions, cutting across historical, geographical, social, and epistemological boundaries. Connecting these diverse perspectives to create a holistic understanding of the catalyzing and hindering factors of effective collective action for change, we adapt Ostrom's Socio-Ecological Systems (SES) framework to analyze two historical examples of collective actions from the United States – the civil rights movement and the fall of the tobacco industry. We show that this interdisciplinary framework can be used to analyze collective actions across different time periods and contexts, focusing on different resources and subsystems that span from individual's and in-groups' actions and norms, to the general macroenvironment represented with various political, economic and social traits. Analyzing collective actions will ultimately provide valuable insight for initiating and sustaining collective actions within the energy transition.

The analysis of the two distinctive collective actions shows the different leadership and organizational style, as well as the importance of changing norms to reach social and societal change. We identify critical factors to understanding how societal transformation occurs outside of the environmental context and evaluate which of these factors are also relevant for decarbonization. The report ends with the practical application of this document to the upcoming ENCLUDE Academy, while the appendix contains further analysis of dozens of other collective actions.



Contents

1	Introduction.....	8
2	Overview of Collective Action Theories	8
3	Analyzing Collective Actions for Social and Societal Transformation	11
3.1	<i>Tobacco Industry</i>	13
3.2	<i>The Civil Rights Movement</i>	20
4	Collective Actions and the ENCLUDE Academy for Energy Citizen Leadership.....	25

Figures

Figure 1 - The Adapted SES Framework for Analyzing Collective Actions.....	12
Figure 2 – Trends in Cigarette Smoking Rates	18
Figure 3 - Lung Cancer Death Rates (women above, men below).....	18
Figure 4 - Temporal Dynamics of Issue Lifecycles.....	20
Figure 5 - Share of Black Americans Textile Workers.....	23
Figure 6 - Employment in South Carolina (manufacturing, 1940-1980).....	24
Figure 7 - South Carolina Personal Income (1929-2004).....	24
Figure 8 - Black Americans as Elected Officials (South Carolina, 1969-2001)	24



1 Introduction

The European Union has made bold commitments and has taken serious action towards limiting its contribution to the wickedest global problem of all – climate change. At the forefront of its activities, the Union has placed the energy transition and the related socio-technical systems' transformation as one of main pillars for reaching its 2050 Decarbonization Agenda. In line with this agenda, the H2020 Energy Citizens for Inclusive Decarbonization (ENCLUDE) project aims to help the EU fulfil its promise of a just and inclusive decarbonization, adopting the principles of sharing and co-creating new knowledge and practices that are aimed at maximizing the number as well as the diversity of citizens and societal actors who are willing and able to contribute and take any form of action in the energy transition. To reach this aim, ENCLUDE adopts a transdisciplinary approach to i) assemble, align, and adapt disparate energy citizenship concepts in support of the EU, ii) operationalize the energy citizenship concept at all scales of policy making for decarbonization for national and supra-national agencies, and iii) catalyze chain reactions of decarbonization actions across the EU.

The goal of the ENCLUDE Academy for Energy Citizen Leadership is to catalyze decarbonization activities across the European Union through a bottom-up approach of citizen engagement. It identifies, connects and supports local community leaders who have the intention to lead energy initiatives. This is an approach that we strongly believe needs to concurrently take place with top-down, policy-driven activities across the EU. Within this Academy, diverse and motivated groups of citizens will be trained and informed by the latest transformation knowledge that is generated by ENCLUDE, including the ways in which the concept of energy citizenship could be utilized to motivate change in their own communities. Moreover, experiences of effective methods of collective action and collaborative decision-making for social and societal transformations, which may also be applied in the context of the energy transition, will be collected from literature and also from the participants themselves. Through this exchange, participants will be able to define their roles as Energy Citizen Leaders, equipped with tools and transdisciplinary knowledge to initiate and engage in collective action initiatives within their own communities.

This deliverable presents a key part of the content used in the training modules for the Academy. It enables future Energy Citizen Leaders to understand 'how' and 'why' such collective actions for social and societal transformation take place, delving deep in the different subsystems that influence cooperative actions, their pace, extent, and the resource around which they are centered. As such, this document can be seen as a resource base of presenting past effective collective actions that can be used to understand how future collective actions can be carried out in the context of the energy transition.

2 Overview of Collective Action Theories

This section will provide a brief overview of collective action theories according to different disciplines of origin, providing a multidisciplinary view of what has catalyzed and prevented transformative collective actions in historical contexts. We then relate how these drivers and barriers of effective collective actions might be related to with the current context of the energy transition. Analyzing collective actions as a form of cooperation from an evolutionary, sociological, psychological and political economy perspectives will provide an understanding of the importance of behavioral changes and individual and in-group norms, which can be afterwards applied to the energy use and production context. For that reason, we define collective action as *'any cooperative effort between individuals to reach a certain goal'*.

From an **evolutionary biology perspective**, people cooperate because it results in a greater chance of survival through cooperative defense, food provisioning and general support activities



even within the initial society-like structures. The evolutionary perspective offers the underlining evolutionary principles of collective actions as forms of cooperation, outlining altruism and empathy as behavioral traits that initiate and strengthen such cooperative activities¹².

As a discipline, sociology concerns itself with the study of human social relations, structures, and institutions, meaning that collective actions can also be analyzed from a **sociological perspective**. The **mass society theory**³ aims to identify the source of mass movements in the characteristics of social structures, or more specifically, in the integrative weakness of modern societies. According to the **structural-strain theory**⁴, collective action enacted through social movement forms is influenced by six factors: i) structural conduciveness, where people perceive problems within their society, ii) structural strain, meaning that people experience some form of deprivation, iii) emergence and spread of a solution to people's problems/strains, iv) precipitating factors such as a catalyst that often comes in the form of a critical event out of which the social movement emerges, v) lack of social control from the entity to be changed, and vi) mobilization, where people actually begin the collective action.

The **resource mobilization theory**⁵ shifts the focus from factors related to social structure to the importance of available resources (including time, skills, and financial resources) in a collective. This theory does not include the alienation and isolation of people due to social class differences as the mass society theory considers, nor does it relate the misalignment between the societal goals and actual opportunities that people have to obtain them (such as wealth) with collective actions, as the structural-strain theory does. Instead, the focus is placed solely on the resources and abilities that people have at their disposal in their collective, which they are able to use in their collective action. A different theory assumes a close link between collective actions and institutionalized politics is the **political opportunity theory**⁶, which links protests outside of the political institutions with activities within the mainstream political institutions. For example, representatives of the protest challenge the political system by demanding certain changes, taking advantage of the weakened political powers to advance their agenda. Sociologists have also linked the **critical mass concept**⁷ from nuclear physics, where having an amount of radioactive material is needed to initiate and sustain a fission reaction, with the critical mass of participants needed for a collective action to be formed.

Observing and analyzing collective action from the sociological perspective addresses why and how people organize to reach a certain goal. If certain personal motivations for cooperation need to be analyzed, however, a **psychological perspective** is needed. One of the main theories within psychology is **deprivation theory**⁸. Deprivation occurs in relation to desired points of reference, when individuals compare and contrast their situation with their desired one, often the latter being in possession of some reference group. Such feelings of deprivation can become a unifying factor for people aiming to advance their situation towards their desired one, which leads to a collective action. A different theory that links personal perception and belief in collective action can be found in the

¹ Boyd, R., & Richerson, P. J. (2009). Culture and the evolution of human cooperation. *Philosophical Transactions of the Royal Society B: Biological Sciences*, 364(1533), 3281–3288. <https://doi.org/10.1098/rstb.2009.0134>.

² Tomasello, M., Melis, A. P., Tennie, C., Wyman, E., & Herrmann, E. (2012). Two Key Steps in the Evolution of Human Cooperation: The Interdependence Hypothesis. *Current Anthropology*, 53(6), 673–692. <https://doi.org/10.1086/668207>.

³ Pinard, M. (1968). Mass Society and Political Movements: A New Formulation. *American Journal of Sociology*, 73(6), 682–690..

⁴ Shields, L. and Armstrong, L. (2018). *Social Change and the Global Environment*. UK: ED-Tech Press.

⁵ Klandermans, B. (1984). Mobilization and Participation: Social-Psychological Expansions of Resource Mobilization Theory. *American Sociological Review*, 49(5), 583–600. <https://doi.org/10.2307/2095417>.

⁶ Meyer, D. S., & Minkoff, D. C. (2004). Conceptualizing Political Opportunity. *Social Forces*, 82(4), 1457–1492.

⁷ Oliver, P., Marwell, G., & Teixeira, R. 1985). A Theory of the Critical Mass. I. Interdependence, Group Heterogeneity, and the Production of Collective Action'. *Collective Action*, 35..

⁸ Morrison, D. E. (1971). Some Notes Toward Theory on Relative Deprivation, Social Movements, and Social Change. *American Behavioral Scientist*, 14(5), 675–690. <https://doi.org/10.1177/000276427101400504>.



self-efficacy⁹ and **collective efficacy theory**¹⁰. Self-efficacy is related to individuals' beliefs that they are capable to do a certain task or to execute a course of action in order to achieve some result, while the collective efficacy relates with individuals' perceptions of a group's capability to perform a certain task. The theory that links individuals' identity with groups or communities is called the **collective (social) identity theory**¹¹, where collective identity is defined 'as an individual's cognitive, moral, and emotional connection with a broader community, category, practice, or institution' (Polletta and Jasper, 2001). Coming together as a group that shares the same values, beliefs and personality traits does not warrant a course of action. Instead, an inception of the movement or collective action is needed. The areas of management and organizational theories, specifically the realm of **leadership and collective action theories**, may explain how a movement or a collective action is initiated. Leadership is imperative in terms of overcoming initial barriers along with the on-going challenges that collective actions face. Collective leadership can be defined as 'a dynamic leadership process in which a defined leader, or set of leaders, selectively utilize skills and expertise within a network, effectively distributing elements of the leadership role as the situation or problem at hand requires' (Friedrich et al., 2009). Contrary to this leadership style is the positional leadership, which relates the leader's position with the agency embedded in the position through which they act¹², most often seen in the activities from elected officials that are part of some governmental institution.

From a **political economics perspective**, collective action is not focused on the cooperative efforts to reach a certain mutual goal. Instead, collective action as a form of cooperation is concerned with the provisioning of public goods by two or more individuals (Sandler, 2015), along with the associated impact of externalities. However, the provisioning of a public good through collective action faces a major challenge described as the "tragedy of the commons", first described by Hardin. Using a pasture as an example, Hardin (1968) wrote '*each man is locked into a system that compels him to increase his herd without limit – in a world that is limited. Ruin is the destination toward which all men rush, each pursuing his own best interest in a society that believes in the freedom of the commons. Freedom in a commons brings ruin to all.*' This challenge was also addressed by Mancur Olson in his 'The Logic of Collective Action' book published in 1965. He argued that rational individuals will opt out of the collective action and will instead 'free ride' – enjoy the benefits of the non-excludable public good with no contributing costs. Wordland (1967) further claims: '*there is no natural, spontaneous incentive for groups of individuals with common interests to form into organizations for the sake of furthering such interests*'. Olson's contribution towards collective action theory can be summarized with three main insights: i) the group-size paradox, where provisioning of public goods decreases as group size increases, ii) the exploitation of the great by the small, where largest beneficiaries of the collective good have a disproportionately large burden in its production, and iii) overcoming collective action problems can be done with selective incentives (rewards and/or punishments) and appropriate institutional designs (Gavrillets, 2015).

Challenging the inevitability of Hardin's common-pool resource arguments, Ostrom provided eight design principles that she defined throughout her extensive work with communities around the world, observing how such self-governing communities managed their common-pool resources in an effective way. Ostrom's argues that for a common-pool resources to be sustained, there have to be i) clearly defined boundaries, ii) congruence between appropriation/provision rules and local con-

⁹ Wang, S.-L., & Lin, S. S. J. (2007). The effects of group composition of self-efficacy and collective efficacy on computer-supported collaborative learning. *Computers in Human Behavior*, 23(5), 2256–2268. <https://doi.org/10.1016/j.chb.2006.03.005>.

¹⁰ Watson, C. B., Chemers, M. M., & Preiser, N. (2001). Collective Efficacy: A Multilevel Analysis. *Personality and Social Psychology Bulletin*, 27(8), 1057–1068. <https://doi.org/10.1177/0146167201278012>.

¹¹ Davis, J., Love, T., & Fares, P. (2019). Collective Social Identity: Synthesizing Identity Theory and Social Identity Theory Using Digital Data. *Social Psychology Quarterly*, 82, 019027251985102. <https://doi.org/10.1177/0190272519851025>.

¹² Grint, K. (2005). *Leadership: Limits and Possibilities*. Macmillan International Higher Education.



ditions, iii) collective-choice arrangements, iv) monitoring, v) graduated sanctions, vi) conflict-resolution mechanisms, vii) minimal recognition of rights to organize and viii) nested enterprises (Gari et al., 2017). Her extensive field work across different regions of the world resulted in defining the self-governing factors for success when it comes to common-pool resources, but it also enabled her to systematically identify and link all contributing elements of a certain socio-ecological system. Ostrom's arguments go beyond sustainable management and use of common-pool resources and has applied these principles across different systems and social contexts, including the management of knowledge commons¹³ and climate change governance¹⁴.

3 Analyzing Collective Actions for Social and Societal Transformation

The main goal of this report is to provide better understanding of the catalysts and barriers to collective actions that result in transformational behavior change at large scales. To analyze collective actions, the social identity model of collective action¹⁵ (SIMCA) can be used, as it incorporates different collective action theories across multiple socio-psychological perspectives, outlining the perceived injustice, efficacy, and identity as predictors for collective action. The SIMCA model is extensively utilized as well as modified to analyze and explain collective actions for social and societal transformation. One modification of the SIMCA model is the Social Identity Model of Pro-Environmental Action¹⁶ (SIMPEA) model. These models are multidisciplinary in their nature as they utilize theories from various disciplines when analyzing collective actions. However, these models do not grasp the variety of macro societal or contextual elements that surround these collective actions, from the social, economic, and political elements to the interconnectedness of the subsystems that are present in the analyzed action.

In order to better connect the contextual elements of collective actions with individual and collective factors of efficacy, we adapt Ostrom's Socio-Ecological Systems (SES) framework to analyze collective actions. The SES framework is arguably the most comprehensible tool for analyzing interactions and outcomes in socio-ecological systems, providing different sets of variables that enable a coherent mode of analysis across systems of different complexities and scales¹⁷. Due to the adaptability of the set of variables included, this framework has been not only been used for understanding the linkages between human and natural systems, but also for analyzing the human-technical systems relations, such as in the context of energy community projects. Our review of various collective actions and movements for social and societal change resulted in the identification of important aspects that are already present within the SES framework. More specifically, within the original SES framework, analysis of the context is organized into four subsystems (resource systems, governance systems, resource units, and users) along with the macro environmental "political, social,

¹³ Ostrom, E., & Hess, C. (2007). A framework for analyzing the knowledge commons. In C. Hess & E. Ostrom (Eds.), *Understanding Knowledge as a Commons: From Theory to Practice* (pp. 41–82). The MIT Press.

¹⁴ Ostrom, E. (2010). Polycentric systems for coping with collective action and global environmental change. *Global Environmental Change*, 20(4), 550–557. <https://doi.org/10.1016/j.gloenvcha.2010.07.004>

¹⁵ Van Zomeren, M., Kutlaca, M., & Turner-Zwinkels, F. (2018). Integrating who "we" are with what "we" (will not) stand for: A further extension of the Social Identity Model of Collective Action. *European Review of Social Psychology*, 29(1), 122–160. <https://doi.org/10.1080/10463283.2018.1479347>.

¹⁶ Fritzsche, I., Barth, M., Jugert, P., Masson, T., & Reese, G. (2018). A social identity model of pro-environmental action (SIMPEA). *Psychological Review*, 125(2), 245–269. <https://doi.org/10.1037/rev0000090>.

¹⁷ McGinnis, M. D. and Ostrom, E. (2014). Social-ecological system framework: initial changes and continuing challenges. *Ecology and Society*, 19(2). <http://dx.doi.org/10.5751/ES-06387-190230>



and economic” settings. For our purpose, we retain all parts of the framework except for the resource system, and we further adapt the related variables that define each subsystem. When applied to collective actions, the selected subsystems affect the interactions and outcomes of the analyzed system.

Lastly, the entire analyzed system in which the collective action takes place is linked with other systems, defined in the original SES framework as related ecosystems. These related ecosystems are affected by the activities in the analyzed system, such as the case with externalities and influences flowing in related ecosystems (land, water, and air pollution). Our research showed that every collective action as a form of cooperation has direct or indirect influences on other cooperative activities within or across societies. As such, we outline an adapted SES framework for analyzing and comparing collective actions across different contexts and time periods by adapting Ostrom’s cross-disciplinary approach. This framework is presented in Figure 1, and it contains the subsystems as well as the connections of the system with the context.

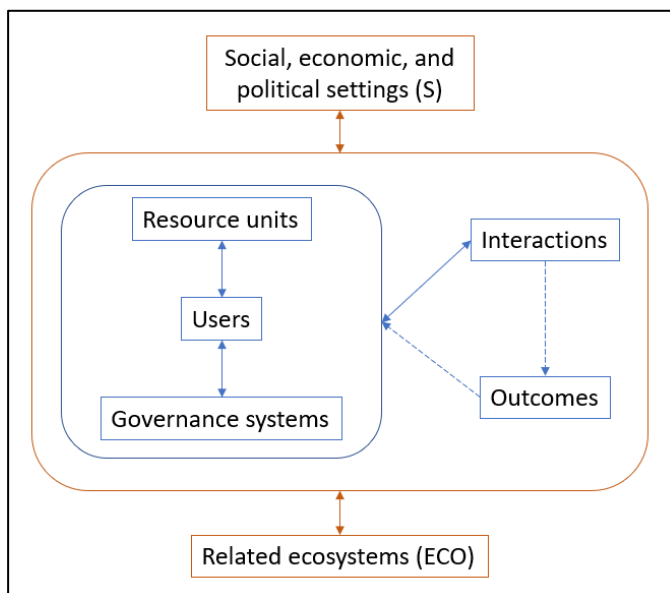


Figure 1 - The Adapted SES Framework for Analyzing Collective Actions

Source: Ostrom (2009)

Two case studies that will be analyzed by using this adapted framework happened in the United States of America across different time periods. The first case study details the complex relations between the tobacco industry and the society taking place over several decades across the 20th century, while the second case study focuses on the development and outcomes of the American Civil Rights movement, culminating between 1940s and 1960s, a century after slavery was abolished. Both cases are well-studied with an abundance of available literature, and they both relate the changing of individual and in-group norms and legal regulations to behavioral changes. Moreover, the two cases provide examples of large scale social and societal transformation occurring at varying rates, over different periods of time, and across different contexts that are characterized by different stakeholders, nature of the resource to be attained, and macro environmental factors. A total of 27 collective actions were examined. Of these, two were selected to demonstrate the framework and its ability to explain the catalyzing and the hindering factors for collective actions, and the varying influencing variables and subsystems. More details about the other analyzed collective actions can be found in the appendix.



3.1 Tobacco Industry

The energy transition represents a complex societal process in which collective actions will play a big role. To understand the drivers and barriers as well as the transformation pathways that collective actions bring in terms of social and behavioral change, we turn to the tobacco industry and its effects on the US society. Tobacco use in the USA has a long and complex history, one that provides a good example that public consensus does not guarantee any immediate regulatory action. Considering the nature and extent of tobacco use as a societal challenge and taking into account the decades-long efforts to introduce regulation, we aim to present the fall of the tobacco industry as a result of consistent societal efforts across different subsystems. As such, we provide a collective action overview of the “product that defined America”¹⁸, by using the adapted SES framework.

Social, Economic, and Political Settings (S)

The most important developments within this subsystem can be found in the introduction of legislation as well as the increased regulation of the tobacco industry. The most important steps of the evolution of such regulation¹⁹ across the social, economic, and political settings is presented hereinafter, categorized according to the area that this regulation influences mostly.

The social setting refers to the immediate physical and social setting in which people interact daily. The regulation that focuses mostly on the social context was passed on:

- 1966 - Health warnings first appear on cigarette packs in response to congressional legislation passed in 1965 (the Federal Cigarette Labelling and Advertising Act).
- 1975 - The Minnesota Clean Indoor Air Act goes into effect as the first state-wide law in the nation that requires separate smoking areas in public places.
- 1987 - Aspen, Colorado becomes the first city in the US to require smokefree restaurants.
- 1990 - San Luis Obispo, California becomes the first city in the world to eliminate smoking in all public buildings, including bars and restaurants.
- 1998 - California becomes the first state in the nation to eliminate smoking in bars.
- 2002 - Delaware's state-wide smoke free law goes into effect.
- 2010 - Youth access/marketing restrictions on tobacco products take effect and cigarette companies are prohibited from using "light", "low" and other misleading descriptors placed on the packaging.
- 2012 - North Dakota approves a comprehensive smoke free law by ballot initiative.
- 2018 - The U.S. Department of Housing and Urban Development implemented its final rule requiring all public housing agencies to have smoke free policies for all residential units and

¹⁸ Brandt, A. M. (2009). *The Cigarette Century: The Rise, Fall, and Deadly Persistence of the Product That Defined America*. UK: Hachette.

¹⁹ American Lung Association. (2021). *Tobacco Control Milestones*. Available at: <https://www.lung.org/research/sotc/tobacco-timeline#filter-bar> [Accessed 01.11.2021]



common areas in place.

- 2019 - Congress approved and the President signed legislation raising the tobacco sales age to 21 across the country. Nineteen states and DC had passed state Tobacco 21 laws prior to the national law passing in December.

The economic setting is defined by the set of measures related to the general state of the economy, and the influence on people's monetary power and expenditure. As such, the most prominent economic legislation was introduced in:

- 1988 - California voters approve Proposition 99, which increased the cigarette tax by 25 cents and dedicated some of the revenue to create the first comprehensive state-wide tobacco control program in California.
- 1998 - Attorneys General from 46 states and the tobacco industry reach the landmark Master Settlement Agreement to reimburse state government for tobacco-related health care costs.

The political setting is the set of rules that shape the regulatory environment, but in this context, it refers to the political and legislative decisions made as imperative for addressing the societal tobacco issues. These decisions were made on:

- 1987 - Congress prohibits smoking on domestic flights of less than two hours.
- 1989 - A bill passed Congress prohibiting smoking on all domestic airlines.
- 1995 - The U.S. Food and Drug Administration asserts jurisdiction over tobacco products by declaring nicotine a drug.
- 2000 - The U.S. Supreme Court rules in a 5-4 decision that the U.S. Food and Drug Administration could not assert authority over tobacco products without being given the power to do so by Congress. Afterwards, the efforts turn to the Congress to pass the needed legislation.
- 2004 - The United States signs the Framework Convention on Tobacco Control Treaty, which is the world's first tobacco control treaty and establishes international guidelines for countries to implement and control tobacco use and addiction.
- 2006 - Judge Kessler releases her final ruling in the U.S. Department of Justice's federal suit against the tobacco companies. Judge Kessler finds that the tobacco industry had lied for more than 40 years and has deceived the American public on health issues and marketing to children.
- 2009 - President Obama signs legislation granting the U.S. Food and Drug Administration regulatory authority over tobacco products. Tobacco products are now no longer exempt from basic oversight.
- 2016 - The U.S. Food and Drug Administration (FDA) takes oversight authority over all tobacco products, including cigars, hookah and e-cigarettes.
- 2020 - FDA issued a final rule requiring graphic warning labels on cigarettes as required by a March 2019 U.S. District Court order.



Resource Units (RU)

Adopting the SES framework for analyzing collective actions relates with providing a different nature to the analyzed resource. Instead of taking an ecological resource (such as fisheries, forests, ponds, lakes, and other biological and ecological areas), we conduct the analysis by considering the resource to be of a different nature, either a tangible or an intangible one. This means that such resource can take various forms, and in our case, we take people's health as a resource, one that we would like to protect from tobacco-related diseases. One of the ways in which the associated economic value of this resource unit can be characterized is by considering the healthcare expenditures on treating smoking-related diseases. More specifically, the economic cost of smoking in the US includes the direct medical care costs as well as the lost productivity costs due to smoking-related illness and premature death. When both aspects are taken into account, the economic costs of smoking in the US exceeds \$300 billion per year²⁰.

Governance Systems (GS)

This subsystem of the SES framework includes the government and non-government organizations, the rules and regulations used in the system, as well as the related processes and procedures that are used to implement the regulations. The societal struggle to introduce control measures for the tobacco industry included various government as well as non-government organizations. Most notably, many argue that the shift towards increasing control happened after the landmark report of the Surgeon General was published in 1964. More specifically, this was the first such governmental report that linked smoking cigarettes with dangerous health effects, including lung cancer and heart disease. Aside of the Surgeon General, governmental organizations such as the US Food and Drug Administration, the US Department of Housing and Urban Development as well as the US Environmental Protection Agency played a crucial role in the societal fight against the tobacco industry. The Congress also played a crucial role in terms of introducing the new legislation. On the other hand, the American Lung Association, a voluntary organization, made significant contribution across different areas. Through research, education, advocacy, and lobbying, the American Lung Association was one of the crucial non-governmental players that helped reshape the society.

Users (U)

The "users" subsystem of the SES framework relates to any user or actor within the analyzed system, described by the original variables that include their number, their socioeconomic attributes and norms, as well as the presence of leadership in the system. In our case, the "users" subsystem may include the current and potential smokers, community leaders responsible for initiating any form of collective action against smoking, government leaders, different tobacco companies and other stakeholders directly or indirectly connected with this context. Analyzing the users in this case study provides a unique opportunity to go beyond the number of tobacco users and instead, focus our attention on the leadership variable that had a major impact on the overall context. We begin this

²⁰ Hall, W. and Doran, C. (2016). How Much Can the USA Reduce Health Care Costs by Reducing Smoking? PLOS Medicine, 13(5). doi:10.1371/journal.pmed.1002021.



analysis by focusing on collective actions against smoking – community tobacco control actions across the US. Throughout the past decades, society responded to the growing concerns of tobacco's harmful effects by taking small-scale, community-led measures. Intended to reduce harm, different community actions were organized in the areas of public policy, clinical treatment of nicotine dependence and youth development, often organized through local, community leaders. Assuming they had little to no significant effect on policy changes, these grassroots activities taken at a small-scale, community level, show a clear bottom-up response to the perceived harm of tobacco products. In short, these small collective actions did not manage to assemble critical mass that brought about social and societal change. However, the organization of such community activities as well as the steady decrease of smoking rates shows a clear pattern of changing norms²¹. These growing small-scale community concerns shifted the narrative and perception of people, from smoking 'being cool' towards 'smoking is bad for your health', further strengthening the role of ties within the community to reduce smoking rates. As such, collective activities and cooperative actions from a bottom-up perspective surely had a positive influence on decreasing smoking rates and 'word of mouth' information and education sharing, but the main shift and influence on the industry happened with the Surgeon General's report. Based on more than 7000 biomedical articles, the report concluded that cigarette smoking causes lung and laryngeal cancer and is the most important cause of chronic bronchitis²². It was a first in a series of steps intended to decrease tobacco use and is largely seen as the first governmental step towards imposing federal control on the tobacco industry. Opposite of small-scale, community leadership approaches, the publication of this crucial report is seen as the start of a new story, one in which the society through its government takes action against the tobacco industry. This type of leadership coming from the Surgeon General position is called positional leadership, as it uses the power of the position to which the person was elected. It was the Surgeon General who enabled such 'chain reaction' to take place on a higher level with a top-down approach, publishing the first government-backed proof about the damaging health effects of smoking. His report was the basis of introducing new legislation, such is the Federal Cigarette Labelling and Advertising Act just one year after the report was published. The introduction of new legislation forced the industry to become more creative and explore new segments of the market for its products.

Interactions (I)

The interactions segment of the SES framework covers all activities between the subsystems, including the information sharing among users, the deliberation processes and the conflicts among the users. This part also includes the networking and self-organizing activities as well as the investment and lobbying activities of the users. Considering the complexity of the tobacco story that grappled US society, the interactions across the decades relate to various activities between the many different stakeholders. Following the SES framework, we can use the suggested 'harvesting levels' variable to analyze either the number of laws that regulate the tobacco industry and use, or the tobacco-related diseases. In both cases, these 'harvesting levels' increased in the last decades – increasing regulation as well as increasing tobacco-related diseases, as seen in the previous sections. In terms of the information sharing element, there is strong evidence of a decades-long con-

²¹ Karasek, D., Ahern, J. and Galea, S. (2012). Social Norms, Collective Efficacy, and Smoking Cessation in Urban Neighborhoods. *American Journal of Public Health*, 102(2): 343-351.

²² CDC. (2022). History of the Surgeon General's Reports on Smoking and Health. Available at: https://www.cdc.gov/tobacco/data_statistics/sgr/history/index.htm [Accessed 27.01.2022]



spiracy by the tobacco industry ‘to resist smoking restrictions, restore smoker confidence and preserve product liability defense’²³. Information sharing can also be found within and across communities and bottom-up activities, as small-scale collective actions provided cross-group support to decrease the harmful effects of tobacco use.

When it comes to investment and lobbying activities, most notable are the industry’s ‘investment’ efforts to retain power through buying scientific and other expertise to create controversy about established facts, investing in political parties, influencing policy through lobbyists, managing front groups to oppose tobacco control measures, pressing for weaker laws to be introduced, corrupting public officials, conducting various PR campaigns and other power- and interests-increasing activities¹⁸. The lobbying and influence activities conducted by the non-governmental sector and especially by the American Lung Association were also present, however they had a limited influence compared to the influence of the tobacco industry. Self-organizing activities of different NGOs, communities and citizens also fall in the interactions category, made possible through the variety of networks that were established in different countries. Networking activities within the tobacco industry were evident through the collusion activities as well as the use of allied industries to oppose tobacco control. In fact, the interactions paint a clear picture of the societal struggle to introduce control measures to one of the most-powerful industries in the US at that time.

The introduction of regulation between 1960s and 2010s enabled the government to impose control measures to a previously uncontrollable industry. The road to imposing each piece of legislation was followed by strong discontent from the industry, often countered with media campaigns²⁴ that concurrently helped the industry to target new customer groups. For example, in 1940s, the industry used doctors’ endorsements to negate any health threats and acquire new customers, while in the 1950s and 1960s, media campaigns across different TV programs were filled with celebrity endorsements of different tobacco products. The 1990s saw the introduction of kid-friendly characters and different cartoon characters that the industry used to its advantage, changing the focus towards the realms of sports and event marketing in the 1990s and the 2000s.

Outcomes (O)

The interactions between users and subsystems lead to outcomes, in the context of the adapted SES framework. Among the social performance measures or outcomes that resulted from the interactions are the limits and controls imposed on the tobacco industry to promote its products, along with various warnings and markings on the tobacco products intended as a deterrent. In terms of public health protection, new legislation banned smoking indoors and created smoke-free zones, while the externalities section describes the effects of imposed smoking control on vaping and non-tobacco smoking products. New legislation to protect public health is a direct outcome of the interactions, which in turn contributed to the 30% decrease of the smoking rates in the last decades, as seen in figure 2. The continuing decrease of cigarette smoking rates also influences the smoking related deaths, as seen in figure 3.

²³ Saloojee, Y. and Dagli, E. (2000). Tobacco industry tactics for resisting public policy on health. *Bulletin of the World Health Organization*, 78(7).

²⁴ Ibrahim, J. K. and Glantz, S. A. (2007). The Rise and Fall of Tobacco Control Media Campaigns, 1967–2006. *American Journal of Public Health*, 97(8): 1383-1396. doi: <https://dx.doi.org/10.2105%2FAJPH.2006.097006>

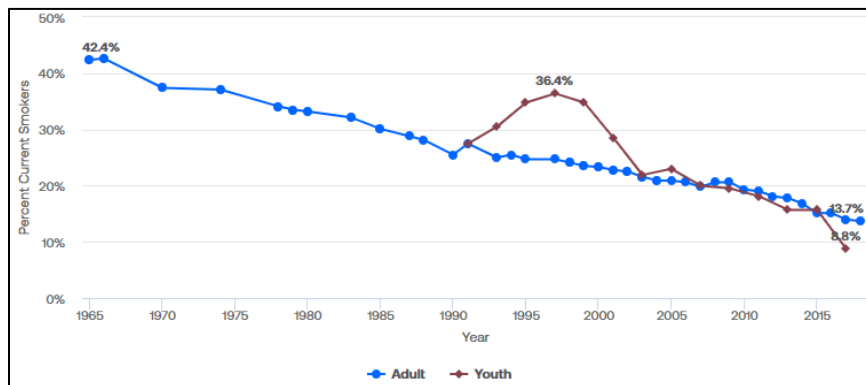


Figure 2 – Trends in Cigarette Smoking Rates

Source: Adapted from American Lung Association (2021)

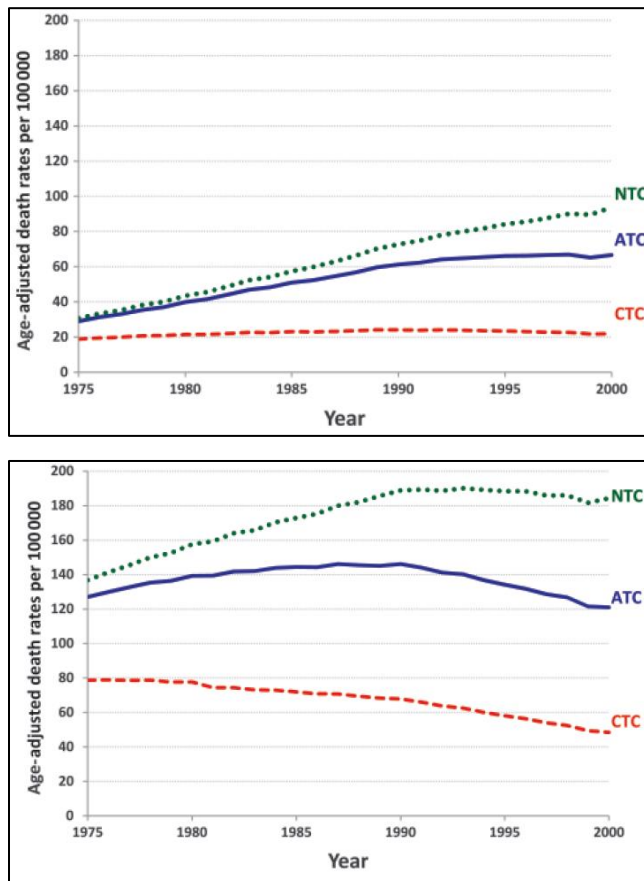


Figure 3 - Lung Cancer Death Rates (women above, men below) ²⁵

Source: Moolgavkar et al. (2012)

²⁵ Scenario explanation: NTC - no tobacco control measures implemented; ATC - actual situation; CTC - complete tobacco control (no smoking after 1965)



Related Ecosystems (ECO)

Adapting the “related ecosystems” subsystem of the framework means relating the outcomes of the interactions to other geographies, regions and/or countries. On a regional level, tobacco control measures were jumpstarted in Minnesota through its 1975 Clean Indoor Act, in 1987 when Aspen, Colorado became the first city in the US to require smoke free restaurants and in California in 1988 through Proposition 99, which increased cigarettes tax. The introduction of legislation to control the tobacco industry in the US has also been achieved across global scales, especially with the introduction of the Framework Convention on Tobacco Control by the WHO²⁶. After the initial introduction, further global tobacco measures have been introduced to strengthen the tobacco control practices. As such, similar societal struggles as the one with tobacco in the US were also evident across different regional and global scales.

Summary of the Collective Action

The story of tobacco in the American context is a story filled with power-exerting and lobbying influences from the industry on the legislative bodies on the one hand, and the varied activities from governmental institutions and non-governmental organizations and communities in the attempt to protect public health. The story is a clear example that small-scale, bottom-up activities had limited impact towards changing regulation and changing norms on a higher, regional, or national scale. In fact, the community leaders that took action to decrease tobacco’s harmful effects had such limited impact due to the industry’s exceptional power to thwart their efforts. Rather, the most important pressure was exerted by introducing legislation, initiated by the Surgeon General. More specifically, the Surgeon General took a central leadership role when he published the first government-backed findings on the damaging effects that tobacco has. This example of positional leadership was seen as the shift in the government’s positioning towards limiting tobacco industry’s power and protecting public’s health. However, even after the report was out, control measures were not immediately implemented as the influence of the industry was still strong. Nevertheless, public’s awareness and concern were growing, giving the whole story a certain lifecycle as presented on figure 4 below.

²⁶ Flor, L. S., Reitsma, M. B., Gupta, V., Ng, M., & Gakidou, E. (2021). The effects of tobacco control policies on global smoking prevalence. *Nature Medicine*, 27(2), 239–243. <https://doi.org/10.1038/s41591-020-01210-8>.

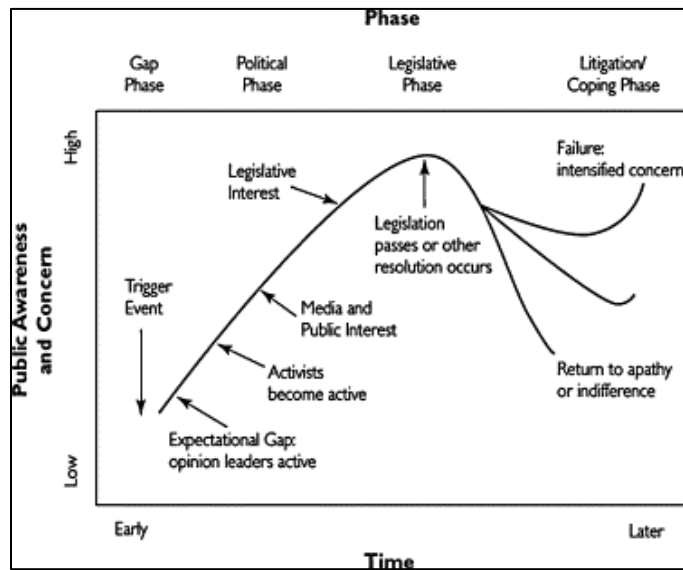


Figure 4 - Temporal Dynamics of Issue Lifecycles

Source: Rivoli and Waddock (2011)

The analysis of this case study offers evidence for how to combat negative social effects, lessons that may also be used when dealing with various global industries that have a negative environmental and public health effect.

3.2 The Civil Rights Movement

The American Civil Rights Movement was a mass protest movement against racial segregation and racial discrimination in the United States. Deeply rooted in the centuries-long efforts of enslaved Africans, the movement took place throughout the 1950s and 1960s by Black Americans fighting to gain equal rights and protection of the law. After slavery was abolished in the US, discrimination as well as oppression against former slaves in the country continued. Black Americans rose against prejudice and violence against them in the form of non-violent protests, starting in the American South and later expanding to other parts of the country. For two decades, they fought for equal voting rights, access to equal education, and for ending the legal segregation. We use the modified SES framework to analyze the different subsystems that were present within this movement, identifying the different natures of the resource in question.

Social, Economic, and Political Settings (S)

The most important developments within this subsystem can be found in the introduction of legislation against racial discrimination and segregation, which is the direct effect of the social movement.



The most important steps of the evolution of such legislation²⁷ are presented in the following timeline:

- 1948 – President Harry Truman issues Executive Order 9981, abolishing racial segregation in the US military.
- 1954 – US Supreme Court in *Brown v. Board of Education* ended racial segregation in public schools.
- 1957 – The Civil Rights Act of 1957 is signed, protecting voting rights and empowering federal prosecutors.
- 1964 – The Civil Rights Act of 1964 is signed, ending discrimination based on race, color, religion, or national origin.
- 1965 – The Voting Rights Act is signed, addressing all the legal and illegal methods that the Civil Rights Act of 1964 lacked.
- 1968 – The Civil Rights Act of 1968 (known as the Fair Housing Act) is signed, providing equal housing opportunity regardless of sex, religion, or national origin.

Resource Units (RU)

Adopting the modified SES framework to analyze this subsystem of the civil rights movement means defining the resource in question. To present the effects of the racial discrimination and segregation of Black Americans, we select the access to labor markets and employment, levels of personal income, and the number of voters and elected officials as resources to be attained. In other words, the resource units can be seen as the resources that Black Americans were deprived of, due to the systemic and lawful discrimination and segregation.

Governance Systems (GS)

Different governmental and non-governmental organizations (NGOs) took part, directly or indirectly, in the civil rights movement. From the governmental side, the US President Lyndon B. Johnson, the US Senate and the US House of Representatives played a major role in adopting the legislation and ending the lawful racial discrimination and segregation. Moreover, the US Supreme Court upheld lower courts' rulings, as was with the case of the Montgomery bus system's segregation. Among the non-governmental organizations that played a key role in the success of the movements are the local NGOs/community organizations as well as the local churches that acted as the cohesive element within different communities. Local churches and community organizations were imperative at gathering and sustaining the movements' inertia towards societal change, organizing various collective participative activities. From educational to purely informational, such small collective actions led to the movement's success.

²⁷ Britannica. (2021). Riding Freedom: 10 Milestones in U.S. Civil Rights History. Available at: <https://www.britannica.com/list/riding-freedom-10-milestones-in-us-civil-rights-history> [Accessed 20.12.2021]



Users (U)

The “users” of the civil rights movement include not only individuals who participated in the movement, but also the many different small-scale collective actions that had the same goal. These small-scale actions are mostly characterized by community coordination activities to participate in small, local events that further grew through the snowball effect. One can easily state that critical mass was reached within this movement, and that in terms of the number of users, in the end it became a societal movement supported by many, if not by the majority of the citizens. Analyzing the users of this collective action can also be done by looking at the small-scale initiatives that came from different neighborhoods across the country. From local church-led initiatives such as the case of The Southern Christian Leadership Conference, to student activities including The Student Nonviolent Coordinating Committee and Students for a Democratic Society (SDS), the movement was characterized by different collective actions of various scopes. A deeper insight into these activities can be found in the appendix. Aside of the number of users and collective actions, another important aspect of this subsystem stands to be the leadership style. Considering the different small-scale activities within communities, the early stages of the movement where the critical mass was formed can easily be described as a model of community leadership, as explained in the second section of the report. Afterwards, as prominent figures such as Martin Luther King Jr., Rev. Fred Shuttlesworth, Rosa Parks, Rev. Abraham Woods, and W.E.B. Du Bois took the central place and role of the movement, the small-scale activities described by the community leadership style evolved towards positional leadership – individuals who were selected by the many, thus gaining legitimacy to lead the movement. The positional leadership can also be found in the official offices of the President, the Senate, and the House of Representatives. These offices, despite acting in a reactive manner, took the necessary steps towards ending the lawful racial segregation and discrimination. The movement was successful not only because it gained political/positional understanding and help. Such positional activities were reactive to the critical mass formed, which included not only Black Americans, but also people of all colors. In fact, the movement was successful because it succeeded in shifting the individual and social norms, norms that were dominant prior to the movement. Changing such individual and social norms is needed for huge social and societal achievements to be possible, and for lasting changes to be ensured. The political support and the changing social norms go hand in hand – regardless of what came first, the result was achieved only because support was provided to the cause across all societal levels and among every social actor. The different small-scale community activities that gave birth to the movement that opposed the legislation in place, grew to become activities aimed at changing individual and social norms. Such changes on a personal and in-group level were only possible when people, regardless of their societal position and color of skin, put themselves in the position of the other, and attempted to understand their position within society, which surely influenced their individual and in-group norms. These changes were possible, among other things, due to the evolutionary behavioral aspect that is empathy. This collective action shows that to bring vast social and societal changes such the civil rights movement did, aside of having positional leadership and political support, individual and group norms must change.

Interactions (I)

The interactions between the different subsystems resulted in bringing new legislation to protect and remove the lawful racial discrimination and segregation, facilitated through the information sharing and the coordination of activities among the small-scale collective actions in and between communities. From individuals, NGOs, and local churches to the leadership positions of the movement, the organizing and networking activities had a cross-country nature. Collaboration efforts went beyond countries’ borders, while the lobbying activities were fierce across different state and federal levels. In a way, the movement gave life to every part of the society to demand change. With the



main opposition for such change coming from the Southern states, many of the activities were targeted and happened in this part of the US. As seen in the appendix, different activities were organized in order to test the new legislation in the South, which resulted in violence against the movement organizers and participants. Despite the opposition, such activities persisted until change was finally introduced.

Outcomes (O)

Despite the strong opposition from Southern states' citizens and representatives, the movement managed to bring the needed legislative, social and societal change. In terms of the social performance measures, the new laws ended lawful racial segregation and discrimination, effectively leading to a substantial, if not total, decrease of discrimination based on race, color, religion, or national origin. Before the Voting Rights Act was passed, around 23% of eligible Black voters were registered across the US, and by 1969 that number rose to 61%²⁸. Ending the lawful racial discrimination led to an increase of the workforce numbers, improvement of the productivity of the countries, and the overall improvement of the social and economic circumstances of all Americans. In short, removing lawful discrimination effectively improved the state of the Union, and the effects of ending discrimination are best depicted by the following figures²⁹.

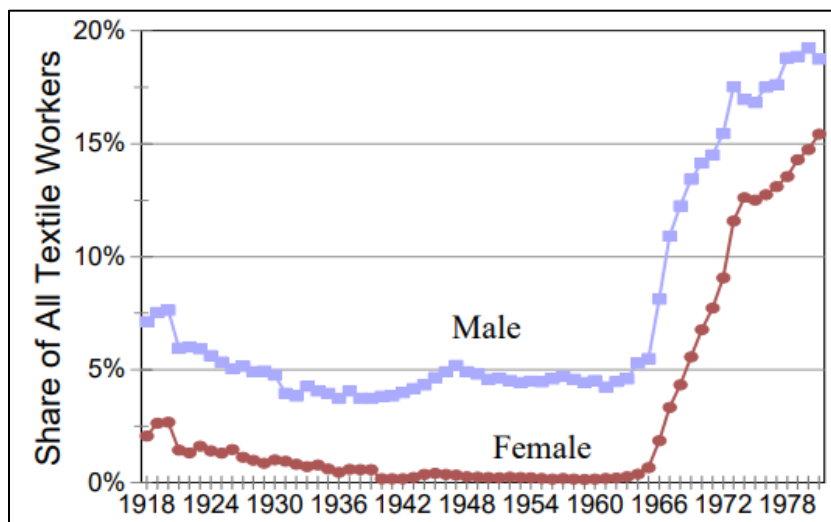


Figure 5 - Share of Black Americans Textile Workers

²⁸ Pruitt, S. (2021). When Did African Americans Actually Get the Right to Vote? Available at: <https://www.history.com/news/african-american-voting-right-15th-amendment> [Accessed 31.01.2022]

²⁹ Wright, G. (2006). The Economics of the Civil Rights Revolution, in Winfred O. Moore, Jr., and Orville Vernon Burton (eds.), *Toward the Meeting of the Waters: The Civil Rights Movement in South Carolina*. Available at: <https://economics.yale.edu/sites/default/files/files/Workshops-Seminars/Economic-History/wright-061206.pdf> [Accessed 20.12.2021]

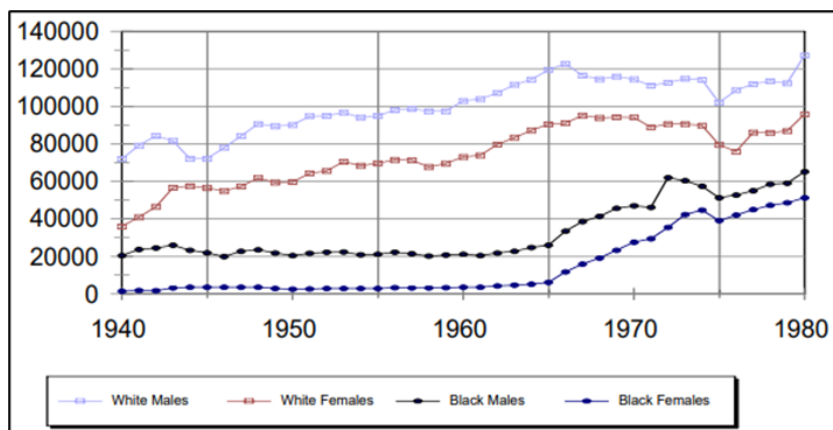


Figure 6 - Employment in South Carolina (manufacturing, 1940-1980)

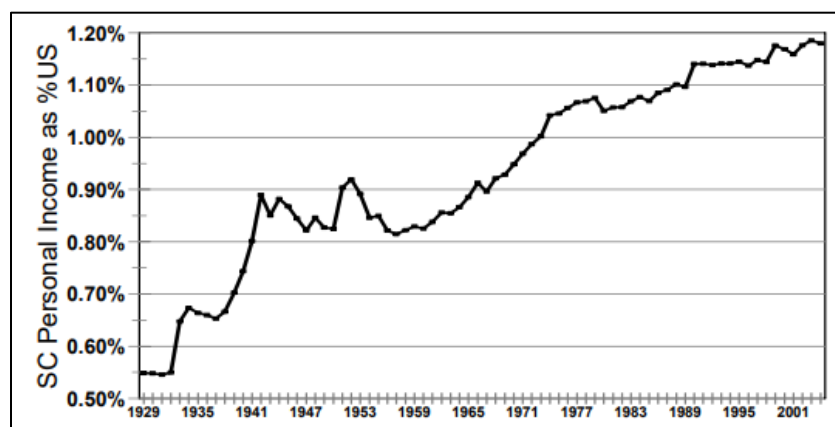


Figure 7 - South Carolina Personal Income (1929-2004)

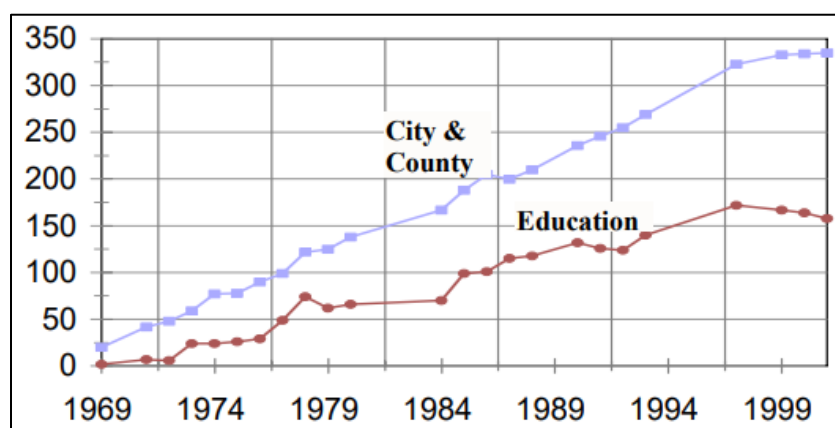


Figure 8 - Black Americans as Elected Officials (South Carolina, 1969-2001)



Related Ecosystems (ECO)

The success of the civil rights movement had positive impacts on other social and societal changes that followed in the country. More specifically, the civil rights movement had a positive influence on the women's liberation movement in many different ways. The movement was seen as a perfect model for bringing the needed social change of such scales, and how should such movements be organized. Also, women were already included in the leadership forms of the civil rights movement, thus the movement broadened the concept of leadership across genders. The civil rights movement changed narratives and norms, enabling a culture of advocacy to be born. In fact, the movement shed light on social issues and social justices as valid and legitimate causes for societal action. As such, the movement had tremendous effects on other social and collective actions in the USA.

Summary of the Collective Action

The Civil Rights Movement that took place in the US across the 1940s and the 1960s is one of the most effective examples of a collective action that brought societal change. The movement managed to introduce social and societal changes across different segments, ending the lawful racial segregation and discrimination as well as changing individual and social norms across the country. Through coordination and information sharing, the initial small-scale community activities soon evolved in large protests that shook the country, with clear evolution of the leadership style that was prominent – from community leadership, enacted through religious officials and different community leaders, to positional leaders that became the face of the social movement. This collective action was able to include people beyond the ones that were discriminated and segregated, enabling a critical mass to be formed across skin color, ethnicity, religion, or national origin. The success of the movement was not only because it managed to change legislation and end lawful racial discrimination, but because it did more than that – it changed the narrative, it influenced and changed individual and social norms. Through empathy and stepping out of their comfort zone to understand the position of the others, people of different ethnicities and backgrounds joined the movement, leading to the large-scale social changes. One of the biggest lessons that the movement teaches is the need for changing the individual and social norms when societal changes are needed. Moreover, the movement shows that in line with the on-the-ground activities, political and institutional support is needed for such change to be instated.

4 Collective Actions and the ENCLUDE Academy for Energy Citizen Leadership

Analyzing the two collective actions brings valuable insights that may be applied on the energy transition context. More specifically, the two case studies show the different transformation pathways through which change happens at large scale. While tobacco's story points towards the need of a positional leadership as a crucial element for imposing control measures on an incumbent source of power and influencing social norms, the Civil Rights Movement reveals the role and importance of small-scale collective actions and community leadership for introducing legislation and bringing the needed social change. These collective actions are also centered around different resources – cigarettes as a tangible product, and justice as a non-tangible resource. As the energy transition has elements from both collective actions, meaning that both positional or legislative support as well as changing people's norms and behavior is needed, the insights from the analysis may be related not only to the use of technology and the related practices, but also to the justice elements



found within the changes that need to be carried in the future. Moreover, the collective actions presented in this document will enable participants of the Academy to witness the different influencing factors of the 'how' and 'why' of large-scale social and societal changes, outlining the different transformation pathways, the different types of leadership, the variety of stakeholders in the collective action and the rate at which change happens.

Considering the complexities of collective actions that inevitably encompass various related theories, the Academy will focus on the context of the action and the end results achieved, outlining the different types of leadership across the activities and the role of communities. Starting from the individual as the main block, the Academy will incorporate collective action examples of different sizes across its five modules. More specifically, the Academy will utilize different collaborative activities to outline cooperation across different scales, including:

- The individual aspect, as the main building block of every collective action, along with the related theories that are directly related to this type of actors,
- The community aspect, as a higher organizational level composed of multiple individuals, along with the related theories that link individuals and stress the importance of in-group traits,
- The regional or sectorial aspect, linking cross-group traits, beliefs and macro-environmental characteristics that explain such groupings and,
- The national aspect, where different individuals, regions, communities, and sectors share certain characteristics in what defines the 'we' and its importance for collective actions.

The Academy has multiple objectives, and this document or database of collective actions will help participants gain insight into the importance of collective action for decarbonization. It will also provide a perspective of the different ways in which collective actions can happen, from their inception to their evolution. The multidisciplinary approach to present the nature of collective actions will serve as a basis for knowledge co-creation within the Academy, as the target audience are stakeholders of various societal structures from different cross-European contexts.



References

- Anderson, A. (2017). To understand why we behave the way we do, we need to zoom out. *New Scientist*. Retrieved December 10, 2021, from <https://www.newscientist.com/article/mg23531341-000-to-understand-why-we-behave-the-way-we-do-we-need-to-zoom-out/>
- A Status Theory of Collective Action | Sociology. (n.d.). Retrieved December 2, 2021, from <https://sociology.stanford.edu/publications/status-theory-collective-action>
- Acosta, C., Ortega, M., Bunsen, T., Koirala, B., & Ghorbani, A. (2018). Facilitating Energy Transition through Energy Commons: An Application of Socio-Ecological Systems Framework for Integrated Community Energy Systems. *Sustainability*, 10(2), 366. <https://doi.org/10.3390/su10020366>
- American civil rights movement | Definition, Protests, Activists, & Facts | Britannica. (n.d.). Retrieved December 21, 2021, from <https://www.britannica.com/event/American-civil-rights-movement>
- Ancelovici, M. (2021). Conceptualizing the context of collective action: An introduction. *Social Movement Studies*, 20(2), 125–138. <https://doi.org/10.1080/14742837.2021.1886503>
- Ancelovici, M. (2021). Conceptualizing the context of collective action: An introduction. *Social Movement Studies*, 20(2), 125–138. <https://doi.org/10.1080/14742837.2021.1886503>
- Apicella, C. L., & Silk, J. B. (2019). The evolution of human cooperation. *Current Biology*, 29(11), R447–R450. <https://doi.org/10.1016/j.cub.2019.03.036>
- Araral, E. (2014). Ostrom, Hardin and the commons: A critical appreciation and a revisionist view. *Environmental Science & Policy*, 36, 11–23. <https://doi.org/10.1016/j.envsci.2013.07.011>
- Armstrong, L. S. & L. (2018). Social Change and the Global Environment. Scientific e-Resources.
- Bauwens, T., Gotchev, B., & Holstenkamp, L. (2016). What drives the development of community energy in Europe? The case of wind power cooperatives. *Energy Research & Social Science*, 13, 136–147. <https://doi.org/10.1016/j.erss.2015.12.016>
- Belle, D. A. V. (1996). Leadership and Collective Action: The Case of Revolution. *International Studies Quarterly*, 40(1), 107. <https://doi.org/10.2307/2600933>
- Boyd, R., & Richerson, P. J. (2009). Culture and the evolution of human cooperation. *Philosophical Transactions of the Royal Society B: Biological Sciences*, 364(1533), 3281–3288. <https://doi.org/10.1098/rstb.2009.0134>
- Brandt, A. M. (2012). Inventing Conflicts of Interest: A History of Tobacco Industry Tactics. *American Journal of Public Health*, 102(1), 63–71. <https://doi.org/10.2105/AJPH.2011.300292>
- Burnham, T. C., & Johnson, D. D. P. (2005). The Biological and Evolutionary Logic of Human Cooperation. *Analyse & Kritik*, 27(1), 113–135. <https://doi.org/10.1515/auk-2005-0107>
- CDCTobaccoFree. (2021, October 6). Fast Facts. Centers for Disease Control and Prevention. https://www.cdc.gov/tobacco/data_statistics/fact_sheets/fast_facts/index.htm
- Centola, D. M. (2013.). Homophily, networks, and critical mass: Solving the start-up problem in large group collective action. *Rationality and Society*, 25(1), 3-40. Doi: 10.1177/1043463112473734.
- Colding, J., & Barthel, S. (2019). Exploring the social-ecological systems discourse 20 years later. *Ecology and Society*, 24(1). <https://doi.org/10.5751/ES-10598-240102>
- Cole, D., Epstein, G., & McGinnis, M. (2019). The Utility of Combining the IAD and SES Frameworks. *International Journal of the Commons*, 13(1), 244–275. <https://doi.org/10.18352/ijc.864>
- Cummings, K. M. (1999). Community-wide interventions for tobacco control. *Nicotine & Tobacco Research: Official Journal of the Society for Research on Nicotine and Tobacco*, 1 Suppl 1, S113-116. <https://doi.org/10.1080/14622299050011701>



- Davis, J., Love, T., & Fares, P. (2019). Collective Social Identity: Synthesizing Identity Theory and Social Identity Theory Using Digital Data. *Social Psychology Quarterly*, 82, 019027251985102. <https://doi.org/10.1177/0190272519851025>
- Delgado-Serrano, M. del M., & Ramos, P. (2015). Making Ostrom's framework applicable to characterise social ecological systems at the local level. *International Journal of the Commons*, 9(2), 808–830. <https://doi.org/10.18352/ijc.567>
- DeMarrais, E., & Earle, T. (2017). Collective Action Theory and the Dynamics of Complex Societies. *Annual Review of Anthropology*, 46(1), 183–201. <https://doi.org/10.1146/annurev-anthro-102116-041409>
- Editors, H. com. (n.d.). Civil Rights Movement Timeline. HISTORY. Retrieved December 20, 2021, from <https://www.history.com/topics/civil-rights-movement/civil-rights-movement-timeline>
- Edwards, B., & Gillham, P. F. (2013). Resource Mobilization Theory. In *The Wiley-Blackwell Encyclopedia of Social and Political Movements*. John Wiley & Sons, Ltd. <https://doi.org/10.1002/9780470674871.wbespm447>
- Eisinger, P. K. (1973). The Conditions of Protest Behavior in American Cities. *The American Political Science Review*, 67(1), 11–28. <https://doi.org/10.2307/1958525>
- Elinor_Social Cooperation in Collective-Action Situations.pdf. (n.d.). Retrieved December 2, 2021, from https://dlc.dlib.indiana.edu/dlc/bitstream/handle/10535/7993/Elinor_Social%20Cooperation%20in%20Collective-Action%20Situations.pdf?sequence=1&isAllowed=y
- Emmons, K. M., Kawachi, I., & Barclay, G. (1997). Tobacco control: A brief review of its history and prospects for the future. *Hematology/Oncology Clinics of North America*, 11(2), 177–195. [https://doi.org/10.1016/s0889-8588\(05\)70425-1](https://doi.org/10.1016/s0889-8588(05)70425-1)
- Epstein, G., Bennett, A., Gruby, R., Acton, L., & Nenadovic, M. (2014). Studying Power with the Social-Ecological System Framework. In M. J. Manfredo, J. J. Vaske, A. Rechkemmer, & E. A. Duke (Eds.), *Understanding Society and Natural Resources: Forging New Strands of Integration Across the Social Sciences* (pp. 111–135). Springer Netherlands. https://doi.org/10.1007/978-94-017-8959-2_6
- Faysse, N., & Mustapha, A. B. (2017). Finding common ground between theories of collective action: The potential of analyses at a meso-scale. *International Journal of the Commons*, 11(2), 928–949. <https://doi.org/10.18352/ijc.776>
- Flesher Fominaya, C. (2010). Collective Identity in Social Movements: Central Concepts and Debates: Collective Identity in Social Movements. *Sociology Compass*, 4(6), 393–404. <https://doi.org/10.1111/j.1751-9020.2010.00287.x>
- Flor, L. S., Reitsma, M. B., Gupta, V., Ng, M., & Gakidou, E. (2021). The effects of tobacco control policies on global smoking prevalence. *Nature Medicine*, 27(2), 239–243. <https://doi.org/10.1038/s41591-020-01210-8>
- Friedrich, T. L., Vessey, W. B., Schuelke, M. J., Ruark, G. A., & Mumford, M. D. (2009). A framework for understanding collective leadership: The selective utilization of leader and team expertise within networks. *The Leadership Quarterly*, 20(6), 933–958. <https://doi.org/10.1016/j.leaqua.2009.09.008>
- Fritsche, I., Barth, M., Jugert, P., Masson, T., & Reese, G. (2018). A social identity model of pro-environmental action (SIMPEA). *Psychological Review*, 125(2), 245–269. <https://doi.org/10.1037/rev0000090>
- Gari, S., Newton, A., Icely, J., & Delgado-Serrano, M. M. (2017). An Analysis of the Global Applicability of Ostrom's Design Principles to Diagnose the Functionality of Common-Pool Resource Institutions. *Sustainability*, 9(7), 1287. <https://doi.org/10.3390/su9071287>
- Gavrillets, S. (2015). Collective action problem in heterogeneous groups. *Philosophical Transactions of the Royal Society B: Biological Sciences*, 370(1683), 20150016.



<https://doi.org/10.1098/rstb.2015.0016>

Geels, F. W., & Penna, C. C. R. (2015). Societal problems and industry reorientation: Elaborating the Dialectic Issue LifeCycle (DILC) model and a case study of car safety in the USA (1900–1995). *Research Policy*, 44(1), 67–82. <https://doi.org/10.1016/j.respol.2014.09.006>

Glowacki, L., & von Rueden, C. (2015). Leadership solves collective action problems in small-scale societies. *Philosophical Transactions of the Royal Society B: Biological Sciences*, 370(1683), 20150010. <https://doi.org/10.1098/rstb.2015.0010>

Grasso, M. T., Yoxon, B., Karampampas, S., & Temple, L. (2019). Relative deprivation and inequalities in social and political activism. *Acta Politica*, 54(3), 398–429. <https://doi.org/10.1057/s41269-017-0072-y>

Grint, K. (2005). *Leadership: Limits and Possibilities*. Macmillan International Higher Education.

Gurney, J. N., & Tierney, K. J. (1982). Relative Deprivation and Social Movements: A Critical Look at Twenty Years of Theory and Research. *The Sociological Quarterly*, 23(1), 33–47.

Hall, W. (2007). Cigarette Century: The Rise, Fall and Deadly Persistence of the Product that Defined America. *Tobacco Control*, 16(5), 360. <https://doi.org/10.1136/tc.2007.021311>

Hall, W., & Doran, C. (2016). How Much Can the USA Reduce Health Care Costs by Reducing Smoking? *PLoS Medicine*, 13(5), e1002021. <https://doi.org/10.1371/journal.pmed.1002021>

Handley, C., & Mathew, S. (2020). Human large-scale cooperation as a product of competition between cultural groups. *Nature Communications*, 11(1), 702. <https://doi.org/10.1038/s41467-020-14416-8>

Hardin, G. (1968). The Tragedy of the Commons. *Science, New Series*, 162(3859), 1243–1248.

Harrell, A. (2018). Competition for Leadership Promotes Contributions to Collective Action. *Social Forces*, 97(1), 405–426. <https://doi.org/10.1093/sf/soy017>

Henrich, J. (2004). Cultural group selection, coevolutionary processes and large-scale cooperation. *Journal of Economic Behavior & Organization*, 53(1), 3–35. [https://doi.org/10.1016/S0167-2681\(03\)00094-5](https://doi.org/10.1016/S0167-2681(03)00094-5)

Hess, C., & Ostrom, E. (Eds.). (2007). *Understanding knowledge as a commons: From theory to practice*. MIT Press.

Hinkel, J., Bots, P. W. G., & Schlüter, M. (2014). Enhancing the Ostrom social-ecological system framework through formalization. *Ecology and Society*, 19(3), art51. <https://doi.org/10.5751/ES-06475-190351>

Holzinger, K. (2003). The Problems of Collective Action: A New Approach. *SSRN Electronic Journal*. <https://doi.org/10.2139/ssrn.399140>

Jenkins, J. C. (1983). Resource Mobilization Theory and the Study of Social Movements. *Annual Review of Sociology*, 9(1), 527–553. <https://doi.org/10.1146/annurev.so.09.080183.002523>

Jones, S. (2009). Dynamic Social Norms and the Unexpected Transformation of Women's Higher Education, 1965–1975. *Social Science History*, 33(3), 247–291.

Joseph, A. M., Hennrikus, D., Thoele, M. J., Krueger, R., & Hatsukami, D. (2004). Community tobacco control leaders' perceptions of harm reduction. *Tobacco Control*, 13(2), 108–113. <https://doi.org/10.1136/tc.2003.004242>

Karasek, D., Ahern, J. and Galea, S. (2012). Social Norms, Collective Efficacy, and Smoking Cessation in Urban Neighborhoods. *American Journal of Public Health*, 102(2): 343–351. <https://doi.org/10.2105/AJPH.2011.300364>

Klandermans, B. (1984). Mobilization and Participation: Social-Psychological Expansions of Resource Mobilization Theory. *American Sociological Review*, 49(5), 583–600.



<https://doi.org/10.2307/2095417>

Klarman, M. J. (1994). Brown, Racial Change, and the Civil Rights Movement. *Virginia Law Review*, 80(1), 7–150. <https://doi.org/10.2307/1073592>

LICHBACH, M. I. (1994). Rethinking Rationality and Rebellion: Theories of Collective Action and Problems of Collective Dissent. *Rationality and Society*, 6(1), 8–39. <https://doi.org/10.1177/1043463194006001003>

Lubell, M. (2002). Environmental Activism as Collective Action. *Environment and Behavior*, 34(4), 431–454. <https://doi.org/10.1177/00116502034004002>

Marquette, H., & Peiffer, C. (n.d.). Collective Action and Systemic Corruption. 28.

Marwell, G., Oliver, P. E., & Pahl, R. (1988). Social Networks and Collective Action: A Theory of the Critical Mass. III. *American Journal of Sociology*, 94(3), 502–534.

Mayer, M. (1991). Social Movement Research in the United States: A European Perspective. *International Journal of Politics, Culture, and Society*, 4(4), 459–480.

McGinnis, M., & Ostrom, E. (2014). Social-ecological system framework: Initial changes and continuing challenges. *Ecology and Society*, 19(2). <https://doi.org/10.5751/ES-06387-190230>

Meyer, D. S., & Minkoff, D. C. (2004). Conceptualizing Political Opportunity. *Social Forces*, 82(4), 1457–1492.

Milestones Of The Civil Rights Movement | American Experience | PBS. (n.d.). Retrieved December 20, 2021, from <https://www.pbs.org/wgbh/americanexperience/features/eyesontheprize-milestones-civil-rights-movement/>

Moolgavkar, S. H., Holford, T. R., Levy, D. T., Kong, C. Y., Foy, M., Clarke, L., Jeon, J., Hazelton, W. D., Meza, R., Schultz, F., McCarthy, W., Boer, R., Gorlova, O., Gazelle, G. S., Kimmel, M., McMahon, P. M., de Koning, H. J., & Feuer, E. J. (2012). Impact of Reduced Tobacco Smoking on Lung Cancer Mortality in the United States During 1975–2000. *JNCI: Journal of the National Cancer Institute*, 104(7), 541–548. <https://doi.org/10.1093/jnci/djs136>

Morris, A. D. (1999). A Retrospective on the Civil Rights Movement: Political and Intellectual Landmarks. *Annual Review of Sociology*, 25, 517–539.

Morrison, D. E. (1971). Some Notes Toward Theorizing on Relative Deprivation, Social Movements, and Social Change. *American Behavioral Scientist*, 14(5), 675–690. <https://doi.org/10.1177/000276427101400504>

Oliver, P. E. (1993). Formal Models of Collective Action. *Annual Review of Sociology*, 19, 271–300.

Oliver, P. E., & Marwell, G. (1988). The Paradox of Group Size in Collective Action: A Theory of the Critical Mass. II. *American Sociological Review*, 53(1), 1–8. <https://doi.org/10.2307/2095728>

Oliver, P., Marwell, G., & Teixeira, R. (n.d.). A Theory of the Critical Mass. I. Interdependence, Group Heterogeneity, and the Production of Collective Action'. *Collective Action*, 35.

Oneal, J. R. (1990). The theory of collective action and burden sharing in NATO. *International Organization*, 44(3), 379–402. <https://doi.org/10.1017/S0020818300035335>

Ostrom, E. (1990). *Governing the Commons: The Evolution of Institutions for Collective Action*. Cambridge University Press. <https://doi.org/10.1017/CBO9780511807763>

Ostrom, E. (2009). A General Framework for Analyzing Sustainability of Social-Ecological Systems. *Science*, 325(5939), 419–422. <https://doi.org/10.1126/science.1172133>

Ostrom, E. (2009, July 2). Collective Action Theory. *The Oxford Handbook of Comparative Politics*. <https://doi.org/10.1093/oxfordhb/9780199566020.003.0008>

Ostrom, E. (2010). Polycentric systems for coping with collective action and global environmental



change. *Global Environmental Change*, 20(4), 550–557. <https://doi.org/10.1016/j.gloenvcha.2010.07.004>

Pakulski, J. (1993). Mass Social Movements and Social Class. *International Sociology*, 8(2), 131–158. <https://doi.org/10.1177/0268580993008002001>

Palomo, L. E., & Hernández-Flores, A. (2019). Application of the Ostrom framework in the analysis of a social-ecological system with multiple resources in a marine protected area. *PeerJ*, 7, e7374. <https://doi.org/10.7717/peerj.7374>

Partelow, S. (2018). A review of the social-ecological systems framework: Applications, methods, modifications, and challenges. *Ecology and Society*, 23(4). <https://doi.org/10.5751/ES-10594-230436>

Pichardo, N. A. (1988). Resource Mobilization: An Analysis of Conflicting Theoretical Variations. *The Sociological Quarterly*, 29(1), 97–110.

Pinard, M. (1968). Mass Society and Political Movements: A New Formulation. *American Journal of Sociology*, 73(6), 682–690.

Polletta, F., & Jasper, J. M. (2001). Collective Identity and Social Movements. *Annual Review of Sociology*, 27(1), 283–305. <https://doi.org/10.1146/annurev.soc.27.1.283>

Pruitt, S. (2021). When Did African Americans Actually Get the Right to Vote? Available at: <https://www.history.com/news/african-american-voting-right-15th-amendment> [Accessed 31.01.2022]

Psychology-of-collective-action.pdf. (n.d.). Retrieved December 2, 2021, from <https://www.smith.edu/sites/default/files/media/Faculty/psychology-of-collective-action.pdf>

Raihani, N. J., & Bshary, R. (2015). Why humans might help strangers. *Frontiers in Behavioral Neuroscience*, 9, 39. <https://doi.org/10.3389/fnbeh.2015.00039>

Reduction, I. of M. (US) C. to A. the S. B. for T. H., Stratton, K., Shetty, P., Wallace, R., & Bondurant, S. (2001). Time Line of Tobacco Events. In *Clearing the Smoke: Assessing the Science Base for Tobacco Harm Reduction*. National Academies Press (US). <https://www.ncbi.nlm.nih.gov/books/NBK222369/>

Reese, G., Hamann, K. R. S., Heidbreder, L. M., Loy, L. S., Menzel, C., Neubert, S., Tröger, J., & Wullenkord, M. C. (2020). SARS-Cov-2 and environmental protection: A collective psychology agenda for environmental psychology research. *Journal of Environmental Psychology*, 70, 101444. <https://doi.org/10.1016/j.jenvp.2020.101444>

Reisman, D. (1990). *Theories of Collective Action*. Palgrave Macmillan UK. <https://doi.org/10.1057/9780230389977>

Reuben, E. (n.d.). *The Evolution of Theories of Collective Action*. 57.

Richerson, P., Baldini, R., Bell, A. V., Demps, K., Frost, K., Hillis, V., Mathew, S., Newton, E. K., Naar, N., Newson, L., Ross, C., Smaldino, P. E., Waring, T. M., & Zefferman, M. (2016). Cultural group selection plays an essential role in explaining human cooperation: A sketch of the evidence. *Behavioral and Brain Sciences*, 39, e30. <https://doi.org/10.1017/S0140525X1400106X>

Riding Freedom: 10 Milestones in U.S. Civil Rights History | Britannica. (n.d.). Retrieved December 20, 2021, from <https://www.britannica.com/list/riding-freedom-10-milestones-in-us-civil-rights-history>

Rivoli, P., & Waddock, S. (2011). “First They Ignore You...”: The Time-Context Dynamic and Corporate Responsibility. *California Management Review*, 53(2), 87–104. <https://doi.org/10.1525/cmr.2011.53.2.87>

Robnett, B. (1996). African-American Women in the Civil Rights Movement, 1954-1965: Gender, Leadership, and Micromobilization. *American Journal of Sociology*, 101(6), 1661–1693.



- Saloojee, Y., & Dagli, E. (2000). Tobacco industry tactics for resisting public policy on health. *Bulletin of the World Health Organization*, 9.
- Sandler, T. (2015). Collective action: Fifty years later. *Public Choice*, 164(3), 195–216. <https://doi.org/10.1007/s11127-015-0252-0>
- Sapolsky, R. M. (2017). *Behave: The bestselling exploration of why humans behave as they do*. Random House.
- Secker-Walker, R., Gnich, W., Platt, S., & Lancaster, T. (2002). Community interventions for reducing smoking among adults. *The Cochrane Database of Systematic Reviews*, 2002(2), CD001745. <https://doi.org/10.1002/14651858.CD001745>
- Snow, D. (2001). Collective Identity and Expressive Forms. <https://escholarship.org/uc/item/2zn1t7bj>
- Snow, D., Cress, D., Downey, L., & Jones, A. (2006). Disrupting the “Quotidian”: Reconceptualizing the Relationship Between Breakdown and the Emergence of Collective Action. *Mobilization: An International Quarterly*, 3(1), 1–22. <https://doi.org/10.17813/mai.3.1.n41nv8m267572r30>
- Soltis, J., Boyd, R., & Richerson, P. J. (1995). Can Group-Functional Behaviors Evolve by Cultural Group Selection?: An Empirical Test. *Current Anthropology*, 36(3), 473–494.
- Stigler, G. J. (1974). Free Riders and Collective Action: An Appendix to Theories of Economic Regulation. *The Bell Journal of Economics and Management Science*, 5(2), 359–365. <https://doi.org/10.2307/3003114>
- Suh, D. (2001). How Do Political Opportunities Matter for Social Movements?: Political Opportunity, Misframing, Pseudosuccess, and Pseudofailure. *The Sociological Quarterly*, 42(3), 437–460.
- Thun, M. J., Carter, B. D., Feskanich, D., Freedman, N. D., Prentice, R., Lopez, A. D., Hartge, P., & Gapstur, S. M. (2013). 50-Year Trends in Smoking-Related Mortality in the United States. *The New England Journal of Medicine*, 368(4), 351–364. <https://doi.org/10.1056/NEJMsa1211127>
- Tobacco Control Milestones | State of Tobacco Control. (n.d.). Retrieved December 17, 2021, from <https://www.lung.org/research/sotc/tobacco-timeline>
- Tobacco Trends Brief. (n.d.). Retrieved December 17, 2021, from <https://www.lung.org/research/trends-in-lung-disease/tobacco-trends-brief/overall-tobacco-trends>
- Tomasello, M., Melis, A. P., Tennie, C., Wyman, E., & Herrmann, E. (2012). Two Key Steps in the Evolution of Human Cooperation: The Interdependence Hypothesis. *Current Anthropology*, 53(6), 673–692. <https://doi.org/10.1086/668207>
- Udehn, L. (1993). Twenty-five Years with The Logic of Collective Action. *Acta Sociologica*, 36(3), 239–261. <https://doi.org/10.1177/000169939303600307>
- Useem, B. (1998). Breakdown Theories of Collective Action. *Annual Review of Sociology*, 24(1), 215–238. <https://doi.org/10.1146/annurev.soc.24.1.215>
- Van Zomeren, M., Kutlaca, M., & Turner-Zwinkels, F. (2018). Integrating who “we” are with what “we” (will not) stand for: A further extension of the Social Identity Model of Collective Action. *European Review of Social Psychology*, 29(1), 122–160. <https://doi.org/10.1080/10463283.2018.1479347>
- Van Zomeren, M., Postmes, T., & Spears, R. (2008). Toward an Integrative Social Identity Model of Collective Action: A Quantitative Research Synthesis of Three Socio-Psychological Perspectives. *Psychological Bulletin*, 134, 504–535. <https://doi.org/10.1037/0033-2909.134.4.504>
- Versland, T. M., & Erickson, J. L. (2017). Leading by example: A case study of the influence of principal self-efficacy on collective efficacy. *Cogent Education*, 4(1), 1286765. <https://doi.org/10.1080/2331186X.2017.1286765>



- Vesely, S., Masson, T., Chokrai, P., Becker, A. M., Fritsche, I., Klöckner, C. A., Tiberio, L., Carrus, G., & Panno, A. (2021). Climate change action as a project of identity: Eight meta-analyses. *Global Environmental Change*, 70, 102322. <https://doi.org/10.1016/j.gloenvcha.2021.102322>
- Vogt, J., Epstein, G., Mincey, S., Fischer, B., & McCord, P. (2015). Putting the “E” in SES: Unpacking the ecology in the Ostrom social-ecological system framework. *Ecology and Society*, 20(1). <https://doi.org/10.5751/ES-07239-200155>
- Wang, S.-L., & Lin, S. S. J. (2007). The effects of group composition of self-efficacy and collective efficacy on computer-supported collaborative learning. *Computers in Human Behavior*, 23(5), 2256–2268. <https://doi.org/10.1016/j.chb.2006.03.005>
- Washington, R. (1993). The Civil Rights Movement after Three Decades. *International Journal of Politics, Culture, and Society*, 7(2), 259–285.
- Watson, C. B., Chemers, M. M., & Preiser, N. (2001). Collective Efficacy: A Multilevel Analysis. *Personality and Social Psychology Bulletin*, 27(8), 1057–1068. <https://doi.org/10.1177/0146167201278012>
- Weimann, J., Brosig-Koch, J., Heinrich, T., Hennig-Schmidt, H., & Keser, C. (2019). Public good provision by large groups – the logic of collective action revisited. *European Economic Review*, 118, 348–363. <https://doi.org/10.1016/j.euroecorev.2019.05.019>
- West, S. A., Griffin, A. S., & Gardner, A. (2007a). Evolutionary Explanations for Cooperation. *Current Biology*, 17(16), R661–R672. <https://doi.org/10.1016/j.cub.2007.06.004>
- West, S. A., Griffin, A. S., & Gardner, A. (2007b). Evolutionary Explanations for Cooperation. *Current Biology*, 17(16), R661–R672. <https://doi.org/10.1016/j.cub.2007.06.004>
- Williams, K., & Tai, H.-S. (2016). A Multi-Tier Social-Ecological System Analysis of Protected Areas Co-Management in Belize. *Sustainability*, 8(2), 104. <https://doi.org/10.3390/su8020104>
- Worland, S. T. (1967). OLSON’S “LOGIC OF COLLECTIVE ACTION:” A REVIEW ARTICLE. *Review of Social Economy*, 25(1), 121–135.
- Wright, G. (2006). THE ECONOMICS OF THE CIVIL RIGHTS REVOLUTION. Forthcoming in Winfred O. Moore, Jr., and Orville Vernon Burton (eds.), *Toward the Meeting of the Waters: The Civil Rights Movement in South Carolina*.



Appendix

Name of Collective Action	Year / Period	Country	Macro Environment Factors				Collective Action Characteristics			
			Political	Economic	Social	Environment	Method of organization	Actions	Outcomes / Impacts	Prominent leadership style(s)
The Labor Movement	1860s-	USA	No laws to protect workers who faced long working hours and terrible working conditions; Official mainline union not effective	Labor struggles emerged as response to industrialization that transformed the nation's economy	Labor struggle directly relates to social struggle of people; Women, people of color and unskilled labor not represented by the mainline union; Emergence of militant groups focused not only on unions but on social transformation	NA	Union/labor organizers saw community engagement as integral part of their job, they identified potential worker-leaders, developed relationships of trust with them, guided meetings, planned strategies, nurtured solidarity, overcome fierce resistance from employers	Boycotts, sympathy strikes at other firms, walking picket lines	New labor legislation, lacking community integration, focusing only on already-organized businesses and industries	Positional; Community
Progressivism and the Settlement House Movement	1890s-1920s	USA	Settlement house leaders believed that class conflict and social inequality resulted from inefficient institutions	Economic struggles of recent immigrants; Huge economic gaps within communities	Class conflict and social inequality	NA	Settlement house movement for community organizing - Settlement houses sought to engage with slum dwellers as fellow citizens, not "clients," helping them to become "active architects of their own destinies."	Middle- and upper-class whites set up settlement houses for recent immigrants, emphasizing the importance of respecting local knowledge and culture	Birth of the "group work" field within social work, absorbed in the professionalized social service promoted by administrative progressives	Community

Summary of Collective Actions



The First Women's Movement	1848-1920	USA	Women had no voting rights; Women suffrage often opposed by key corporate interests (liquor industry, as they thought that women would strengthen efforts to ban alcohol; other industries as they feared women would support more liberal labor reforms)	Economic exclusion of women in the society	Cultural vision of the place of women in the society	NA	Organizing speeches, rallies, creative actions	1) Moderate groups stressed cooperation and persuasion 2) Radical groups used nonviolent resistance (marches, pickets of the White House, banners insulting the president, hunger strikes in prisons)	Impact on policy and legislation	Community
The Unemployed Councils and the Depression	1930s	USA	Political apathy for community organizations and lack of attention to the diverse community issues; Often community organizing was connected with communism	Massive unemployment after the Great Depression (~25%)	NA	NA	The Communist Party organized the "unemployed councils" to coordinate resistance actions and plan mass protests; Many learned the power of organization as a weapon	Resistance to evictions, protests to increase payments, supported large marches in different cities	Local impacts on thousands of impoverished Americans, learning the power of organization as a weapon	Positional
Birth of Modern Community Organizing	late 1930s	USA	Political apathy for community organizations and lack of attention to the diverse community issues; Often community organizing was connected with communism	Terrible economic conditions within communities	Vicious ethnic and religious hate and rivalries	NA	Organizing community organizations to create spaces for democratic dialogue where local communities can solve their own problems with a new organizational strategy, substituting the expert-client relationship that dominated the field of social work	Foundation of the Back of the Yards Neighborhood Council that created new services for residents and bring social changes to the people	Beginning of modern community organizing in America	Community

Summary of Collective Actions



Community Service Organization	1950s	USA	Political apathy for community organizations and lack of attention to the diverse community issues; Often community organizing was connected with communism	Centralized, conservative, Cold War economy	Legalized racial discrimination, disenfranchisement and racial segregation	NA	Focused on the individual, the "house meeting" model - a door to door method of listening the issues and educating people about solutions and where to seek help	Initially focusing the activities on voter registration	Electing the first Latino City Council; Establishing the "house meeting" model as a community-bounding approach	Community
The Civil Rights Movement - The Southern Christian Leadership Conference	mid-1950s-mid-1960s	USA	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	NA	Local efforts and campaigns (for specific changes in local areas) as part of a larger movement, rooted in African American churches with a formal, non-bureaucratic structure; Decision-making through extended dialogue facilitated by range of leaders and activists	Marches, voting attempts, different protest efforts	Further outlining churches as one of the pillars for community organizing	Community
The Civil Rights Movement - The Student Non-violent Coordinating Committee	mid-1950s-mid-1960s	USA	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	NA	"Field secretaries" acted as facilitators of dialogue and local democracy instead of acting as leaders	Bringing privileged white college students into Mississippi to work with local blacks; Small-scale local activities; Unintentionally shaping committed leaders	Limited impact	Community

Summary of Collective Actions



Freedom Rides	1960s	USA	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	NA	Student activist sought volunteers, organized sit-ins; Organizing through the Southern Christian Leadership Conference and the Student Nonviolent Coordinating Committee	Banning segregation across all Interstate Commerce Commission (ICC) facilities		Community; Positional
The Civil Rights Movement - Alinsky and The Woodlawn Organization (TWO)	mid-1950s-mid-1960s	USA	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	Legalized racial discrimination, disenfranchisement and racial segregation	NA	Different campaigns to rally local residents, bring broad range of participants with different interests and concerns; Gatherings also fueled by the "movement" moment in America with little to no organization effort	Organized the largest "freedom ride" (voter-registration event) with 46 buses carrying more than 2500 African Americans to register to vote	Fundamentally altering the city's view of its black residents	Community
Students for a Democratic Society (SDS)	1960-1969	USA	Closed democratic system in need of change	Huge economic gaps within white communities	Social gap within communities	NA	A leaderless democracy (often unable to make any decision)	Different small activities for laying the groundwork for the emergence of the National Welfare Rights Organization in Boston and Cleveland	Groundwork for the emergence of the National Welfare Rights Organization in Boston and Cleveland	Community
United Farm Workers	1962-	USA	Political apathy for community organizations and lack of attention to the diverse community issues	Terrible economic conditions within communities	Need for bringing the community together	NA	Underground community-based movement that included whole communities, evolving into the United Farm Workers; Creative tactics, "house meeting"	Published a newspaper, created a credit union and a life-insurance plan, organized strikes and pickets, organized the famous boycott against grapes	Different legislative and labor achievements	Community

Summary of Collective Actions



							strategies and different democratic structures	and related products		
The Black Power Movement (the Black Panther Party - non-violent aspects)	1966-1975	USA	White (capitalist) oppression	White (capitalist) oppression	White (capitalist) oppression	NA	Teacher-student knowledge/opinion sharing; Transforming the black identity through artistic expressions	Organized political education courses, developed social service projects: serving school breakfast for poor children, opening health centers and creating liberation schools; Different arts mediums: food, dress, styles of interaction, hair, music and religion	Shifting national attention; Establishing gender equality at leadership position within the organizations	Positional

Summary of Collective Actions



The Second-Wave Women's Movement	1963-1982	USA	No political willingness to improve women's position within society	Lack of leadership positions and mostly having grunt work positions	No social recognition, burdened with shared social problems: child care, domestic violence, contraception and women's health	NA	<p>"Consciousness-raising" through conversation among women; Two different approaches:</p> <p>1) Bureaucratic strategy, organized around legislative and legal goals</p> <p>2) Egalitarian "collectivist" approach aiming to develop communities of mutual support between staff, volunteers, and victims while minimizing power differentials and resisting attempts to define victims as "clients"</p>	<p>"Speak-outs", "take back the night", marches, different forms of literature and media filled with stories of injustices and crime against women;</p> <p>1) Legislative and legal actions (Equal Rights Amendment, equality for women's athletics, access to credit, equal consideration in hiring etc.)</p> <p>2) Picketing the Miss America Pageant to protest sexual objectification of women, sit-ins in bars that served men only, creating service organizations: women's shelters and rape hot-lines</p>	Achieving key aspects of its legislative, social and cultural goals; Egalitarian service organizations became more professionalized and hierarchical	Community
----------------------------------	-----------	-----	---	---	--	----	--	---	--	-----------

Summary of Collective Actions



The Environmental Movement	1962-	USA	Lack of political will for environmental protection agencies, laws and regulations to be implemented	Technological innovation as the main economic driver without looking at related environmental degradation	Negative social impacts of environmental degradation	Lack of environmental laws and regulations; Mindset: nature to be controlled for man's use	1) Large environmental organizations 2) Small action groups	1) Nationwide "teach-in", marches, protests, public education, demonstrations of public support 2) Different actions: blocking whale hunts, "spiking" trees to ruin expensive saws, sabotaging equipment, occupation of the Seabrook nuclear power plant in New Hampshire	Wave of state and federal environmental legislation, including the creation of the EPA and the Clean Air and Endangered Species Acts; Profound and lasting shifts	Positional; Community
The Anti-Vietnam War Movement and the End of Mass Confrontation	1963-1975	USA	A warring government	Immense war expenditures	Great social division in the country	NA	Organizations helped coordinate movement activities, but with no centralized role; Organization with the help of coordinators instead of leaders	1) Protests, marches, memorials, rallies, teach-ins, vigils, student strikes 2) Desecration of national symbols, counterculture's theater of the absurd, attacks on selective service offices and scattered examples of violence	Direct effect on Presidents Johnson and Nixon; Inability of the movement to identify what it had accomplished	Community
National Welfare Rights Organization	1966-1975	USA	Controversial and oppressive legislation; Degrading welfare system	Terrible economic conditions within communities, especially in black communities	Great social division within communities; Racial and gender stereotypes and disrespect	NA	Formation of small discussion groups to share experience; Setting up the National Welfare Rights Organization with strong local branches	Protests, marches, negotiations with caseworkers, lobbying welfare officials, mass rallies	Empowering women leaders and establishing a "full-fledged feminist agenda"	Community; Positional

Summary of Collective Actions



Association of Community Organizations for Reform Now (ACORN)	1970-	USA	Political apathy for community organizations and lack of attention to the diverse community issues	Terrible economic conditions within communities	Different social issues within communities; Lack of social and community organization	NA	ACORN organized individuals and not organizations (like churches); Organization's chapters and staff under national office command; Local leaders had some power	Developing labor unions, services to poor residents including housing and tax-related services, participation in electoral politics	Lessons in establishing a national centralized organization with a unified national strategy	Community
The "Backyard Revolution"	1975-1985	USA	Concentrated (state) political power	Concentrated (state) economic power	Different social issues within communities; Lack of social and community organization	Placing of human health threats in communities (power plants, toxic waste dumps etc.)	Neighborhood activism and small local organizations	Rent strikes, pickets of local savings and loan associations, school demonstrations; Fighting against highways, urban renewal projects, placement and operation of power plants and toxic waste dumps; Saving libraries, firehouses and parks	Lessons in governmental influence on small, grass-roots groups; Saving community goods and projects while resisting the placement of different threats to human health	Community
Congregation-Based Community Organizing	1972-	USA	Political apathy for community organizations and lack of attention to the diverse community issues	Terrible economic conditions within communities	Different social issues within communities; Lack of social and community organization	NA	Faith-based community organization (common denominator of different faiths is the belief in the dignity of all human beings, revulsion for poverty and inequality) nurtured new leaders	Leaders had one-on-one interviews to create web of relationships with the whole community (relational meetings)	New ways of engaging and strengthening the ties in a community	Positional

Summary of Collective Actions



Poor People's Unions and Worker Centers	1963-	USA	No political willingness to improve women's position within society and end racial discrimination in the workplace	Economic struggles of recent immigrants; Huge economic gaps within communities (racial, gender)	Great social division within communities; Racial and gender stereotypes and disrespect	NA	Community-based efforts, activities and strategies; Traditional community organizing campaigns	"Direct action first" - mass confrontations with employers, "jobs for janitors" campaigns, setting up "worker centers", providing services such as ESL classes, legal help with employment and immigration issues, check cashing, organizing undocumented workers in different areas, setting up workers cooperatives in areas such as home health care and cleaning services	Establishment of "worker centers" as community-related development in labor organization	Community
The Gay Rights Movement	1969-	USA	No equal rights for gays and lesbians	Discriminatory economic laws	Social exclusion; Social stigma	NA	1) "Homophile" organizations with conciliatory stance; Consciousness-raising activist groups; Community organization 2) ACT-UP lacked central leadership, adopting an anarchic structure with consensus decision process	1) Educational activities, confronting powerful figures, efforts to pass laws, community support efforts, collective militant response to oppression 2) Forcing drug companies to lower prices, increased access to experimental drugs, pressured government for	National recognition of the issues and overall impact on the national perception	Community

Summary of Collective Actions



								funding, fought for needle exchange programs, creative direct action through political theaters and creative guerilla theaters		
Not In My Backyard (NIMBY) (Nuclear power plants)	1950s	UK	Political support for nuclear programs	NA	Social division regarding the nuclear program topic	Placing of human health threats in communities (power plants)	Neighborhood activism and small local organizations	Protests and marches within the concerned communities	Ongoing societal debates on pros and cons of nuclear energy	Community
Occupy Wall Street	2011-	USA	Banking deregulation; Political decisions to bailout banks	Widespread economic inequality	99% vs the 1% division	NA	Social media organization with facilitators guiding participants; No clear organizational structure; Group discussions guided by facilitators	Protests, sit-ins and living in tents	Changed the discourse in the Democratic party; Served as an example for other social movements	Community
Yellow Vests	2018-	France	Introduction of a green tax on diesel fuel	Growing economic inequality	Further division between the urban and rural population; Gentrification of low income city centers	NA	Social media organization with a horizontal, leaderless structure	Road blocks and protests every Saturday in the rural areas	Repealing of the diesel tax; Increase of the minimum wage	Community
Fridays for Future (FFF)	2018-	Sweden; Global	Governmental inaction on climate change; Global inaction on climate change	Growing economic consequences related to climate change	Various negative social impacts of climate change (health, security, identity etc)	Various environmental consequences of climate change	Social media organization, changeable leadership roles on local level, moderators during sessions with direct democratic manner	Protests, strikes, public talks, conferences	Global attention to climate change and environmental concerns	Community

Summary of Collective Actions



Colorful Revolution	2016	North Macedonia	Wiretapping scandal that fueled the existing political crisis; Police brutality	Strong clientelism and corruption that further widened the economic gap in the society	Extensive social division in the society, fueled by the clientelism deviances	NA	Social media organization; Guerrilla campaigns; No central leadership in the beginning, but soon backed by political parties from the opposition	Protests, demonstrations, Internet activism, roadblocks and strikes	Postponed early parliament elections; Initiated proceedings in parliament for impeachment of the President; Overturned abolition; New transitional government	Community; Positional
---------------------	------	-----------------	---	--	---	----	--	---	---	-----------------------



PARTICIPANTS

ETH zürich

TEESlab
University of Piraeus Research Center

TU Delft

UCC
University College Cork, Ireland
Coláiste na hOllscoile Corcaigh

University
of Glasgow

JOANNEUM
RESEARCH
LIFE

Th!nk E

Utrecht University

Green Partners
environmental consulting

Ekocbect

**MISSIONS
PUBLIQUES**
Bringing citizens
into policy

HOLISTIC

**University
of Victoria**



ENCLUDE project has received funding
from the European Union's Horizon 2020
Research and Innovation programme under
grant agreement No 101022791



ENCLUDE
Energy Citizens for Inclusive
Decarbonization



@encludeproject



@encludeproject

www.encludeproject.eu