

Mapping existing policies, actions and communications, including NDCs, national adaptation plans and other relevant policies and communications under the Convention, with respect to whether and how they incorporate consideration and engagement of indigenous peoples and local communities

Background document on the methodology

Summary

This background document describes the methodology used for Activity nine of the initial two-year workplan of the Facilitative Working Group of the Local Communities and Indigenous Peoples Platform. The method was developed to systematically collect and analyze data about whether and how consideration and engagement of indigenous peoples and local communities are incorporated in climate change policies and actions. The methodology resulted in a database of information from documents identified by the FWG. These documents included NDCs, NAPs and other relevant policies and communications under the Convention. These documents have been submitted by Parties under the UNFCCC process, and constituted policies, actions and communications.

I. Background and Introduction

1. The initial two-year workplan of the Facilitative Working Group (FWG) contains twelve activities to be implemented in the period 2020–2021. Activity nine mandates the mapping of existing policies, actions and communications under the Convention.
2. The secretariat has undertaken this mapping using the methodology for data collection and analysis outlined herein, under the guidance of the Facilitative Working Group (FWG).

II. Overview

3. The method involved the following steps structured around a two-phased approach.
 - (a) Data collection (first phase)
 - (b) Data analysis (second phase)
4. The findings from this mapping informed the technical paper.

III. Data collection

5. *Collect relevant documents and sources* (see footnotes 1-8). Such documents include the existing policies, actions and communications under the Convention. In total, 572 documents submitted by Parties to the UNFCCC secretariat to date were mapped. These policies, actions and communications under the Convention included:

- (a) Nationally determined contributions (**NDCs**)¹
- (b) National adaptation plans (**NAPs**)²
- (c) Biennial reports of developed countries (**BRs**)³
- (d) Biennial update reports of developing countries (**BURs**)⁴
- (e) National adaptation programmes of action (**NAPAs**)⁵
- (f) Long-term low greenhouse gas emission development strategies (**LTLGGEDS**)⁶
- (g) National communications (**nat. comms**)^{7,8}

6. *Identify keywords*. The following keywords were used for the data-collection phase, to examine the documents listed above.

- (a) “Indigenous peoples” (also accounting for the fact that some Parties used the term “indigenous people” and/or the name of the respective indigenous people);
- (b) “Indigenous practice/s”;
- (c) “Indigenous technology/ies”;
- (d) “Local community/ies”;
- (e) “Tribe/al people/s”;
- (a) “Indigenous knowledge”, “knowledge of indigenous peoples”;
- (b) “Local knowledge”;
- (c) “Traditional knowledge / population/s”;

¹ <https://www4.unfccc.int/sites/NDCStaging/Pages/All.aspx>

² https://www4.unfccc.int/sites/NAPC/News/Pages/national_adaptation_plans.aspx

³ <https://unfccc.int/BRs>

⁴ <https://unfccc.int/BURs>

⁵ <https://unfccc.int/topics/resilience/workstreams/national-adaptation-programmes-of-action/napas-received>

⁶ <https://unfccc.int/process/the-paris-agreement/long-term-strategies>

⁷ <https://unfccc.int/process-and-meetings/transparency-and-reporting/reporting-and-review-under-the-convention/national-communications-and-biennial-update-reports-non-annex-i-parties/national-communication-submissions-from-non-annex-i-parties>

⁸ <https://unfccc.int/NC7>

(d) “Indigenous” (to capture other references to indigenous peoples).

7. The keywords form the headers of the columns of the worksheets that were created to collect the information. Where necessary the keywords were translated into other UN languages. The secretariat recorded keyword search findings in a database, including relevant portions of the documents which were classified into *consideration* and *engagement* of indigenous peoples and local communities in the climate process under the Convention.

IV. IV. Data analysis

8. Analyse data collected to assess “whether and how [the reviewed documents] incorporate consideration and engagement of indigenous peoples and local communities”.

9. Conduct a quantitative analysis for capturing the number of times each keyword was referred to per document and document type, and in the context of different regions.

10. Apply a qualitative content analysis to categorize the collected data into (i) consideration and (ii) engagement (columns added to the worksheets to reflect respective subsets of collected data) and further account for respective subtotals by document type per Party.

(a) “*Consideration*” is broader, and referred to, inter alia, what a Party examined in reference to working plans to do in the context of indigenous peoples and local communities, or including their knowledge/practices/technologies;

(b) “*Engagement*” with indigenous peoples and/or local communities and (co)creating and (co)implementing solutions, including based on the knowledge/practices/technologies of indigenous people and/or local communities.

11. Sort information gathered into *consideration* and *engagement*, and analyse by document type.
