

Country Approach to Safeguards Tool (CAST)

User's Guide

Background

A country approach to REDD+ safeguards can be understood as having two key components: (1) a set of policies, laws and regulations (PLRs) through which safeguards are addressed and respected and (2) a safeguard information system (SIS), which may be defined as a systematic approach for collecting and providing information on how REDD+ safeguards are being addressed and respected throughout REDD+ implementation. There is no fixed, linear approach to developing a country-level safeguards approach, as it will depend significantly on what is already in place in the country, as well as what the government defines as the overall objectives of this approach, including the objectives for its SIS. In line with this flexibility to account for national circumstances, it is recommended to develop the country approach to safeguards in the context of the national REDD+ strategy, in order to ensure that safeguards are considered against the specific REDD+ options and interventions identified by a given country.

The [UN-REDD Programme Framework for Supporting the Development of Country Approaches to Safeguards](#) provides guidance to countries as they determine how to respond to the UNFCCC decisions on safeguards and SIS. This Framework outlines the main components of a country approach to safeguards as well as steps to consider during its development. It also indicates for which step(s) and activity(ies) UN-REDD Programme tools and guiding documents may be considered most relevant and useful.


The Country Approach to Safeguards Tool (CAST) has been developed as a practical evolution of this Framework, in order to provide countries with an interactive tool to plan and review the development of their approaches to safeguards. As compared to the contents of the framework document described above, the list of tools and guiding documents included in the CAST has been updated and expanded to include a more comprehensive library of resources, including those developed by other key programmes and initiatives in addition to those of the UN-REDD Programme.

What is CAST

CAST is a tool developed by the UN-REDD Programme to be voluntarily applied by REDD+ countries in order to support their planning efforts for activities related to REDD+ safeguards and SIS, so that these may be responsive to the relevant UNFCCC decisions. It is *not* an evaluation tool and it does not aim to assess country performance.

Using CAST can support countries to:

- Identify and prioritize activities (and/or review activities undertaken to date) to develop or further develop their approach to safeguards in the context of the national REDD+ strategy;
- Identify tools, guidelines and resources available to support each activity or area of work;
- Clarify how the processes and tools of various safeguards approaches, including those of the FCPF¹'s Strategic Environmental and Social Assessment (SESA) and the CCBA-CARE² REDD+ Social and Environmental Standards (REDD+ SES), correspond to generic steps and activities to plan and implement a country approach to safeguards.

 CAST is purposefully designed to be broadly applicable to the full scope of activities related to REDD+ safeguards and SIS in a country, rather than limited to UN-REDD Programme supported activities. Given this generic design, CAST may be applied by any REDD+ country, whether a partner country of the UN-REDD Programme or not.

¹ Forest Carbon Partnership Facility (FCPF) of the World Bank

² Climate, Community & Biodiversity Alliance (CCBA) and CARE International

The structure of CAST

CAST is an Excel-based tool, organized into five inter-connected sections:

Part 1: Identifying	Survey questions to identify safeguard-related activities.
Part 2: Information resources	Auto-generated responses including references to available tools and guiding documents to support the activities.
Part 3: Prioritizing	Selection of the time frame and definition of priority activities.
Part 4: Planning	Auto-generated plan for next steps in the development of the country approach to safeguards.
Part 5: Applying information resources	Descriptions of the relevance and specific utility of the available information resources indicated in the Part 2 results.

 The tool is most effective when the sections are filled out in sequence.

How to use CAST

CAST is an Excel-based tool that may be [downloaded](#) directly from the UN-REDD Programme website. It does not require an internet connection to run. Completing the tool from beginning to end takes approximately 1 to 3 hours.

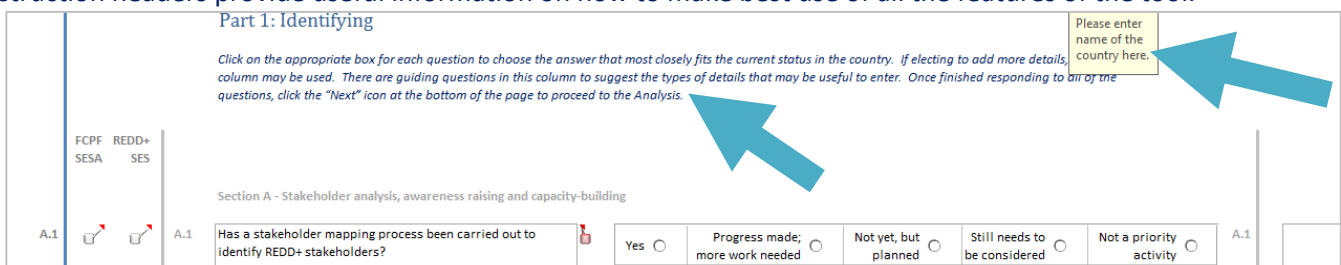
It is recommended to apply CAST as a multi-stakeholder group exercise, engaging stakeholders across relevant agencies, institutions and organizations that are familiar with the state of the country's approach to safeguards. If this guidance is followed, additional equipment needs include a projector and/or additional computers, as it may be decided to work in smaller breakout groups during such a multi-stakeholder session.

When to use CAST

As a planning tool, CAST will prove useful in the early stages of the development of the country approach to safeguards. However, if a country chooses to do so, CAST may also be used to assess progress, and it can be revisited over time for this purpose.

Tips for CAST users

Please take a minute to consider the instructions provided at the top of each section in the CAST tool itself. These instruction headers provide useful information on how to make best use of all the features of the tool.





Part 1: Identifying

Click on the appropriate box for each question to choose the answer that most closely fits the current status in the country. If electing to add more details, column may be used. There are guiding questions in this column to suggest the types of details that may be useful to enter. Once finished responding to all of the questions, click the "Next" icon at the bottom of the page to proceed to the Analysis.

Please enter name of the country here.

Section A - Stakeholder analysis, awareness raising and capacity-building

A.1   A.1

Has a stakeholder mapping process been carried out to identify REDD+ stakeholders?



Yes ☐ Progress made; more work needed ☐ Not yet, but planned ☐ Still needs to be considered ☐ Not a priority activity ☐ A.1

When placing the cursor on the red icons (🔴) on the right of survey questions ("Part 1: Identifying"), boxes will open with additional considerations related to the question.

Part 1: Identifying

Click on the appropriate box for each question to choose the answer that most closely fits the current status in the country. If electing to add more "comments" column may be used. There are guiding questions in this column to suggest the types of details that may be useful to enter. Once finished all of the questions, click the "Next" icon at the bottom of the page to proceed to the Analysis.





Section A - Stakeholder analysis, awareness raising and capacity-building

A.1	Has a stakeholder mapping process been carried out to identify REDD+ stakeholders?	<div>  <div> <ul style="list-style-type: none"> • REDD+ stakeholders are understood as those who are likely to contribute to and/or be affected or impacted by the national REDD+ process (including REDD+ Readiness and Implementation Phases). </div> </div>	<input type="radio"/> Yes <input type="radio"/> more work needed <input type="radio"/> planned <input type="radio"/> Still needs to be considered
A.2	Has a process to inform and engage REDD+ stakeholders been developed?	<div>  </div>	<input type="radio"/> Yes <input type="radio"/> more work needed <input type="radio"/> planned <input type="radio"/> Still needs to be considered

"Part 1: Identifying" also includes two columns on the left, named FCPF SESA and REDD+ SES respectively, with grey icons (🔴). Placing the cursor on the grey icons will open boxes with corresponding activities under the FCPF SESA and the REDD+ SES approaches (if any).

Part 1: Identifying

Click on the appropriate box for each question to choose the answer that most closely fits the current status in the country. If electing to add more "comments" column may be used. There are guiding questions in this column to suggest the types of details that may be useful to enter. Once finished all of the questions, click the "Next" icon at the bottom of the page to proceed to the Analysis.

	FCPF SESA	REDD+ SES		
A.1	<div>  </div>	<div>  </div>	Step 2. Define SESA-specific outreach, communication, participation and consultative mechanisms. Sample Activity: -Revisit composition of cross-sectoral, national-level working group for REDD+ based on a stakeholder gap analysis.	<input type="radio"/> Yes <input checked="" type="radio"/> Progress made; more work needed <input type="radio"/> Not yet, plan
A.2	<div>  </div>	<div>  </div>		<input type="radio"/> Yes <input type="radio"/> Progress made; more work needed <input type="radio"/> Not yet, plan

"Part 2: Information resources" includes references to available tools and guiding documents to support safeguard-related activities. Clicking on one of these information resources will lead the user to the corresponding description and hyperlink in "Part 5: Applying information resources".

Part 2: Information resources

This is an auto-generated analysis. Once you have analyzed the feedback you may click the "Next" icon at the bottom to prioritize some activities based on your responses.

Section A - Stakeholder analysis, awareness raising and capacity-building

A.1	Mapping stakeholders As the stakeholder mapping exercise is being conducted, particular attention should be given to the inclusion of indigenous peoples and other forest-dependent communities, women and other marginalized and/or vulnerable groups. Further guidance, the following resources are available: <ul style="list-style-type: none"> • UN-REDD Programme/FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness. • Institutional and Context Analysis (ICA) Guidance Note. • Guidance Note on Gender Sensitive REDD+. • Case Study on Women's Inclusion in REDD+ in Cambodia. • Case Study on Women's Inclusion in REDD+ in Sri Lanka. • Developing Social and Environmental Safeguards for REDD+: a guide for a bottom-up approach. 	A.1
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In order to return to Part 2 to continue to review the outputs and lists of relevant tools and resources, the user should click on the “Information Resources” tab at the bottom left.

Country Approach to Safeguards Tool (CAST)					
Part 5: Applying information resources <i>Using or referring to these tools and resources is a voluntary process. They should be seen as sources of potential support.</i>					
ID#	Type	Organization	Name	General Description	Specific Utility
35	UN / UN-REDD Programme	UN-REDD Programme/FCPF	UN-REDD Programme/FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness.	The E-Guidelines are designed to support effective stakeholder engagement in the context of REDD+ activities, with an emphasis on the participation of indigenous peoples and other forest-dependent communities. The Guidelines contain 1) Relevant policies on indigenous peoples and other forest-dependent communities; 2) Principles and guidance for effective stakeholder engagement; and 3) Practical “how-to” steps on planning and implementing effective consultations.	<ul style="list-style-type: none"> For Activities A.1, A.2, A.3, A.4, A.6, B.2 & D.4: The Guidelines will be useful for preparing and implementing a comprehensive set of consultation and participation activities for REDD+ more generally. This process can in turn support a participatory approach to the national approach to safeguards. Both of these together would contribute to how a country can demonstrate that it is addressing and respecting UNFCCC safeguards (c) and (d).
36	UN/UN-REDD Programme	UNDP	User's Guide to Civil Society Assessment.	Provides guidance for users of civil society assessment together with list of tools and methodologies that can be drawn on for developing new assessment tools or adapting existing approaches to users' specific context.	<ul style="list-style-type: none"> For Activity A.5: can be used to determine capacity to engage in the development of the co-
37	UN	FAO/CFS	Voluntary Guidelines on the Responsible Governance of Tenure.	Governance of tenure is crucial in determining how people, communities and others are able to acquire rights to and to use and control land, fisheries and forests. These Voluntary Guidelines may inform countries developing REDD+ country strategies, policy and legal frameworks and REDD-related activities.	<ul style="list-style-type: none"> For Activity B.4: Refer to the 'Guiding principles' which may provide guidance if developing national-level For Activities C.1 and C.2: See Part 3: 'Legal duties' for guidance on legal recognition of tenure rights for indigenous peoples and other communities with customary tenure systems and informal tenure rights. For Activities D.1 and E.4: See Part 5: 'Administration of tenure' for guidance on identifying existing systems of information and for managing tenure information.
45	UN / UN-REDD Programme	UN-REDD Programme	The Benefits and Risk Tool (BeRT 2.0).	The BeRT 2.0 is intended to help national actors to understand how the Policies, Laws and Regulations (PLRs) already in place in the country of interest relate to the Cancun safeguards; and to conduct a rapid assessment of gaps in the coverage of the safeguards by these existing PLRs.	<ul style="list-style-type: none"> For Activity C.1: provides guidance on identifying relevant PLRs and gaps in coverage based on identified benefits and risks from REDD+ actions.
46	Country specific	Global Witness	Independent Forest Monitoring.	IFM promotes cooperation between governments, civil society and the private sector in timber-producing countries such as Cambodia, Cameroon, Honduras and Nicaragua.	<ul style="list-style-type: none"> For Activity E.2: Independent monitoring of Forests can help triangulate the information collected through the SIS and thus ensure its quality and credibility.
47	Country specific	Climate Law & Policy	Conceptual framework for the design of a country safeguards system in Mexico.	The document provides a conceptual framework for the design of a country safeguards system in Mexico, identifying key considerations, elements (legal, institutional, and compliance) and potential steps the country could take to implement such a system.	<ul style="list-style-type: none"> For Activity C.1: The document provides a clear rationale for utilizing the country's legal framework to operationalize the safeguards, and highlights that a key step for achieving the above is carrying out a legal gap analysis.
48	Country-specific	Climate Law & Policy	Recommendations for the design of a country safeguards system in Mexico.	Utilizing the conceptual framework for the design of a country safeguards system in Mexico, this report provides a clear understanding of how one of the key elements of such a system (i.e. country's legal framework) could be utilized to meet the UNFCCC REDD+	<ul style="list-style-type: none"> For Activity C.1: The report summarizes the findings of the legal gap analysis, and provides recommendations for the development of new PLRs. The report also provides a clear methodological approach for carrying out legal gap analysis.

How to provide feedback on CAST

The UN-REDD Programme welcomes feedback on the structure and content of the tool. Please send any comments to cast@un-redd.org preferably using this [template](#).