

**CARIBBEAN PLANNING FOR ADAPTATION
TO
GLOBAL CLIMATE CHANGE (CPACC)**

***GUIDE TO THE PREPARATION OF COUNTRY POLICY PAPERS
ON
CLIMATE CHANGE ADAPTATION
PLANNING AND MANAGEMENT***

***In Support of the Implementation of Component 4:
Formulation of a Policy Framework for Integrated (Adaptation) Planning and Management***

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PREFACE

This document is intended to serve as a simple, technical guide which National Focal Points may wish to consult in the preparation of a *National Climate Change Adaptation Policy*, as part of their contribution to the implementation of Component 4: **Formulation of a Policy Framework for Integrated Adaptation Planning and Management**. This Guide is not prescriptive, and National Focal Points are at liberty to formulate their respective national policies in accordance with individual national policy guidelines and processes.

The purpose of this guide is to provide National Focal Points with an overview of the policy process and its fundamental importance to all government activity, and to provide a basis to manage the development of a *National Climate Change Adaptation Policy*. This guide seeks to assist National Focal Points with the policy development and implementation process.

GUIDE TO THE PREPARATION OF A *NATIONAL CLIMATE CHANGE ADAPTATION POLICY*

Table of Contents

	PAGE <u>NO.</u>
INTRODUCTION	1
ROLE OF GOVERNMENT ADMINISTRATION IN POLICY DEVELOPMENT	1
THE POLICY CYCLE	2
1. Issues Identification	2
2. Consultation and Coordination	4
3. Policy Analysis	6
4. Development of Policy Instruments (Policy Formulation)	9
5. Policy Approval	11
6. Policy Implementation	11
7. Policy Evaluation/Audit	12
8. Implementation of Policy Evaluation/Audit	14
SUMMARY	14
ANNEX - POLICY TEMPLATE FOR <i>NATIONAL CLIMATE CHANGE ADAPTATION POLICY</i>	15

GUIDE TO THE PREPARATION OF A *NATIONAL CLIMATE CHANGE ADAPTATION POLICY*

Introduction

Policy, in all its permutations, is the fundamental factor driving all government activity and explains the activities and relationships of institutions and stakeholders. Policy is fundamental to delivering the outcomes government wants to achieve.

Political parties offer themselves to the electorate at election time so that they can implement policy through new legislation, allocation of funds, executive decisions or by establishing new processes or organizations. It is their policy premises and manifestos and the policy performance of incumbent governments that lie at the heart of election debates and decisions, and the public perception of governance.

The very structure of government forms the basis of policy development. Central agencies such as Finance, the Department of the Prime Minister and Cabinet manage policy coordination and priority setting across the whole of government.

From a national policy perspective, it is important to note that Cabinet bears the major responsibility for making policy and the Public Service has the major responsibility for recommending and implementing policy. However, policy development and implementation is a co-operative process. Departments propose policies; central agencies analyse policy proposals, coordinate and oftentimes guide policy development; Cabinet Committees recommend best choices; and Cabinet makes policy decisions.

Government interaction with the broader community is invariably about policy development, choosing policy, delivering policy and assessing the impact of policy. Many government activities, such as consultation and establishing advisory mechanisms, are about certain aspects of policy development/implementation. Interest groups often seek to influence government about the direction of policy. In areas such as climate change, which largely impact upon the general population, the public will play a significant role in the policy formulation and implementation process.

Role of Government Administration in Policy Development

Government administration and activity, often seen as separate from policy development, are intricately linked to policy issues by bringing order and coherence to the process. Obtaining and spending funds, budget approval processes, staffing, authorizations, developing operational plans, reports, meetings, preparation of briefings are the substance of policy - otherwise policy is good intention without commitment. Government administration activity revolves around policy development and advice, implementation and evaluation.

All members of the government administration must consider themselves as players in the policy process, whether by interpreting government goals, developing options, proposing choices,

marketing, managing implementation, delivering specific services, reviewing outcomes or terminating programs. The general purpose of a policy is to provide a framework within which delegated authority may be exercised. Policies give the public administration and the public at large guidance as to the direction Government wishes to take on a particular issue. As well, policies define the amount and type of discretion that managers may exercise within that general direction. Having regard to the issue of climate change, a number of government departments and agencies may be accountable for the effectiveness of any *National Climate Change Adaptation Policy* throughout the civil service, while individual Deputy Heads are accountable for the performance of their own department or agency in carrying out the Department's policies.

The Policy Cycle

The development of public policy is a dynamic and ongoing process consisting of several key components. It is fragmented and is not a discrete, single act or event. It can, however, be described within a "policy cycle".

The policy cycle forms a framework to consider the emergence of problems, the formulation of proposals for dealing with these problems, and the endorsement and introduction of these as the government's stated policy. Although the policy cycle differs from country to country, there are invariably a number of common aspects involved, including:

1. Issues Identification
2. Consultation and Coordination
3. Policy Analysis
4. Development of Policy Instruments (Policy Formulation)
5. Policy Approval
6. Policy Implementation
7. Policy Evaluation/Audit
8. Implementation of Policy Evaluation/Audit Results

It must be appreciated that policy development is not a linear process, neatly and predictably following a sequence of steps. Policy making is not a single, uniform, transferable process. As such, the policy cycle should not be read as a staged and ordered process but an active and iterative process. However, the above-noted components should be considered when formulating and implementing a *National Climate Change Adaptation Policy*.

The following is a brief explanation of the components of the policy cycle.

1. Issues Identification

Issues identification involves understanding the issue, problem or concern commanding the attention of government and requiring a policy response. These issues form the policy agenda. Issues can elevate to the policy agenda by:

- Having widespread public attention or awareness of the issue;
- Having a shared concern by the public that attention is required;

- Having a shared perception that the matter requires government intervention; and
- Being required under international agreement or treaty.

The impetus for policy development does not come only from within government. The three main sources that create the impetus for policy development are the:

- External environment;
- Domestic political environment; and
- Public sector and internal organization processes.

Once issues and demands for policy have become apparent, government administration needs to assess whether this issue will develop into a fully fledged policy requiring an allocation of resources and a clear statement of the government's intention. Issues holding the serious focus and attention of government, form the policy agenda of government.

Ideas and beliefs are powerful stimulants for demanding policy action. Ideas and beliefs are also important ways to assess policy issues. An understanding of the influence of common belief systems allows public administration to:

- Understand the assumptions involved in policy proposals;
- Use the intellectual framework associated with belief systems as starting points for analysis of the causes of, and solutions to, a problem; and
- Identify their own frames of references and make allowances for these when considering policy matters.

In understanding the issues, and developing appropriate policy responses, government administration should be guided by the generally accepted roles for government which include:

- Ensuring people and property are physically protected;
- Ensuring people have an assured basic standard of living;
- Contributing to better physical and mental well-being;
- Ensuring some level of freedom of movement, speech, association, and economic activity;
- Ensuring some level of equity in terms of treatment and opportunity;
- Agreeing to some level of public participation and accountability;
- Assuming some community risks; and
- Protecting, to the best level possible, the natural world.

The processes for identifying policy issues may create a high demand for policy action. However, governments cannot meet all demands for policy action because:

- There are not enough resources to allocate to all problems;
- There may not be enough resources to have an impact on the problem;
- There may not be enough knowledge as to how to solve the problem;
- Meeting some demands will create spillover effects leading to new problems;
- Meeting some demands will contravene legal or social standards or expectations;
- There may not be enough agreement as to whether there is a problem;
- There may not be agreement on what causes the problem;
- There may not be agreement on what will ameliorate the problem; and
- Government acting on its own may not be able to make a difference.

Research, planning and coordination will overcome some resource, knowledge and spillover problems, but ultimately, policy making involves choosing to deal with some problems over others. Policy priorities are set by the government of the day, based on available resources, political factors, and the policy orientation of the office-holders. Government administrations identify appropriate policy options after conducting a detailed policy analysis (see below).

The issues identification process may involve one or more of the following mechanisms.

Horizontal Policy Development

Government administration may use a variety of internal forums to ensure that as many interests as possible are considered in the development of policy. Steering committees, inter-departmental committees, task teams, and work groups involving two or more departments and/or agencies, may be struck to scope out issues, develop terms of reference for the tasks required, guide the work as it progresses, and reach consensus on specific components. They may prepare the submission to Cabinet, obtain approval from senior officials and relevant ministers, and finalize an item for Cabinet decision.

Management Committees and Government Forums

Government administration may utilize a number of forums for encouraging horizontal policy development. They may include high level councils with membership comprised of members from the public and private sectors. These forums encourage corporate thinking and provide opportunities for stimulating broad thinking on issues of a cross-cutting nature.

External Policy Forums

The policy identification process of government may be assisted through the work of a variety of policy “think tanks” which have mandates to promote brainstorming on a broad cross-section of policy issues. Government administrations also work closely with leading academics to research issues of interest and contributes to various policies where possible.

Stakeholder Consultation

Once a policy need is identified, government administrations often undertake a comprehensive stakeholder consultation process. One of the elements of a good policy process is identification of the most appropriate stakeholders and establishment of consultation processes, not to ensure a conformity or consensus of views, but rather to gather a range of views. Only if this is done during this preliminary stage will the best policy options be considered, consensus developed and appropriate policy instruments chosen. The stakeholders will normally include members of the public, business representatives, community groups, academics and other interested parties.

2. Consultation and Coordination

Consultation is integral to public policy processes and should be a normal part of government operations. Consultation need to occur throughout policy development. It is not just a “symbolic”

activity of making government appear to be interested in the views of stakeholders and the community. Consultation serves a variety of purposes, but at its best is a framework for participation. Consultation gives stakeholders a structured way to provide input into decision making about the issues in which they have an interest.

Consultation can occur both within government and with groups outside of government. Consultation across government is critical. Any policy issue for which Cabinet approval will be sought, needs to take account of the fact that Cabinet includes all ministers, whose concern should be reflected in the policy document that is submitted for Cabinet's deliberation. One of Cabinet's main functions is the coordination of policy development across government.

Consultation does not just "happen". It needs to be carefully planned and key decisions made about timing and the groups and interests and stakeholders with whom consultation should occur. Crucially, decisions must also be made about the appropriate method for consultation. Deciding when to consult requires an understanding of the policy process, the nature of the political environment and the type of issues being proposed. Consideration must be also given to the scope of the matter. Consultation is about furthering public interest in policy issues.

Consultation methods are varied and can include:

- Public meetings;
- Conferences;
- Workshops;
- Public Inquiry;
- Individual discussions;
- Surveys;
- Educational displays;
- Media releases and press conferences;
- Ministerial statements; and
- Discussion/draft policy papers.

The seven principles of consultation include:

- 1) Consultation is an essential component of the policy-making process;
- 2) Effective consultation should occur early and throughout the policy process;
- 3) Each consultation needs to be designed to meet unique demands of the situation and identify and define clearly the issues considered, and allow adequate time to conduct the consultation;
- 4) Effective consultation requires openness about why people are consulted, how they will be consulted, and how much influence stakeholders will have on the policy decision;
- 5) Those consulted need to be provided with comprehensive, balanced and accurate information;
- 6) All interested parties should have access to the consultation process; and
- 7) All participants should be treated with dignity and respect.

3. Policy Analysis

Once a government administration determines a policy issue which requires further investigation and perhaps will lead to the formulation of a policy instrument and has engaged in the appropriate stakeholder consultation process required for the particular issue, comprehensive research is then undertaken to determine the background to the particular issue under review and to assist with formulating a recommended course of action, if any. When embarking upon any policy initiative the following items are considered to ensure a complete analysis of all relevant considerations.

Policy Checklist

- ✓ **Problem/Opportunity**
 - What problem is the analysis/review/proposal trying to solve or what opportunity is to be seized? Is this a departmental problem/opportunity, or a Government problem/opportunity? Can this be solved with the Department, by senior management, by the Minister, by the Cabinet Committee, or by Government acting with the private sector and public at large?
 - How big is the problem/opportunity?
 - How has the problem/opportunity been framed from an analytical perspective?
- ✓ **Responsibility**
 - Who has primary responsibility for addressing the problem/opportunity?
 - Is the problem/opportunity shared among two or more Government organizations, and if so, which ones?
 - Do they concur with the definition of the problem, the alternatives available, and the proposed solution?
- ✓ **Purposes**
 - What specific purposes, goals, or objectives is the solution intended to achieve?
- ✓ **Instruments and Mechanisms**
 - What instruments and mechanisms are available or are needed to achieve the intended purposes?

Policy Implications

- ✓ **Groups Affected**
 - Who is affected by the problem?
 - How are they affected?
 - How will the proposed policy/solution solve the problem?
 - Are there groups that will be indirectly affected, and if so, how?
- ✓ **Specific Groups**
 - Have the impacts on minority groups (eg. people with disabilities, visible minorities) been adequately considered?
 - Are there any differential effects for those living in rural or urban areas, or for low income families?
 - What will be the effect on clients/consumers?

- ✓ **Effect on Government**
 - What areas of Government will be affected?
 - Which specific departments/crowns/agencies will be affected? How?
 - Does Government have the resources (financial, technical and human) to meaningfully address the problem?
- ✓ **Planning Implications**
 - How does the proposal fit within the Government's public policy, priorities and objectives?
 - How does the proposal fit within the Government departments' priorities and objectives?
 - What are the medium and long-term implications?
 - If the proposal is a departure from stated Government or department objectives, what is the justification for this departure?
- ✓ **Interdepartmental/Intergovernmental Implications**
 - What are the implications for other organizations in the Government?
 - Are there intergovernmental/state/municipal implications?
 - What are the implications for other countries?
 - Are there opportunities for reducing overlap and duplication?
 - How have other jurisdictions dealt with the issue?
 - How does the proposal compare with their approach?
- ✓ **Technology Implications**
 - What are the technology implications?
 - What are the technology requirements necessary to support what is proposed?
 - Are there opportunities for improving, reducing, maintaining service across Government?
 - What are the cost considerations?
 - What are the critical success factors?
 - What are the technology issues that can affect the outcome of what is proposed?
- ✓ **Legal/Legislative Implications**
 - Have the legal/legislative dimensions of the problem/opportunity been explored and identified?
- ✓ **Political Implications**
 - What are the major political sensitivities which Governments must be aware of?
 - How are various political objectives balanced?
 - Who are the winners/losers?
 - Do the leaders speak for their constituents?
- ✓ **Environmental Implications**
 - What are the implications for the environment?
- ✓ **Economic Implications**
 - What effect will the proposed policy have on economic development, employment and

- diversification?
- What are the administrative, non-administrative and compliance cost implications for the public and private sectors?
- What are the implications for existing jobs and job growth and the quality of jobs?

✓ **Social Implications**

- Has the analysis and proposed solution adequately considered social implications?

✓ **Financial Implications**

- What is the current funding situation including human and financial resources?
- What is the magnitude of the funding request including human, technical, capital, space, and financial requirements?
- Is the funding for a one-time initiative, or will it be indefinite?
- What factors might influence future funding requirements?
- How will the proposal be funded?
- What options are there that would not require additional funding or full funding?
- Will there be any new sources of revenue, or increases/decreases in existing revenues?
- Are there opportunities for cost-sharing partnerships?
- What similar initiatives are or have been funded?
- Are similar initiatives in place?

Alternatives

✓ **Status Quo**

- Is maintaining the status quo feasible?
- What are the advantages and disadvantages of this option?

✓ **Other Alternatives**

- What are other realistic alternatives?
- What are the advantages and disadvantages considering the key issues, results of consultations, and analysis of the solution and its implications when determining advantages and disadvantages?

Choosing Policy Options

Once issues emerge and begin to demand government attention and ultimately policy responses, the next stage in the policy development process is to assess the range of options available. There are often different possible approaches to addressing the one problem and these options and their feasibility need to be considered. This will involve some initial considerations about choice of policy instruments and methods of implementation.

Before deciding what is desirable, it is important to think also what is possible. There is always a tension between creating the conditions in which the best policy option can be developed and the capacity to search for and analyze the various options.

Government administrations should ensure the broadest possible consultation in undertaking any process to identify appropriate policy options. The actual process used will vary according to local

practices and customs. Government administrations need to understand the nature of the policy issue they are addressing, the time frames involved (short-term versus long-term pressures), and the number of affected stakeholders when thinking about the development of a sound policy process for generating options, discussions and consensus.

The ultimate aim of a sound process to evaluate policy options is:

- To ensure the full range of options is canvassed;
- To develop some consensus about the most viable options;
- To ensure decisions are made by the appropriate person or body; and
- To assist Cabinet and strategically make the most appropriate choice in relation to government goals.

4. Development of Policy Instruments (Policy Formulation)

In reviewing the above-noted considerations, it is important to remember that the policy development process has a variable number of steps. The process is iterative and findings and results from one stage can feed back into earlier stages and result in revisions of a particular piece or the entire approach. When approaching policy formulation it is necessary that a structured approach be adopted similar to the standard analysis used for a project. Much of this material will not find expression in the completed policy template of a particular policy, but it is important in preparing briefing material and in justifying the policy. This often provides the basis for a preamble to the policy itself explaining the rationale for the policy.

Policy Format

Governments have often developed a variety of policy templates to be a vehicle for the formal statement of policy, its objectives, its application, persons responsible under the policy, and other important information. The policy template provides for the establishment of policy directives which assist with the process of policy evaluation, thereby ensuring a logical approach to policy making.

Creating a policy document using the template is the final step in the policy development process. The material collected during the analysis and consultation stages and the references acquired for relevant legislation and other policy documents and all other background research, come together in a distinct document with supporting material where necessary. The policy template provides the target to aim for and a goal to keep in mind while proceeding through the stages of the policy development process. This assists the persons who are involved with the policy formulation process to stay focused and to avoid being side-tracked on tangential issues.

Key elements of an effective policy template would include the following.

- ✓ **Policy Template**
 - Effective date
 - Policy statement
 - Policy objectives

- Application
- Policy directives
- Policy planning and management mechanisms
- Accountability
- Monitoring
- References
- Appendices

✓ **Documents necessary to develop to support the Policy Template**

- Strategic Action Plan
- Policy-Makers' Summary of Policy and Action Plan
- Communications Plan

The characteristics of good policy are:

- a) The goals/outcomes are clearly stated;
- b) Assumptions are explicit;
- c) There is linkage to government direction;
- d) Due process has been observed;
- e) Stakeholders have been included;
- f) Public interest has been given a high priority;
- g) Political expectations have been met;
- h) The policy is likely to be effective;
- i) The policy is both efficient and cost-effective;
- j) There is measurability;
- k) There is capacity to evaluate the policy;
- l) The policy is properly funded;
- m) There is accountability;
- n) The policy is lawful and enforceable; and
- o) The policy is culturally and historically informed.

A policy template for a *National Climate Change Adaptation Policy* is contained in the Annex to this document. A policy can be implemented through a variety of “policy instruments”. The main types of policy instruments are:

Advocacy

- educating or persuading, using information available to government (e.g. public education campaign);

Economic Instruments

- using government spending and taxing powers to shape activity;

Direct Government Activity

- delivering services through public agencies, establishing a new program, funding of new organizational activities; and

Law

- legislation, regulations and administrative decisions.

Additionally, new and innovative instruments may be a key form of implementing government policy. Some examples include partnerships with the private sector and the use of new and innovative technologies.

5. Policy Approval

Not all policy decisions require consideration by Cabinet. Some may be made by a Cabinet Committee; some may be made by the Minister himself/herself; and some may be made by the Deputy Minister and his/her senior officials in consultation with the Minister. The following factors are considered when determining the appropriate approval authority.

✓ Approval Authority

- The Minister's authority and mandate.
- The relationship of the decision to the authority and mandate of other Ministers.
- The powers delegated to the Minister, to Government Departments, Agencies and Government Corporations.
- The sensitivity and significance of the decision.

✓ Cabinet Approval

- A policy position which is a significant departure from current practice or which brings into effect a Government priority or commitment.
- A policy decision which affects two or more Ministers in two or more departments and/or agencies.
- Non-administrative amendments to or deletion of existing programs or development of new programs which require a commitment of resources.
- Policy change has major political implications for the public as a whole, sectors of the public, and key stakeholders, particularly if it is controversial or likely to generate media attention.

✓ Deputy Minister Approval

- Policy changes which are administrative in nature.
- Policy revisions which do not significantly affect resource requirements or change the direction of Government.

6. Policy Implementation

Once a policy is formulated it is necessary that an implementation plan be developed which details how the recommendation should be accomplished. Key considerations are feasibility and practicability. It is often helpful to establish a number of scenarios to identify potential pitfalls and to determine what will work best.

Sound policies are of little value if they are not implemented effectively. It is impossible to develop policy without planning for implementation from the earlier stages. Governments must consider implementation issues from the outset of the policy cycle in order to justify policy options and improve the probability of successful implementation. A strategic action plan should be developed as an effective tool to implement any policy.

Key factors that need to be taken into consideration when developing a strategic action plan include the following:

- ✓ **Implementation**
 - What are the major segments of the policy proposal?
 - What is the time-frame/schedule for implementing the proposal?
 - Who is responsible for implementing the policy proposal overall and specific aspects of the policy proposal?
 - Will there be a termination point for any aspect of the policy proposal and if so, when will it occur and how will Government withdrawal take place?
 - Is legislation/regulations/guidelines required to be in place?
 - What are the financial implications for Government and stakeholders?
 - What are the resource (technical, human) implications for Government and stakeholders?

- ✓ **Communications Considerations**
 - What are the strategic considerations that influence the implementation of the policy?
 - What have the key stakeholders been doing and what is likely to be their response?
 - What type of response is most suitable for their anticipated reaction?
 - What are the communication goals and objectives necessary to implement the policy?
 - Does the policy accord with the current communications strategy of Government?
 - Is the policy adequately coordinated with other activities of Government?
 - What specific activities and tools will be used to communicate the policy?
 - What are the time lines for communicating the message for each of the activities and tools outlined in the policy?
 - What is the source of funding for each component of the action plan outlined in the policy?
 - How will the effectiveness of the communication efforts be measured?

The key elements which need to be addressed in the strategic action plan are:

- How will the desired outcomes/goals of the policy be achieved in practical terms?
- How will each policy option be implemented?
- What are the resource (technical, human, financial) requirements to implement each policy option and the implications for government planning?
- What are the time frames for implementation?
- What will be the communications strategy to effectively implement the policy?

7. Policy Evaluation/Audit

A monitoring and evaluation framework is required to be established to ensure that the policy is

having its intended effect and that the requirement for the policy still exists. The criteria developed through the policy formulation process should include the potential for outcome measurement. The person or persons responsible for implementing the policy must be identified along with the resources which will be required for implementation. The necessary people and resources are crucial in order for a department to determine the effectiveness and efficiency of the implementation. Additionally, the person responsible for monitoring and evaluating the policy must be identified and the frequency with which evaluations are to be conducted outlined at the outset of the policy formulation process.

An evaluation should be conducted, initially, of the effectiveness of the policy implementation process. Once an appropriate period of time has elapsed, the effectiveness of the policy in meeting the goals outlined should then be undertaken. These are two separate evaluation exercises, both measuring different outcomes, which are critical for ensuring the long-term success of the Department in achieving the stated policy goals.

Problems identified with the policy implementation process will need to be considered when evaluating the policy effectiveness. It is necessary that gaps identified through either evaluation process need to be addressed through corrective measures, which may include policy revisions, and assessed through future evaluations.

✓ **Evaluation**

- How will the effectiveness of the policy be measured?
- Are there performance indicators or other measures of effectiveness and efficiency?
- At what intervals will measurement occur?
- Is there a pre-established database to assist with initial measurement?
- How will the comparability of data be assured?
- Is the necessary technical expertise available to undertake the evaluation required?

✓ **Evaluation Results**

- How will the results of the evaluation be implemented?
- Who will have responsibility for implementing the evaluation results?
- How will an evaluation of the effectiveness of the evaluation recommendations be undertaken?

A policy audit is required to be undertaken to determine the effectiveness with which the delegated responsibilities are being discharged. It is important that proper time lines be established which take into account the period of time required for policy implementation across Government and a department's ability to meet the obligations with which it has been provided. Time lines differ for the various policies.

✓ **Audit**

- How will consistency in policy implementation be evaluated?
- To whom will the report be made?
- Who has the ultimate responsibility for overseeing the responsibilities to be discharged?
- How often will an audit be conducted?
- Who will be responsible for undertaking the audit?

8. Implementation of Policy Evaluation and Audit Results

Following completion of an audit, Government is responsible for ensuring that a report is prepared which documents the results of the audit and identifies measures which Government must take to address any shortcomings identified through the audit review. It is necessary that a further review be undertaken once such recommendations are made to ensure those recommendations are, in fact, implemented. These processes all contribute to assessing the overall effectiveness of the policy in achieving its stated goals through the evaluation process.

✓ Audit Implementation

- How will the results of the audit be implemented?
- Who will have responsibility for implementing the audit results?
- Will further steps be taken in ensuring ongoing compliance with policy requirements?

Summary

The above-noted information provides a very general overview of the policy making process which is generally followed by Governments. There are of course many details which are not identified in this information, but it is hoped that this will be of assistance.

ANNEX

POLICY TEMPLATE FOR NATIONAL CLIMATE CHANGE ADAPTATION POLICY

NOTE:

Throughout the Caribbean there is an universal need to formulate a long-term climate change adaptation strategy to provide overall guidance on the aspects and impacts of climate change on all national development activities, and to ensure that appropriate adaptation strategies are developed and implemented in a coordinated and integrated manner involving all affected stakeholders. This strategy should be the basis for decision-making in the medium and short-term, and a framework whereby emerging issues (i.e. changing climate patterns and impacts, evolving social/economic/environmental priorities) can be effectively addressed in the long term. One of the most important aspects of the national policies would be the accompanying “Implementation Strategy” which would be the blueprint for initiating change at the national level and which would serve as the basis for any ongoing activities that are to be implemented at the national and regional levels.

The national policies which are formulated under Component 4 need to develop an “approach to management in the face of uncertainty”, which should be the “guiding philosophy” in the development and implementation of national (and regional) climate change adaptation policies. In practice, this guiding philosophy will translate into specific “risk-based management mechanisms” which ensure periodic review of decision-making structures (e.g. environmental impact assessment processes, physical planning processes, use of economic instruments, disaster contingency plans and response strategies, resource management practices) to accommodate changing circumstances/approaches and updated scientific information. Additionally, it is considered that any legal regime which may be established to implement or give effect to any *National Climate Change Adaptation Policy* (or specific management mechanisms) should require the periodic (i.e. at least every 5 years) review of the policy or the management mechanisms so as to take into account changing circumstances/approaches and updated scientific information.

In formulating a “*National Climate Change Adaptation Policy*”, governments should develop a strategic national policy which will:

- (a) Identify anticipated changes to local and regional climate patterns in the short, medium and long term (drawing upon scientific evaluations undertaken by CPACC - as referenced in *Issues Paper*);
- (b) Outline anticipated impacts from anticipated local and regional climate patterns (drawing from the CPACC risk assessment program - as referenced in *Issues Paper*);
- (c) Identify activities and areas that are vulnerable, or at risk or that may be affected by anticipated local and regional climate patterns (drawing from CPACC inventory of coastal resources, the coral reef monitoring program and the coastal vulnerability and risk assessment program - as referenced in *Issues Paper*);
- (d) Outline appropriate adaptation planning and management strategies and approaches for addressing anticipated climate change impacts in the short, medium and long term;

- (e) Define the implementation plan to give effect to the appropriate adaptation planning and management strategies and approaches, including time frames for implementation;
- (f) Identify activities that should be undertaken at the regional level to support and complement the national policy and implementation plans;
- (g) Identify the legal, institutional and financial mechanism that will be established to:
 - give effect to the Policy and implementation plan; and
 - coordinate national and regional climate change adaptation activities;
- (h) Outline the process whereby the *National Climate Change Adaptation Policy* will be kept under regular and periodic review (possibly every 5 to 10 years) in order to accommodate changing climate patterns and local circumstances.

The Policy should be developed as a collaborative exercise involving public and private sector stakeholders. The policy formulation process should be utilized as a mechanism to create improved coordination in all aspects of adaptation planning and management. Most importantly, the formulation of the Policy is essential to mobilize public and private sector support that will be necessary to give effect to the implementation plan. The Policy should be approved at the highest level in government, and serve to initiate the establishment of the necessary financial, legal and institutional measures required to give effect to the implementation plan.

In formulating a *National Climate Change Adaptation Policy*, Caribbean countries are encouraged to develop appropriate short, medium and long-term strategies and approaches for adaptation planning and management. Reliance should not be placed on any single strategy or approach, but rather emphasis should be placed on the identification of priority strategies and mechanisms that can be implemented within existing human, technical and financial resources. It is foreseen that each country will develop its own process for formulating appropriate strategies and approaches and for determining the appropriate timing for such mechanisms - with assistance provided (where required) by the CPACC project. The *National Climate Change Adaptation Policy* should be implemented through a strategic action plan (Implementation Plan) that will detailed the following:

- How the policy is to be implemented;
- Who is to implement the policy;
- What are the means (technical, financial and human resources) whereby the policy will be implemented; and
- Time frames for implementing the policy.

Below is a template that governments may wish to consider when drafting their respective *National Climate Change Adaptation Policy*.

I. POLICY STATEMENT

A clear, concise statement of the Government's policy in relation to adaptation to climate change. It may be formed around a course of action Government wishes to take. The statement should address what it is that is being accomplished through the development of the policy.

II. DEFINITIONS

A statement of the meaning of words which are used in the policy which require specificity.

III. ADAPTATION POLICY OBJECTIVES

States the end result the policy is trying to accomplish or achieve. The objectives are more specific in terms of what Government wants to achieve through the development of the policy. For example, what are the operational outputs, program outputs and/or program effects desired.

IV. APPLICATION

Indicates to whom the policy applies, including the legislation which governs applicability.

V. ADAPTATION POLICY DIRECTIVES

Binding policy requirements which must be followed. The directives are detailed, remove discretion and are subject to audit. The policy directives should address adaptation policy options for the following:

- agriculture and forestry;
- human settlements;
- human health;
- coastal and marine resources;
- terrestrial resources;
- water resources (surface and underground);
- biodiversity/resilience of natural systems;
- social/economic development.

The policy directives should indicate binding policy requirements in the short, medium and long term.

VI. ADAPTATION POLICY PLANNING AND MANAGEMENT MECHANISMS

Mechanisms whereby the policy directives will be implemented. These mechanisms may, as an example, include the use of the following *planning mechanisms*;

- integrated coastal resource planning processes;
- land-use/physical planning processes;
- environmental impact assessment processes;
- biodiversity strategy;
- disaster contingency planning processes;
- national development plans.

The *management mechanisms* that may be employed to implement the policy directives may, as an example, include:

- physical planning guidelines/setbacks/building codes;
- environmental management institutions;
- national legislation;
- economic instruments;
- innovative technologies;
- instruments to promote behavioural change (e.g. public education and awareness programs).

VII. ACCOUNTABILITY

Responsibility for objectives which link policy to the resources/positions responsible.

VIII. MONITORING

Designates who will monitor the policy implementation and how such monitoring will take place having regard to performance and effectiveness.

IX. REFERENCES

A list of all related legislation and other policies which should be consulted or implemented in conjunction with the policy.

X. APPENDICES

Mandatory technical details; specialized glossaries; and other relevant additional information.