

UNEP Dams and Development Project
Draft Compendium on Relevant Practices

Compilation of comments received from stakeholders up to 31 December 2006 and action taken by DDP regarding their incorporation into a revised and edited draft (issued on 7 February 2007)

A) General comments

Submitted by	Comment	Action
Socher	Up to now, the draft is too long and requires some cuts and deletions without getting less precise	The draft has been thoroughly reviewed and reorganised following recommendations of the 5 th DD Forum meeting
Socher	A number of tables and figures can be easily deleted without losing relevant contents	Tables and figures have been reviewed as part of the draft revision and editing
Socher	It is not necessary to reflect at a number of points the positions of WCD, this compendium goes beyond the state which has been reached by WCD	Chapter 1 Introduction has been revisited taking this comment into account. However references to WCD process, CV and SP as background is important since they constitute a milestone in the dams and development debate and a departure point for the DDP process and outcomes.
Socher	Among the various important recommendations and statements of the draft a clear message for the whole cycle appears to be necessary, such as: <i>Organise stakeholder participation within the river basin and bring together beneficiaries with non-beneficiaries; design, wherever possible, multifunctional dams as a contribution towards integrated river basin management and sustainable development, prepare for the implementation of adaptive dam management in order to cope with new challenges such as climate change, install and accept post-project monitoring and evaluation along the whole cycle.....</i>	The issues raised by the comment have been addressed in the Compendium either in the Introduction and in the various chapters as part of the issues addressed. General conclusions and recommendations have been kept to a minimum to avoid becoming prescriptive and those included reflect the outcomes and discussions at the 5 th DD forum meeting.
Socher	Due to the fact that China has nearly half of the world's big dams but was not directly engaged in the work of DDP, examples of relevant practice from China should not be covered in the main text corpus.	Consultation to place on the examples with the Chinese representative to the 5 th DD Forum who provided comments. One example that according to the review did not illustrate properly the issue being addressed (Three Gorges-Addressing Outstanding Social Issues) was not included in the respective chapter
Socher	All examples in the boxes should systematically indicate country, river/ basin, project name	Information made available to DDP has been incorporated into the boxes to the best extent possible and keeping the style of summary.
IRN	It is unclear what the purpose of this document is. The Compendium was supposed to present examples of good (or relevant) practice. The case studies have in the meantime been largely dropped from the main report – and for good reasons. The current draft of the Compendium largely consists of conceptual remarks, analytical sections, and recommendations. The WCD report has done a much more coherent and convincing job at this, and there is no need for a Compendium that tries to replace or replicate the WCD report.	There was agreement at the 5 th DD Forum meeting about the relevance of producing the Compendium along the lines proposed by the draft taking into account the comments issued at the meeting. As stated at the 5 th DD Forum meeting, the Compendium does not replace or replicate the WCD but contributes to the implementation of the WCD strategic priorities

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IRN	At the end of the discussion in the Steering Committee meeting of August 2006, UNEP concluded that no Compendium would be published under UNEP's name. The consultants would be asked to prepare improved executive summaries, but neither the summaries nor the project case studies would be disseminated under UNEP or DDP's name. We are surprised to see that the DDP is not following this conclusion.	This issue was discussed and sorted out at the 12 th SC meeting on November 2006 recognising the various positions about the publication of the Compendium. UNEP took the comments into account in proceeding with the process.
IRN	Many of the case studies are not scientifically sound, and do not serve as good examples for relevant practice. The executive summaries have been prepared quickly, and are not based on a sound knowledge base regarding relevant projects. They do not add much value to the debate. The executive summaries and the case studies should not be published under the name of UNEP or the DDP, and should not be disseminated by UNEP. It is a moot question how the problems with the Compendium came about, and we are not trying to apportion blame for them. At this stage it is better to count the losses than to publish a document that is not sound and will cause a lot of criticism.	There was agreement at the 5 th DD Forum meeting about the relevance of producing the Compendium along the lines proposed by the draft taking into account the comments issued at the meeting.
IRN	While we do not think that the Compendium should be published and disseminated, we are making the following comments in case UNEP decides to publish the document anyway. In this case, the DDP name and logo should be removed, and a disclaimer should clarify that the report does not express the views of UNEP. Also, many case studies are of very poor quality, and should not be actively disseminated by UNEP.	There was agreement at the 5 th DD Forum meeting about the relevance of producing the Compendium along the lines proposed by the draft taking into account the comments issued at the meeting.
IRN	The language in many sections of the draft Compendium is vague, abstract and unclear. Technocratic jargon should be avoided.	The draft has been subject to thorough review incorporating comments, including further consultation with the consultants, and the text reviewed by an experienced professional editor
IRN	The sections on the various priority issues are of very uneven quality. The sections on Identification and Assessment of Options, Environmental Management Plans, and Compliance are strong. In contrast, the Introduction and the sections on Dealing with Social Aspects and Compensation Policy/Benefit Sharing Mechanisms are very weak.	The sections on Social Aspects and Compensation Policy and Benefit Sharing were particularly reviewed taking into account the specific comments of IRN and others as detailed in this table.
IRN	Even after the Steering Committee meeting of August 2006, the consultants and the DDP secretariat do not appear to have made any efforts at consulting affected people about the projects that are covered in the case studies. At the Steering Committee meeting, IRN offered to get the authors or editors in touch with affected communities and local NGOs, but nobody responded to this offer. The biased research methods have contributed to the poor quality of many case studies.	Field consultation of all stakeholders was beyond the timeframe and resources of the project and the research was based on available published materials. This is well acknowledged in the Compendium and the reports of the consultants. The reports containing the detailed case studies will be published under the names of the consultants and will be open to further comments by the public.

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IRN	It is still unclear what criteria the authors of the Compendium have used to define relevant practice. Some of the sections refer to the WCD report, while others make every effort to ignore the WCD. Some sections even claim that no normative frameworks on their issues exist, as if the WCD report had never been published. The Compendium should be more coherent in that all sections should define relevant practice in reference to the core values, strategic priorities and recommendations of the WCD report.	Relevant practice refers to the implementation of the issue or elements of the issue addressed. Reference to WCD report is made throughout the document. The issues are explicitly derived from the WCD strategic priorities.
Bird	I felt the coverage of environmental issues was disappointing and may be an issue - see comments 4 and 5 below.	As explained in the Compendium, only a few issues were selected for detailed elaboration due to time and resources constraints. Environmental Impact Assessment and other environmental related aspects are specific issues identified in the check list that will have to be addressed in future but were not selected for this first version of the Compendium
Bird	The term Compendium suggests something that is comprehensive, and yet the report itself acknowledges that it includes 9 out of a potential of 30+ topics. Without a next phase of DDP, it is not clear how the other topics will be added as envisaged under para 1.31? Is there a plan?	Unfortunately clear indications did not emerge from the 5 th DD Forum about the upgrading of the Compendium to cover other important remaining issues. It is anticipated that the use of the first version will have a positive impact that will result in the need for future actions in this regard.
Bird	The content and style of the sections varies considerably and throughout interweaves (i) a description of DDP process, (ii) an academic analysis (iii) a project report and (iv) a guidance document. The result is that the real 'meat' is rather inaccessible and considerable effort is needed by the reader to filter out what are the key guidance points. A summary or concluding section that draws out some of the key guidance for the 9 topics would help, (but then maybe you run the risk of being too prescriptive?).	The draft has been revised in an effort to enhance coherence between chapters. However the diversity of issues does not lead to a uniform approach. Diversity on the other hand could be seen as strength in the case of an informative tool is intended with the Compendium. An executive summary has been added. The risk of being prescriptive is always there and in most cases depends more on the reader than on the text itself.
Bird	Social issues are well covered with a number of useful examples especially on benefit sharing. It would have been good though to include Bumbuna in the benefit sharing section as a very up to date example of a community development plan financed from project revenues that has gained extraordinary support.	The Bumbuna project has been selected as an example of SIA in Chapter 4. Its incorporation as an example of benefit sharing would be done in future editions of the Compendium

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Bird	<p>Although the selection of the 9 priority topics was the result of a DD Forum process, it seems a missed opportunity that only one environmental topic was selected. Also that the topic was EMP. Whereas this is understandable from the perspective of ensuing a framework is in place to cover mitigation measures, a much earlier focus on environmental issues through the screening process and use of Strategic Environment Assessment can be more effective in avoiding some of the most severe environmental impacts and leaving room open for serious consideration of mitigation measures. In many cases, by the time it gets to the EIA / EMP stage of project processing, the main decisions have already been taken and often financial commitments made in the form of concession agreements. There is then little flexibility left to make any fundamental changes to the project design or budget. In the case of NT2, this certainly constrained consideration of more effective environmental mitigation measures during project appraisal. A positive example of the importance of earlier assessment comes from Vietnam. The National Hydropower Plan screening exercise did introduce new concepts for mitigation in some projects at an early planning stage. Now the focus of World Bank and ADB is on introducing SEA – albeit a bit late. Although the screening stage is mentioned in the Compendium under the section on Options, it is relatively brief and doesn't make the case for SEA.</p>	<p>As explained in the Compendium, only a few issues were selected for detailed elaboration due to time and resources constraints. Environmental Impact Assessment and other environmental related aspects are specific issues identified in the check list that will have to be addressed in future but were not selected for this first version of the Compendium. SEA is dealt with and recommended when dealing with various issues in the Compendium, including IO, SIA and EMPs</p>
Bird	<p>Also, the treatment of EMP in section 6 reads more like a text book rather than addressing the shortcomings in implementation. I am not sure it adds much value which is surprising given the author for whom I have a high regard. I haven't had time to review the background paper on EMP.</p>	<p>The Compendium's main purpose is to inform initiatives on capacity building of decision makers and managers. Therefore among its various uses it is envisaged as a text for training. An effort has been made to enrich the recommendations addressing the alluded shortcomings.</p>
USA	<p>However, we still have several outstanding concerns with the text (below). Given the report's limitations, we do not believe it can be used in future work on relevant practices without substantial modifications.</p>	<p>In general the GACG has been emphatic in recognising from a governments perspective the value and relevance of the Compendium that has been taken to represent the perspective of governments. On this basis GACG has supported the publications of the Compendium at the various meetings in which its representatives participated in.</p>

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USA	The report generally still needs more extensive referencing, including a wider variety of references. For example, on page 13, the reference for the sustainability framework is the DDP Secretariat. Although the DDP Secretariat certainly has a perspective on sustainability within the context of dams, the broad nature of sustainability requires the use of additional references. Another example is on page 16, para 16 in the discussion of the core of the debate on dams. The text needs to be clear as to who has indicated that these issues are at the core of the debate. Although we recognize that the peer-reviewed literature on dams can be limited and difficult to access, there is peer-reviewed literature on dams available and we believe this literature should have been used more extensively in this report	Further effort has been devoted to improve the referencing, and this effort was strengthened by the input of an experienced professional editor. It is to be noted that the level of referencing achieved is considered appropriate for this kind of practical informative tool that is not a scientific or policy paper. Chapter 1 has been extensively reviewed taking into account these comments. The texts mentioned had been revisited accordingly. The consultants made there best efforts to access available published literature, meaning that most peer reviewed published literature has been taken into account.
USA	The text in this new version of the compendium needs to be tightened and made smoother. Although we appreciate the efforts to streamline the report, the text in many places, especially the introduction, is unclear. For example the discussion of the history of WCD on page 14 is vague and difficult to follow.	The Introduction has been reworked on the basis of the recommendations of the 5 th DD Forum meeting. An experienced professional editor has been commissioned to review the quality and readability of the text of the document.
USA	The text needs to make clearer as to which parties have agreed on certain principles or issues. We are concerned with the use of statements, such as in para 10, page 15, “a broad consensus was reached on the need to adhere to the five core values...” The report needs to be clear as to who specifically reached broad consensus (e.g., the authors of the WCD). Another example is on page 25, para 52: “There is agreement that any decision to build a dam should emerge from a” It should be clear who agrees with this (e.g., that this was the conclusion of WCD.	The specific comments have been taken on board. In reviewing the draft DDP Secretariat made efforts to ensure neutrality, avoid judgments, include diversity of views and reference opinions. The ToR of the experienced professional editor also highlighted these requirements.
USA	The text should also avoid conclusive and broad statements without adequate references. We believe that many of the sections contain inappropriate and unjustified conclusions, given the limited amount of information and time available for this report, as well as the limited time that some of these issues have been studied. We believe the conclusions and recommendations text at the end of each section need to make these limitations even clearer, and be phrased as “observations” and/or “trends.”	The majority of stakeholders have not considered the conclusions and recommendations inappropriate or unjustified. On the contrary they have been supportive, particularly the GACG. They reflect the everyday experience of practitioners dealing with each of the issues. Particular care was taken in streamlining the recommendations in the light of these comments. Despite time and limitations of access to published materials, the review done and the experience of the consultants, as experts in their fields, support satisfactorily the recommendations made.
USA	We are particularly concerned with the text in paragraph 41, on page 21 - that the “review of the available literature, the examples of relevant practices, and the expertise and experience of the consultants provide a sound basis from which to draw conclusions and recommendations.” We do not believe the report provides a sound basis to draw conclusions given its limitations. Instead, this report could simply help to point in the direction for future work.	The text has been revisited as part of the review of the publication. See also last statement in comment above.

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USA	The report needs to make its limitations clearer. For example, the text on page 31, para 78 reads “The review indicates that the process of identification of options, etc.” This statement should be clarified to indicate that the “limited” review led to several observations.	This comment has been taken into account
USA	We understood that the original consultants’ reports were not to be made public. This needs to be clarified (see paragraph 32, on page 20).	This comment has been taken into account
USA	The report also still needs to be clearer about the methodology followed by the consultants (e.g., how the literature review was conducted for each section)	The reports of the consultants describe the methodology adopted to deal with each of the issues. These reports will be open for further comments by the public.
Jun Guo	Case studies on Xiaolangdi Shuikou and Huibei’s projects. The information on these projects comes from WB, ADB. That is ok.	No action
Jun Guo	Case for the Gorges Project: The references the draft used is not commonly known by Chinese people. The situation mentioned in the reference is only the small part of the whole project. So many positive results have not been adopted. That is not the right way to use this case. They should have a comprehensive or integrated idea or materials about the policy and regulation on the resettlement work and the results on Three Gorges Project	The comments have been forwarded to the corresponding consultant. The example on the Three Gorges Project associated with OASI has not been include in the Compendium
Jun Guo	The case of Three Gorges Project has been put into the Section 4.2 of Addressing Outstanding Social Issues. The project and its resettlement work is not for the definition by Sec. 4.2.2 (page 61). That is an abuse of the case for Three Gorges Project. If DDP really wants to use this case, you should make a good documentation on this aspect on Three Gorges Project. After you document the materials, I suggest that you better put this case into the Section 5.3 – “state of the art and the practice” considering the “Compensation Policy”, otherwise you may omit it.	The comments have been forwarded to the corresponding consultant. The example on the Three Gorges Project associated with OASI has not been included in the Compendium
Njurumba	Size of the document – The Draft Rev 0.5 compendium is a big document. It should be reduced to about 100 pages so as to make it more reader friendly. However, the new document should not compromise the quality of the works	The draft has been thoroughly reviewed and reorganised following recommendations of the 5 th DD Forum meeting
Njurumba	The compendium – This should serve as hand book or a reference point in the field of dams development. Only relevant practices should therefore be included without much tutorial issues.	The draft has been thoroughly reviewed and reorganised following recommendations of the 5 th DD Forum meeting
Njurumba	Sustainability of dams - To a very great extent, this depends on the degree of environmental conservation. However, vast catchment areas have already been degraded by people as they look for wood fuel or enhanced food production and hence encroachment into forests).	Reference to IWRM, integrated river basin approaches and catchment management in the context of dam development and management have been included in the text in the Introduction and in relation to various of the issues dealt with.
Njurumba	The compendium should impress on formation of Catchment Areas Advisory Committees and Water Resource Users Association Groups for proper management of water resources at the grassroots level.	Reference to IWRM, integrated river basin approaches and catchment management in the context of dam development and management have been included in the text in the Introduction and in relation to various of the issues dealt with.

Submitted by	Comment	Action
Njurumba	The compendium should look at the sustainability of dams from the point of view of integrated water resources management. This should address enhanced soil and water conservation and reforestation activities.	Reference to IWRM, integrated river basin approaches and catchment management in the context of dam development and management have been included in the text in the Introduction and in relation to various of the issues dealt with.
Njurumba	Only countries that subscribe to the DDP should be included in the case studies	The Compendium was elaborated without limiting the research to specific countries or contexts looking for relevant practices that as stated in the document are not necessarily abundant regarding the issues being dealt with. Further the DDP is an open UNEP project that has not set subscription criteria.
Njurumba	A number of tables could easily be done away with without compromising the quality of the compendium.	The draft has been thoroughly reviewed and reorganised following recommendations of the 5 th DD Forum meeting
Marmulla	Chapter 6 of the Compendium on relevant practices should not only be based on published information contained in EMPs but that also relevant practices be considered that have not yet made their way into EMPs. This applies for instance to fish passage facilities that are not mentioned in EMPs and are therefore not considered as 'relevant practices'. There is therefore no discussion on what should be done in future. If not done, the Compendium would be incomplete!	A key aspect of the ToR of the Compendium was resorting to published information. The limitations resulting from the scarcity of published information regarding the emerging issues addressed have been pointed out and acknowledged. While the use of unpublished information would have allowed capturing front of the wave practices yet not documented, it would have involved an open ended research effort incompatible with the timeframe and resources of the project and the quality of the material incorporated into the publication. Chapter 6 deals with mitigation measures in general, as a fundamental element of EMPs that are the object of the relevant practice dealt with by the publication. Therefore it omits listing specific mitigation measures, as the one suggested, in order to avoid criticisms of this kind from other colleagues involved with other mitigation measures. However some are mentioned as examples and fish management has been included among them.

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Marmulla	The advice coming from the new compendium should, however, be: EMPs must be implemented during the design and pre-construction phase as it might be too late to incorporate significant features during the construction phase if not projected during the design and pre-construction phase. Paragraph 9 (under (c) Implementation of EMPs) is a description of today's practices and should not be misunderstood as an advice for the future. This has to be made very clear at the beginning of Chapter 6.2 which now simply states that "... EMPs are intended to document the actions needed necessary to prevent or minimize predicted negative impacts....". An inattentive reader may think that in the text, following the current introduction, all the necessary actions are listed (as they were taken from existing EMPs).	The comments have been taken into account in revisiting chapter 6. The limitations of the Compendium have been clearly articulated. Despite these limitations, the value of the Compendium was still recognized by stakeholders at the 5 th DDF meeting.
Marmulla	The section <i>6.4 Conclusions and recommendations</i> is so short that one necessarily feels that what is mentioned in the previous sections are actions to be implemented (though only today's info found in relation to EMPs and incomplete).	The recommendations have been reviewed and enriched taking into account Mr. Marmulla's suggestions
Marmulla	In the whole Compendium, no reference is made to the FAO Code of Conduct for Responsible Fisheries (CCRF) although the CCRF takes into consideration environmental aspects, including those impacts that other sectors have on fish and fisheries. Ref.: FAO, 1995. Code of Conduct for Responsible Fisheries. FAO. Rome, 1995. 41p.	A reference to the Code of Conduct has been included in chapter 6 as a general reference material.
Marmulla	Neither are the CCRF Technical Guidelines No 6: Inland fisheries mentioned (they even describe in greater detail as the CCRF the impacts and measures). Ref.: FAO, 1997. FAO Technical Guidelines for Responsible Fisheries: Inland fisheries. No. 6, Rome.	The comments have been forwarded to the consultant on EMPs for consideration regarding incorporation into the respective report
Marmulla	Also no reference is made to the FI Technical Paper 419 "Dams, fish and fisheries – Opportunities, challenges and conflict resolution" that was produced following the WCD process of compiling information in the context of the preparation of the Thematic Review on Environmental Issues. Ref.: Marmulla, G. (ed.). Dams, fish and fisheries. Opportunities, challenges and conflict resolution. FAO Fisheries Technical Paper. No. 419. Rome, FAO. 2001. 166p.	A reference to the Technical Paper has been included in chapter 6 as a general reference material.
Marmulla	It would have probably been beneficial for the compendium to draw in info from these publications (especially from the paper by Bernacsek "Environmental issues, capacity and information base for management of fisheries affected by dams"; Ref.: Bernacsek, G.M., 2001. Environmental Issues, Capacity and Information Base for Management of Dam Fisheries. In: Marmulla, G. (ed.). Dams, fish and fisheries. Opportunities, challenges and conflict resolution. FAO Fisheries Technical Paper. No. 419. Rome, FAO. 2001. 166p.).	The comments have been forwarded to the consultant on EMPs for consideration regarding incorporation into the respective report

Submitted by	Comment	Action
Hydro-Quebec	Page 6 (List of Boxes) Box 3.3 Eastmain 1A-Rupert (frequent inversion of A1 instead of 1 A)	Incorporated
DDForum	One representative considered that document was biased towards building of dams and did not give the impression of being neutral.	The Introduction has been thoroughly revisited to take care of this comment
	Improving the approach to social impact assessment to account for the fact that today social analysis looks at social development processes and not only to negative impacts;	Incorporated
	Further highlighting the importance of the baseline analysis, either social as well as environmental and stating that that implementation of RAP should start before the project and not contemporary as it is said in the document.	Incorporated
	And stating that that implementation of RAP should start before the project and not contemporary as it is said in the document.	Incorporated
	One participant indicated that reference to the rights approach that was a major achievement of the WCD referring to the rights of affected people was missing in the document.	Incorporated
	The need to reflect the downstream impacts of dams and to better deal with lower and upper riparian in the Compendium was raised.	Incorporated
	The document was found to be gender neutral and referring to SIA one member highlighted that women have been particularly marginalised in social analysis and therefore the gender issue should be incorporated in the chapter.	The gender issue has been further incorporated into the Compendium and particularly Chapter 4 on Social Aspects deals with the issue in the context of addressing vulnerable groups.
	The case of the benefit sharing example (Itaipu) the royalties paid did not necessarily reached the affected people	The text acknowledges this fact and makes a recommendation in this same regard
	The case of stakeholder participation (Salto Caxias) all the achievements were a result of people organised action forcing the company to agree and such achievements would not have occurred without the people's mobilisation	The comments were forwarded to the consultants to be considered in the respective case studies
	And in the case of social impact assessment (Campos Novos), a human rights issue had been raised, activists have been prosecuted and put into jail for defending them and therefore it was not a good example of SIA but of police and judicial system impact on affected people	The comments were forwarded to the consultants to be considered in the respective case studies
	He suggested that since facts are controversial the different views of these facts should be incorporated.	The comments have been taken on board when revising the Compendium, reflecting the diverse views as appropriate. The comments were forwarded to the consultants to be considered for incorporation in the respective case studies. Case studies in the reports of the consultants will be open for comments by the public and will be accessed in the web.
DDForum GACG	Including an executive summary upfront, a kind of main chapter that will handle some of the issues raised at the Forum	Incorporated. An executive summary has been included upfront in the Compendium.
	a stronger statement on IWRM and river basin management since there was a need to look upstream and downstream, beneficiaries and not beneficiaries.	Incorporated

Submitted by	Comment	Action
	A new title " <i>Compendium on Relevant Practices for Improved Decision making on Lifecycle Management of Dams and their Alternatives</i> " was proposed to capture the fact that the project cycle starts with the very first idea of a dam and goes until decommissioning.	The title will be discussed with the UNEP Publishing Board that guides on issues pertaining to publications by UNEP.
Working Group A	As regards the Compendium the Group concluded that the nine issues covered rather well the key aspects	The Compendium is considered a first edition that might be upgraded in future through addition of other significant issues, particularly those raised by the participants.
Working Group A	Some issues were felt to be missing such as shared responsibility as well as some more focus on affected people.	The Compendium is considered a first edition that might be upgraded in future through addition of other significant issues, particularly those raised by the participants. Focus on affected people has been incorporated in accordance with the issue addressed, either directly as in Chapter 3 (Stakeholder participation), 4 (Social issues) and 5 (Compensation and Benefit Sharing) or implicitly, through various references in all chapters to stakeholder and public participation.
Working Group A	There was the suggestion of considering a chapter on economic viability of dam projects.	The present first edition of the Compendium was limited to 9 issues emerging from the recommendations of the 4 th DD Forum meeting. Future versions might include the economic aspects explicitly as they are an element of sustainable development approaches. In doing so, the opportunity will be created to include the economic value of goods and services of the ecosystems affected or enhanced by the project into its overall economic viability analysis
Working Group A	It was also suggested to highlight a macro economic perspective since countries can engage in huge debts when large dams are built in relative small economic contexts.	The present first edition of the Compendium was limited to 9 issues emerging from the recommendations of the 4 th DD Forum meeting. Future versions might include the economic aspects explicitly as they are an element of sustainable development approaches. In doing so, the opportunity will be to include the suggested perspective.
Working Group A	The need for further prioritising of some of these issues was raised given that they were seen as too many.	The nine issues addressed by the Compendium resulted from a prioritisation. Contrary to this statement, there was a wide recognition at the meeting that more issues should be addressed in future
Working Group A	The document covers the key issues and state the art though it certainly recognised limitations of knowledge.	Noted

Submitted by	Comment	Action
Working Group A	The group suggested considering some bad examples and analysing a couple of projects, not necessarily bad examples, in more in depth, drawing lessons from them.	This approach could be taken in future editions of the Compendium. The representative from China suggested a survey at country level in some selected collaborating countries using the same methodology adopted for the Compendium.
Working Group A	It was suggested to include more field-based examples and that facts needed verification from governments and stakeholders on the ground.	The inclusion of more examples could be considered in future editions of the Compendium. The examples have been submitted to stakeholders and governments for review through the advisory platforms available to the project (DD Forum, SC and GACG). Further consultation will be carried out through opening the reports of consultants to the public for comments.
Working Group A	To solve this challenge given the limited time available, it was recommended that the participants in the Forum could share information filling the gaps seen in the Compendium.	DDP received comments until 31 December 2006
Working Group A	It was recognised that the documentation of practices is limited, and it was considered not acceptable.	The Compendium includes a recommendation dealing with improving access to practices and their assessments.
Working Group A	However it was indicated that available information had not been included, such as gender issues and mechanisms for grievance.	Gender issues have been considered in general under the label of "vulnerable groups". Reference to these groups has been enhanced in the Compendium, particularly in Chapter 4 dealing with social aspects.
Working Group A	Regarding the last topic in this section of the guidelines, comments from participants reflected the view it was a desktop study done rather quickly, by many consultants and that stakeholders had not been sufficiently consulted.	The preparation of the background reports of the Compendium was planned as a desktop study using modern communication tools to reach the widest possible coverage. Field research would have involved a change of scale in terms of time and resources which would have been beyond the possibilities of the project. The final reports of the consultants with the examples have been submitted to stakeholders and governments for review through the advisory platforms available to the project (DD Forum, SC and GACG). Further consultation will be carried out through opening the reports of consultants to the public for review.
Working Group A	The group recommended that the limitations should be made clear at the beginning of the Compendium, including the indication that this was the first time that there was an attempt to put together this sort of information.	Incorporated
Working Group A	There was a need for verification of the case studies by stakeholders that are involved.	The final reports of the consultants with the examples have been submitted to stakeholders and governments for review through the advisory platforms available to the project (DD Forum, SC and GACG). Further consultation will be carried out through opening the reports of consultants to the public for review.

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Working Group A	Each group could draft a short text to make clear their own views regarding the document so everybody would feel comfortable.	
Working Group B	As regards the Compendium, there was consensus in the Group that it needed further review.	This was carried out as agreed at the 5 th DD Forum meeting and with the SC
Working Group B	Diverging views they should be highlighted in the form of boxes or other kind of editorial work to make them evident. Some groups might have a total opposition to a project and it should be reflected somewhere in the document.	Regarding the Compendium, the DDP Secretariat with the assistance of an experienced professional editor has addressed the issue of diversity of views and avoiding judgments. Regarding the case studies, further consultation will be undertaken through opening of the reports of consultants to the public for review.
Working Group B	The ideas and views of affected people should be better highlighted in the document and better reflected.	The Compendium was reviewed taking into account this comment.
Working Group B	An important issue were the concern that some of the 9 priority issues might derive from the original WCD framework and principles and a cross check back with WCD was recommended to see if there were any differences or modifications or it was in line with it.	The 9 priority issues derive from the WCD strategic priorities as explained in the Compendium. The approach adopted by the Compendium to deal with the specific issues is new and differs from that adopted by WCD in dealing with the SPs. The Compendium therefore informs the WCD SPs.
Working Group C	Some issues that were left out were public accountability, transparency, EIA, environmental flow management	The present first edition of the Compendium was limited to 9 emerging issues prioritized at the 4 th DD Forum meeting. Future versions might include explicitly the economic aspects which are an element of sustainable development approaches
	Make the document user friendly and language simpler;	The editing of the Compendium was commissioned to an experienced professional editor with a strong background in publications of this kind.
	Need for an executive summary,	An executive summary was added in the edited revised draft
	To articulate key messages upfront; to move recommendations and conclusions at the beginning of each chapter.	In addition to the executive summary, a summary was introduced at the beginning of each chapter summarising the issue and main conclusions and recommendations
	Dams and development should be placed in the context of river basin management.	Incorporated
	Factual base was not good and that the case studies on which it was based had serious problems.	The description of case studies reflects the available published information. They will be open to the public for comments on the web thus allowing stakeholders to provide additional inputs and opinions.
	Disagreement whether some of the cases studies represented good or bad practices.	The Compendium explicitly avoided judging the practices except about its relevancy to the issue addressed and having a positive or forward-looking approach.

Submitted by	Comment	Action
	Views from affected people and civil society had not been taken when gathering information on case studies.	The research was based on published available information. Lack of published and comprehensive assessment of the outcomes by stakeholders have been acknowledged as a limitation and addressed in the recommendations. This does not affect the usefulness of the publications that intends to inform on what is being done in the world regarding frameworks and implementation of the prioritized issues.
	Document did not recognise that in many cases better practices have come about as a result of protests from affected people and civil society and that improvement has come out at the cost of trauma and suffering of the affected people.	The Compendium is about practices associated with the nine issues addressed. Recognition of the role of stakeholders and affected people is done throughout the document and in particular in Chapter 3 Stakeholder Participation. The role of civil society in monitoring outcomes and their involvement in redressing non-compliance is dealt with in Chapter 7.
	Unbalanced and biased towards large dams	The Compendium deals mainly with dams as the dams and development debate and the WCD do. Alternatives are dealt with in the context of the comprehensive assessment of options that is dealt with in Chapter 2. Contents of Chapter 1 have been reviewed to ensure a neutral approach taking into account this and other comments.
	The fact that it had recommendations makes the document look like prescribing.	While recognising that the distinction between a recommendation and a prescription might be thin, particularly dealing with sensitive issues, it is considered that suggestions about the way forward in terms of overcoming limitations and constraints and improving the consideration of the issues by regulations and their implementation in practice is consistent with the overall objective of enhancing consideration of environmental and social issues without prescribing specific practice.
	They considered that people not speaking or fluent in English had been excluded from the document and the process through which it will be finalised.	This limitation has been acknowledged. The size of the project did not allow for the translation of the draft materials into other languages. Plenary sessions of the DD Forum meetings are the only instances in the project in which interpretation was offered. It is expected that the Compendium will be translated into other languages and widely disseminated allowing for a more inclusive process when an update will be undertaken.

Submitted by	Comment	Action
	It was recommended to revisit some of the most critical case studies based on comments.	The reports containing the detailed case studies will be published under the names of the consultants and will be opened for comments by the public. This will provide further opportunity to the various stakeholder groups to provide inputs and comments that will be appended to the reports and in future will be used to review the case studies
Plenary Session 4	One opinion was raised that the Compendium should not be judgmental and no name shame of individual or country should be included. Following a request of clarification from other participant, it was commented that this did not mean excluding information about countries to illustrate the context, especially geographic locations and that case studies were being consulted with governments and other stakeholders.	Shaming of individuals, institutions and countries was, where possible avoided.
12 th SC meeting Civil society	They noted that some broad and opinionated statements are made in the document like the statement in Introduction paragraph 1: <i>'While a range of alternatives to provide water and energy services are available, the types of services that dams provide cannot often be substituted but rather complemented by other alternatives'</i> . They affirmed that such statements made the issue of options assessment redundant and set back the progress made in whole dams and development debate in the last six years back.	Incorporated in the review of chapter 1.
12 th SC meeting Civil society	It was further remarked that the language was very complex and incomprehensible to a layperson	The editing was commissioned to a professional editor with a strong background in publications of a similar nature.
12 th SC meeting Civil society	The representatives of civil society further questioned the appropriateness of the process of compiling the Compendium due mainly to the fact that affected people had not been adequately consulted. The document therefore had not done justice to the views of the affected communities.	The process adopted after consultation with the SC for compiling the Compendium involved consultation with stakeholders through the multistakeholder platforms available to DDP (SC and DD Forum). Limitation in the availability of published information on practices and their assessment has been acknowledged. Those available have been incorporated. Further consultation on the case studies will be possible through opening of the case studies to the public for comments. Field research to collect views of all stakeholders, not only affected people, would have involved a change of the scale of the project to beyond its possibilities.
12 th SC meeting Civil society	Further, it was noted that the national dialogue processes had not made input to the Compendium. The document therefore did not capture the spirit of a multistakeholder process in which diverse views were put across. They remarked that the result of this work was very different from the initial idea, and such document should be widely accepted before its publication.	The issue framework implementation approach adopted captured the outputs of the national and global dialogue. The draft Compendium was submitted to stakeholder for extensive consultation through the platforms available to DDP. The most relevant evaluation of the usefulness of the document will come from its use by interested practitioners.

Submitted by	Comment	Action
12 th SC meeting Civil society	In addition, the representatives of civil society noted that the current draft of the Compendium did not build on the existing knowledge base. It did not add any value to the WCD Report. They observed that should UNEP decide to publish the document despite these different views of some stakeholders, clear disclaimers should be incorporated into the document and the diversity of opinions among the Forum members should be highlighted.	As indicated by the DDP Secretariat in its presentation, the Compendium is not meant to replace or replicate the WCD or any other relevant reference material. On the contrary it is seen as a source of information that will contribute to all currently ongoing approaches aimed at enhancing the consideration of environmental and social issues. The opportunity to include the views of stakeholder groups in the document was left open through the establishment of the editorial group of the SC that will interact with the DDP Secretariat until the publication of the Compendium.
12 th SC meeting GACG	An Executive Summary containing the conclusions and recommendations needed to be included.	Incorporated. An executive summary has been included upfront in the Compendium.
12 th SC meeting GACG	The recommendations and conclusions of each chapter were to be highlighted at the beginning of the chapter. Duplication should be avoided which will reduce the length of the document.	Incorporated
12 th SC meeting GACG	A red thread around sustainable development be introduced throughout the document as its main nexus.	Incorporated
12 th SC meeting GACG	It should include in the Introduction of the Compendium a discussion on upstream and downstream impacts, IWRM, affected people etc	Incorporated
12 th SC meeting GACG	They recommended changes to the title of the Compendium and suggested the following formulation: 'The Compendium of relevant practices for improved decision making throughout the lifecycle of dams'	The title will be discussed with the UNEP Publishing Board that guides all issues pertaining publications by UNEP.
12 th SC meeting GACG	The presentation of the case studies be synchronized and standardized to include such project characteristics as the size of the project, transboundary nature, multipurpose etc	Information made available to DDP has been incorporated into the boxes to the best extent possible and keeping the style of summary.
12 th SC meeting GACG	The members recommended the standardization of the language as well the verification of facts to which they undertook to actively.	Editing was commissioned to a professional editor with a strong background in the publication of a similar nature. Comments on the case studies received from stakeholders contributed to the verification of facts.
12 th SC meeting Utilities	A representative from utilities remarked that people had not reviewed the document properly. Time will be required to comment on the document in depth. The Compendium should provide information on what has been done but not on what should be done. In some instances, authors have put their philosophies across. The Compendium should be brief and succinct.	The draft has been thoroughly reviewed and reorganised following recommendations of the 5 th DD Forum meeting
12 th SC meeting Affected people	It was also suggested that the introduction of the Compendium should be revised and consideration should be given to drawing from the key messages presented by the Secretariat under Agenda Item 3.	Incorporated. Chapter 1 has been thoroughly reviewed.
12 th SC meeting IHA	One SC member proposed to revisit the title of the Compendium as in his view two words in it contained a sense of judgement 'relevant' and 'improved'. As an alternative, he suggested to consider 'Compilation of recent practices related to decision-making on dams and their alternatives'.	The title will be discussed with the UNEP Publishing Board that guides all issues pertaining to publications by UNEP.

Submitted by	Comment	Action
GACG 3 rd meeting	Improve the readability of the text including having fewer boxes, making headings consistent, harmonize terms e.g. reference to member states and rephrase unclear statements like that in paragraph 10 page 15 and paragraph 52 on page 25 where there is need to clearly state who made what decision. Clarify use of words and be specific: In 'planning and management' the design and construction are left out, reword to 'develop and management'. In 'environment and social aspects', environment includes biophysical, social and economics. Note that SIA is part of EIA. Etc	Incorporated
GACG 3 rd meeting	Reformulate recommendations, some of the recommendations not properly supported by the preceding main text.	Incorporated
GACG 3 rd meeting	Consider leaving out the term "black listing" in the Compliance chapter and in the envisaged UNEP publication as it did not reflect an approach Governments favour while it is known that NGOs like it very much.	Not incorporated. The term blacklisting is used in the context of a series of mechanisms to encourage compliance and is widely used in the literature
GACG 3 rd meeting	Consider minimizing references to the WCD Report, as some Governments were critical about this Report. Ensure that the Compendium remains truly non prescriptive and will be useful as a reference material.	Chapter 1 Introduction has been revisited taking this comment into account. However references to WCD process, CV and SP as background important since they constitute a milestone in the dams and development debate and a departure point for the DDP process and outcomes.
GACG 3 rd meeting	Include an Executive Summary that captures the main conclusions and recommendations of the Compendium	Incorporated
GACG 3 rd meeting	Include a figure in the Introduction chapter possibly after figure 1.1 on page 13 demonstrating an integrated and holistic approach to river basin management including the interaction between potential beneficiaries and non-beneficiaries, upstream and downstream	Incorporated
GACG 3 rd meeting	Include references to the GWP IWRM Tool Box. In view of the fact that dams are expensive structures, also articulate issues related to environmental conservation, factors that affect the sustainable development of dams such as siltation levels and catchment degradation and also post construction issues related to management of dams including the need for capacity building and the development of a communication strategy.	Partially incorporated Reference has been made to IWRM, integrated river basin management and catchment management.
GACG 3 rd meeting	Improvements on the title of the publication, consider the suggestion: <i>"Compendium on relevant practices for improved decision making on the lifecycle management of dams and their alternatives"</i> .	The title will be discussed with the UNEP Publishing Board that guides on all issues pertaining to publications by UNEP.

B) Specific comments

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
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¹ Page and paragraph numbers are indicated as provided by the author of comments. As drafts were revised and further edited the location and numbering of paragraphs changed.

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
1	1.1.1	12/1	Socher	The negative impacts on <i>the environment and socio- cultural structures</i>	Incorporated
			IRN	The Introduction claims that “the type of services that dams provide cannot often be substituted but rather complemented by other alternatives” (para 1). – As the WCD report has demonstrated, this is not correct.	Incorporated. The text has been reworded
			Bird	This comment relates to the often controversial of the usage of ‘options’ and ‘alternatives’. Para 1 of Chapter 1 states ‘While a range of alternatives to provide water and energy services are available, the type of services that dams provide cannot often be substituted but rather complemented by other alternatives. Thus, dams will continue being developed and operated along side other diverse alternatives in future.’ This wording seems to perpetuate the black and white scenarios of ‘dam’ or ‘no dam’ - rather than consideration of the full range of alternatives that is outlined later in section 2. Including the word ‘fully’ in front of ‘substituted’ would leave it open for the full range of alternatives ‘dam’, ‘no dam’ and ‘combination of dam (maybe downsized) and other option(s)’. It might also help avoid lengthy discussion on this point. ‘While a range of alternatives to provide water and energy services are available, the type of services that dams provide cannot often be fully substituted, but rather complemented by other alternatives. Thus, dams will continue being developed and operated along side other diverse alternatives in future.’	Incorporated. The text has been reworded
		12/2	Socher	<i>Is a tool to assist decision makers, the public and water and power planners...</i>	Incorporated. The text has been reworded
	1.1.3	13/6	Socher	This is an important statement bring it also to the conclusions	General conclusions and recommendations have been kept to a minimum to avoid becoming prescriptive and those included reflect the outcomes and discussions at the 5 th DD forum meeting.
		/10	IRN	The draft suggests that the WCD framework should primarily be discussed and implemented at the national level (para 10). – The WCD report, civil society and other actors have put just as much emphasis on the adoption and implementation of the framework by financial institutions, the dam-building industry etc.	Incorporated.

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		/15	IRN	The text asserts that dams have become an attractive tool for developing countries to reach internationally agreed development targets (para 15). – As the UN Millennium Project, the UNDP's latest Human Development Report and other sources have argued, reaching the Millennium Development Goals requires a soft path to water sector development, not more large dams.	Incorporated. The text has been reworded
		/18	IRN	Like many earlier DDP publications, the Introduction claims that the debate has shifted from the question whether to build dams to how to build good dams if they emerge as the best options (para 18). – This is not correct. Most NGOs have always taken this approach, and the debate has always been about the appropriate conditions of options assessment, public acceptance, environmental assessment etc.	Within the context of DDP dialogue, the dams debate turn to widely recognise dams as a valid option to be assessed together with alternatives in an options assessment process and the merits of dams were revalidated in the context of a sustainable development approach. It has been indicated in the text that this is the view of the Secretariat that is supported by the outcomes of side events it organized at key international conferences in recent years.
	1.3.3	18/25	Socher	Strategy : This is not a correct description of the strategy, ... <i>this compendium frames political with practical issues for the whole life cycle of dams</i>	Incorporated. The text has been reworded
		/27	IRN	The Introduction states that the Compendium presents “practices that, though not exempt from weaknesses, show a positive way forward. Thus, the examples were selected on the basis of the relevancy of the practice to the issue addressed, whilst avoiding judgment about the quality of the practice in terms of good, better or best available.” (para 27) – This statement expresses a contradiction that lies at the core of the Compendium. Selecting projects that “show a positive way forward” requires a value judgment, and there is no way around this.	Incorporated. The text has been reworded and this issue is dealt with in the DDP Foreword and revisited Chapter 1
	1.3.5	20	Socher	Keep the description of limitations brief, since the main limitation of the project is time and money for retrieving information and the working out corresponding analysis	As recognised, the major factor is the lack of published information. Time and resources limited the project to not getting involved in extensive research in the field needed to overcome the limitations. However such approach would have amounted to a radical change in the scale of the project which was out of question

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		20	IRN	The Introduction asserts that “some case studies” have not been subject to independent monitoring, and that “where possible, such gaps have been filled by email and telephone consultations with affected people, reviews of the media, and input from the civil society stakeholder group in the DDP Steering Committee” (para 37). – This statement is totally unacceptable. Almost none of the case studies are based on any independent monitoring, let alone on consultations with the affected communities, and this should clearly be stated. While the DDP has spent lots of resources on consulting governments through the GACG, it has not made any meaningful efforts to consult affected people on the Compendium. Getting comments from the media or NGO representatives cannot substitute for consulting directly affected people, just as consulting the World Bank could not substitute for consulting governments.	Incorporated. The comment has been taken into account when revisiting the chapter 1. Some comments about lack of information and change of project scale apply. Consultation with all stakeholders (not only affected people) was conducted through the SC, DD Forum and GACG. These are the formal mechanisms of consultation incorporated into the Project. The representatives of the various stakeholder groups were in turn required to consult with their constituencies. The reports of consultants will be opened to comments by the public through the website. Contributions to enhance the quality of the case studies are expected.
		22	Socher	Delete Fig. 1.3	The figure has been moved to the Annex
2		27	Socher	Delete Fig. 2.2 and put some more explanation into box 2.1 such as about integrated river basin management and multifunctional dams	The figure is considered relevant and adds information to the corresponding text. The second comments has been incorporated
		30 c)	Socher	Add here the proposed picture about beneficiaries and non-beneficiaries for dams within a river basins and conflict and interest lines	Incorporated.
		31/32	Socher	Delete Table 2.1 because it does not systematically cover the issues	The table reflects the features of the examples selected after a research of published literature. Examples do not necessarily have to cover all issues, and if so, with not the same degree of detail. The use of coloured cells reflects the level of coverage or illustration. The table has been retained.
	2.4	33/85	Socher	“At this stage of DDP’s work the following conclusions and recommendations can be made.	Incorporated. The text has been reworded
		34	Socher	Delete the second bullet or explain in more detail the Bujagali Project	Incorporated

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
	2.3	32/31	Hydro-Quebec	The International Association has produced sustainability guidelines addressing principles of options assessment as well as assessment criteria (section A of the IHA Sustainability Protocol)	Incorporated
3		36	IRN	Under “Concepts around stakeholder participation”, this section presents the “concepts on Stakeholder Participation advocated by IAP2” (para 94). The section also assesses projects by their compliance with IAP2 core values (para 125). In contrast, the draft does not present the framework of the WCD report, including the key strategic priority of Gaining Public Acceptance that has been supported by all stakeholders in the DDP. – As the DDP mandate spells out, the point of reference for the DDP’s work, including the Compendium, are the core values and strategic priorities of the WCD report. The IAP2 framework has not been accepted by all DDP stakeholders, and it not an appropriate point of reference for the Compendium.	Incorporated. Formulation improved and made less prescriptive.
		38	Socher	First bullet activity 48? What does it mean	Not incorporated. Statement clear.
		39	IRN	The most successful case studies on participation were based on mobilization and resistance of affected communities (Thai Baan consultation), and on the principle of free, prior informed consent (Eastmain A1-Rupert diversion). It is strange that Box 3.3, and particularly the section on Eastmain A1-Rupert, do not mention principles that were clearly the key to the success of the respective projects.	Incorporated. Views of civil society on the two case studies are now mentioned explicitly
		41	Socher	Delete Fig. 3.2 [refers to Table 3.2?]	Not incorporated. See remarks referring to Table 2.2
		42/ 113	Socher	“In two case studies <i>within the frame of DDP’s work...</i> ”	Incorporated. Improved.
	3.3.2	43/117	Socher	First bullet, rephrase in a positive manner	Incorporated
		44/119	Socher	In some of the cases examined <i>within the frame of DDP’s work...</i>	Incorporated
		44/ 123	Socher	Make it as a rule such as: <i>Necessity for monitoring and evaluation of results of public participation process; make clear that stakeholders and decision makers interpret the results of the participation process in the same way</i>	Incorporated in a non prescriptive way
	3.5	45	Socher	Reduce the text and focus on DDP’s work	Not incorporated. Outline in 3.5 deals with work done under DDP.
	3.1	36/2	Hydro-Quebec	The concept of PFIC is somewhat incoherent with basic democratic principles, since it could lead to a minority depriving the majority from a benefit. Therefore, this concept should be presented in a more balanced way putting into perspective its anti-democratic leaning	The statement referred has been reworked as part of the review of the Compendium introducing summaries upfront in each chapter.
	Box 3.3	39	Hydro-Quebec	Add “The Project’s review panel report was positive and unanimous”	Not incorporated.

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
	Table 3.2	41	Hydro-Quebec	Please replace collaborate by “Inform-Collaborate-Empower”	Incorporated
4		47	IRN	The substance and language of this section are poor. The following excerpt from the introductory paragraph is just one typical example of the confused message of this section: “[C]onsensus has grown around the need to give proper consideration to the negatively affected people, frequently poor and vulnerable groups, implementing developmental strategies in mitigation measures, such as resettlement and compensation for lost assets and livelihoods so the affected people are better off as a result of project implementation.” (para 130)	Incorporated. The text has been revised
		47	IRN	What does the subtitle 4.1, Social Impact Assessment of Affected People, mean?	Incorporated
		47 / 5	IRN	The draft says that “in the majority of instances, adversely affected people are often recognized as first among the beneficiaries of the project” (para 134). – While there is a growing consensus that affected people should be first among project beneficiaries, there are very few instances where they have actually been recognized as such in practice, and the Compendium does not present any examples of where this has been the case.	As time goes on, hopefully, these case studies will become available. For the present, the Compendium has, of necessity, relied on older projects (where, it is acknowledged, this was not necessarily the case). However, this paragraph actually refers to the “state of the art” of SIA.
		48	Socher	<i>“Despite the fact that SIA is performed on the basis of a well established methodology, there are a very limited number....</i>	Partially incorporated
		48	IRN	The draft deplores the limited number of normative frameworks that specifically deal with social impact assessment, and yet manages to ignore the WCD framework (para 143).	The WCD report is not SIA specific and, similarly, the WCD report does not provide a normative framework for the undertaking of an SIA.
		49	Socher	Add a new bullet at the end: <i>Monitoring and post- project evaluation on a pre-defined basis</i>	Incorporated
		49	IRN	With terms such as “the social and socio-economic environments (i.e. people)” and “receiving social and socio-economic environments”, para 144 is another example of poor language in this section.	These are perfectly acceptable terms that are widely used.
		50	Socher	Delete table 4.1	Retained
		52/ 148	Socher	first sentence “...and consideration of <i>options as described in chapter 2.</i> ”	Incorporated
		53/22	IRN	Para 151 fails to state that baseline surveys should be carried out at the household or even individual level.	Incorporated

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		53	IRN	Box 4.3 on the Bumbuna Hydroelectric Project states that “extensive baseline data were collected over a protracted period of time, even following the construction of the dam when a post facto Environmental Impact Assessment was undertaken”, as if this was a good thing. While monitoring should take place throughout the project period, Baseline Surveys (and Environmental Impact Assessments) should be carried out before a project starts, and not post facto	The report does not say it is a good thing to undertake a post facto EIA or SIA. What the report is saying is that the case study serves as a relevant example for baseline data. However, the report also lists limitations, one of which deals with timing (in particular, inappropriate timing).
		54	Socher	“...including: lifestyle <i>and traditions</i> ...”	Incorporated
		54	Socher	Skip this or explain in more detail	Not incorporated
		55	IRN	In para 163 and other parts of the Compendium, the draft seems to confuse displacement with resettlement. Resettlement is not an impact of a project, but a mitigation measure which often fails to take place.	Incorporated
		56/35	IRN	Similarly, the draft states that Resettlement Action Plans (RAPs) “should be implemented concurrently with the primary project” (para 164). – The independent review of the Morse Commission and many other important reports have found that such a <i>pari-passu</i> approach to resettlement is inappropriate, and that critical stages of the RAPs need to be completed before project construction begins.	Incorporated
		57	IRN	Box 4.8 on the Tuyen Quang Project says that “it might be expected that conditions would be suitable for the development of both water-related tourism activities and fisheries (although no plans have yet been produced for these developments)”. – Such unsubstantiated predictions about project benefits have frequently been made, and as the WCD report has demonstrated, have frequently failed to materialize. Such practices are unacceptable – no consultants would accept similarly unsubstantiated promises about future payments as a basis for their contracts. They should certainly not be presented as relevant practice in the Compendium.	Incorporated. Example has been excluded from the Compendium
		58/ 180	Socher	“...considerable resources <i>and societal consensus</i> ”	Incorporated
		59/183	IRN	The conclusion asserts that “it is apparent from the literature that, for the most part, SIA is generally being undertaken to acceptable standards and levels of detail to enable the formulation of appropriate management plans” (para 183). – The draft does not provide convincing evidence, for example in a sufficient number of positive case studies, that would back up this assertion.	Clarified. Each case study has been selected to demonstrate one or more elements of relevant practice in SIA. There is a need not to confuse SIA (as an investigation) and the implementation of mitigation measures.
		62	Socher	Delete Table 4.2	Retained. See remarks to Table 2.2
		63	Socher	Delete Box 4.11	Incorporated

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		65/194	IRN	Payments to local governments or national governments should not be considered as good examples for relevant practice for remedy funds and other forms of compensation (para 194). Projects such as the Three Gorges Dam, which is listed as a good example, have shown that such payments often do not reach the affected people.	No action taken
		Table 4.2	Hydro-Quebec	James Bay Complex (Put in blue background the elements lump sum, annual instalment and livelihood restoration)	Incorporated
		Box 4.10	Hydro-Quebec	"Remedy" is not a current expression in Canada. Please word this title along the following lines "The Compensation Fund for the La Grande Complexe"	Incorporated
		Box 4.10	Hydro-Quebec	Please add as introduction "Hydro-Quebec is an electricity producer and a major North American distributor owned by the Government of the Province of Quebec in Canada. Under Hydro-Quebec's 1998-2002 strategic plan, three essential conditions must be met for Hydro-Quebec to undertake any new project: 1) the project must be profitable under market conditions 2) the project must be environmentally acceptable according to the principles of sustainable development and 3) the project must be well received by local communities" Replace USD 234 million by C\$225 million; delete "an annual compensation of around US\$ 2 million and additional support to" and replace by "provide structure and financing for the Cree and the Inuit to administer"...education, health care... Hydro-Quebec, please use everywhere this appellation.	Incorporated
5			IRN	This section is poor in presentation, and unacceptably weak in substance. Even if UNEP decides to publish the Compendium, this section should be dropped.	
	5.1	69/1	Socher	Third sentence" However, <i>besides this...</i>	The section has been significantly rewritten to reflect all changes introduced following all comments to this chapter
		69/1	IRN	In the very first sentence, the section asserts: "One of the key points put forward in recent debates on forced resettlement is that 'dams have made an important and significant contribution to human development, and the benefits derived from them have been considerable'." (para 1) – Why is this quote from the WCD report, from which the essential second part has been cut, a key point in the debate about resettlement?	The second part of the quote is included too in slightly paraphrased way for stylistic purposes
		69/2	IRN	The draft states that "adversely affected people are recognized as first among the beneficiaries of the project" (para 2). – As argued above, this is not correct, even if it is increasingly argued that affected people <i>should be</i> the first among the beneficiaries.	The section has been significantly rewritten to reflect all changes introduced following all comments to this chapter

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		70-72 /7,12,16,17	IRN	Throughout this section, the draft ignores or neglects land-for-land compensation as the most important form of compensation (see for example para 7, 12, 16, 17). Land-based resettlement is by far the most fair, appropriate and effective form of compensation, and should not be relegated to the realm of benefit sharing (which depends on benefits materializing – see below). There is a wide consensus in the literature on involuntary displacement, including in the World Bank’s own evaluations, that monetary compensation usually does not succeed in allowing people to regain or improve their former livelihoods. It is incomprehensible and unacceptable that in spite of the experience with hundreds of resettlement projects, the Compendium focuses on monetary compensation as the relevant practice of compensation.	The chapter has been significantly rewritten to reflect all changes introduced following the comments to this chapter. The comment has been addressed in sec. 5.1.1 para 4 and 5.
		70	Croucamp	Figure 5.1 what about in-kind compensation?	Included
		71	IRN	The draft refers to the rights-and-risks approach of the WCD report, and goes on to say that “such an approach should also be balanced with needs, and above all the ‘need to reduce poverty’ which is particularly relevant in developing countries” (para 11). This statement shows that the authors do not fully understand the WCD’s rights-and-risk approach. This approach integrates needs, but is “based on an understanding that no party’s rights will extinguish another’s. In fact, where rights compete or conflict, negotiations conducted in good faith, offer the only process through which various interests can be legitimately reconciled.” (WCD report, p. 206)	The statement has been removed. However, this point of view is cited from an article (Gagnon et al., 2002) and may be supported by other parties
		72/16	IRN	The draft states that “[b]enefit sharing mechanisms are generally considered as one of the most important means required for complementing cash compensation and other measures conceived within the framework of compensation policy” (para 16). – Benefit sharing should be additional to compensation, and not the basis of compensation. In dam projects, benefits often only materialize a long time after displacement, or not at all. All affected people have a right to be compensated immediately, and their compensation should not depend on the vagaries of project benefits	The statement that “Benefit sharing should be additional to compensation and not the basis of compensation” is incomprehensible given that the text strongly affirms this very point. Please refer to section 5.1.3, para. 18, “Providing additional long-term compensation to project-affected populations”.

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		73	IRN	The draft elaborates the mechanisms of compensation and benefit-sharing (para 18ff), but in a very superficial way. It briefly refers to the preference for land-for-land compensation and the need for compensation irrespective of the land tenure status of the affected people. The draft ignores the many important specific lessons regarding compensation mechanisms – for example regarding customary land rights, gender aspects, the timing of compensation etc. – that constitute good practice in this sector. The conclusions and recommendations regarding compensation (para 57) are equally superficial and insufficient.	In such a short text, it is not possible to discuss issues such as “customary land rights, gender aspects, the timing of compensation, etc”, which would be more appropriate in a Manual on Compensation Policy. However, such issues are addressed to a certain extent in the main report on Compensation Policy.
		74	Socher	Delete 31.	Put into the footnote
		74	Socher	Delete Table 5.1	Retained
		Box 5.7	Hydro-Quebec	Please add at the beginning of the title “One of Hydro-Quebec’s participatory approaches”	
		76	IRN	The draft mentions the transfer of project revenues to municipalities or regional entities as good practice of benefit sharing. Such transfers have often not benefited affected people, who sometimes do not even live in the respective municipalities. In the context of large dams, benefit-sharing should refer to the sharing of project benefits with affected people. The sharing of benefits between different arms of agencies of the government should not be included in this.	Similar opinion had been in the compendium, refer section 5.3.1 para 33
		76/37	IRN	The section on compensation lists the Salto Caxias, Urra 1, Saguling and Cirata, Shuikou, and Chamera and Uri Dams as examples of relevant practice. As we have argued in comments on the earlier draft of the case studies, these are projects in which affected people have not been properly compensated, let alone rehabilitated, have been left worse off after displacement, and have engaged in bitter struggles to fight for their rights. Listing these projects as examples of relevant practice is unacceptable, and UNEP will find it difficult to defend them in the public debate. The concluding qualification (para 43) is weak and insufficient. These projects should be dropped from the Compendium.	The listing of examples produced by IRN in this case does not reflect the actual listing in the text in para. 5, which did not include “Salto Caxias, Urra-1 and Shuikou”. Reservations are expressed in the text of the Chapter regarding the outcomes of some of the examples reviewed by consultants. These examples are: Chamera Stage 1 and Uri Stage 1 Dams in India, Saguling and Cirata Dams in Indonesia and Ghazi Barotha Dam in Pakistan.
		77	Socher	Delete Box 5.3	Retained. See general comments

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		77	Bird	In section 5, para 39, mention is made of the successful reservoir fisheries in Saguling reservoir. I do not have the latest fisheries data, but for many years this reservoir has been highly polluted and declared an open sewer and 'biologically dead'. Under these conditions, I would be surprised if fisheries remains an important livelihood option and would instead be a major health hazard. The power company told me last month that due to hydrogen sulphide pollution, they now have to replace cooling equipment for the generators about four times more frequently than planned!	Noted
		79	Socher	Delete 43 and table 5.2	Retained
		79/43	IRN	The concluding qualification (para 43) is weak and insufficient. These projects should be dropped from the Compendium.	The statement has been rephrased and the reference to projects eliminated from it
		83,57	IRN	The conclusions and recommendations regarding compensation (para 57) are equally superficial and insufficient.	The text has been improved to better reflect the intended substance of the recommendation.
		75	Hydro-Quebec	Table 5.1 Larforge-1 dam – this project comprises all for bi-inventoried benefit sharing mechanisms. Therefore all four cases should be highlighted	Incorporated
		76	Hydro-Quebec	Table 5.1 Sainte-Marguerite 3 Dam – this project comprises all for inventoried benefit sharing mechanisms. Therefore all four cases should be highlighted	Incorporated
6		89	IRN	Reservoir emissions should be added to the Environmental Issues listed in Table 6.2 on the Contents of an EMP	This table is an example of an actual EMP from a dam decommissioning project, not a table of recommended topics for inclusion in an EMP. Reservoir emissions are a topic that should be studied in the EIAs of projects, and subsequently included in the monitoring section of EMPs if the emissions are predicted to be a significant issue on a particular project. Anyway the table was changed. See comment below
		94/ 40	Socher	Delete the second bracket or explain it more in detail	Incorporated
		96	Socher	Delete Table 6.5	Retained
		98 &99	Socher	Shorten the description 55. of EMP or delete Fig. 6.1	Retained

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
		86	Marmulla	The draft Part 6.2.1 only describes what is actually found in EMPs but information in the existing EMPs is incomplete, e.g. as regards fauna passage – this mitigation measure doesn't seem to be mentioned in any EMP	Incorporated
		88	Hydro-Quebec	Mitigation Measures: What is about enhancement measures? There should be a paragraph defining and explaining this principle.	Addressed. See sec.6.2.2
		88	Marmulla	Under (a) <i>Mitigation measures in 6.2.2 EMP Constituent Elements</i> , important information regarding structural measures is missing and a wrong example is listed as structural measure. In the given context, the Compendium speaks about mitigation measures at dams and pretends that “erosion control in headwaters” is a structural mitigation measure. A true structural measure is, however, missed to be mentioned, i.e. provision of upstream and downstream migration facilities	Erosion control changed to sediments control. The chapter is not about specific mitigation measures such as fish passes. It is about the processes and tools. However, some references to fish passes are incorporated
		89	Marmulla	Table 6.2 gives the contents of an EMP focussing on the construction phase of a Dam Decommissioning Project and describes a “ <i>management commitment</i> ” (not a “design commitment”). Though table 6.2 being useful in itself, it would be more useful if this table could be preceded by a table focussing on the construction phase of a dam construction project! because one of the impacts on fish often is, though not frequently recognized, the obstructed passage at a dam, barrage or weir. Therefore, it is suggested to add “ Impact: obstructed fauna passage [i.e. “fauna” better than “fish” passage because not only fish are impacted by also other species like shrimps, crabs and dolphins]; – mitigation: provision of upstream and downstream migration facilities” as a design commitment. A good example could be the construction of a fish pass at Itaipu dam although most probably not contained in the original EMP as retrofitting of the dam occurred recently.	A new table was added representing EMP on seismic upgrade project
		98	Marmulla	However, this review showed that not all possible mitigation measures, e.g. inter alia fish past construction have been implemented in the framework of EMPs and could therefore not be detected by scrutinizing only the EMPs. Consequently, information not contained in EMPs has been added.	

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		101	Marmulla	The part "Recommendations" in the section 6.4 <i>Conclusions and recommendations</i> is really very short – I think too short! It does not really indicate what should be changed from current practice although there is in the preceding text (footnote 163) an excellent reference to a finding by the consultant (statement contained in footnote 163): "The normative frameworks of most international funding agencies require full EMPs as a product of the EIA process. In the consultant's experience this seldom occurs due to resource constraints. The resulting EIA EMPs are in effect outlines, requiring considerable further development in subsequent project planning stages."..... This should be the basis for a recommendation in 6.4.	Incorporated
7		104	IRN	The author stressed in his presentation to the Steering Committee that the experience with compliance mechanisms is more advanced in other sectors than in the dam industry. This is an important finding that should be mentioned in the Compendium	Incorporated.
		105	Socher	Table 7.1: it might be better to focus on legal ways to compel compliance instead of drawing the attention to disincentives as mentioned in the table	Disincentives are just a part of the menu of tools offered and not the most significant ones as shown in the table
		107	Socher	Delete table 7.2	The table has been retained. See response to same comment in chapter 2
		110	Socher	Box 7.3. the reference in brackets is to Box 5.4, change this	Incorporated
	7.4	113	Socher	Attention should be given to this chapter, the anecdotal evidence is not a particular property of this project but of limited resources, therefore conclusions should focus on general findings even from a limited number of relevant examples, 32, 33, 35 and 38 could be deleted	Taken into account. Partially incorporated. Paragraph 38 has been deleted.

Chapter	Section	Page/para ¹	Submitted by	Comment	Action
8		116	IRN	<p>This section should emphasize more clearly that the fact that international agreements on shared rivers were reached is not a sign of success in itself. There are treaties that were signed but not implemented or complied with. The Ganges/Farakka Treaty is an example for this, and should not be listed as an example of relevant practice.</p> <p>The Indus Treaty is being implemented, and has helped prevent open conflict over the Indus waters between India and Pakistan. Yet the large dams required by the treaty, which dissected the Indus rather than promoting an integrated use of the Indus Basin, had devastating social and environmental impacts and created massive conflicts between Pakistan's upstream and downstream provinces. Like Ganges/Farakka, the Indus Treaty should not be listed as an example of relevant practice.</p>	<p>Not incorporated.</p> <p>Signing of agreements regarded as partial success - no conflict and opens opportunities for other activities</p> <p>Lessons from the process leading to Ganges/Farakka Treaty and the involvement of UN General Assembly are important.</p> <p>Lessons from the process leading to the Indus Treaty important and the involvement of international community are useful; Lessons from sharing river are also important.</p>
		118	Socher	Delete Table 8.1	Not incorporated
		120 & 121	Socher	Table 8.2 add here under basin the EU approach towards International Commissions for the Protection of Danube, Elbe, Rhein, Maas, Odra, (I might support this)	Incorporated. Paragraph added under regional frameworks
		127	Socher	After 52. add two sentences about EU's policy towards river basin management (Water Framework Directive and ICP's)	Incorporated. Paragraph added under regional frameworks