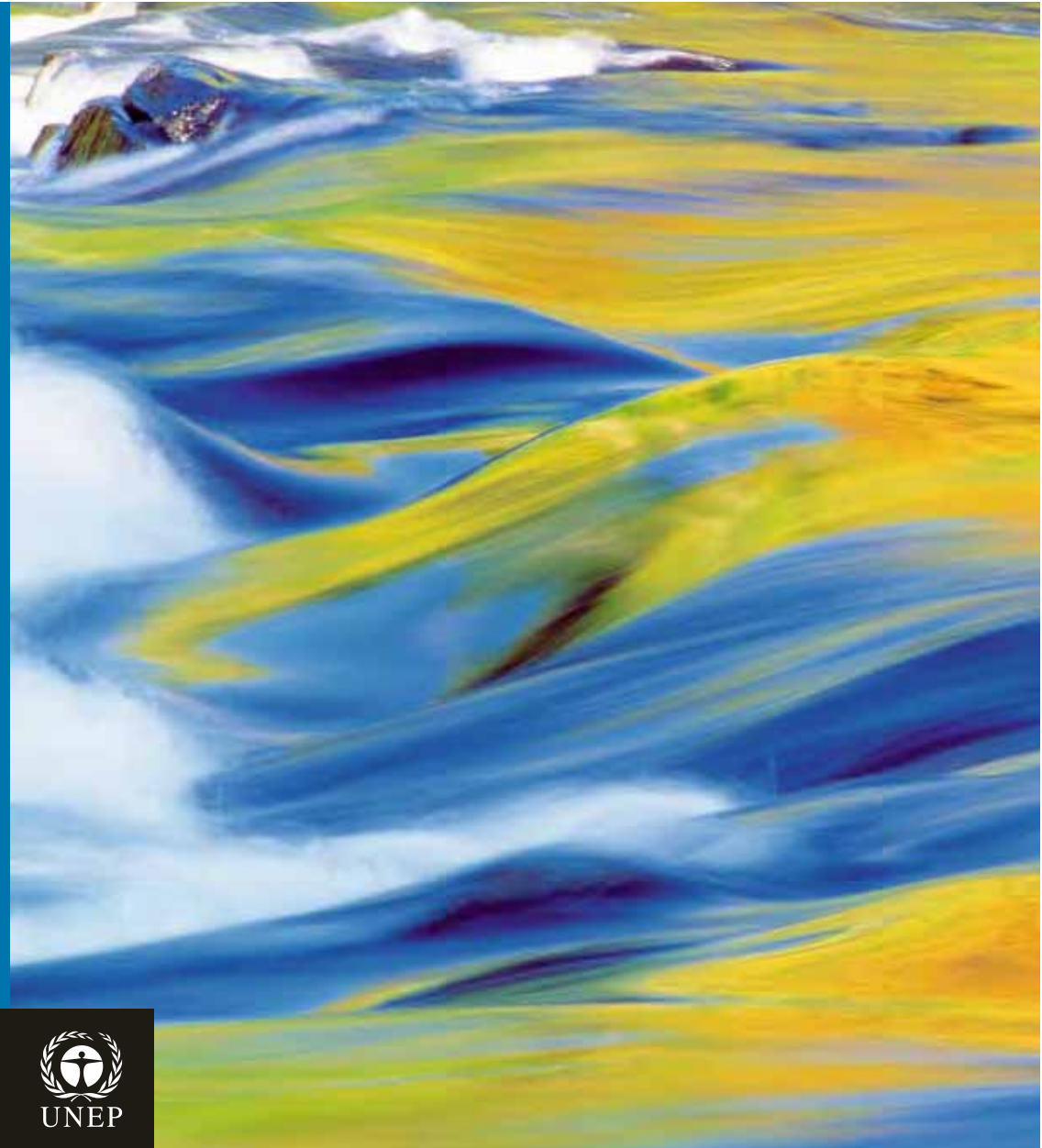


# UNEP Dams and Development Project



[www.unep.org](http://www.unep.org)

United Nations Environment Programme  
P.O. Box 30552 Nairobi, Kenya  
Tel: ++254-(0)20-762 1234  
Fax: ++254-(0)20-762 3927  
Email: [unep@unep.org](mailto:unep@unep.org)  
web: [www.unep.org](http://www.unep.org)



UNEP



UNEP



## FINAL REPORT OF PHASE 2

United Nations Environment Programme

UNEP promotes  
environmentally sound practices  
globally and in its own activities.

This publication is printed on paper from  
sustainable forests including recycled fibre.

The paper is chlorine free, and the inks  
vegetable-based. Our distribution policy  
aims to reduce UNEP's carbon footprint.

# UNEP Dams and Development Project FINAL REPORT OF PHASE 2

United Nations Environment Programme



UNEP - DDP SECRETARIAT  
P.O. Box 30552, Nairobi, Kenya.  
Tel.: +254 20 7623891  
Fax: +254 20 7624763  
ddpinfo@unep.org  
[www.unep.org/dams](http://www.unep.org/dams)



CONTENTS	
FOREWORD	4
EXECUTIVE SUMMARY: THE DAMS AND DEVELOPMENT PROJECT LEGACY	5
PART ONE	11
1. INTRODUCTION	11
2. NATIONAL MULTISTAKEHOLDER DIALOGUES	11
2.1 NATIONAL DIALOGUES UNDERTAKEN	12
2.2 EXPERIENCES AND LESSONS FROM THE NATIONAL DIALOGUE PROCESSES	13
2.3 THE OUTPUTS AND IMPACTS OF NATIONAL DIALOGUE PROCESSES	15
2.4 PERSPECTIVES FOR NATIONAL DIALOGUES	16
3. GLOBAL DIALOGUE	18
3.1 DAMS AND DEVELOPMENT FORUM MEETINGS	18
3.1.1 Key Experiences and Lessons Learnt	19
3.2 ISSUE BASED WORKSHOPS	21
3.2.1 Key Experiences and Lessons Learnt	22
3.4 INTERNATIONAL SIDE EVENTS	23
3.4.1 Key Experiences and Lessons Learnt	24
3.5 CONCLUSIONS AND RECOMMENDATIONS FOR FUTURE ACTIONS	24
4. PRACTICAL TOOLS	25
4.1 THE ONLINE DATABASE OF EXPERIENCES AND LESSONS LEARNT	26
4.2 THE ONLINE INVENTORY OF NORMATIVE FRAMEWORKS	26
4.3 THE COMPENDIUM	26
4.3.1 THE METHODOLOGICAL APPROACH: DEALING WITH CONFLICTING ISSUES AND DIVERGING VIEWS	27
4.3.2 THE CONSULTATION	28
4.3.3 THE PUBLICATION	29
4.4 BUILDING ON THE COMPENDIUM AND OTHER PRACTICAL TOOLS	29
5. COMMUNICATING AND REPORTING	30
5.1 CHANGING PERCEPTIONS AND RESPONSE FROM DDP	31
5.2 COMMUNICATION STRATEGY	32
5.3 LANGUAGE BARRIERS	32
5.4 THE WEBSITE	32
5.5 OTHER MEANS OF COMMUNICATION	34
5.6 KEY LESSONS AND RECOMMENDATIONS	34
6. CONCLUDING REMARKS	35
6.1 ASSESSING THE PROJECT	35
6.2 BUILDING ON THE LEGACY	36
6.3 BROADENING THE SCOPE	37
PART TWO	39
IMPLEMENTATION OF THE DDP ACTIVITY PLAN	39
PHASE 2 LOGICAL FRAMEWORK	49



## Foreword

The Dams and Development Project came to an end at the completion of its Phase 2. The Final Report of Phase 2 presents the activities, outcomes and achievements of the project during the period 15 February 2005 to 30 April 2007. This report together with the Final Report of Phase 1 published in early 2005 provides an overview of the accomplishments of the project during its entire life span.

Though essentially a progress report, this document has been elaborated in a manner that it also serves the purpose of being some sort of handover notes to those that will undertake in future activities building on the experience and outcomes of the project. Thus, Part I of the report briefly summarizes activities and outcomes focusing on achievements, experiences and lessons learnt and providing recommendations for consideration when pursuing similar actions in future. An executive summary up front and a set of conclusions and recommendations at the end provide the reader with key information about the project necessary to assess the project outcomes and its current and potential impact. Part II summarizes in a matrix format activities and products against the indicators of the process and outcomes. This report shows that a lot was achieved in Phase 2, thus demonstrating that the project has performed remarkably well.

This report does not supersede but supplements the DDP Interim Progress Report for Phase 2 published in June 2006 that discussed in the main DDP's operational approaches towards achieving the project goal and objectives and the challenges and opportunities around the project leading to proposals for future activities beyond the project time frame.

This report has been prepared by the DDP Secretariat Team composed of Mr. Alberto Calcagno, Coordinator; Mr. Thomas Chiramba, Senior Project Officer; Ms. Wanjiku Kaniaru and Ms. Liazzat Rabbiosi, Associate Project Officers; Ms. Mary Muthamia, Project Assistant; and Ms. Rose Oloo, Communications Assistant. The team acknowledges with deep appreciation the invaluable support and guidance provided by UNEP, DEPI; the DDP Steering Committee; the Dams and Development Forum; and the Government Advisory Consultative Group during the planning and implementation of the project.

The UNEP Dams and Development Project is grateful to the governments of Germany, The Netherlands, Sweden and Switzerland for their contribution to the core funding of the project which made its execution possible.

# Executive summary

## The Dams and Development Project Legacy

To achieve the overall goal of the Project, the Dams and Development Project (DDP) had four key elements in its Work Programme for Phase 2:

- Promoting national, regional and global multistakeholder dialogues
- Elaborating non prescriptive practical tools
- Networking and communication and
- Disseminating information.

The Project adopted the following operational principles to guide its execution of the elements in the Work Programme:

- Focusing on strengthening national and international frameworks and building capacities
- Promoting nationally/locally driven appropriate dialogue approaches and learning there from
- Contributing to the flow of information on experiences and relevant practices around the world
- Using the WCD Report core values and strategic priorities as an analytical framework
- Knowledge driven and drawing from the WCD process, DDP process and other relevant materials and examples
- Focusing on decision-makers particularly those in government while addressing other stakeholders
- Advocating inclusiveness of all perspectives and consensus over conflict
- Promoting wide consultation and a partnership approach
- Remaining factual and avoiding being judgmental

During the execution of the key elements of the Work Programme, the main input from the Secretariat was in the form of:

- Organizing and facilitating the global dialogue

- Facilitating national and regional dialogue through provision of seed financial resources, advisory services and, access to expertise
- Designing the methodological approach, overseeing research, coordinating the consultation processes and compiling the final product during the development of practical tools
- Developing and executing a communication strategy
- Reporting
- Distributing the WCD and the DDP reports and publications.

The work programme was implemented with the guidance of the Steering Committee made up of representatives of thirteen stakeholder category groups relevant to the dam debate. The guidance of the Steering Committee was complemented by input from the DD Forum and the GACG which constituted the main consultative platforms for the project through which the views and needs of the various stakeholder groups were streamlined into the project. National and basin/regional level activities were designed to meet the respective local needs and the appropriate consultation platforms were established. The stakeholders therefore made diverse and immense contribution towards the execution of the Project.

## Experiences, Key Outcomes and Perspectives

### National dialogues

National dialogues activities and processes took place in over 20 developed and developing countries throughout the life span of DDP. In Phase 2, national dialogue processes were launched in Ghana, Nigeria, Togo, and Uganda, while others initiated in Phase 1 in RSA, Nepal and Sweden continued to make progress. The processes varied and depended on the local situation. They aimed at raising awareness on dam issues and producing broadly based recommendations on improving the frameworks and practices in dams planning and management.

Building on the rich experience and the methodological approach developed in Phase I (see DDP Phase 1 Final Report), new insights emerged regarding the initiation and implementation of the processes in terms of background

studies, involvement of key stakeholders, mobilization of resources, and the critical role of UNEP.

Some of the key outputs are: an improved generic process for national dialogues; raised awareness on the WCD analytical framework, the DDP knowledge base and dams and development issues; bringing persons of diverse views on dams and development together for discussions and networking; and recommendations to improve frameworks and practices filling gaps and addressing local needs. The dialogues inspired other countries and regions to pursue this approach.

The dialogues are long term processes that need to be sustained until they build their own local momentum; they need to be monitored to assess outcomes, impacts and allow for transfer of the experience to other contexts. Ongoing processes at the time of completion of this project would still need further support while requests for support received for new ones would have to be responded to. The increased information and availability of documentation on national dialogues generated during Phase 2 together with the practical tools produced by the project are likely to generate further demand for dialogues. The demand is also likely to increase once the information will be made accessible in various languages. The support for dialogues by civil society on the one hand and increasing acceptance by governments of the need to properly deal with environmental and social issues in an open and transparent manner on the other will create favourable conditions for more dialogues. Broadening the discussion to include infrastructure development and environmental sustainability will enhance the relevancy of dialogues and result in them having more impact.

There is a need for a mechanism to support dialogues in future upon country demand. There is no doubt that the impact would be greater in countries with extensive dam development programmes like China, Brazil, India, and Turkey. Dialogues will need to be focused and lead to concrete outcomes with effective participation of all relevant parties. The role of international organizations such as UNEP in guiding dialogue processes along such lines need to be underscored. This will require continued involvement of organizations like UNEP and other partners will have to be brought on board for more resources to be made available.

UNEP was explicitly requested by stakeholders to put in place a mechanism to support and monitor national dialogue processes.

### **Global dialogue**

In the course of DDP, the global dialogue took place in the

form of the Dams and Development Forum annual meetings, Issue-based workshops and the DDP multistakeholder side-events at international meetings. They aimed at clarifying contentious issues; reaching consensus on substantive ones; and providing opportunities to exchange experiences and network.

A total of five Dams and Development Forum meetings were convened since 2001, of these two took place in Phase 2. The 4th Forum meeting held in 2005 reviewed progress in national dialogues; prioritized the issues to be included into the Compendium; and approved the methodology for elaborating the Compendium. The 5th Dams and Development Forum meeting held in 2006 provided comments on the draft Compendium; reviewed diverse approaches promoting the consideration of social and environmental issues in the development of dams; assessed the impacts and relevancy of national dialogues; and provided recommendations on the way forward beyond DDP.

Experience gathered in organizing global multistakeholder meetings include: preparing the agenda; guidelines for group discussions; ensuring balanced representation; on-going consultation mechanisms and time for logistical arrangements. The main challenges encountered were keeping members actively engaged; and ensuring concrete outcomes emerge from the meetings.

Five Issue-based workshops were organized during DDP, four of them during Phase 1. Only one, 'Gaining Public Acceptance', was held in Phase 2 (October 2005) due to time constraints and the shift in focus to non-prescriptive tools. The main aim of these workshops was to clarify the WCD Strategic Priorities for consideration at national level.

A set of concrete recommendations emerged from the workshop on 'Gaining Public Acceptance' around four issues: stakeholder participation; access to information; informed participation in the decision-making process; and the measure of acceptance. Key lessons learnt from the workshops were related to the time required to organize each of them; ensuring balanced participation; providing background information on the current status of the issue and the need for a neutral facilitator.

During Phase 2, the most significant side events organized by DDP at international meetings were: at the African Ministerial Conference on Hydropower and Sustainable Development held in Johannesburg, RSA in March 2006 and at the 4th World Water Forum held in Mexico City, Mexico also in March 2006.

They were co-organized with key stakeholders: AMCOW (Conference on Hydropower) and ICOLD, WWF, IRN and

the American Corps of Engineers (4th World Water Forum). The events served to communicate messages from DDP to the broader public and to ascertain developments in the dams and development debate.

At the Conference on Hydropower, African Water and Energy Ministers endorsed the need to address social and environmental issues in the development of hydropower and an Action Plan to enhance their consideration. At the side event at the 4th World Water Forum, a sense of general agreement emerged that both large and small scale infrastructure measures play a role in meeting the world's needs of water and energy and complement one another. What is needed is careful planning.

Key lessons learnt from the side events were: reserving space at such events; disseminating information; consultative processes to define the agenda; establishing a panel, and time for logistical arrangements. Summarizing the outputs of such meetings was a challenge.

The stakeholders recommended that the global dialogue be sustained beyond DDP. UNEP was requested to organize DD Forum meetings annually with the support of an advisory multistakeholder group.

### **Practical information tools**

Three information tools developed during DDP were: Database of experiences and lessons learnt; Inventory of normative frameworks; and the Compendium of relevant practices. The effort of producing them responded to the need to further clarify the WCD Strategic Priorities for use in national dialogues and in improving frameworks and capacity building.

The online database of experiences and lessons learnt was established in Phase 1. It provides information on examples from all over the world. It was enriched in Phase 2 with examples collected during the compilation of the Compendium. It now has around 100 examples. As an interactive online database, examples can be reviewed and commented on by the public while additional ones could be added.

The Online inventory of normative frameworks was developed in Phase 2 as the initial step of developing the Compendium on relevant practices. It contains brief information on policies, laws, and guidelines regarding the planning and management of dams adopted by governments and international organizations. The information on frameworks captured in the development of the Compendium on relevant practices enriched this tool. Currently, over 60 organizations and 120 diverse normative frameworks are

captured by the database. As a web-based interactive tool, the public can review and suggest additional information to the database.

The Compendium of relevant practices was a major output of Phase 2. It deals with nine key issues on the planning and management of dams: Stakeholder participation; Identification of options; Addressing outstanding social issues; Environmental management plans; Compensation policy; Social impact assessment; Benefit sharing; Compliance mechanisms; and International policy on shared river basins. The document characterizes these key issues and provides information on how the key elements of these issues are captured in normative frameworks and handled in practice based on selected case studies. It is supported by detailed Reports on the nine issues accessible for commenting.

The 4th Dams and Development Forum prioritized the key issues in October 2006. This Forum also endorsed the methodological approach followed in developing the Compendium. Three stages were carried out during Phase 2: developing the checklist; desktop literature review, analysis, and compilation of background reports; consultation and compilation of the draft Compendium; while the fourth one, dissemination and assessment on the Compendium, will take place in future.

Lessons learnt from the complex process of dealing with contentious issues in the dams debate were: establishing the research process; the issue-framework-implementation approach (analytical process); selection of examples – their appropriateness (relevancy); extensive consultation throughout the process and consolidation of large amounts of information into a short document that is focused, neutral and easily readable.

The consultation on practical tools was open and transparent. It benefited from modern electronic communication and the project structures – the DD Forum; the Steering Committee; and the Government Advisory Consultative Group. The main challenge to be overcome in consultations was getting stakeholders entrenched in opposed positions for a long time to reach some reasonable consensus. Key approaches adopted by DDP to promote consensus building were: the issue-framework-implementation approach; referring to relevant practices, remaining factual; neutrality; avoiding judgements; and incorporating diverging views

Limitations encountered in compiling the Compendium were: the fact that issues being dealt with were emerging and not yet fully developed and therefore not well documented and evaluated. The Compendium was therefore the first

step in building a knowledge base on these issues. Further studies are still needed and the views of key stakeholders like affected people need to be captured and incorporated. Further noteworthy, is the fact that the Compendium deals with only nine issues. Many other issues need to be dealt with in future.

The limitations noted notwithstanding, the Compendium is acknowledged as a pioneering effort of putting together a significant amount of information on what is actually happening in both developed and developing countries regarding practices and frameworks.

The impact of the Compendium is in the long term. Strengthening frameworks and building capacities require a consistent and sustained effort beyond DDP. Key recommendations made for the future are: to enhance the Compendium - extend its scope and update as new experiences are made; and to ensure wide accessibility and dissemination of the document to decision makers, managers and practitioners. Opportunities exist to use the Compendium in capacity building, to translate the document into other languages, piloting in demonstration projects; in South-South as well as North-South cooperation.

Finally, for effective implementation of emerging environmental and social issues, the need also exists to support innovative scientific tools translating concepts into practices. Environmental flows, for instance, is well adopted in some frameworks, however, the technology to apply it still needs to be further developed. To facilitate exchange of information, a new culture of transparency, evaluation of performance and disclosure of information is advocated. Governments, developers, and financiers are encouraged to provide incentives for the above to happen to improve the quality of information available.

### **Communication and Reporting**

Communication and reporting were incorporated into DDP's Work Programme for purposes of enhancing the impact of the project. Further, the evolving nature of the dams debate and associated processes required constant communication with stakeholders.

DDP had to communicate responses to shifts in various facets of the debate, the context and the Project. This include the shift in focus in Phase 2 towards promoting improved decision-making on dams and their alternatives and the development of non prescriptive tools. The national dialogues shifted towards being more purposeful, focused and factual around concrete issues. More specific information based on tangible examples was therefore needed. This trend was also

perceived at the Forum meeting. Participants appreciated presentations on specific case studies on how individual countries, corporate and professional organizations pursued issues on sustainable development of dams. The consultation process during developing the Compendium generated a huge demand for communication.

In response to the above developments, the communication strategy was revised in Phase 2. The strategy identified approaches to be pursued, streamlined internal processes, outlined mechanisms for delivering messages, activities and timelines.

An effort was made to remove the language barriers to information. DDP developed guidelines for translating key documents into other languages. The challenges to be addressed were with translating concepts and overcoming differences in perception by various groups. Peer reviewers representing key stakeholder groups were incorporated. The WCD Final Report is available in 5 languages while the WCD Overview is available in 14 languages. During Phase 2, the Report was translated into French. At the 5th DD Forum a request was made to translate the Compendium into other languages.

The DDP website was launched in April 2004. It was maintained throughout Phase 2 by a DDP focal point backstopped by the Internet Unit of DCPI. The homepage has main elements of the Work Programme, specialized and general information about DDP. The website also has a number of interactive tools. It played an important part, for instance, during the consultation phase of the Compendium. The use of the website is monitored to track the impact of the DDP activities. Statistics indicate that it is widely used.

DDP employed other communication means: Information sheets, Brochure, Posters, Reports and the 'Confluence' newsletter. Information materials (Information sheets and Posters) were revised and updated in Phase 2. A new brochure was developed. The 'Confluence' newsletter was published bi-annually. All these materials were disseminated widely. An interim Progress Report was prepared in 2006 and disseminated while Progress Reports were prepared as required and presented at the Steering Committee, GACG and Forum meetings. Reports on Proceedings of meetings were also compiled and circulated. An internal online database on current developments on dams has been established whose information could be made available to the public upon request.

Through the communication efforts, the Project made information on its own and others' activities easily available and accessible. Key lessons learnt include the need to clearly

define the messages to be transmitted; identifying the target audience to respond to their needs; selection of appropriate tools; a good dissemination strategy and the need to keep the DDP website even beyond the project timeframe and its regular maintenance and update.

## Conclusion

The performance of the DDP on its various outputs is best expressed by the assessment of stakeholders through their various observations made at the 5th Dam and Development Forum. The majority of them expressed some degree of satisfaction at how DDP had been executed. The value of this whole endeavour is confirmed by their desire of ensuring continuity to some of the processes carried forward by DDP and for the use of some of its outputs. Also the forward looking approach expressed by some to further build on the lessons learnt from the process illustrate the value of the undertaking.

On a broader scale, DDP should be judged according to its contribution to the dams and development debate and the strategies of meeting the water and energy needs of the people in a sustainable way.

In this regard, the debate on dams and development carried on along the DDP Phase 1 and 2, indicates some strong shift departing from a polarized view on ‘whether dams should be built or not, to a more proactive approach around ‘how to build a good dam’ when it comes out as the preferred option. On the same note, a more comprehensive approach to considering alternatives as complementary rather than mutually exclusive has also emerged from the global dialogue. It is expected that the Compendium will contribute substantially to enhance these trends. The dams and development community prefers to discuss issues in a more amicable and constructive manner with the view of reaching consensus. The discussion is now much more sober and focused on the means of meeting the water and energy needs and contributing to sustainable development.





# Part One

## I. Introduction

1. The UNEP Dams and Development Project (DDP) was established in November 2001 in response to a request by the last Forum meeting of the World Commission on Dams (WCD) for a neutral entity to disseminate the WCD Report and take forward the review of its recommendations at local level through inclusive multi-stakeholder dialogues. In this regard, the first phase of DDP concluded in July 2004, focused on promoting dialogue at national, regional and global levels on the basis of the WCD core values and strategic priorities and the dissemination of WCD information materials in English and other languages.
2. Based on the experiences and outcomes of the first phase, the second phase of the Project launched in February 2005 shifted its focus to promoting improved decision-making in the planning and management of dams and their alternatives building on the WCD core values and strategic priorities and other relevant reference materials. The main objectives of the second phase (2005-2007) were to:
  - Support multi-stakeholder dialogues at country-level, regional and global levels on improving decision making on dams and their alternatives with the aim of engaging all stakeholders with emphasis on governments.
  - Produce non-prescriptive tools drawing on all relevant existing bodies of criteria and guidelines for planning and management of dams and their alternatives, which can help decision makers.
3. The main results of DDP Phase 2 were:
  - Raised awareness on the need of and agreement on how to improve national and international regulatory frameworks effectively taking into account social and environmental aspects and incorporating appropriate participatory approaches into decision-making.
  - Availability of non-prescriptive broadly accepted practical tools providing information and examples of good practice to assist decision makers in the planning and management of dams and their alternatives.
4. This report is structured into two parts. Part I presents an analysis of the progress made with emphasis on the

outcomes of the project implementation, its outputs and their impacts. Part 2 presents the achievements attained during Phase 2 in accordance to the Project activity plan and the logical framework.

5. In Part I, Chapter 2 highlights the objectives and outcomes of national dialogue processes including conclusions and recommendations for future action. Chapter 3 discusses the global dialogue and covers the Forum meetings, issues based workshops, side events and outlines recommendations for future action. Chapter 4 deals with the practical tools developed by the Project that are the online inventory of normative frameworks, the database of experiences and lessons learnt and the Compendium on Relevant Practices for Improved Decision-making. The part on the Compendium focuses on the methodological approach, consultation process, and limitations. It also provides suggestions on how to build further on the Compendium through capacity building initiatives. Chapter 5 discusses the communication and reporting activities undertaken during the period of the Project, while Chapter 6 provides concluding remarks on the DDP process.
  6. Part II of the Report provides an update on the main activities and achievements attained during the reporting period in a table format in accordance with the activity plan and the project log frame.
- ## 2. National Multistakeholder Dialogues
7. The Third and last Forum meeting under the World Commission on Dams process (February 2001), in response to the global reaction to the WCD Report agreed on the immediate need of taking the discussion to the national level and entrusted the Dams and Development Project to carry it on. This level was considered by the majority of stakeholders as the correct and most appropriate one to consider the recommendations of the WCD with good prospects of ultimately having an impact on policies and practices in dams and development.
  8. In Phase 2 of DDP, the project worked towards improving decision-making in the planning and management of dams and their alternatives using the WCD core values and strategic priorities as a basis. The multistakeholder dialogue approach adopted during the WCD process was further successfully implemented by the DDP in the context of both global and national dialogue. It provided a forum at which all stakeholders had an opportunity to discuss their views and shared experiences both national and international. It was a

platform at which the national context was reviewed using the WCD core values and strategic priorities as an analytical framework and other guidelines as reference materials. The expected outputs were recommendations for improving national approaches, frameworks and practices.

9. National dialogues were promoted as they were viewed as an appropriate platform for discussing controversial issues around dams and development and reaching local consensus on the way forward.

## 2.1 National dialogues undertaken

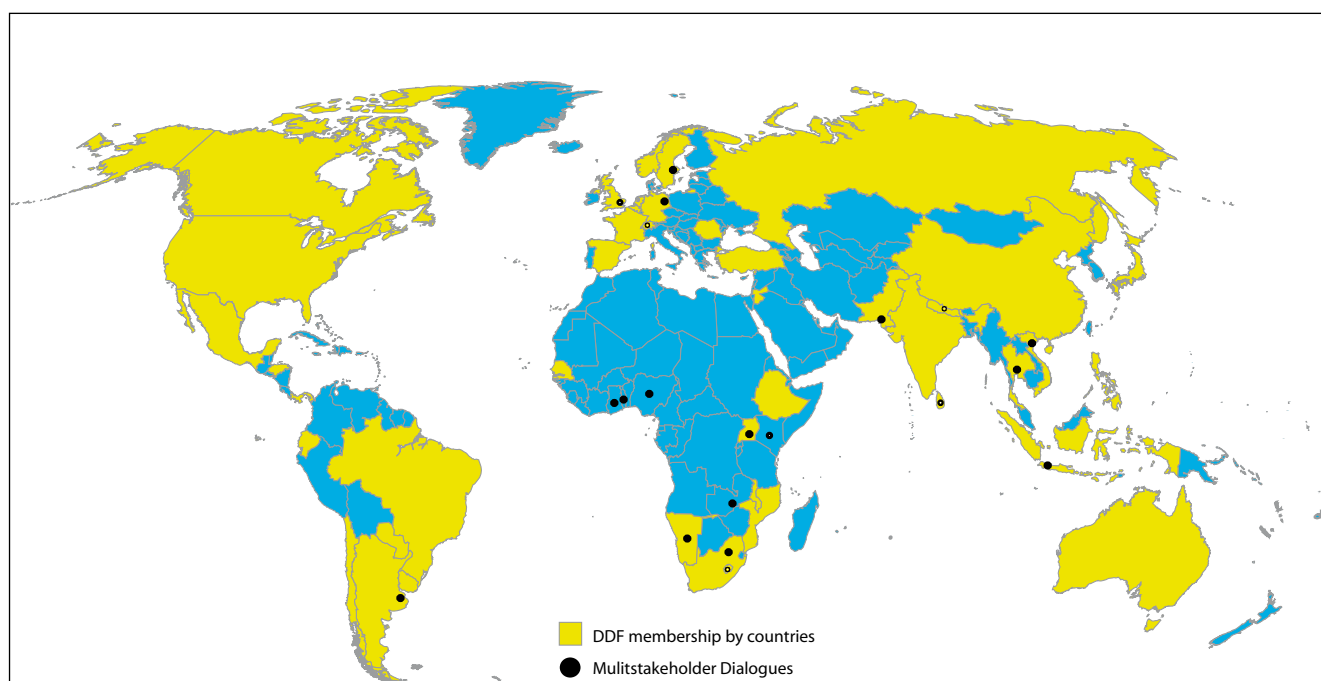
10. During the Dams and Development Project, national dialogues took place in over 20 – developed and developing countries (Figure 2.1). The focus in Phase 2 was on assisting the dialogues in Ghana, Nigeria, Togo and Uganda and follow up and concluding processes in RSA, Nepal and Sweden initiated in Phase 1. The specific activities undertaken in each national dialogue process are outlined in part two of this Report.
11. DDP supported dialogue initiatives in response to national demands and on condition that the processes were nationally driven by key institutions involved in the field of dams development in the countries. The DDP involvement also required the processes to be of a multistakeholder nature, and it was limited in the main to:

- Provision of seed funding for background and substantive studies, meetings of key institutions essential for the formation of the national multistakeholder forum and, where applicable, for the consultation and forum meetings.
- Technical input in the form of reviewing the proposals for the dialogues, the TOR and the reports of studies, the agendas of meetings as well as advising on the participation at meetings and on the composition of committees and forums to ensure their multistakeholder nature.
- Provision of relevant information and experiences on dams and development like the WCD reports, the various reports of DDP and other processes, including a presentation at the national consultation workshops.

*An observation at the 4th DD Forum with respect to the dialogue process in Uganda and the role of the World Bank: 'It was suggested that the approach should be on how to turn this dialogue into a contribution to the decision-making geared to meeting the needs of a country. A dialogue should not be promoted for its own sake' (4th DDF Proceedings, p.23).*

12. The involvement of DDP, however, varied depending on the circumstances in each process and involved a combination of the above interventions as needed. In all

**Figure 2.1 Map of National multistakeholder dialogues**



cases, local contribution by stakeholders was essential for the sense of ownership, and room was available for other partners to share the risk.

13. The support of UNEP to these processes was formalized through MOUs signed between UNEP and the leading organizations of the dialogue process in each country acting on behalf of other stakeholders. These MOUs spelt out clearly the obligations of the parties. They were in turn based on detailed proposals submitted by the countries outlining the background, the goal and objectives of the dialogues, their key activities and outputs and the resources required.

## 2.2 Experiences and lessons from the national dialogue processes

14. Whilst the generic process developed in Phase 1 was instrumental in guiding the national processes in Phase 2, more experience was gathered during the second period on how to organize national multistakeholder dialogues.
15. Due to the ‘demand-driven’ approach, adopted by the project, national dialogues were only supported in a limited number of countries where local organizations were able to create the necessary momentum to launch an initiative. This approach aimed at ensuring the sustainability of the process through local ownership of the initiative. Such a strategy however prevented DDP from supporting dialogues in countries with substantive dam building programmes that could have benefited from these initiatives but did not have stakeholders championing them.
16. In most cases, the initiatives were led by civil society organizations, usually an NGOs. However, some particular dialogue initiatives during Phase 1 were pursued by interested government agencies. In either case, the focus for DDP was on encouraging the lead organizations to bring on board other stakeholders and establish interim multistakeholder committees. The interim committees were to coordinate the processes leading to the establishment of the dialogue process and eventually the forum and mandated the lead organizations to enter into arrangements to secure DDP’s support.
17. Preparing a proposal for the dialogue became a key feature of the process of initiating the dialogue. It was at this stage that the expectations from the dialogue were reconciled and the arrangements for the process clearly established. Substantial time was spent by DDP



© Mark Edwards/Still Pictures

reviewing and advising on the proposals. Moreover, the process of compiling the proposal helped to ascertain and mobilize commitment at country level

18. The dialogues in Togo, Ghana and Nigeria were preceded by an awareness-raising campaign within the main groups of stakeholders, e.g. civil society. This empowered them and gave them an opportunity to organize themselves for effective participation in the dialogue process. This awareness facilitated smooth consultation at initial stages (Proposals and Reports from Togo and Nigeria).
19. The need for a ‘Background Study’ became apparent to bring up national water and energy sector issues and to provide the context and rationale for establishing the dialogue. They also provided a basis to focus the agenda of the initial consultation meeting and of the subsequent activities as well as to identify key stakeholders to participate in the dialogue. The background studies provided an opportunity of addressing the concern raised by some stakeholders that dialogues should have a purpose and not be held for their own sake.
20. The need for a sufficient lead-time emerged to allow, for instance, the interim committee to mobilize and engage other stakeholders in the process and ensure good



attendance at the meetings by all relevant stakeholders at the right level). Also, thorough preparations for the consultation meetings became essential to ensure that relevant and useful outcomes emerged from the meeting.

21. The support from DDP was strategically limited to the initial stages involving initial consultation meetings leading to the establishment of the Forum or multistakeholder committee, the elaboration of a scoping report with recommendations and the convening of a second multistakeholder meeting to discuss and agree on the recommendations. Further, feedback was limited to information updates received from national representatives and presentations delivered at the DD Forum meetings. They provided information on the subsequent overall impact of the national dialogue processes and lessons learnt from such stages.
22. In terms of the content of the dialogues, the WCD core values and the strategic priorities, while important for organizing discussions, proved on their own to be too complex and abstract to guide the national processes. The need to further disaggregate and explain them for use at national level was frequently raised. Also,

information on examples illustrating their main elements was requested. Hence the information provided through issue-based workshops of DDP was very welcome at national dialogues and the same will happen in future with the Compendium of relevant practices.

23. Resources necessary to support national multistakeholder dialogues for them to deliver concrete outputs successfully were usually far more than the limited seed funding provided by DDP for background studies, initial meetings of the interim steering bodies and the consultation meetings. This approach was part of the strategy adopted to build local ownership and ensure sustainability of the process by encouraging other organizations, preferably local, to provide additional support. In practice local organizations, including governmental ones, provided only in kind contribution and a partnership approach with other organizations like UNDP, GTZ, IWMI, IUCN was adopted to raise the additional funds required for successfully developing the initiative. In this regard, UNEP assumed a new role of assisting stakeholders in resource mobilization and networking with donors and other partners.

### **Box 2.1**

#### **Uganda**

Mr. Frank Muramuzi, National Association of Professional Environmentalists and Mr. Eliphas Bazira, Ministry of Water and Environment, Uganda and Paul Mubiru, Ministry of Minerals and Energy, Uganda reported at the 5th DD Forum that the publication of a Scoping Report was a significant achievement of the initiative. The report provided an analysis of the WCD recommendations in relation to development processes on the water and energy sectors in Uganda. It identified conformities and gaps in policy, regulatory and institutional frameworks and made a number of recommendations for improvement of these through the dialogue process.

They also noted that from their perspective, the value of such dialogue processes was in its independent and inclusive format, its use as a platform for conflict resolution on development of dams and bringing together people with divergent opinions and positions (5th DDF Proceedings, p.18).

#### **Zambia**

Peter Chola, a government representative from Zambia observed at the 5th DDF meeting that the previous year the presentation from Uganda was made by a representative of civil society only while this year it was delivered by a government representative. This difference was well noted and attributed to UNEP's involvement. In this light, he urged UNEP to support these processes in countries where people were still not talking on a common agenda (5th DDF Proceedings, p.19).

24. The role of UNEP was often cited by stakeholders as crucial. UNEP was viewed as a neutral partner that provided credibility to the dialogue processes. Due to its involvement, other stakeholders, governments in particular, were willing to engage in the process and take seriously the outcomes of the processes. For this however to happen, there is need for the governments and other partners to be part of the process from the beginning.

### **2.3 The outputs and impacts of national dialogue processes**

25. In almost all cases, enhanced awareness on the issues

around dams viewed from a local perspective informed by the WCD recommendations and the DDP knowledge base was created which was vital for a meaningful dialogue. The awareness was built through the preparatory activities that preceded the consultation stages; the background study reports' which included sections on water and energy issues around dams in the country, and a preliminary review in the context of the WCD strategic priorities assessing gaps and need for action; the presentations by DDP at the consultation meetings and the distribution of materials.

26. Consultations at the initial stages demonstrated that despite diversity of views and in some cases their

### **Box 2.2**

#### **Republic of South Africa**

Jerry Methula, Department of Water Affairs and Forestry, Liane Greeff, EMG and Mirriam Kibi, GAVAGWEN reported at the 4th DDF Meeting that in March 2005, the report "Applying the World Commission on Dams in South Africa" was published and presented to Minister Sonjica, Minister of Water Affairs and Forestry. The SA Initiative had moved into the next phase whose main challenge was the implementation of the recommendations. Despite having different perspectives represented on the Committee, there were very few points of disagreements on which parties could not come to a consensus.

The three priority recommendations were as follows: Addressing unresolved social issues of the existing dams; Enhancing governance for water and energy development; and River

**Figure 2.2 Improved generic process for organizing dialogues**

DDP INVOLVEMENT: GUIDANCE, TECHNICAL AND FINANCIAL SUPPORT, MONITORING				
	MULTISTAKEHOLDER APPROACH	DIALOGUE ACTIVITY	DIALOGUE PROCESS	CONSOLIDATED LOCAL DIALOGUE PROCESS
STAGES	<ol style="list-style-type: none"> <li>1. Awareness about WCD and DDP</li> <li>2. Awareness about the need for improved decision-making agreed and internalised</li> <li>3. Consolidation of a leading MS core group</li> </ol>	<ol style="list-style-type: none"> <li>1. MS initial consultation workshop on WCD analytical framework based on its Core Values and Strategic Priorities</li> <li>2. Other type of activity dealing with dams and development</li> </ol>	<ol style="list-style-type: none"> <li>1. Analysis of the WCD analytical framework in the local context to assess conformities and gaps (Scoping report)</li> <li>2. Formulation of country specific recommendations on policy and procedures to improve decision-making</li> <li>3. MS workshop/meeting to discuss issues and recommendations</li> </ol>	<p>Implementation of the recommendations into policy and regulatory frameworks</p>
INDICATORS	<ol style="list-style-type: none"> <li>1. Representative stakeholders organisations and persons identified</li> <li>2. A core MS group established</li> <li>3. Goals and objectives agreed, i.e. improved decision-making on the basis of a MS platform</li> <li>4. Tentative timeframe set</li> </ol>	<ol style="list-style-type: none"> <li>1. Core MS group actively involved in the organisation</li> <li>2. Government involved in the activity/process</li> <li>3. Balanced participation of representatives of all major stakeholder groups</li> <li>4. Report of the meeting available</li> <li>5. Timeframe revised and agreed by stakeholders</li> </ol>	<ol style="list-style-type: none"> <li>1. Coordinating MS group is leading the process</li> <li>2. Government involved</li> <li>3. Process, goals, outputs and timeframe agreed</li> <li>4. Minutes of meetings, decisions available</li> <li>5. Reports analysing the CVs and SPs in the local context available</li> <li>6. Recommendations for improvement of regulatory frameworks endorsed by all stakeholders</li> </ol>	<p>Recommendations formally received by the government and other stakeholders</p> <p>Policies formally integrated into the regulatory frameworks</p>

polarization, it was possible to bring stakeholders together to discuss and agree on some aspects of controversial issues. In most instances, inter-sectoral networks between and outside government agencies were established for the first time

27. In the processes that moved forward beyond the initial consultation meetings to detailed discussions of the local normative framework using the WCD as an analytical basis, diverse outputs and impacts were achieved. In developed countries like Sweden, the process resulted in a set of recommendations to improve the development aid policies and harmonize approaches of various stakeholders in the field of building dams in developing countries. In developing countries like RSA, Nepal and Uganda, the processes arrived at recommendations to improve frameworks and approaches in dams and development that were submitted to governments. Collaboration and networking between stakeholders was improved in all cases, and a sense of commitment to work towards a common purpose/objective seems to have emerged.
29. The experience from the countries that carried out the national dialogues has generated some interest in other countries and inspired them to consider embarking on similar processes. Towards the end of Phase 2, requests for support were expressed by organizations from

Honduras, El Salvador, Russia, Turkey and Ethiopia. Most of these represent civil society, which seem to be an actor more likely to engage in these processes.

30. The outcomes and impacts of national multistakeholder dialogues have caught the attention of other key actors in the water sector. The Prince of Orange singled out in his key address to the World Water Week in Stockholm, August 2006 the national dialogues supported by DDP as an innovative way of moving forward the concept of integrated water resources management. GWP now advocates the national multistakeholder dialogue approach as a means of reaching out to other sectors and actors outside the water sector and as a way of moving forward with greater impact.

## 2.4 Perspectives for national dialogues

31. The objective of national multistakeholder dialogues is of a long-term nature. Advanced processes such as in Nepal, RSA, Uganda, Thailand and Vietnam deserve a follow up to encourage them to pursue recommendations and assess their outputs and impacts for lessons. Stakeholders at the 5th DD Forum raised the need to building on to the outcomes of these national dialogues, encourage governments to consider seriously these outcomes and for these processes to inform other activities and outputs like the Compendium (the 5th Dams and Development Forum Proceedings, 2006).

32. The processes that have been initiated, such as in Malawi, Ghana, Togo, Nigeria, Indonesia, Lesotho, Namibia, Sri Lanka, and Zambia, will benefit from their continuation so that the full impacts of such processes are achieved. At the same time, there are new initiatives being proposed in Mozambique, Honduras, El Salvador, Ethiopia, Turkey and Russia that open opportunities for further support from an international perspective. Mozambique, for instance, has developed a full proposal with the assistance of DDP.
33. With the translation of the WCD Report, DDP publications and other relevant materials into other languages, and information on practices that lead to improved planning and management of dams and alternatives becomes available and accessible through, for instance, the Compendium. The national dialogues will thus become more focused and fruitful and the interest in their development will spread further. Further, as other initiatives supporting the consideration of environmental and social issues are publicized and take root, there is likely to be a greater need for national dialogues as countries strive to achieve the MDGs and do so in a sustainable way.

#### ***African Rivers Network***

*Hope Ogbeide at the 5th DD Forum requested UNEP to continue supporting national dialogue processes and to allocate staff to provide services for national dialogue initiatives. He urged the various partners including intergovernmental agencies such as UNEP, AMCOW, the Africa Water Facility to give financial support to the various ongoing dialogues at both national and continental levels (5th DDF Proceedings, p.40).*

34. From the comments raised at the 5th DD Forum and observations made in the diverse national dialogues, there is overwhelming support for national dialogues from civil society as these are the only platforms for their voice to be heard. As more countries embrace IWRM, there is growing preparedness on the part of governments to engage with civil society and other stakeholders, thus creating favourable conditions for national multistakeholder dialogues.

## **2.5 Recommendations**

35. There is need for a mechanism to be put in place to continue supporting dialogues, collect experiences on those ongoing and share them between countries. Dialogues are expected to have greater impact in countries with significant outstanding environmental and social issues and/or comprehensive dam construction



© Mark Edwards/Still Pictures

programmes (India, China, Brazil and Turkey) and so there is particular interest for them to embark on national dialogues. Such recommendation was made in previous Steering Committee meetings and the 4th DD Forum. Careful consideration will however need to be made on the mechanisms necessary to undertake such work because other stakeholders expressed the view at the 5th DD Forum that national dialogues should proceed with minimal external coordination.

36. Increased support seems to be required to ensure that focused and concrete outcomes emerge from dialogue process. Greater involvement in the planning of meetings is desirable. More interaction with key stakeholders is essential to fully leverage support for the dialogues at national level. This however will need to be done without undermining the fact that these should remain nationally driven processes. The compromise between seed funding, country ownership and sustainability of the process should be assessed on a case-by-case basis.
37. Notwithstanding, more resources will be needed to support national dialogue processes so as to bring them to a level where they become self-sustaining. In addition, partners supporting national dialogues are encouraged to increase their assistance while new ones should be invited to consider funding such initiatives. Further consideration should be given to linking up such dialogues with other related processes like the IWRM planning processes.

38. The impact of the national dialogues could be broadened to cover the whole spectrum of infrastructure development and environmental sustainability instead of focusing on dams and development only. This would enhance the significance and relevance of the national dialogues. Broadening the scope could easily be done without substantially affecting the discussion on issues important to dams and development as these issues are equally relevant when dealing with other major infrastructure, particularly in the water and energy sectors in which dams are the single largest water infrastructure development measure.
39. Stakeholders specifically requested UNEP to consider taking forward the above recommendations at the 5th Dams and Development Forum meeting.

### 3. Global Dialogue

40. Promoting global dialogue has been an integral aspect of the DDP work programme and it has been channelled in three main ways, namely, the Dams and Development Forum annual meetings, Issue-based workshops and the organization of multi-stakeholder side events in the context of relevant international meetings. The global dialogue aimed at clarifying contentious issues and obtaining consensus that will ultimately lead to the

improvement of decision-making in the planning and management of dams and their alternatives.

#### 3.1 Dams and Development Forum Meetings

41. The Dams and Development Forum has been a central element in the institutional set-up of DDP. The Forum relied on the knowledge base of its member organizations and provided an opportunity for stakeholders involved in the dams debate to share information and experiences in a transparent and inclusive way. Since the inception of the project in 2001, the Forum membership expanded from 68 organizations to 130 organizations representing thirteen stakeholder categories adopted by the project to ensure a balanced representation in the debate. In all, five Dams and Development Forum meetings have been convened within the context of the DDP work programme. The Proceedings of the meetings are available at [www.unep.org/dams/publications](http://www.unep.org/dams/publications)
42. The 4th and 5th Dams and development Forum meetings were held during Phase 2. Both were well attended with over 85 participants representing all stakeholder categories. Government and civil society were the groups best represented. The 4th meeting was instrumental in providing key guidance for the elaboration of the Compendium. The 5th reviewed the DDP outputs and provided recommendations for the successful closure of

#### Box 3.2

##### **5th Dams and Development Forum meeting. Nairobi, Kenya, 23-24 November 2006**

More than 82 participants representing a wide range of stakeholders involved in different aspects of dams and development attended the meeting. A significant number of Government representatives constituting the Government Advisory Consultative Group (GACG) attended the Forum meeting as observers.

The Forum meeting was organized around five plenary sessions and four working group sessions and a wide range of issues were discussed including presentations on the outcomes of relevant international meetings, multi-stakeholder dialogue processes as well as the progress made in the elaboration of the practical tools by the DDP Secretariat. In the working group sessions, a comprehensive list of issues and the recommended prioritized subset of issues was also extensively discussed. In this regard, the Forum members prioritized nine key issues as follows: gaining public acceptance, compliance, social impact assessment, addressing outstanding social issues, environmental management plans, identification of options, international policy concerning shared river basins, benefit sharing and compensation policy. The Forum members also provided guidance on the proposed methodology for elaborating the Compendium and the consultative process involving the Steering Committee, the Forum and the Government Advisory Consultative Group.

It was at this meeting that a majority of the stakeholders agreed that a shift in the dams and development debate could be perceived from a polarized discussion on whether to build a dam to a more proactive approach on how to build a good dam if it emerged as the preferred option.

### Box 3.2

#### 5th Dams and Development Forum meeting, Nairobi, Kenya, 23-24 November 2006

The meeting was attended by 86 participants. It was structured around six plenary sessions and a session in working groups. The participants in the plenary sessions, following presentations by one or more speakers from stakeholder groups, discussed a wide range of substantive issues. These included the draft Compendium on Relevant Practices for Improved Decision Making in the Planning and Management of Dams and their Alternatives; the various approaches adopted by civil society, governments, financiers and corporations to address emerging environmental and social issues in the planning and management of dams; the impacts of national and global dialogue and the way forward beyond the Dams and Development Project.

The participants provided DDP with guidance regarding the publication of the compendium, requested UNEP to continue organizing the Global dialogue and made specific recommendations to UNEP to continue supporting national and regional dialogue processes. The Steering Committee and the Government Advisory Consultative Group also expressed their commitment to continue engaging with UNEP beyond the Dams and Development Project.

the project and the continuation of some of its activities under another institutional set up. See Box 3.1 and 3.2

and ensuring that discussions flow smoothly and participants are actively involved in them.

#### 3.1.1 Key Experiences and Lessons Learnt

43. Since the continuity of the global dialogue has been widely recommended by all stakeholders and UNEP has in principle committed to continue its facilitating role, it becomes relevant to highlight a series of key lessons emerging from the extensive experience acquired by DDP in convening the DD Forum meetings. The issues are critical to the organization of these events :

- The organization of the DD Forum meetings involves a series of linked activities over a significant period of time before and after it takes place. Table 3.1 depicts an example of the activities and their approximate timelines resulting from DDP experience and taking into account some recommendations made at the 5th DD Forum meeting and by the SC.
- The table indicates that the organization would start not less than eight months in advance of the established date and continue for another three months after the event until the publication and distribution of the proceedings has been completed.
- Most critical aspects include defining and agreeing on an attractive programme, securing a balanced and good participation, providing appropriate logistical support to the meeting and the participants

- It is important to define the agenda well in advance in consultation with stakeholders. In the case of the DDP, the Steering Committee and the Dams and Development Forum provided the mechanisms through which such consultation was carried out. Since usually the response to request of comments and advice through email is low, there is a need to design an appropriate communication plan with the SC and Forum members.
- The need to ensure balanced representation and a good attendance of the meeting is essential. During Phase 1, the Steering Committee adopted a rule that stakeholder categories would in general be limited to ten members, with the exception of the government agencies (policy, project/river basin and bilateral development agencies, export credit agencies and regulators). The criteria aimed at keeping a balance between all categories while recognizing the role of governments. Forum and all other DDP meetings were organized in accordance with this formula.
- The policy adopted regarding the support of participants has implications on the balance. Since government and civil society organizations of developing countries are usually the ones enjoying these benefit, these groups tend to predominate as compared to industry and other private sector groups that are not entitled to travel

**Table 3.1**  
**Global dialogue on infrastructure and sustainable development**  
**Tentative generic activity plan**

	Activity	-8	-7	-6	-5	-4	-3	-2	-1	0	1	2	3
1	Draft programme, estimated date and venue <sup>1</sup>												
2	Consult draft programme with advisory committee (AC) <sup>2</sup>												
3	Issue invitations to DD Forum members attaching draft programme and registration form requesting 90 days feedback					◆							
4	Work up programmatic and logistical arrangements based on feed back <sup>3</sup>												
5	Consult AC on updated programme and circulate to Forum members												
6	Travel arrangements of supported participants												
7	Detailed logistic arrangements (hotel accommodation, transfers, equipment, banner, supporting staff required for the meetings, tape recording of sessions, interpretation, etc.)												
8	Elaboration of background and briefing documents and speaking notes as required												
9	Elaboration of guidelines for working groups												
10	Distribution of briefing/background documents with final programme to Forum members												
11	Convening of the meeting									◆			
12	Proceedings: elaboration, publication and distribution, including consultation of presenters and AC												

<sup>1</sup> It was recommended by the SC to convene, if possible, the meeting back to back with another relevant international meeting. Pros and cons need to be assessed and a decision made. Coordination with other meetings and availability of meeting facilities need to be checked should it be decided to convene it in Nairobi.

<sup>2</sup> A small group comprising of four representatives of major stakeholder groups was proposed in the SC draft concept note to advise UNEP on programmatic aspects of the forum meetings. Some SC members contested this approach and suggested retaining the existing SC configuration to avoid reinstalling difficult negotiations and lack of effective representation. Please note that the current DDP SC is active until 30 April 2007.

<sup>3</sup> Including, among others, identifying the facilitator, working groups and other session modalities to be adopted to enhance discussions and networking.

support. However, the participation of government representatives might be limited by administrative and other constraints, resulting in a predominance of civil society representatives that are generally the groups keen to engage in this type of meetings. In this regard, the establishment of Government Advisory Consultative Group (GACG) provided DDP with an important mechanism to increase the participation of Governments at the Forum meetings.

■ The experience from the DD Forum meetings indicates that participants attend the meetings with aim of getting up to date information on issues of their interest, sharing information on the activities being carried out by other organizations or in other countries, including distributing written information or making presentations, discussing experiences and networking. The programme should be therefore organized in a way that opportunities are offered to all participants to satisfy these needs. Plenary sessions are appropriate for presentations, information sharing and general discussions that allow obtaining the general sense of the participants' views and positions regarding the issues under discussion. Breakout group sessions are useful for a more focused exchange of views and detailed discussions with the aim of getting agreements. The format of small groups encourages participants to speak out their minds especially those who are reluctant to express their views in large assemblies.

■ In the light of the above, the organization and timing of the plenary and breakout sessions, the preparation of the discussions in working groups and the facilitation of the meeting are issues of significant importance alongside with the identification of appropriate discussion topics. Preparing guidelines for working group's sessions is necessary to guide the discussions. Close liaison between the chairs and rapporteurs and their early acquaintance with the objective and expected flow of discussions is essential for them to guide the discussions towards arriving at a meaningful and shared conclusions. This also ensures that the reports of the workshops reflect, in a neutral and comprehensive way, the general views of the participants



© Mark Edwards/Still Pictures

### 3.2 Issue Based Workshops

44. The issue-based workshops were a useful mechanism for clarifying and elaborating the WCD strategic priorities for implementation at local and regional contexts. This provided input to national dialogue processes. The decision to convene these thematic workshops was adopted at the 1st DD Forum meeting (July 2002). Forum members at that time prioritized the following strategic priorities as a focus for the global dialogue: comprehensive options assessment, gaining public acceptance, addressing existing dams and ensuring compliance. The importance of dealing with dam financial issues was also highlighted in the meeting.
45. Five issue-based workshops were convened by DDP. Each workshop was dedicated to one of the five topics: four of them during Phase 1 and the remaining one, Gaining Public Acceptance, during Phase 2. The Proceedings of the meetings are available at [www.unep.org/dams/publications](http://www.unep.org/dams/publications). The Focus of Phase 2 was placed on developing practical tools and promoting national dialogues.



experiences and the drawing of some specific lessons learnt as follows:

- Convening the issue-based workshops back to back with the DD Forum meetings contributed undoubtedly to an efficient use of time and resources from the point of view of the project and the participants. In particular, it allowed the SC and DD Forum members to be in a better position of attending also the workshop and ensured a balanced participation of all groups. However the more technical and specific nature of the topics at hand recommends opening and, perhaps, focusing the participation at such meetings to experts and practitioners in the field to improve the flow of information with stakeholders. Thus, discussions would move beyond general approaches and principles to more detailed analysis of the particular elements of the issues allowing arriving to conclusions that would mean a step forward in the common understanding of the issues. Looking backward from the perspective of the elaboration of the Compendium and the issue-framework-implementation approach adopted, such a shift in the organization of the workshops would have provided a more significant and valuable focus to these meetings.
- The elaboration of a background document summarizing the state of the art and current practice of the issues to be discussed constituted in this regard a crucial input to the meeting. It was important that the report captured all views and produced neutral conclusions and recommendations, and, when this is not possible,

### 3.2.1 Key Experiences and Lessons Learnt

46. The organization of thematic workshops presented similar challenges to those experienced with DD Forum meetings concerning the preparation of the programme, achieving balanced participation and ensuring active and fruitful discussions. However, the more focused and technical nature of these meetings resulted in different

#### Box 3.3

##### Issue-based workshop on Gaining Public Acceptance, Nairobi, Kenya, 5 October 2005

The overall objectives of the meeting were to discuss the nature and features of gaining public acceptance processes and procedures, to assess the challenges and opportunities in national and regional contexts for institutionalizing gaining public acceptance and to identify examples of relevant practices.

A background document summarizing the state of the art and current practice associated with gaining public acceptance was presented by the author and facilitator as input for the discussions. Plenary and breakout sessions allowed a balanced, active and highly committed group of participants to analyze the topic and discuss on the nature, implications and implementation of key elements.

The main output of the workshop was a set of recommendations and issues to be addressed related to the four key components of gaining public acceptance at the national level on stakeholder identification and enabling, access to information, mechanisms for informed participation in the decision making process and measuring of public acceptance.

presented the diverging views for the consideration of participants. Producing this kind of document is a challenge when dealing with contentious issues dealt with in the debate on dams.

- On the same note, the facilitation of the meeting was key. The facilitator needed to be conversant with the issues discussed and preferably be the same expert that authored the background document. However there is a need for professional facilitation skills as well to handle discussions that might become heated ranging from general principles to very detailed aspects of practice in the field. There is therefore a compromise in addressing the issue of participation that, resources allowing, would perhaps require the involvement of two facilitators complementing one another.
- The elaboration of the final statement with conclusions and recommendations also proved to be a challenging task, further constrained by the back to back convening of the issue base workshops and the DD forum meetings that did

not give much time for their elaboration and presentation to the wider audience. The contentious nature of the issues became most apparent at the time when participants were required to agree on some conclusions and recommendations but were reluctant in view of the fact that they would have a bearing on the position of their constituencies in the dam debate. Thus, the programme of the meeting should devote special attention to the conclusions session providing time and mechanisms to arrive at substantive set of conclusions. In fact, the overall flow of discussions starting with the opening remarks and keynote presentations should be geared towards these results.

### 3.3 International Side Events

47. The Dams and Development Project has promoted multistakeholder dialogue in the international arena through organizing side events at relevant international meetings. During the second phase, two side events were convened in March 2006: during the African Ministerial Conference on Hydropower and Sustainable Development, Sandton, RSA and later at the fourth

#### Box 3.4

##### **Side event at the African Ministerial Conference on Hydropower and Sustainable Development, Sandton, RSA, 5-7 March 2006**

The side-event convened jointly with AMCOW, addressed the topic: “Improving decision-making on dams to meet the MDGs: Ensuring dams contribute to sustainable development and poverty reduction” The participants extensively discussed specific issues related to improving decision-making processes in the planning and management of dams including emerging concepts around sustainability, notably on environmental and social issues and the desirable characteristics of a supportive legislative, policy and regulatory framework

Conclusions drawn from the side-event included the following:

- a. There was merit in sustaining the all inclusive format of the Conference and side-event to secure sustainable hydropower development in Africa.
- b. African governments are under pressure to develop infrastructure to satisfy immediate needs and deliver on commitments to meet MDGs. Cooperative basin management present opportunities and should be encouraged.
- c. Sustainable development of large dams inexcusably involves dealing with social and environmental impacts of dams. Dealing with these effectively and adequately requires a sound legislative and policy framework.
- d. Some elements of regulatory frameworks exist. Focus should therefore be on filling gaps, strengthening and harmonizing frameworks to take into account the emerging issues
- e. At the same time that countries progress towards strengthening their frameworks, measures are required to ensure that necessary dam development work is carried out in a sustainable way. Some of the measures are building managerial capacities and disseminating examples of good practices around the emerging issues

### **Box 3.5**

#### **Ensuring dams are a platform for growth and sustainable development. 4th World Water Forum, 16-22 March 2006, Mexico**

Another side event was organized by DDP jointly with International Committee on Large Dams (ICOLD), International River Networks Association (IRN), US Army Corps of Engineers (USACE/IWR) and WWF. The session brought together various speakers and audience with different and partly opposing views on the roles that dams play in development. The debate was lively resulting in conclusions that take the global dams dialogue a step further. The proponents of large dams argued that major multipurpose dams and reservoirs have been successful in providing development to many nations, and dam projects have remained as an integral part of the basic infrastructure platform necessary for social and economic growth. Those advocating the 'small is beautiful' pointed out that most of the poor addressed by the MDGs live in rural dispersed areas. Therefore, only low-cost, off-grid options such as small-scale drip systems, rainwater harvesting, groundwater recharging, check dams and embankments could reach the destitute.

The general agreement emerging from the session was that both approaches are viable and should be based on a comprehensive assessment of needs and options. It was agreed that in both cases careful planning and participatory decision-making processes were crucial to address environmental and social impacts. This should be an integral part of the development project. Stakeholders' participation was considered as being fundamental to resolving inherent conflicts around dams' projects. Such measures should be mainstreamed in strengthened policy and regulatory frameworks that together with enhanced managerial capacity provide a strong basis for sound decision-making on dams and their alternatives.

### **3.3.1 Key Experiences and Lessons Learnt**

48. The organization of side-events played an important role towards the achievement of DDP objectives because they allow involving in the debate of organizations and stakeholders not engaged or familiar with DDP project. Side-events serve as a vehicle to spread widely the project message and involve other actors in DDP activities. In general, their organization presented challenges similar to those addressed above regarding the DD Forum meetings and issue-based workshops.
49. Some specific ones include ensuring a convenient allocation of space, finding appropriate partner organisations to organize the event and provide representative resource persons to make presentations establish a panel and elaborate a background position paper as input for discussions. Usually, these one-time events require elaborating and agreeing on the conclusions and recommendations at the time of closing the meeting. Therefore, the programme, the flow of presentations and discussions need to be structured in a way that conclusions are consolidated as the meeting progresses. Therefore organizing side-events requires detailed forward planning which should start in parallel with the launching of the preparatory activities for the main meeting where the side-event is convened.

### **3.4 Conclusions and Recommendations for Future Actions**

50. UNEP received positively the request of the DD Forum members and SC members to continue hosting the global dialogue in terms of the Dams and Development Forum. This involves the mobilization of internal and external resources to take care of the necessary activities before, during and after the meeting as described above. The SC produced some recommendations regarding frequency (annual or bi-annual), venue (back to back with a relevant international meeting) and the establishment of an multistakeholder advisory group or committee drawing on the DDP Steering Committee to guide on matters of substance. The need for establishing an agreed and focused agenda was also raised. Further, it was also suggested that dialogue be further expanded beyond dams to water and energy infrastructure and be placed more clearly within the context of sustainable development. In this regard involving other organizations dealing with development such as UNDP and DESA were suggested.
51. UNEP should consider putting in place a mechanism to continue supporting the global dialogue as recommended by stakeholders during the fifth and final Dams and Development Forum meeting and that the Executive Director accepted to do. In the light of DDP experience,

it is highly recommended that UNEP provides this opportunity to the diverse stakeholders involved in different aspects of the dams and development debate to continue actively engaged in a global dialogue.

- 52. The convening of issue-based workshops and side events has not been addressed by stakeholders. However the need might arise to provide complementary channels to the global dialogue to address specific issues or bring other actors other than the DD Forum members into the debate. The issue-based workshop could prove to be useful in dealing with other key emerging issues if the decision will be taken to further pursue the publication of subsequent editions of the Compendium.
- 53. It is also important to continue hosting side-events at relevant international meetings in order to raise the profile of environmental issues and acquire the “buy in” into the activities that UNEP is currently pursuing within the context of the Water Policy and Strategy and the Bali Strategic Plan.

#### 4. Practical Tools

- 54. The production of practical non-prescriptive tools to help decision-makers was an agreed precondition for the implementation of Phase 2 and it was thus one of the main project objectives. This decision of the Steering Committee was based on the understanding that the analytical framework offered by the WCD core values and strategic priorities required further clarification and elaboration in practical terms to promote their proper consideration in the planning and management of dams and their alternatives.
- 55. The online database of experiences and lessons learnt developed during Phase 1 (see DDP Final Report Phase 1) was substantially enriched by incorporating the information on practices collected during the Phase 2. An online Inventory of Normative Frameworks was developed in early Phase 2 as a first step towards the elaboration of Compendium of Relevant Practices, the major achievement of this period. These tools are expected to support the multistakeholder dialogue approach, promote improvements in policy and regulatory frameworks and build capacities of decision-makers, managers and practitioners. Their nature, contents and use are briefly described in the following.



© Mark Edwards/Still Pictures

#### **4.1 The online database of experiences and lessons learnt**

56. The Database of experiences and lessons learnt is a tool that provides access to information on practical examples from all over the world. It provides the user with references to how dams and their alternatives are being tackled with a view of promoting better practices on the ground. This interactive online database can be accessed on the DDP website. It contains over 100 examples addressing a variety of issues that link with the WCD strategic priorities. A brief identification and description of the case study, the main lessons emerging from it, reference to the associated policy/regulatory frameworks and sources of information constitute the main sections of the database. The available examples can be reviewed and commented upon by the public and new ones can be submitted.
57. During Phase 2, the database was enriched with the examples collected during the elaboration of the Compendium. A number of examples were selected for further dissemination through this database, thus providing stakeholders with further opportunities to comment on them. It is anticipated that this database will continue to be built as further information on practice becomes available therefore contributing to the implementation of the WCD analytical decision-making framework constituted by the strategic priorities.

#### **4.2 The online inventory of normative frameworks**

58. The inventory is a web-based interactive database that contains references on policies, laws, criteria, and guidelines concerning the planning and management of dams that have been adopted or issued by governments and international organizations. It is intended as an information tool for decision-makers and managers at national and regional levels to promote the assessment and improvement of normative frameworks. Currently it comprises over 60 organizations and 120 normative frameworks. The database is organized according to the 13 stakeholder groups, the structure adopted by DDP. Under each category, the database lists organizations and the associated normative frameworks, provides summary information on its contents or scope and links to the sources of the information where the visitors could access more detailed information. A search engine was built into the database to facilitate access to specific information. Users can also add information that is incorporated into the database once cleared by the site moderator.

59. The content of the database was enriched with the information on frameworks collected during the elaboration of the Compendium. It is expected that this complementarity will be sustained as further research is carried out for the updating and upgrading of the Compendium. Thus, all DDP practical tools will simultaneously benefit from further developments.

#### **4.3 The Compendium**

60. The Compendium on Relevant Practices deals with a set of priority key issues concerning dams planning and management. It provides a characterization of the issues, information about current state of the normative frameworks and implementation of these issues, illustrated by a number of selected case studies. The Compendium is intended to inform policy-makers, managers and practitioners about what people are actually doing in this area i.e. real-life examples of good (and not so good) practice to inspire them to do things better on the ground.
61. It also provides a more in-depth understanding of the emerging issues at local level with the purpose of their wider adoption and implementation through incorporation into policy and regulatory frameworks and capacity building of decision-makers. In this context, this publication is a contribution by the DDP to the efforts of countries and the international community directed towards achieving internationally agreed development goals through environmentally and socially sustainable development of water and energy resources.
62. The Compendium fulfils the goal of DDP Phase 2, which required the project to produce non-prescriptive practical tools based on the core values and strategic priorities of the World Commission on Dams, and other relevant reference materials. As such, it is important to note that the Compendium is not meant to replace or replicate the WCD or any other relevant reference material, but should be viewed as a source of information that will contribute to all currently available approaches and tools aimed at enhancing the consideration of environmental and social issues.

#### Box 4.1

##### The process of developing the Compendium

- Stage 1: an analysis of the key issues concerning planning and management of dams and their alternatives drawing on the WCD strategic priorities and other relevant materials, and selection of priority issues;
- Stage 2: a review of good examples of relevant practice of how the priority key issues were captured into national and international frameworks and their implementation;
- Stage 3: consultation on collected case studies with governments (GACG) and stakeholders (SC and DD Forum) with the view of compiling such information into the Compendium and the publication of the document; and
- Stage 4: wide dissemination of the Compendium to countries and international and national organisations.

#### 4.3.1 The methodological approach: dealing with conflicting issues and diverging views

63 The methodological approach adopted for the elaboration of the Compendium emerged from a process that started well before the launching of Phase 2 and continued to evolve thereon based on intense consultation with stakeholders as described in section 4.3.2. It comprised four stages detailed in Box 4.1.

64. Stage 1 aimed at consolidating the process of clarifying the key issues from the strategic priorities of WCD. It was carried out through the Dams and Development Forum meetings and the issues based workshops (see chapter 3). Early in Phase 2 (2005), DDP undertook background work analyzing key issues on each of the SPs and identified first, second and third level elements. The result was a preliminary list containing about 36 first-level issues.

65. Based on the outputs of this initial work, the 4th DD Forum meeting (see Box 3.1) recommended the methodology and approach for developing the Compendium and prioritized 9 key issues of the preliminary list to be included into the first version of the Compendium (see Table 4.1). Stage 2 put in practice the ‘issue-framework-implementation’ approach developed by DDP to address conflicting issues. It involves an analytical process that focuses on issues and their implementation in practice, rather than on strategies or principles. Focusing on issues depoliticizes the discussion by placing it at a technical and operational level. The expected result is that differences between stakeholders will reduce as discussion becomes more focused and factual. Thus, wider consensus would be developed around these more concrete issues captured in available specific examples. The consideration of examples also shifted from looking at the whole projects

**Table 4.1**

**Prioritized key issues selected for the elaboration of the Compendium**

Strategic priorities	Priority key issues
Gaining Public Acceptance	Stakeholder participation: scope, mechanism
Comprehensive options assessment	Identification of options
Addressing existing dams	Addressing outstanding social issues
Sustainable rivers and livelihoods	Environmental management plan
Recognizing entitlement and sharing benefits	Compensation policy Social Impact Assessment Benefit sharing
Ensuring Compliance	Compliance enforcement/mechanism
Sharing rivers for peace, development and security	International policy concerning shared river basins

to specific practices within projects, which demonstrate how certain elements of the priority key issues were effectively considered. This approach disengages the discussion on the practice of a certain issue from that of the performance of the project as a whole. Further, the formulation “relevant practice”, differentiating it from “good” or “best”, was used in light of the sensitivities around dams that rendered the agreement on what constitutes good practice a difficult task. This approach differs from that followed by most literature about dams, whose focus is on their shortcomings and failures. The Compendium, instead, presents practices that, though not exempt from weaknesses, show a positive way forward.

66. The second stage of the process was carried out with the help of external experts. It involved research, selection of examples and elaboration of reports on the nine priority key issues undertaken during the first quarter of 2006. It resulted in nine detailed reports containing a characterization of the issue, the description of case studies selected by the consultants to illustrate their implementation following a standardized format and the list of references to sources of information. These reports were made available under the name of their authors in the DDP website and are open to comments by the public. Such approach was adopted in response to concerns from some civil society groups that the case studies lacked assessment from stakeholders – namely affected people groups. On the basis of comments and inputs received through the webpage, it is expected that in future an enriched version of the reports will be elaborated. The Compendium of relevant practices for improved decision-making was prepared drawing on the information contained in the reports. Stage 3 thus involved the elaboration of several drafts by the DDP Secretariat, each submitted to stakeholder consultation, including the 5th DD Forum meeting. The final draft was edited by a professional editor.
67. This unique and complex process followed during the publication of the Compendium provides many lessons and experience that are valuable for future similar undertakings of a controversial nature similar to those found in the debate on dams. Critical aspects of this process included the preparation of the Terms of Reference for the consultants who were commissioned for the research and collection of examples based on the issue-framework-implementation approach; the selection of the examples that raised the concerns of stakeholders about their representativeness and appropriateness; and the compilation and consolidation

of a large amount of information into a short document that was meant to be concise, focused, neutral, readable and of good quality. All these aspects were a matter of heated debate at the various consultation instances described in the following section.

#### 4.3.2 The consultation

68. The Dams and Development Project was characterized by a transparent and open approach of systematic consultation on all substantive aspects and activities of the projects with the stakeholders. Accordingly, all DDP practical tools had been open to wide consultation, taking the benefit of modern electronic forms of communication and the DD Forum, Steering Committee and the Government Advisory Consultative Group, which constituted the consultation platforms. Thus, as noted earlier the inventory of policy/normative frameworks and the database of experiences and lessons learnt are both available online in the DDP website accessible.
69. For the elaboration of the Compendium, consultations were held on the methodological approach, the prioritization of the key issues to be dealt with, the terms of reference for elaborating the selected issues, the outline of the Compendium and its various drafts.
70. It is without doubt that reaching reasonable consensus amongst stakeholders who over a long period have held entrenched positions, divergent interests and conceptual departure points remained a challenge. The safeguards adopted by DDP to carry forward the Compendium process such as the issue-framework-implementation approach, referring to relevant practices and remaining factual, helped tremendously in the dialogue process. Neutrality, avoiding judgments and consideration of different views were further requested by stakeholders. Given the stakes at hand for the various groups, the challenge of getting the multi-stakeholder endorsement of the Compendium could not have been achieved without adhering to open and recurrent consultation with multistakeholder groups throughout the elaboration process. The DDP Secretariat considers that this is an appropriate methodology to deal with these sorts of contentious issues.
71. The various aspects of the development of the practical tools including the Compendium were systematically part of the agenda items of the SC meetings from the 6th meeting on April 2004 until the last one on November 2006. The consultation with the SC continued with the creation of an Editorial Group constituted by four

members representing government, industry, research and civil society that undertook the final review of the Compendium.

72. The involvement of the GACG to channel the views of governments into the Compendium process was a very significant factor that contributed to bringing back governments to join the DDP process. This was the aspiration of DDP explicitly stated in the objectives of Phase 1. The establishment of the GACG in October 2005 to advise UNEP on how to develop the Compendium into a useful tool for decision makers constituted a turning point. GACG was constituted by representatives of 19 governments from developed and developing countries. It held 3 meetings throughout Phase 2 that were devoted to consider the structure, contents, style and publication details of the Compendium. The recommendations of the GACG fed into the SC and DD Forum meetings giving the voice of governments a similar strength to that of civil society and other groups, thus contributing to the balance and subsequent success of the meetings.
73. The positive outcomes of the consultation indicate that this system of various consultation platforms constitutes an appropriate way of involving stakeholders in the process of developing and implementing projects or programme. It can therefore be considered as a model that can be further tested and improved by UNEP. In fact, similar approaches are being adopted at country level as a result of national dialogue activities promoted by DDP (see Part 2).

#### 4.3.3 The publication

74. The Compendium contains 9 chapters. Chapters 1 and 9 deal with the introduction and the conclusions and recommendations respectively. Chapters 2 to 8 of the Compendium comprise the characterization of the issues, a synthesis of the current status regarding frameworks and implementation and descriptions in boxes of some of the most promising case studies that illustrate specific aspects of the issues presented. Annexes provide further information on the process and rationale behind the elaboration of the Compendium and the full list of examples. A detailed description of the case studies can be found in the reports of the consultants that constitute the background information for the Compendium, accessible on the website.
75. Undoubtedly, limitations were found in the elaboration of the Compendium, which deals with only a few new or emerging issues that are not yet fully developed, well documented, broadly evaluated and exempt from

implementation problems. While acknowledging these limitations, the usefulness and relevance of the document was ensured by gathering and presenting the information in a non-prescriptive and non-judgemental way, accommodating divergent views.

76. It is clear that available published information is limited and that assessment of practices is still weak, so while a huge effort was made in assembling this body of knowledge, the Compendium presents only the first few issues of the full knowledge base that will be required to address all key issues under a variety of circumstances. However, the relevance and significance of the issues documented in the publication, and their potential to make a difference, necessitate the wide dissemination of this Compendium.

#### 4.4 Building on the Compendium and other practical tools

77. While the focus of this Compendium is not on what should be done but on what is being done, and how and by whom, it will necessarily impact on the way things are being done through raising awareness of the nature and scope of the issues that need to be considered in the planning and management of dams, and by showing how managers in all corners of the world are dealing with similar challenges and adopting innovative approaches in search of positive and sustainable solutions.
78. However this impact will only be measurable in the long run. Strengthening policies and regulatory frameworks as well as building capacities to enhance consideration of environmental and social issues in dam planning and management requires consistent and sustained efforts beyond short-term urgencies and political circumstances. Thus, the Phase 2 Interim report made the following recommendations on future activities that building on the experience and outcomes from DDP would enhance their impact on the ground:
  - Sustain the process of enhancing the Compendium through extending its scope to address the remaining key issues and adding new practical experiences on the issues already addressed. This process requires ongoing monitoring and assessment of impacts resulting from the use of the Compendium.
  - Disseminate the Compendium widely and assist decision-makers, managers and multistakeholder platforms in making the best use of it to enhance regulatory instruments and legislative frameworks and improve capacities to deal with the emerging

social and environmental issues. These activities should contribute to and be part of overall efforts of institutionalizing IWRM approaches.

79. The task of developing the Compendium to help the decision-makers has just commenced; many lessons have been learnt from this initial effort. Other priority key issues will need to be incorporated. Moreover, as experience with the implementation of emerging issues broadens and deepens, there will be the need to update constantly the knowledge base, retaining the multi-stakeholder nature of the process and the focus on decision-makers. There will be also a challenge of making sure that the Compendium is available, accessible and understandable to its end-users, becoming a valuable tool for decision makers, managers and policy makers. This will involve its dissemination, demonstration and training assistance, including translation into various languages.
80. Positive signals regarding these activities were made at the 5th DD Forum and after. The need to consider other key issues and to update the background reports and the Compendium on the basis of new available information and the inputs received from stakeholders were raised in the sessions. An organization involved in international capacity building activities has expressed interest in developing training activities drawing on DDP materials and experience. One representative of the donor community offered financial assistance to translate the Compendium into other languages. Seminars and workshops, developing of training modules tailored to the various stakeholder groups, training of trainers, pilot and demonstration projects, are some of a wide range of activities that can be carried out to make full use of the potentialities of the tool.
81. The effective implementation of the emerging issues will not only require sound frameworks and managerial capacities but also innovative scientific, technological and information resources, tools and mechanisms supporting the translation of concepts and notions into practice. A case illustrating this is environmental flows. Whilst there is almost consensus on adopting this approach at policy level, the technological and knowledge base needed to implement it will need to be further developed. This is also the case for many other emerging issues requiring innovative hard and soft technological approaches. Thus, a challenge in reinforcing the linkages between science, technology, regulation and implementation of emerging issues lies ahead.

82. There is also a challenge in enhancing the availability of information on practices, their outcomes and their assessment by the various stakeholder groups. A new culture of transparency, independent evaluation of performance and disclosure of information is required in the dam and development arena. Governments, developers and financiers should provide incentives to foster the reporting of experiences; their assessment by stakeholders and their dissemination through presenting them appropriate events publishing them in peer reviewed journals. Thus the accessibility of quality information will be improved and the Compendium will further constitute the means to enhance their dissemination organized in the format of the issue-framework-implementation approach.
83. The Compendium is a useful tool for the dissemination of relevant practices from developed and developing countries around the world enhancing South-South as well as North-South cooperation, one of the objectives of the Bali Strategic Plan. Carefully applied to the national context, these practices can be used to determine processes and inform decisions regarding the upgrading of normative frameworks as well as the planning and management of dams. At the same time, they can contribute to enhancing the capacities, and improve decision-making on dams and their alternatives.

## 5. Communicating and Reporting

84. One of the DDP's aspirations was to enhance the impact of its work on policy and practice. Effective communication was the lifeblood for the dialogue between its stakeholders and the wider community. With this in mind, communication was among operational approaches adopted by the project in Phase 2 to:
  - Further strengthening interaction and networking among participants in the dams debate;
  - Further dissemination of information on activities, processes and outcomes of national, regional and global dialogues on dams and development;
  - Further disseminating, tailored to a country and regional basis, the WCD report and the report of the Third WCD Forum in its various languages available and translating them into French
  - Wide dissemination of DDP information materials and publications.

- Further facilitation of the flow of information and advice concerning initiatives relevant to dams and development in partnership with other appropriate organizations.
85. The development of such approaches was driven by clear needs identified by the stakeholders. They wanted to have more interaction and engagement from key decision actors in governments and industry and information that is more practical. The specific use of the word ‘further’ indicates the sense of the need in addition to the efforts applied in Phase 1 (see Final Report of Phase 1).
  86. This chapter discusses the major communication challenges posed by the evolution of the dialogue and the key response strategies applied by the DDP team to satisfy the needs of stakeholders and to achieve the objectives of the project.

### 5.1 Changing perceptions and response from DDP

87. Since its beginning, the project implementation period has witnessed an evolving trend associated with the progress of thinking at the global dams and development debate. The trend indicated the shift from having dialogue just for its sake to the need for specific information to feed into a more structured debate. Since discussions at the Forum and national dialogue meetings had become more focused and factual and around concrete issues, the search for information that supports institutionalization and implementation of these issues in practice became evident. Moreover, the nature of information required became more specific descending from theoretical or principles level to a more practical one based on tangible examples of how things were being done.
88. This resulted in the idea of developing practical information tool to help decision-makers to deal with the concrete issues around dams and development and bring them, i.e. government, on board, as its role as decision-maker received increased recognition among the DDP community. As noted by the members of the Dams and Development Forum at its 5th meeting, the idea of the compendium as a tool was to make available to the community of practitioners, civil society, decision-makers a menu of information on the ‘could be’ but not ‘should be’. The Forum, for example, acknowledged with great appreciation the information received from presentations on specific case studies of how individual countries and corporate and professional organizations pursued the quest of building sustainable dams. The unanimous recommendation of the Forum was to continue the global forum meetings beyond the project timeline keeping this useful enabling platform and organizing them under a specific theme so as to focus the exchange of information.
89. The appropriateness of the multistakeholder approach in dealing with controversial areas was confirmed during the process of developing the Compendium. Its entire process from designing the methodology to compiling the document drawing from nine thematic studies prepared by external consultants was a subject of extensive consultation. The stakeholders had an opportunity and desire to apply their collective wisdom to improve the document for everyone’s benefit: making it a tool that would be used by governments to formulate policies, regulations and legislation, by financial institutions to guide their investments and by other stakeholders to indicate how matters could be done better to address the requirements of sustainable development.
90. Another change that was important to transmit and respond to through communication was related to a greater recognition of the broader developmental context under which dam decision-making should be placed. Such recognition was reflected in a number of events organized by DDP such as the session at the African Ministerial Conference on Hydropower and Sustainable Development in RSA, and the 4th WWF in Mexico, both in early 2006. There, governments made the case for more dams to meet water and energy needs of people and thus bring sustainable development opportunities to their countries. This approach was further confirmed by the request of GACG to place dams in the context of the three pillars of the sustainable development concept when discussing their role in the introduction to the Compendium of relevant practices, i.e., bringing into the equal light the macro-economic benefits of dams along with their environmental and social dimensions.
91. The changed perceptions in the minds and the understanding of the stakeholders contributed to focusing Phase 2 on promoting improved decision-making on dams and their alternatives, rather than just promoting dialogue on its own as per the mandated in Phase 1, and on developing practical tools to support decision-making. This was another area of communication where DDP had to act upon as it was important to bring this progression of the DDP objectives to the attention of key target groups and the public at large and to put further emphasis on dissipating some remaining misconception

that associated the project with the implementation of the WCD recommendations only.

## 5.2 Communication Strategy

92. In response to these new developments, DDP undertook a revision of the Communication Strategy. This strategy was designed in Phase 1 to be an effective tool for DDP to communicate its programme and facilitate the achievement of its goals. The activities in the strategy were related to information management, including the creation of clear and consistent messages to all stakeholders in the Dams and Development community. The strategy defined the key target groups; identified the relevant approaches and the internal processes for optimizing communication with such target groups; outlined the mechanisms for delivering information and messages; and presented activities within a project timeframe. This initial Strategy, established in the first phase of the project in June 2003 after extensive consultation with the SC members, guided the development of the Project outreach activities throughout Phase 1 and early Phase 2.
93. Being a living document, the paper was revised to reflect the developments and progress achieved by the project and the evolution of perceptions of stakeholders and needs as discussed in Section 5.1 and thus project activities. The objectives and principles of the communication strategy were established as follows:
  - (i) Build awareness about DDP, its objectives and approaches amongst the defined target groups,
  - (ii) Secure commitment of the key target groups to the project's aims and approaches,
  - (iii) Influence decision-making on dams and their alternatives at national, regional and global level,
  - (iv) Encourage participation of other stakeholders not yet fully involved in the DDP activities, at the same time to collect feedback and knowledge through the same communication activities to continually improve the DDP knowledge base on technological, social, political, economic and environmental issues around dams and their alternatives.

## 5.3 Language Barriers

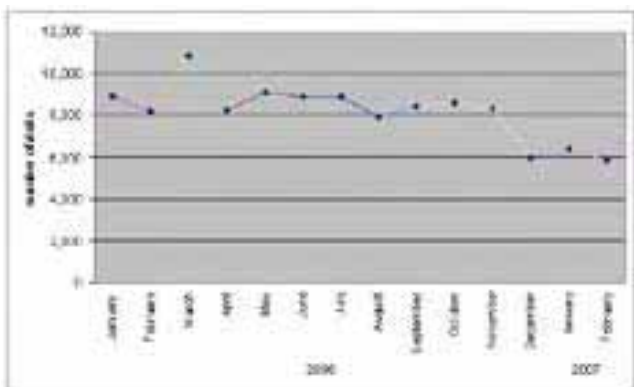
94. To deliver right information and messages effectively and achieve an optimal impact from the project activities, there was a need to break down the barriers that exist in communication. Meaningful participation requires that information is available in formats, styles and languages that can easily be understood and accessed by all stakeholder groups, particularly the most disadvantaged.
95. DDP was committed to translating its materials as part of the dissemination programme. The focus was mainly on the WCD and Spier Reports in view of their importance in laying the ground and providing the framework for the dialogue activities at national and regional level. In addition, during the consultation on the Compendium with the multistakeholder forum, the need of its distribution as widely as possible was also highlighted including its translation in other commonly used languages. Translating the WCD Report, its Overview or the Compendium provided a range of challenges, not merely due to the difficulty of translating one concept into other languages where precisely comparable words do not exist, but also due to the different perceptions that various groups give to the meanings of certain terms, phrases or recommendations.
96. In light of its experience, DDP developed guidelines for translation that included peer review by representatives of key stakeholder groups as a necessary step of ensuring that the resulting text interpreted with reasonable accuracy its original English version. As DDP was under the UN umbrella, the translation efforts focused on the official UN languages such as English, Chinese, French and Spanish supplemented by other languages of countries where there were major plans for new dams and there was a need to reach out to the stakeholder groups in their local languages, e.g. Thai and Vietnamese.
97. The WCD Final Report is available in 4 languages: English, Chinese, Spanish and Vietnamese while the WCD Overview is available in 15 languages: Arabic (not printed), English, Chinese, French, German, Hindi (revised version), Japanese, Polish, Portuguese, Russian, Spanish, Thai, Urdu and Sindhi (carried out by the Pakistan national process) and Vietnamese. During Phase 2, the report was also translated into French and Farsi. The latter one was undertaken by IUCN in consultation with DDP. Due to time and budget constraints, DDP was not able to translate its own materials to other languages. Overall, translation

work appeared to be a challenging experience and it is important to engage with right and committed partners.

98. During the annual Forum meetings, the need to translate the WCD report as well as the Compendium at a later stage into other languages was brought by representatives of Francophone African countries, South Asia, Russia and others who were interested in starting up the dialogue activities in their respective countries.
99. Though English is the communication language by default, the need for interpretation at the meetings soon arose as a prerequisite for full engagement of participants in the dialogue. From the administration and budget perspectives, it presented a challenge which strongly determined the facilities made available. DDP provided interpretation services into French and Spanish languages at all plenary sessions of its forum and issue-based workshop meetings. Lack of interpretation in working group discussions and Government Advisory Consultative Groups meetings was a downside highlighted by francophone members that needed to be addressed if equal meaningful participation was desirable.

#### 5.4 The website

100. The World Wide Web has become a major information channel. It provides the variety and multitude of information to a wide number of people at any time. The DDP website was therefore at the core of the communication strategy of the project implementation. It serves as a communication and exchange medium to raise the image of the project and improve dissemination of information to interested parties. It is also a clearinghouse for the knowledge base accumulated throughout the project implementation. It has both external and internal functions providing unlimited access to wide public and restricted to its major stakeholders for work in progress.



101. During Phase 1, the look of the website was significantly redesigned to bring it in line with an overall structure and style of UNEP websites. The new version was launched on 16 April 2004. Since then, the maintenance of the website had been carried out by the Internet Unit of the Division of Communication and Public Information through a focal point in DDP.
102. The home page provides direct access to relevant information concerning the main elements of DDP work programme: Global and national dialogue, practical tools networking and dissemination. Further to them, relevant sources of information for specialized and general public are the About DDP, Publications and Frequently Asked Questions links. It incorporates the search engine that retrieves information contained in the website. In addition to these standard features, the website contains a number of interactive tools that allow users to contribute to the output of the project such as the online inventory of normative frameworks, the background studies of the Compendium and the online database of experiences and lessons learnt. It also provides links to the WCD website and other partner organizations.
103. During the process of developing the Compendium, the website played an important role providing a password-protected access to the reports of the consultants for the review by DDP stakeholders. After the completion of the project, the page was open to the public and redesigned

with a view of enabling users to provide comments and specific information on reports and respective case studies. To enable a quick search in the content of the inventory of normative frameworks a search engine was designed and implemented in response to the request made at the forum meetings.

104. The website statistics is a useful tool to monitor and analyze the interest in the DDP activities. UNEP Internet Unit provided monthly statistics on all major UNEP websites including the DDP one. The graph below demonstrates the traffic of visits throughout the period of January 2006 to February 2007. A visit implies a series of requests from the same uniquely identified client with a set timeout. This represents 1.14% of visits in 2006 among 32 selected UNEP sites.

### 5.5 Other means of communication

105. Other means of communication tools employed by DDP made an equally important contribution to the objectives of project. This included bi-monthly newsletter “Confluence”, Information Sheets, posters, brochure and various reports from the Forum meetings and progress reports. The material were designed and disseminated in special structured way with the posters and the brochure providing concise information on the project to first time readers while information sheets contained detailed information on each aspect of the project to those with further interest. The Newsletter and other publications were used to report on the progress of the project to the audience already acquainted and familiar with the project.

106. In the first quarter of 2006, the DDP Secretariat successfully updated, and improved the information materials. Information sheets focusing on the DDP objectives and work programme, governance structure, promoting dialogues, issue-based workshops and practical tools were published and disseminated to a broad range of stakeholders. In addition, DDP produced a new brochure and posters.

107. DP also initiated the process of compiling into a consolidated report every fortnightly, interesting developments regarding dams that were reported in the news globally that could be shared with stakeholders upon request. Based on the compilation, an internal online database was developed that contained the pieces of news sorted by countries and dams and enabling easy search, retrieval of information and printing it in a report format. The database is useful to keep the staff informed about the recent news in the field, to

prepare for missions and to respond to the requests for information from the Executive Director’s Office or other UNEP staff members and public at large looking for dam specific information.

### 5.6 Key lessons and recommendations

108. The Project tracked and responded to the changes in the perception of stakeholders as well as the imperatives of the global agenda, which the project contributes to. It helped with disseminating information on new or ongoing initiatives being undertaken by the project and others as well as about practical examples of relevant practices. It assisted interested parties to gain access to such information and obtain technical support from the DDP Secretariat and its network. DDP produced timely and disseminated widely the proceedings of the meetings and other reports. It kept the Steering Committee and the Dams and Development Forum well informed about ongoing work. The website served as clearing house for the knowledge base generated both by WCD and DDP and as platform for effective consultation with the dams and development community during the elaboration of the compendium.

109. Reflecting on the challenges and achievement of the project, following key lessons can be drawn and recommendations made for future activities to obtain value from effective communication:

■ It is important to define key messages that need to be communicated to the audience. The idea of publication of the compendium was based on clearly articulated messages about what the publication was intended to be. They were consistently communicated and brought to the attention of the Steering Committee, GACG and Dams and Development Forum for endorsement. DDP used other information materials such as infosheets and brochure efficiently as concise reference to the project’s origin and scope.

■ It is important to know the audience and target groups to respond effectively to their needs and have a more efficient and wider outreach. At the end of the first phase, DDP community indicated the need to bring the key decision-making actors into the game as the debate was moving forward from the rhetorical discussion of having dams or not to how to build sustainable dams. To support the trend, the DDP Secretariat with the help of the Steering Community established the Governing Advisory Consultative Group which represented

the anticipated major users of the practical tools developed by the project.

- It is important to select appropriate tools for communication. DDP was especially effective in reporting unfolding developments of the project to its audience through newsletter, bi-monthly e-mail updates and its website. These tools also performed the monitoring function of national and regional dialogues through documenting their progress and results. They supported the global dialogue though providing information emerging from local level.
- In view of the Internet's importance, there is need to keep the DDP website alive beyond the project's lifespan so that it continues performing its clearing house function and disseminating a wealth of information generated both during the WCD and DDP periods. It provides a basis for further enrichment of this knowledge base with information that will emerge in this dynamic field. From an administrative perspective, it is advisable to budget a part-time professional staff specifically dedicated to the regular technical maintenance of the website and the incorporation of emerging features. There is also a need to develop further the section on dams and sustainable development that was planned during Phase 2 but not implemented due to lack of resources and time. This section will set a background for future activities in this field and will be useful to the public.
- To achieve its primary mandate of disseminating the WCD results as wide as possible, DDP devised a dissemination strategy. This is an important element to ensure that the publications and materials of the project reach the intended audience as well as the public at large. Publications were distributed through emails to a specially created mail list consisting of around 4000 contacts. In addition, brochures and infosheets were offered to participants in meetings, conferences and exhibitions with DDP participation including those organized by third parties. However, documentation dusting in a storeroom will serve no useful purpose in future and have environmental impact. It is important to establish at the outset the best possible estimate of the total numbers of documents to be printed.

## 6. Concluding remarks

### 6.1 Assessing the Project

110. Based on the assessment of the process and outcomes against the set of indicators (see Part 2 b) established at the onset of the project to evaluate performance, the DDP performed remarkably well. In terms of the process, the majority of the activities set out by the activity plans adopted in consultation with the Steering Committee were successfully executed resulting in the exhaustion of the project budget by almost 100%. It was achieved even when the DDP Secretariat staff in Phase 2 was reduced and notwithstanding the fact that the scope and complexity of activities increased in that period with the addition of the production of non-prescriptive tools. The ratio of staff costs to operational costs remained at around 50% as an average at the end of the period, which is an acceptable indicator of resources allocation within the system.
111. In terms of outcomes, the project accomplished the Phase 2 expected outputs related to national and global dialogue, practical tools, communication and dissemination of information. Summing up the products of both Phase 1 and 2, achievements are also remarkable. These include national and regional dialogue activities in over 20 countries around the world, 5 DD Forum meetings, five issue based workshops, five side events at significant international meetings, 10 issues of the newsletter "Confluence", a well developed website with online interactive features, translation of the WCD final and Spier reports into various languages and a complete information package integrated by PowerPoint presentations, brochure, info-sheets and posters.
112. The DD Forum, Steering Committee and GACG meetings were the sound boards where the achievements of the project and its impacts could be assessed. At their meetings, recognition was given to the intensity of project activities and the effort made by the DDP Secretariat in driving the process to a satisfactory and timely conclusion and within the budget. The sense that the project had made a difference in its various aspects of action also emerged. National and global dialogues were instrumental in bringing stakeholders together, raising awareness and showing a way of dealing with diverging views on dams and development moving the debate toward proactive and constructive approaches to improve the way decisions are taken. It was not surprising that all stakeholders supported the continuation of the DD Forum meetings, under UNEP's



© Mark Edwards/Still Pictures

leadership, and a majority of stakeholders did the same with the national dialogues.

113. The Compendium on relevant practice is the product of an innovative approach in the debate on dams, and as such, its significance and value has yet to be fully realized once the tool is widely disseminated and used by managers and the public in general. This value had been already fully recognized by government representatives that endorsed the product while stakeholders from the other end of the debate, such as NGO advocacy and other civil society constituencies, are yet assessing the product in terms of their own agenda. The innovation has to do with the issue-framework-implementation approach; dealing with positive examples of relevant practice, as opposed to judging practices or just limiting the scope to lessons learnt; and the broad and lengthy consultation with all stakeholders carried out along the whole process of its elaboration that begun early with the methodology. The resulting non-prescriptive information tool dealing with substance and practice around nine key issues is ready to make a difference showing a way on how to implement the WCD strategic priorities. It does it through a proactive approach that allows overcoming controversy, remains comprehensive of all options and shows “how to do” instead of saying

“what to do” or rather “what not to do”.

114. The general sense from discussions and views of most of the stakeholders is that DDP helped move the dialogue forward. It departed from the polarization that resulted from the launching of the WCD Final Report and reached a more constructive stance where all different approaches on how to address the development of water and energy resources - large and small, centralized and decentralized, rural and urban- to assist the poor and to create development opportunities are accepted as valid, and even complementary, options. They need to be included into comprehensive assessment that takes into account technical, economic, financial, environmental and social issues on an equal standing.

## 6.2 Building on the legacy

115. There is little doubt that dialogue is a positive and necessary tool to build consensus when there is a need to reconcile views, needs, expectations and agendas. The DDP experience in this regard was positive. It is not surprising then that similar approaches had been adopted at national level when designing national dialogue activities and processes. Multistakeholder meetings, steering committees and forums were established or pursued in the majority of the countries where DDP was called to assist. Many stakeholder groups at the 5th DD Forum meetings and through responses to the DDP Secretariat questionnaire supported the continuity of the national dialogues as well as pursuing further regional/basin dialogues. The neutral and leading role of an international organization such as UNEP was also recognized widely. Thus, there is room and an opportunity to continue supporting these dialogues helping those ongoing to reach full development and impact and stimulating other countries and regions/basins, particularly those with significant dam building and maintenance portfolios, to establish their own.
116. The recommendation of stakeholders supporting the continuity of the global dialogue through the DD forum meetings and requesting UNEP to continue its leading and facilitating role was unanimous. The Steering Committee provided some suggestions reflecting the views of stakeholders regarding the organization of the meetings. These comprised a focused agenda on issues of common interest in consultation with all groups; participation open to international development organizations; the meetings convened annually or bi-annually; and retaining an advisory multistakeholder group liaising with a focal point nominated by UNEP.

It is expected that UNEP will be able to respond to this demand.

117. As pointed out above, the significance and value of the Compendium has yet to be fully realized. Thus, a wide dissemination should be carried out as a first necessary step introducing it to all countries and regions and including if possible, convening of seminars and regional workshops to capture views and promote discussions on its contents. Target audience should be decision-makers at ministerial and agencies high management levels, parliamentarians and officials of line government areas dealing with dam licensing. Training modules could be elaborated to train managers and practitioners through training courses as part of staff career development and graduate and undergraduate work in universities.
118. The Compendium should be upgraded to deal with other important key issues not incorporated in the first version in order to progressively cover the full range of topics relevant to infrastructure decision making. As current and new practices are developed and assessed, these could be captured in updated versions of the publication providing the improved information on the practices and the assessment of their outcomes in order to make them more transferable into other contexts. In order to overcome language barriers that might impair the wide use of the information, the Compendium should be translated to other main languages such as, at least, those officially adopted by the UN system.
119. Further, the governance structure of the project composed of stakeholder advisory platforms such as the DD Forum, the SC and the GACG, has proven to be valuable to the achievement of the expected outputs and tailoring them to the needs of end users and incorporating into them the views of all stakeholder groups. Its success is reflected not only by the achievements of the project but also by the engagement and commitment of its members despite moments of heated debate and tension, frustration and need for compromise. This commitment continues to exist despite the closure of the Project, as illustrated by the strong recommendation of the Forum members to continue with the global dialogue and the interest of the SC in providing some sort of continuity to its advisory function as regards the continued convening of the DD Forum meetings. The GACG members also built a positive momentum during their short lifespan finding ways to reconcile the views of developing and developed countries and generating a sense of unity that was clearly expressed through the interventions of representatives of the group in the SC and DD Forum

meetings. These groups jointly define a model of stakeholder participation that is to some extent being replicated at country level. Therefore, it is expected that some mechanism would be designed to retain the model and even further develop the positive momentum built by these bodies during the DDP.

### 6.3 Broadening the scope

120. Safe and efficient water and energy supply, climate change, growth and reduction of poverty are major drivers of water and energy resources management. These have been to a major extent captured by the internationally agreed development goals that have set explicit targets to be achieved by 2015 and 2025. Development of infrastructure is seen by governments and development partners as one of the means to achieve these goals, to attain water and energy security and to provide adaptation capacity to cope with the impacts of climate change.
121. As pointed out above, discrepancies exist regarding an appropriate scale of infrastructural approach in developing countries. With the exception of some groups that argue against a given technology or scale of approach, the great majority of the stakeholders consider that early assessment of needs and option and careful planning and management of the selected portfolio will provide sustainable responses. This approach that focuses on the decision-making process rather than on the outcomes is precisely the one pursued by DDP in all its interventions, either national or global dialogues, and the Compendium. As such, it is to be applicable beyond dams i.e. to the wide range of technologies and infrastructural approaches for water and energy resources development, and even beyond, to any infrastructure development in general.
122. In the light of the above the scope of application of DDP experience and tools can be widened significantly to encompass all kinds of infrastructure development. Adapted to the scale and peculiarities of each infrastructure dealt with, the need for informed participatory decision-making processes, obtaining the acceptance of the public and taking into account properly environmental and social implications of the development are similar to all of them and require putting in place similar mechanisms and procedures, such as those regarding assessment of options, stakeholder participation, social impact assessment, environmental management plans, compensation and benefit sharing policies and compliance, among others. These mechanisms are



discussed in the Compendium, which therefore can also constitute a basis for promoting improved decision-making on infrastructure to achieve environmentally sustainable outcomes. The Compendium and the multistakeholder dialogue approach promoted by DDP can be two fundamental pillars of a programme of action dealing with infrastructure and environmental sustainability. It is expected that UNEP will be in a position of institutionalizing such a kind of approach as proposed by the Executive Director in his opening remarks to the 5th DD Forum meeting.

## Part Two: Implementation of the DDP Activity Plan

Activity	Narrative Summary	Main outcomes
<p><b>A. PROMOTING MULTI-STAKEHOLDER NATIONAL, REGIONAL AND GLOBAL DIALOGUE PROCESSES AND ACTIVITIES</b></p>		
<p><b>A.1 National level</b></p>		
<p>During Phase 2 from February 2005 to April 2007, the DDP Secretariat actively interacted with various countries either following up the dialogue activities and processes started during Phase 1 with a view of their further development or responding to consultations regarding new initiatives. Among the developing countries involved were: Argentina, Ethiopia, Kenya, Malawi, Mozambique, Namibia, Nepal, Nigeria, South Africa, Sri Lanka, Thailand, Togo, Uganda and Zambia. Follow up of activities and consultations involved also developed countries such as Germany, Netherlands, Russia. The following summarizes some of the most significant developments that took place during Phase 2:</p>		
<p>Dialogue activities and processes</p>	<p><u>Argentina:</u> the local chapter of the World Council on Energy organised a multi-stakeholder seminar in Misiones, Argentina, on 17-19 August 2005 to discuss regional decision-making approaches regarding large dams. DDP participated in the meeting and made a presentation</p>	<p>Mission Report</p>
	<p><u>Brazil:</u> DDP attended the First Meeting of Social Sciences and Dams organised by IPPUR (Institute of Research on planning and Use of Resources), a DDF member, on 8-10 June 2005. The meeting gathered social scientists in Brazil involved in research activities concerning dam-affected people. The objective was to discuss the role of social sciences in dams' planning and management, identify needs and gaps and propose a way forward to consolidate the research activities all over the country.</p>	<p>Mission Report</p>
	<p><u>Ethiopia:</u> After a series of meetings with senior personnel from key institutions involved in dams regarding initiating a national dialogue process in view of planned dam projects, national consultations on the multi-stakeholder dialogue are ongoing. Relevant information materials including guidelines for national dialogue processes and other examples were shared with stakeholders during the discussions held with senior officials in Ethiopia at the Working Conference on Decision Support Systems, the African Ministerial Conference on Hydropower and Sustainable Development and the 4WWF.</p>	<p>Interest in the dialogue process by various stakeholders</p>
	<p><u>Ghana:</u> The National Consultative Meeting (NCM) as the first step in a national process for a dialogue on dams and development in Ghana was organized in January 2007. It was preceded by a number of activities such as constitution of a multistakeholder interim Steering Committee composed of the Ministries of Energy and Water Resources, Volta River Authority, Volta Basin Development Foundation (VBDF) among others and the preparation of a background paper for discussion at NCM. The NCM gathered 65 persons representing the different stakeholder groups. The objectives of the meeting were to identify the scope of the issues to be discussed by the dialogue, review the background documents and review the constitution and structure of the proposed National Forum and to select the National Coordinating Committee (NCC) members. DDP assisted and supported these activities through an MoU entered into with Volta Basin Development Foundation on behalf of the steering committee.</p>	<p>Steering Committee, Proceedings of the first national consultative meeting, Background report</p>
	<p>DDP and GTZ are the key financial supporters of this phase of the dialogue.</p> <p><u>Mozambique:</u> Key stakeholders involved in water and energy management in Mozambique submitted a preliminary proposal on the multistakeholder dialogue initiative in the country. At the same time the stakeholders approached the local office of IUCN to assume the role of the interim secretariat for the dialogue. The DDP Secretariat reviewed the proposal and put forward some recommendations. A final proposal was compiled and submitted to DDP with a request for support with seed funding at the end of 2006. Due to the pending closure of DDP, the Project could not provide any seed funding to the process. The dialogue proposal is therefore still at the resource mobilization stage.</p>	<p>Final proposal for the national dialogue process</p>

Activity	Narrative Summary	Main outcomes
	<p><u>Nepal:</u> Following the facilitation of activities by DDP in Phase 1, the Nepal dialogue initiative developed further with support of GTZ. DDP liaised continuously with the Nepalese task force and offered technical assistance. The scoping report was completed in 2005. It set an important framework for facilitating future dialogues and identified issues. From 2005 to 2006, four workshops were convened under the themes of WCD strategic priorities such as gaining public acceptance, ensuring compliance, sharing benefits and options assessment with another three workshops planned to be held in the future. The progress made was reported at the 5<sup>th</sup> DDF Meeting. Further activities of the dialogue may include a comparative review and analysis of existing policies, guidelines and practices of international financial institutions given the multiplicity of policies, instruments and regulations.</p> <p><u>Nigeria:</u> Since 2003 DDP has pursued the initiative with the Society for Water and Public Health Protection (SWAPHEP). DDP financed the background studies and liaised with the Federal Ministry of Water Resources to ensure the involvement of the government. In late 2005 a joint proposal for a dialogue process was submitted to DDP and a MoU between UNEP and SWAPHEP was signed in August 2006. The National Consultative Conference "Setting the Agenda for a National Dialogue Process on Water and Energy Policies in Nigeria with Reference to the Framework of the World Commission on Dams (WCD)" was convened on 22 February 2007 with 45 participants representing various stakeholder groups. DDP attended. The participants discussed the WCD strategic priorities in the Nigerian context and the composition and functions of the proposed Nigerian Dams and Development Forum (NDDF), Steering Committee and the Secretariat based on the recommendations in the background reports prepared for the meeting. The next step is the elaboration of a scoping report analysing the national policy/regulatory framework using the WCD SP as an analytical framework in process with the aim of producing recommendations for reforming them to improve decision-making on dams in the country based on the terms of reference considered at the meeting.</p> <p><u>South Africa:</u> The final report of the South African Initiative on the World Commission on Dams Report that includes recommendations and defines the way forward was presented to the Government in March 2006. A Co-ordinating Committee mandated to publicise the report and ensure the implementation of recommendations has been established, and a first meeting to map the way forward was convened in May 2006. The Multi-stakeholder Reparations Committee is now working together with the Department of Water Affairs and Forestry on a pilot study undertaking a social audit of existing dams.</p>	<p>Reports on the four themes worked on, Presentation at the 5<sup>th</sup> DD Forum meeting (November 2005)</p> <p>Background Reports, Proceedings of the National Consultative meeting</p>
	<p><u>Togo:</u> A proposal for a national dialogue process was prepared by key stakeholders in Togo led by NGO Jeunes Volontaires pour l'Environnement (JVE). This proposal incorporated inputs from DDP. DDP entered into an MOU with JVE to fund the initial steps of establishing the dialogue process. The key stakeholders established an interim steering committee to steer the process of establishing the Forum in Togo. The interim steering committee commissioned the preparation of a background study to guide the national discussions on establishing the Forum. The first National Consultative Meeting took place on 13-14 of March 2007. It was attended by 150 representatives of civil society, government ministries, utilities and the private sector from Togo as well as organizations from neighboring countries such as Benin, Burkina Faso and Ghana.</p> <p>The financial and technical support was provided by DDP, GTZ and several other organizations such as the African Rivers Network, The Rex Foundation, the Umwelt-Stiftung, IRN.</p>	<p>Final Report with recommendations endorsed by all stakeholders including the Government Presentation at the 4<sup>th</sup> DD Forum meeting (October 2005)</p> <p>Background report Proceedings of the national Consultative meeting, establishment of the Forum and its Coordinating Committee</p>
	<p><u>Uganda:</u> An MoU was signed between DDP and NAPE to develop a dialogue process. In 2005, a national consultation meeting was convened that agreed on the establishment of a Forum, a Steering committee and the National Association of Professionals of Environment (NAPE) provided the Secretariat. A scoping report was commissioned with the aim of analyzing the WCD recommendations in relation to Uganda's development programmes, identifying conformities and gaps in policy, regulatory and institutional frameworks. It was intended to form the basis for initiatives to improve decision-making regarding dams' development in Uganda as well as to inform the public on matters concerning dams' development. After several consultations by all stakeholders at the Forum meetings held in April and July 2006, the scoping report and its recommendations were endorsed and the report was published in 2006 and launched in March 2007. The multistakeholder forum decided that equity, participation sustainability, rights, and socio-cultural values were to be core values to be adopted when building dams in Uganda.</p>	<p>Proceedings of Forum and SC meetings Scoping Report</p>

Activity	Narrative Summary	Main outcomes
	<p>Sweden: The dialogue process resulted in the production of 25 recommendations designed to help organisations update their sustainability policies and enhance government's development aid regulations. DDP followed up and provided input to the process and the UNEP Executive Director provided a foreword to the final report. The process was presented to the 4<sup>th</sup> Forum Meeting.</p>	<p>Report with recommendations presented to the Ministry of Environment. Presentation at the 4<sup>th</sup> DD Forum meeting (October 2005)</p>
	<p>Russia: DDP received consultations and invitations from civil society and indigenous people organisations to attend meetings leading to potential dialogue activities in the country. "Let's Help the River and Russian Rivers Network" invited DDP to take part in public discussions concerning problems related with the raise of Cheboksary reservoir, scheduled for 12 to 19 May 2007 in Nizhny Nopgorod within the frame of planned Forum on the "Great Rivers". The Russian Association of Indigenous Peoples of the North (RAIPON) invited DDP to discuss issues around dams and indigenous peoples in Russia through a round table to be organised with RAO Rossia, the largest company of energy production and dam construction in the Russian Federation.</p>	
<p><b>A.2 Regional level</b> During Phase 2 from February 2005 to April 2007, the DDP Secretariat interacted with various regional organisations with the view for further developing consultations and/or activities started during Phase 1 or exploring the possibility of new initiatives. The main regions involved were Central Asia, La Plata River Basin, Mekong River and SADC. A promising initiative resulted in DDP's involvement in the African Ministerial Conference on Hydropower and Sustainable Development (March 2006). DDP collaborated with AMCOW and other relevant ministerial bodies initiating a continent wide dialogue.</p>		
<p>Mekong River Basin</p>	<p><u>Mekong River Basin:</u> The MRC Council has approved the formulation of a new MRC Hydropower Programme. DDP was approached by the Mekong River Commission for assistance in dealing with the WCD Core values and strategic priorities adopted as guiding principles for the hydropower programme. DDP Secretariat responded positively to this opportunity eventually leading to a joint MRC-DDP cooperation for promoting a regional dialogue process in the Mekong region. However, the initiative did not materialize. The MRC is an active DDP member.</p>	<p>Consultation about a regional dialogue</p>
<p>La Plata River Basin</p>	<p><u>La Plata River Basin:</u> The IV International Workshop on Regional Approaches to Development and Management of Reservoirs in the La Plata River Basin was convened in November 2005 in Salto Grande (Argentina-Uruguay) led by the Intergovernmental Coordinating Committee of the La Plata River Basin together with other local governmental and non-governmental organisations. DDP provided financial support to the meeting, participated in the organisation of the Plenary Session 2 "Relevant Practices in participatory decision making processes", and made a presentation. DDP was the member of the organising committee together with UN-WWAP-UNESCO, CST-NU Japan and Japan Dams Engineering Centre.</p>	<p>Mission Report. Proceedings of the workshop</p>

Activity	Narrative Summary	Main outcomes
Promoting an Africa-wide Dialogue on Dams: the follow up to the African Ministerial Conference on Hydropower and Sustainable Development	<p>Based on the DDP active participation in the African Ministerial Conference on Hydropower and Sustainable Development, UNEP was approached to assist with the development of a roadmap to take this process further. The representatives of AMCOW, AFREC, FEMA and AMCEN met at UNEP in Nairobi in August 2006 to discuss a draft roadmap for the follow up of the Declaration and Action Plan of the Conference. Based on the recommendations emerging from the meeting, the DDP Secretariat produced the RIEE (Roadmap for the Implementation of the Environmental and Social Elements) in consultation with other partners.</p>	Draft Roadmap submitted to consideration of the partner organisations
Western Africa	<p>ACPEU Energy Facility Proposal: With the objective of securing partial funding for some of the key activities under the Roadmap, DDP prepared a proposal in response to the call for proposal from the ACP EU Energy Facility UNEP submitted to the EU on behalf of its partners: AMCOW, AMCEN, AFREC and FEMA. As of March 2007, it the final stage of evaluation having the first two stages: administrative check and concept note. The cost of the project is 2 mn EURO and the 36 months.</p> <p>The expected results from implementing the proposal will be improved capacity at regional and national level in African countries to incorporate environmental and social issues in the planning and management of dams the establishment of the basis to improve regulatory frameworks at national and regional level as well as building cross-sectoral partnerships to deal with water and energy issues. The main activities include review of the current frameworks and practices, the development of guidelines for social and environmental due diligence in dams and development through multistakeholder consultations, the preparation of the work programme for national initiatives to improve regulatory frameworks and training of local decision makers and managers.</p>	Proposal submitted to the EU Energy facility that has success first stages of the evaluation process
Central Africa	<p>DDP was invited to participate in and has thereon supported a proposal for a regional dialogue on dams and development in the western Africa region issued by the IUCN Regional Office for West Africa in late 2004. The goal was to raise awareness on water resources and dam management issues, produce recommendations and promote dialogue with decision makers. Several organisations had been approached for funding. On January 2007, IUCN submitted the dam dialogue proposal to the African Water Facility.</p> <p>Following discussions held at the 4<sup>th</sup> WWF between GWP Central Africa (GWP CA) and DDP on the possibilities of initiating a dialogue process in Central Africa, GWP CA organized consultation meeting with the sub-regional economic group and the regional power pool organization mid 2006. The idea of a regional dialogue on dams obtained political endorsement, an interim committee to spearhead the effort was established and GWP CA was mandated to prepare a proposal for the dialogue in consultation with the interim committee.</p>	Proposal for regional dialogue submitted to the African Water Facility/ AIDB
South African Development Community	<p>GWP CA submitted a concept note on the dialogue process to DDP in the last quarter of 2006. DDP provided GWP CA with comments. IN January 2007, GWP CA submitted a more detailed proposal on the dialogue taking into account the previous comments of DDP. Again, DDP provided comments to this proposal. In March 2007, GWP CA submitted a final proposal for the dialogue process. Due to the pending closure of DDP and unavailability of resources, the proposal is to be used for resource mobilization.</p> <p><u>SADC</u>: DDP partially supported the three-phased regional consultative process leading to both the development of the Regional Position Paper on the World Commission on Dams and the Regional Water Policy. The Regional Position Paper on the World Commission on Dams was finalized and endorsed by the Water Resources Technical Committee in May 2006. The Regional Water Policy was also concluded which incorporates policy issues related to dam development and management and approved by the SADC Summit in August 2005.</p>	Detailed proposal for a regional dialogue on dams and development
		SADC Regional Water Policy. Regional Position Paper on WCD

Activity	Narrative Summary	Main outcomes
A.3 Global level		
A.3.a Steering Committee		
Consolidation of SC membership	<p>The composition of the SC for the Phase was consolidated at the 8<sup>th</sup> SC meeting that took place on 18-19 March 2005. The Government Advisory Consultative Group nominated four governmental regional representatives under the categories 1, Policy, and 2, Project/River Basin. Alternate members were designated by almost all other stakeholder categories.</p>	Government categories were represented at the 9 <sup>th</sup> , 10 <sup>th</sup> , 11 <sup>th</sup> , and 12 <sup>th</sup> SC meetings.
SC meetings	<p>The 8<sup>th</sup> SC meeting took place on 18-19 March 2005 in Geneva. The participants discussed extensively the SC composition, goal and the work programme the DDP Phase 2 and the activity plan with emphasis on the practical tools, particularly the Compendium of relevant practices. DDP Secretariat was requested to follow-up tasks emerging from the meeting's recommendations such as the revision and circulation of the note on the Phase 2 Goal, Objectives and Work Programme, the 4<sup>th</sup> DD Forum meeting agenda and concept note on the Compendium amongst others</p>	
	<p>The 9<sup>th</sup> SC meeting took place on 5 and 7 October 2005 in Nairobi. Three members of the Government Advisory Consultative Group participated in the meeting representing the government policy and project/river basin categories. The meeting considered the activity plan, the elaboration of the Compendium and made recommendations on the involvement of DDP in relevant international meetings such as the African Ministerial Conference on Hydropower and Sustainable Development, the 4<sup>th</sup> World Water Forum meeting and CSD 14.</p>	The minutes of the meetings are available on DDP website.
	<p>The 10<sup>th</sup> SC meeting was held on 16 and 17 of February 2006 in the UNEP GPA office, the Hague, the Netherlands. Some SC members attended the back-to-back meeting with the consultants elaborating background studies for the Compendium. During the SC meeting, the participants reviewed extensively the methodological aspects proposed for the elaboration of the Compendium as well as other operational issues of the project such as the Forum membership, the next Forum meeting and the exit strategy. The SC assessed the progress made on the national dialogues, recommended criteria for the development of the Compendium and supported the participation of DDP at international meetings.</p>	
	<p>The 11<sup>th</sup> SC meeting took place on 29-30 August 2006 in the UNEP GPA office, the Hague, the Netherlands. The purpose was mainly to review the final reports prepared by international experts on the 9 priority key issues selected for elaboration and incorporation into the first edition of the Compendium. The experts involved in the preparation of these reports presented the findings of their research. Based on the discussions around the reports, the DDP Secretariat received recommendations and guidance on the structure of the Compendium and how to incorporate the information in the reports into the Compendium.</p>	
	<p>The 12<sup>th</sup> SC meeting was convened back to back with the 5<sup>th</sup> Forum meeting and was the final one for the committee within the DDP context. The participants discussed the operational issues related to the closure of the project and the publication of the Compendium and made suggestions on the way forward to UNEP based on the recommendations of the Forum. An editorial group for the final consultation on the Compendium and the elaboration of the concept note on recommended future activities was created consisting of four members representing government, NGO advocacy, civil society and research.</p>	
A.3.b Dams and Development Forum		
DD Forum consolidation/enlargement	<p>The forum membership was enlarged in consultation with the SC members. The SC recommended that UNEP-DDP invite three new organisations to become DD Forum members, adopt actions to re-engage inactive members as well as explore other potential candidates to fill vacant positions. The DDP Secretariat received a number of applications for membership of the DDF over the reporting period. New members joining the DD Forum during the period are: the African Rivers Network in the International NGOs category, Atkins Environmental (UK) in the Category of Private Sector/Industry, Colenco and Columbia Power Corporation in the Utilities category, Club Gaja (Poland) in advocacy NGOs; the Federal Ministry of Water Resources (Nigeria) and the Ministry of Water (Togo) in government (policy).</p>	6 new members

Activity	Narrative Summary	Main outcomes
DD Forum Meetings	<p>The 4<sup>th</sup> DD Forum was held in Nairobi on 6--7 October 2005. It was attended by 82 participants representing a wide range of stakeholders involved in different aspects of dams and development. A significant number of government representatives constituting the Government Advisory Consultative Group (GACG) attended the Forum meeting as observers. The results of the Forum meeting were fruitful as a general consensus emerged about sustainable dams and their role in the development process. The participants also agreed on the priority issues to be pursued in the elaboration of the Compendium of relevant practices and lessons-learnt for decision-makers on dams and their alternatives.</p> <p>The 5<sup>th</sup> DD Forum meeting took place on 23-24 November 2006 in Nairobi. It was the last forum meeting where the participants reflected on the impacts of the DDP activities, reviewed the current approaches in dealing with the environmental and social issues by various international and corporate organizations and recommended actions both on the publication of the compendium and the way forward for UNEP beyond the DDP phase. It was attended by around 86 participants and was officially opened by the new UNEP Executive Director, Mr. Achim Steiner.</p>	<p>The proceedings of the 4<sup>th</sup> DD Forum meeting are available on the DDP website and in printed format.</p> <p>Proceedings of the 5<sup>th</sup> Forum meeting are available on the DDP website and published.</p>
<p><b>A.3.c Issue-based workshops</b></p> <p>Gaining Public acceptance</p>	<p>Fifth issued-based workshop on Gaining Public Acceptance: a one day meeting was convened in Nairobi on 5 October 2005 back to back with the 4<sup>th</sup> DD Forum meeting. 78 participants attended the meeting. Based on previous DDP work regarding characteristics, elements, and attributes of gaining public acceptance, the 4 key components were proposed as the basis of the workshop programme: Stakeholder identification, Access to information, Informed participation in decision-making process and Measure of acceptance. The findings of the workshop were enriched by the inputs of the breakout group discussions on the four main topics. They reflect the general consensus reached at the meeting. The detailed proceedings of the workshop including submitted case studies were compiled, reviewed by the participants and published.</p>	<p>The proceedings of the meeting are available on the DDP website and published</p>
<p><b>A.3.d Participation in the International Meetings</b></p> <p>11<sup>th</sup> World Conference on Lake Management – Nairobi, 31 Oct - 4 Nov 2005</p> <p>OECD 1<sup>st</sup> Special Session of the Relevant Experts on Renewable Energies and water projects, Paris, 23-24 June 2005</p> <p>WCD+5 "Taking the WCD Report to the next level", Berlin, Germany, 15 November 2005</p>	<p>DDP actively participated in the 11 World Lake Conference. Two papers were presented on addressing existing dams and gaining public acceptance. DDP Coordinator chaired a session on Lakes and IWRM. DDP materials were displayed and distributed at the exhibition booth organised by UNEP. DDP made a presentation on the project goals and activities at the AMCOW meeting held as part of the ministerial segment of the Conference. The conclusions of the Conference addressed issues relevant to DDP mandate and future activities.</p> <p>UNEP was invited to attend as an observer the 1<sup>st</sup> Special Session of the Relevant Experts on Renewable Energies and Water projects convened by OECD at its headquarters in Paris on June 23-24 2005 and provide inputs on the WCD Core Values, Strategic Priorities, Criteria and Guidelines. A joint delegation consisting of the head of the Energy Branch (DTIE) and DDP Coordinator attended the meeting, made a presentation and followed up the discussions with other delegates.</p> <p>DDP was invited by the Henry Böll Foundation (Germany) and the International River Network (USA) to the meeting organised to commemorate the 5th anniversary of the launching of the Final Report of the World Commission on Dams (WCD). The meeting was well attended by around 68 participants representing various stakeholder groups, including the German government, the EU Parliament, international organisations and private financiers. Civil society and NGOs representatives dominated the audience. DDP made a presentation about the Compendium on relevant practices in the workshop and participated as panelist in the round table discussions.</p>	<p>Proceedings of the Conference published by the organisers</p> <p>Mission report The recommendation adopted by the experts</p> <p>Mission report Report of the meeting</p>

<p>Enhancing Equitable Livelihood Benefits of Dams Using Decision Support Systems (DSS), Working Conference, Adama/Nazareth, Ethiopia, 23-26 January 2006</p>	<p>DDP participated in the Conference and delivered a presentation on linkages between Decision Support Systems and practical tools being elaborated by DDP. The conference was attended by 42 participants of diverse backgrounds drawn from government agencies, academic and research institutions, civil society and NGOs and consulting companies. The main recommendation was on establishing linkages between the outputs of DDP and DSS.</p>	<p>Mission report The summary of the meeting available on the DDP website.</p>
<p>5th Workshop of Export Credit Agencies and the Environment</p>	<p>Invited by UNEP-DTIE, DDP attended the 5th Workshop of Export Credit Agencies and the Environment convened in Vienna, 5-6 April 2006. The meeting targeted environmental experts of ECAs included representatives of intergovernmental organisations and NGOs. Issues addressed were the Agreement on Special Financial Terms and Conditions for Renewable Energy and Water Projects; best practices for conducting environmental and social review of hydropower projects; approaches to reporting; disclosure policies; and treatment of so-called 'carbon credits' and associated issues of carbon finance.</p>	<p>Mission report Final report of the meeting</p>
<p>World Water Week, August 2006, Stockholm, Sweden</p>	<p>DDP participated in the World Water Week in August in Stockholm, Sweden. The achievements of DDP activities were recognized in the keynote speech of the Prince of Orange who emphasized the importance of the national dialogues in his opening speech.</p>	<p>Transcript of the Prince of Orange speech</p>
<p>Sixth Meeting of the Global Forum of Sustainable Energy "Africa Is Energizing Itself", 29 November – 1 December 2006, Vienna, Austria</p>	<p>DDP was invited to GFSE6 to present the project in general and in particular, the outcomes of the 5<sup>th</sup> Dams and Development Forum and the work of DDP in support of the implementation of the Action Plan of the African Ministerial Conference on Hydropower and Sustainable Development. In response to the many initiatives, originating both from within the African continent and from the donor community, the 6th Meeting of the GFSE focused solely on Africa. It brought together some 180 participants – representatives from African and European governments, agencies, UN bodies and international organizations, academia, business and industry, civil society and financing institutions. GFSE-6 provided a vibrant picture of regional and thematic initiatives on energy for sustainable development across the African continent. It also endeavoured to identify ways and means of supporting African aspirations at the forthcoming 15th Session of the Commission on Sustainable Development (CSD) in May 2007 in New York.</p>	<p>The missing report Executive Summary of the meeting</p>
<p><b>A.3.e Side-events and sessions organized by DDP</b></p>		
<p>African Ministerial Conference on Hydropower and Sustainable Development, March 2006, SA:</p>	<p>The Secretariat actively participated in the preparation of the Conference through taking part in the Full Substance Committee meeting of the Conference in early February 2006. DDP also organised a side event: Improving decision-making on dams to meet the MDGs jointly with the African Ministers' Council on Water. It was attended by 8 Ministers and 80 participants of diverse background thus truly maintaining the multi-stakeholder format. DDP key messages, offered for discussion at the side-event and the outcomes of the event were also captured in the Conference Declaration and Action Plan.</p>	<p>The summary of the meeting available on the DDP website.</p>
<p>4<sup>th</sup> World Water Forum, March 2006, Mexico</p>	<p>A session under the theme of Ensuring dams are a platform for growth and sustainable development was organized by DDP at the 4<sup>th</sup> WWF jointly with International Committee on Large Dams (ICOLD), International River Networks Association (IRN), US Army Corps of Engineers (USACE/IWR) and WWF. The session brought together various speakers and audience with different and partly opposing views on the roles that dams play in development. The debate was lively resulting in conclusions that have taken the global dams dialogue a step further.</p>	<p>The summary report of the meeting</p>

<p>UN Commission of Sustainable Development Session 14, 1-13 May, New York, USA:</p>	<p>DDP took part at a Partnership Fair organized parallel to the UN CSD14 main deliberations. DDP, which is registered as a WSSD Type II Partnership, was allocated a slot for a conference type presentation. A full day information desk. DDP material was also displayed and distributed at the UNEP information desk.</p>
<p><b>B. ELABORATION OF THE NON-PRESCRIPTIVE PRACTICAL TOOLS</b></p>	
<p>Inventory of Policy/ Normative Frameworks</p>	<p>The inventory comprising an online database of organisations, policy/normative frameworks issued or adopted, summary of issues or topics and sources was designed and uploaded onto DDP website and can be accessed directly from its homepage. The search engine will be incorporated with a view of facilitating the search and retrieval of information.</p> <p>The database is available online</p>
<p>Compendium of Relevant Practices on Improved Decision Making, Planning and Management of Dams and their Alternatives</p>	<p>The Compendium was published after a two year long elaboration and consultation process. The methodology for its development was reviewed and agreed with SC and Forum members. The key issues for the inclusion into its first edition were selected at the 4<sup>th</sup> DDF. The DDP Secretariat then contracted 9 consultants to work on each issue. Their approach to the study, case studies selected and draft background reports were reviewed extensively by the stakeholders. At the 11<sup>th</sup> SC and the 4<sup>th</sup> GACG, the structure of the Compendium was discussed and agreed upon. The Secretariat then put together the first draft of the compendium that was peer-reviewed by the selected consultants among those who worked on the Compendium. The draft was circulated to the forum membership for review prior to the 5<sup>th</sup> DDF meeting and then extensively commented both during the meeting. Comments were received up to the end of December 2006 i.e. a month after the 5<sup>th</sup> Forum meeting. At the last SC meeting in November 2006, the process for the final review and publication of the Compendium was adopted. It comprised of taking into account the comments received up to the end of December 2006, editing by a professional editor and then submitting the revised and edited draft to final review by the editorial group selected from the SC members and representing the key stakeholder groups. The Compendium was published in April 2007 and is available on the DDP website for download and commenting. The hard copies can be ordered through <a href="http://www.unep.org/publications">www.unep.org/publications</a></p> <p>Background reports are available on the DDP website for the review and commenting.</p>
<p>Facilitating Exchange of Good Practice</p>	<p>The web-based database of experiences and lessons learnt implemented by DDP during Phase 1 is another practical tool developed by DDP to help decision-makers. The examples elaborated as part of the Compendium process provided substantive material to expand the database that reached around 100 examples at the end of Phase 2.</p> <p>The database is available online</p>
<p><b>C. PROJECT SUPPORTING ACTIVITIES</b></p>	
<p><b>C.1 Networking and outreach</b></p>	
<p>In the context of an updated communication strategy, DDP carried out a major review and update of all communication materials including infopack, banners, loop-run PowerPoint presentation and developed new ones such as a brochure and posters.</p>	
<p>Website</p>	<p>The website was substantially restructured following UNEP standards and upgraded to meet Phase 2 requirements. Thereon it was regularly updated. DDP engaged an intern to provide the technical assistance with the website updates and maintenance. According to the UNEP web statistics, in 2006 the DDP website provided 1,14 % of visits, 0.41% of hits and 0.28 of views of all UNEP-supported websites. This is average among all UNEP websites.</p> <p>Monthly web statistics</p>
<p>DDP Info pack</p>	<p>The information sheets have been updated and include 7 sections: 1.DDP Phase 2 Goal and Work Programme, 2. DDP Governance, 3. Dams and Development Forum, 4. Promoting Dialogues, 5. National Dialogues, 6. Issue-based Workshops, and 7. Practical Tools. Infosheet no 6 has 5 complementing sheets each dedicated to a specific issue-based workshop.</p> <p>New updated infosheets printed and available on the DDP website</p>

Brochure and Posters	With assistance from the UNEP Division of Communication and Public Information, DDP designed two new information tools: brochure and posters.	Brochure and posters printed
Newsletter	Confluence issue no. 7, 8, 9 and 10 covering Phase 2 are available on the website and are posted electronically to SC and DDF members. Consistent with the updated Communication Strategy, the newsletter no 8, 9 and 10 was designed in a more interactive way allocating slots for the views of SC and DDF members on dams and development issues.	Issue no 7, 8, 9 and 10 are available on the DDP website and in hard copies
Articles	DDP published an article in the International Water Power and Dams Construction Magazine, April 2006 issue. DDP also prepared a short article on the latest side-events for publication in the internal UNEP magazine "Tidbits" designated for UNEP staff. The article was prepared with a view of updating UNEP colleagues on the project's progress and increasing overall visibility of the project within UNEP.	The copies of the editions are available at the Secretariat
Translation and distribution of WCD materials	The Network for Environment and Sustainable Development (NESDA) was contracted to translate the WCD and Spier Reports into French for its dissemination in francophone countries. NESDA is a non-profit organisation based in Abidjan, Côte d'Ivoire under the auspices of the African Development Bank. It has been collaborating with UNEP as a focal point in Francophone Africa for GEO and Africa Environment Outlook, annual assessment reports produced by the Division of Early Warning and Assessment of UNEP. An MoU between NESDA and UNEP was signed in May 2006 and the work was completed in March 2007.	French translation of the WCD and Spier reports are available on the www.dams.org website and hard copies can be ordered through www.unep.org/publications
Dissemination of DDP materials	DDP information materials were widely distributed during the 17 national and international meetings attended by DDP covering various stakeholder groups and the general public. In addition it was distributed on an individual basis upon request.	Dissemination log
Dams in the news database	With the view of keep abreast with major news in the field of dams and development, the DDP Secretariat started collecting the information featuring dams and their alternatives from the major international and national newspapers, journals and websites related to dams and their alternatives. All news items were recorded in the online database accessible to the DDP Secretariat. The database was designed with input of the Internet Unit of the UNEP's Division of Communication and Public Information. It allows the input of the data, its search by country, dam name, date of the news publication and key work as well as report generation of the search results.	Database available for internal use
<b>D. SECRETARIAT SUPPORTING ACTIVITIES</b>		
<b>D.1. Servicing GACG</b>		
Formation of GACG	UNEP decided to convene the Government Advisory Consultative Group in response to the need for increased government involvement in the project and in the SC meetings.  In October 2004 UNEP invited an initial set of ten governments of developing countries involved in large dams planning and management to participate in an advisory role in the DDP Phase 2. The governments of Kenya, South Africa, Uganda and Zambia accepted the invitation. At the 8 <sup>th</sup> SC meeting it was recommended that the GACG should also include countries with economies in transition and developed countries as well. The SC members suggested additional countries to be invited, thus the initial set was extended to a total of 24 countries. Currently the GACG includes representatives of Algeria, Brazil, Dominican Republic, Ethiopia, Germany, Georgia, India, Kenya, Mexico, Romania, South Africa, Spain, Uganda, USA, Vietnam and Zambia.	GACG ToR and membership

GACG meetings	<p>1st meeting of the GACG took place on 4 October 2005 in Nairobi. The agenda included the presentation of DDP, the role of GACG and practical tools. 18 participants attended the meeting. The meeting agreed to provide DDP with comments on the Compendium methodology by the end of November 2005. The Group nominated four of its members to participate in the SC representing government categories 1 and 2 who attended the 9<sup>th</sup> SC meeting on 5-7 October 2005. The majority of the participating delegates also attended the 4<sup>th</sup> DD Forum as observers.</p> <p>2<sup>nd</sup> meeting of the GACG was held on 27-28 August 2006 concurrently with the 11<sup>th</sup> SC meeting. The representatives of the 17 governments were in attendance including those from Romania and Georgia who attended for the first time. The objective was to obtain the advice of the GACG on compiling the Compendium. Prior to the meeting, DDP had circulated draft final reports prepared by the consultants on the nine key issues related to dams and development. The first day of the meeting was devoted to sharing of information while the second day was used to determining jointly how to take the information forward.</p> <p>3<sup>rd</sup> meeting of the GACG was organized back to back with the 5<sup>th</sup> Forum meeting and was the final one for the committee within the DDP context. The participants discussed the closure of the project and publication of the Compendium and made suggestions on the way forward beyond DDP to UNEP.</p>	Minutes of the Meetings are available
<b>D.2 Reporting</b>	<p>During Phase 2, DDP prepared, published and distributed the Final Report of Phase 1, the Interim Report and the Final Report of Phase 2, Proceedings of the 4<sup>th</sup> and 5<sup>th</sup> Dams and Development Forum and the Gaining Public Acceptance Issue-based Workshop.</p> <p>7 brief bi-monthly progress reports in the format of email updates were sent to DD Forum and GACG members covering the main activities undertaken during the respective reporting periods. In addition, the DDP secretariat contributed to UNEP's regular reporting comprising regular updates like the UNEP Link (every fortnight), status of compliance with Governing Council Decisions (quarterly), UNEP Annual Report for 2005 besides responding to specific requests. The reporting of all side events and meetings attended by the DDP staff is done on a regular basis and is available on the website.</p>	Electronic copies of the progress reports are available in the Secretariat
<b>D.3 Professional Secretariat Staff Recruitment</b>	<p>In order to complete the approved staff composition of the Phase 2 Project by UNEP, the DDP Secretariat recruited Project Officer L-4 and Associate Project Officer L-2 positions - Mr Thomas Chiramba (L4, Zimbabwe) and Ms Liazzat Rabbiosi (L2, Kazakhstan) respectively who started their work in later 2005.</p>	

# Phase 2 Logical Framework

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Assumptions
<b>Based on the World Commission on Dams core values and strategic priorities, the goal and main objectives of the Dams and Development Project Phase 2 are:</b>			
<b>Goal</b>	To promote improved decision-making, planning and management on dams and their alternatives.		
<b>Objectives</b>	1. Support multi-stakeholder dialogues at country-level, regional and global levels on improving decision making on dams and their alternatives with the aim of engaging all stakeholders with emphasis on governments		
	2. Produce non prescriptive tools drawing on all appropriate existing bodies of criteria and guidelines for planning and management of dams and their alternatives, which can help decision makers.		
<b>Supporting Strategies</b>	a) Further strengthen interaction and networking among participants in the dams debate.		
	b) Further disseminate information on activities, processes and outcomes of national, regional and global dialogues on dams and development.		
	c) Further disseminate, tailored to a country and regional basis, the WCD report and the report of the Third WCD Forum, and make available other stakeholders' responses.		
	d) Further facilitate the flow of information and advice concerning initiatives relevant to dams and development in partnership with other appropriate organisations.		

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Achievements
<p>Results:</p> <p>1. Increased acceptance of multi-stakeholder dialogue processes at country and regional levels based on the WCD core values and strategic priorities as an appropriate framework for improved decision-making on dams and their alternatives</p>	<p>1.1 Number of national, sub-national and regional dialogue activities and processes where DDP has been consulted and been active in supporting or facilitating. (Target 06/07: 5/10 countries &amp; basins)</p> <p>1.2 Total and relative number of stakeholder groups, including government, participating in the activities (Target 06/07: all DDP stakeholder groups represented. Balanced representation of civil society and governments)</p>	<p>1.1. MoUs signed with local organisations representing organising committees.</p> <p>1.2. Reports of meetings, expert groups and other undertakings including recommendations on policy and procedural reforms.</p> <p>1.3. An informing database describing the output of the national and regional processes available on the website.</p>	<p>1.1 DDP has been consulted and/or facilitated national/regional activities in Uganda, Togo, Ghana, Nigeria, Mozambique, La Plata River Basin, Mekong, Sri Lanka, Russia, Ethiopia, Central Africa and West Africa</p> <p>1.2 MoUs signed with NAPE (Uganda), SWAPHEP (Nigeria), JVE (Togo) and Volta Basin Development Foundation (Ghana) to carry out national dialogue activities.</p> <p>1.3 Detailed dialogue proposals, Background reports and proceedings of national consultation workshops available for all four countries. In addition, the Ugandan process has produced a Scoping Report that has been published.</p> <p>1.4 The DDP website displays summary information on all national dialogue activities and processes developed with DDP follow up and/or assistance during Phase 1 and 2.</p> <p>1.5 Balanced participation sought in all DDP activities at national regional level. Multistakeholder coordinating/ organising committees were promoted in all cases as well as all inclusive list invitation and participation. Involvements of different sectors within governments involved in dams planning and management was encouraged and adopted.</p>
<p>1.6 Recommendations on policy and procedures to improve decision making on dams and their alternatives produced at country level become available to Government and stakeholders.</p>	<p>2.1. Number of sets recommendations on policy and procedure emerging from multi-stakeholder dialogue processes and activities submitted to governments. (Target 06/07: 2 / 4 countries &amp; basins)</p>	<p>2.1. Reports of meetings and expert groups issuing recommendations on policy and procedural reforms.</p>	<p>2.1. Involvement of government in DDP facilitated dialogue initiatives was established as a prerequisite for DD involvement. Therefore outcomes of all activities and process have been made available to governments. Reports or dialogue activities with recommendations in Uganda, Togo, Ghana, Nigeria and La Plata River Basin have been produced. Moreover government have been involved in the review of reports and been copied DDP comments and inputs to them</p> <p>2.2. The Ministries of Water Resources and Environment and of Energy of Uganda were involved in the follow up and review of the reports produced by the dialogue process including of the Scoping Report and its recommendations.</p>

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Achievements
<p>1.7 The DD Forum and other DDP multi-stakeholder global dialogue activities are widely recognised as a relevant channel to discuss outstanding, controversial issues related to the role of dams and their alternatives in sustainable development strategies</p>	<p>3.1. Substantive conclusions/recommendations concerning key dams and development issues broadly agreed at the global level meetings.</p> <p>3.2. Number of governments participating in the meetings.</p> <p>3.3. Number and relative participation of DDP stakeholder groups in the meetings</p>	<p>3.1. Proceedings of DD Forums, issue-based workshops and side events in key international conferences.</p> <p>3.2. List of invites and participants to these meetings and their analysis in terms of stakeholder participation</p>	<p>3.1. The outcomes of the 4<sup>th</sup> (October 2005) and 5<sup>th</sup> (November 2006) DD Forum meetings have been substantive in achievement agreements on dam issues that were assessed as positives steps forward. The 4<sup>th</sup> DD Forum meeting prioritised issues that were adopted for the elaboration of the Compendium as well as provided advice on methodological aspects of such elaboration. The 5<sup>th</sup> DD Forum meeting assessed the value of the DDP activities and outcomes, agreed on the value of publishing the Compendium providing guidance and issued recommendations to UNEP on continuing the global dialogue and other activities.</p> <p>3.2. The Forum membership increased to 130 organisations at the 5<sup>th</sup> DD Forum meeting which compares to 68 at the time of the 1<sup>st</sup> DD Forum meeting. One or more government organisations from 24 countries joined the Forum. In addition members of the Government Advisory Consultative Group (GACC), consisting of representatives of 19 developed and developing countries, attended the DD forum meetings as observers.</p> <p>3.3. The two DD Forum meetings held, as well as the issued-based workshop on Gaining Public Acceptance (October 2005) and two side events organised at the African Ministerial Conference on Hydropower and Sustainable Development (March 2006, RSA) and the 4<sup>th</sup> World Water Forum (Mexico, March 2006), were all well attended by representatives of all stakeholder groups which contributed to lively and fruitful discussions. The 5<sup>th</sup> DD Forum meeting, e.g., had 86 participants from 38 countries representing all 13 stakeholder categories adopted by DDP. Governments and civil society were the best represented groups.</p> <p>3.4. Consensus reached on substantive issues - shift of focus from whether to build to how to build good dams, from large versus small measures to developing complementary measures, from polarized positions to more constructive forward looking participation of stakeholders.</p>
<p>4. Sound decision-making on dams and alternatives is enhanced by the availability of practical tools based on all appropriate existing bodies of criteria and guidelines for planning and management of dams and their alternatives</p>	<p>4.1. Number of governments and other stakeholder groups actively involved in the elaboration and further application of the Handbook</p>	<p>4.1. Compendium on improved decision making</p> <p>4.2. List and analysis of organisations and governments that joined in the partnership to elaborate the handbook or participated actively in the elaboration.</p>	<p>4.1. The Compendium on Relevant Practices for Improved Decision Making was published.</p> <p>4.2. The elaboration of the Compendium was compiled through an extensive consultative process involving the advisory groups available to DDP (GACC, SC and DD Forum) in addition to individual experts. The publication of the Compendium reflects the overall agreement of all stakeholders on the value and usefulness of the publication.</p> <p>4.3. Over 20 governments, including those that are members of the GACC and the DD Forum actively participated in the process. They provided comments to the methodological aspects and drafts of the publication.</p>

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Achievements
<p>5. Strengthened interaction and networking among participants in the dams' debate further enhances the flow of information on dialogue initiatives and the exchange of best practices and lessons learnt on dams and their alternatives.</p>	<p>5.1. Website accessing and feedback statistics and their analysis.            5.2. Number and geographical distribution and dam related relevance of countries, organisations and meetings where materials and publications are requested/made available.            5.3. Number of examples of experiences and lessons learnt incorporated into the database            5.4. Number of partner organisations participating in the implementation and operation of the database.</p>	<p>5.1. Records and analysis reports of website accessing and feedback.            5.2. Newsletters, infoshets and other outreach/communication materials.            5.3. Records of requests and distribution of WCD and DDP materials            5.4. Availability of WCD and DDP materials in the various languages            5.5. Submissions on good practice and lessons learnt uploaded into to the website database            5.6. Agreements entered into with partner organisations to jointly implement and operate the relevant examples and lessons learnt database.</p>	<p>5.1. The website has been instrumental in providing a basis for sharing information with stakeholders and enhancing networking. Statistics of hits, visits and page views have been recorded by DCPI and made available to the project. During 2005-6 the project accumulated 114,679 visits ranging from a monthly maximum of 10,854 to a minimum of 5,825.            5.2. Issues # 7,8,9 and 10 of the DDP newsletter Confluence were published and distributed in electronic format to around 4000 email addresses recorded in the dams contact database.            5.3. The updated full package of 8 infoshets and brochure as well as project publications (proceedings of DD Forum meetings, issue base workshops and progress reports of the project) were widely distributed in all meetings that DDP participated or organised in a wide range of countries. This involved around 17 meetings. Besides DDP has distributed materials upon request, mainly through the help desk facility.            5.4. The WCD Final Report is available in 4 languages: English, Chinese, Spanish and Vietnamese while the WCD Overview is available in 15 languages. During Phase 2, the report was also translated into French (DDP) and Farsi (IUCN). DDP materials are available only in English. Donors have committed financial support to the translation of the Compendium into other languages.            5.5. The database of experiences and lessons learnt includes around 100 examples. DDP's efforts during Phase 2 of collecting information about practices were done through the process of elaborating the Compendium. The most relevant practices identified by the experts contracted to research on the nine key priority issues provided the material to enhance the database.            5.6. The partnership approach included in the project document work programme could not be taken further due to limited interest on the part of organisations approached and of the SC. However, organizations that are part of the DDF were willing to share their experiences through presentations at the Forum meetings (see Forum proceedings)</p>

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Achievements
<p>6. Continuity of relevant activities ensured after the closure of DDP Phase 2 through smooth transition of key functions to appropriate organisations.</p>	<p>6.1. Host organisations committed to take over key functions identified.</p> <p>6.2. Necessary arrangements to ensure the continuity of activities completed.</p>	<p>6.1. Agreements with organisations regarding taking over DDP activities different from UNEP.</p> <p>6.2. Reports on the implementation status of the agreements.</p>	<p>6.1. Initial efforts by the DDP Secretariat to develop an exit strategy and commence with its implementation before the end of the project were not successful. There were limited responses to a questionnaire circulated to the DD Forum members soliciting inputs and opinions were divided. UNEP, the SC and other organisations were basically reluctant to engage in discussions to define the follow up to project activities at this stage. At its 12<sup>th</sup> meeting, however, the SC nominated one representative to compile the SC position on the way forward for consideration by the 5<sup>th</sup> Forum meeting</p> <p>6.2. DD Forum members at the 5<sup>th</sup> DD Forum meeting issued recommendations on the way forward based on the presentation by the SC. They expressed a general support to the continuation of the global dialogue. The national and regional dialogues were also supported. The SC produced a concept note providing UNEP with recommendations on carrying out future DD Forum meetings.</p> <p>6.3. The UNEP ED committed the organization to support the global dialogue and to incorporate into the work programme of UNEP activities dealing with infrastructure and sustainable development building on experiences and outcomes of DDP within the context of a new dispensation.</p>
<b>Activities</b>	<b>Expected outputs</b>	<b>Accomplishments</b>	
<u>Promoting dialogue</u>	<ul style="list-style-type: none"> <li>• Proceeding/Reports of country and regional multi-stakeholder dialogue activities (e.g.: workshops) and dialogue processes (e.g. workshops, scoping reports, recommendations).</li> <li>• Background documents and proceedings of the Dams and Development Forum (DDF) meetings and thematic workshops.</li> <li>• Reports covering financial aspects, access to expertise, information materials and examples of approaches used successfully elsewhere.</li> </ul>	<ul style="list-style-type: none"> <li>• Background reports and proceedings of national/regional dialogue activities available for Ghana, Nigeria, Togo and Uganda as well as for La Plata River Basin. In addition, the Ugandan process has produced a Scoping Report that has been published.</li> <li>• Proceedings of the 4<sup>th</sup> and 5<sup>th</sup> DD Forum meetings and of the issue based workshop on Gaining Public Acceptance published and distributed. Reports of the side events organised at the African Ministerial Conference on Hydropower and Sustainable Development (March 2006, RSA) and the 4<sup>th</sup> World Water Forum (Mexico, March 2006), available and widely distributed</li> <li>• The Interim and Final reports of Phase 2 describing experiences, outcomes, lessons learnt and future prospects of DDP activities, including financial aspects, published and distributed</li> </ul>	
<u>Practical tools for improved decision making</u>	<ul style="list-style-type: none"> <li>• Compendium on improved decision making on dams and their alternatives in the context of water and energy resources management.</li> <li>• Expanded database on experiences and practices, lessons learnt, decision-making processes and tools relevant to improved decision-making, planning and management of dams and their alternatives developed in partnership with other organisations.</li> </ul>	<ul style="list-style-type: none"> <li>• The Compendium has been elaborated on the basis of an extensive consultation process of all stakeholder groups and published.</li> <li>• The database of experiences and lessons learnt enhanced to contain around 100 examples or relevant practices is available on line in DDP website</li> <li>• In addition an online inventory of normative frameworks has been produced and is available in the context of the objective of developing practical tools.</li> </ul>	

<p><u>Information network</u></p>	<ul style="list-style-type: none"> <li>• An active UNEP-DDP web site on DDP activities and WCD follow-up initiatives with focus on country, regional and global dialogues.</li> <li>• Biannual newsletters and other information updates to keep abreast of UNEP-DDP's activities and achievements, the results of the various dialogue processes at national, regional and global levels.</li> <li>• Help desk for stakeholders to find information on issues related to UNEP-DDP activities and the WCD core values and strategic priorities.</li> </ul>	<ul style="list-style-type: none"> <li>• The DDP website has been further improved to contain information about all aspects of the project including interactive sections on normative frameworks, database of experiences and the Compendium.</li> <li>• 4 issues of the DDP newsletter were published and distributed electronically and in hard copy formats. Infosheets packages was updated, a brochure and posters were produced to enhance the project outreach and communication efforts.</li> <li>• The help desk facility was kept alive responding to queries as they were submitted to the ddpinfo address.</li> </ul>
<p><u>Dissemination</u></p>	<ul style="list-style-type: none"> <li>• Records of distribution of UNEP-DDP materials and publications in hard copy and electronic format and targeted distribution of the WCD Final Report, the Overview and CD-ROM, WCD Knowledge Base and related products;</li> <li>• Translation of WCD Final Report and Spier Proceedings into French.</li> <li>• UNEP-DDP information materials translated into key languages.</li> <li>• Reports of international and major regional events and country meetings attended by UNEP-DDP Secretariat and selected resource persons for dissemination of materials and presentation UNEP-DDP processes and outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>• Dissemination of WCD materials continued during Phase 2 upon request and in relation to national dialogue activities facilitated by the project.</li> <li>• The translation of the WCD report into French has been made available.</li> <li>• Due to time and resource constraints DDP materials are only available in English</li> <li>• Reports of side events organised by DDP are available. Presentation of DDP to major national and international meetings available in Power Point format.</li> </ul>
<p><u>Steering Committee and donors</u></p>	<ul style="list-style-type: none"> <li>• Reports of the Steering Committee.</li> <li>• Reports to financial contributors.</li> </ul>	<ul style="list-style-type: none"> <li>• Briefing documents including progress and financial reports have been elaborated and presented to all SC meetings (8<sup>th</sup> to 12<sup>th</sup>) and DD Forum meetings (4<sup>th</sup> and 5<sup>th</sup>)</li> <li>• Interim and Final Progress Reports of Phase 2 elaborated and published.</li> <li>• Financial reports responding to the financial agreements of donors issued in coordination with UNON-BFMS</li> </ul>

