



United Nations Environment Programme



Dams and Development Project Phase one: final report

November 2001–December 2004



UNEP–DDP Secretariat

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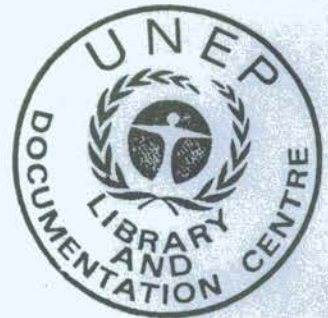


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Outline

The Dams and Development Project is a time-bound United Nations Environment Programme activity aiming 'to promote a dialogue on improving decision-making, planning and management of dams and their alternatives based on the World Commission on Dams (WCD) core values and strategic priorities'. It supports dialogue at national, regional and global levels; encourages networking among different stakeholder groups; disseminates reports and related WCD materials; and facilitates the exchange of information on experiences and lessons learnt. This final report covers the period from the establishment of the Dams and Development Project in November 2001 to December 2004, comprising Project phase 1 that ended in July 2004. It outlines its main activities, achievements and outcomes as well as its origins and role, the multi-stakeholder character of its governance, elements of its work programme and finance arrangements. The concluding sections reflect on experiences and lessons learnt and identify the areas and issues that have influenced or will influence the planning and development of the second phase.

Acknowledgements

The central role and contribution of steering committee members and their alternate members are gratefully acknowledged. They were essential to the operation and outreach of the Dams and Development Project and gave it a multi-stakeholder character. Thanks are also due to the members' organizations for supporting this process.

Both the South African Government and the World Conservation Union (IUCN) are thanked for facilitating the establishment and operation of the Dams and Development Project office at its inception in Cape Town.

In many countries and organizations there are people from all walks of life who assisted in setting up national and regional meetings and processes and took part in the global dialogue on dams and development. Their contributions are much appreciated.

A number of Governments provided core financial support to the Dams and Development Project supporting specific activities. These agencies were joined by a range of other organizations. Thanks are due to all who fulfilled this vital role.

Much appreciation is due to the professional and local support staff of the Dams and Development Project secretariat in Cape Town and Nairobi. The former helped in the transition from the World Commission on Dams (WCD) to the Dams and Development Project and the latter helped to establish the Project in UNEP headquarters, Nairobi, Kenya. All helped mould the day-to-day operation of the office, its work programme and its outreach activities. With the Dams and Development Project office move to Nairobi and the conclusion of phase 1, some of the staff have moved on to other assignments.

Thanks are also due to Division of Environmental Policy Implementation staff members and other UNEP and UNON units that helped to settle the operations of the Dams and Development Project in Nairobi smoothly.

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Foreword



Message from the UNEP Executive Director


When UNEP took the decision to host the Dams and Development Project at the request of the stakeholders gathered in the Spier meeting, I was aware that we were facing a very challenging task. This is why at the beginning I made a very clear statement that neither implementation word-for-word nor rejection of the World Commission on Dams report were viable approaches. The way forward was therefore the remarkable degree of concurrence on the core values and strategic priorities of the WCD report as a starting point for dialogue. The Dams and Development Project is committed to promoting dialogue on improving dam decision-making, planning and management of dams and their alternatives based on the core values and strategic priorities.

Since its establishment in November 2001 the Dams and Development Project has achieved success in promoting such dialogue through the facilitation and support of national consultation meetings and multistakeholder processes in a number of countries in Africa, Asia and Latin America, some of which made substantial progress towards formulating recommendations on policy and procedure to improve dam decision-making. The South African initiative on WCD is a notable leading case in this regard that sets a model for future similar undertakings. The Dams and Development Project also supported activities at international level that brought together representatives of relevant stakeholder groups involved in the dams debate. Three Dams and Development Forum meetings, four issues-based international workshops and active networking have further contributed to moving dialogue forward and informing the national Governments and stakeholders.

The Dams and Development Project has been involved in the international events that voiced the shared views of the international community as regards sustainable development and water and energy issues. The Water, Energy, Health, Agriculture, Biodiversity (WEHAB) framework proposed by the United Nations Secretary-General for discussion at the Johannesburg Summit placed water and energy resources at the top of world concerns. The Johannesburg Plan of Implementation emphasized the need to secure the access of the poorest to water, sanitation and electricity, and renewable and clean sources of energy were accepted as instrumental in this regard. Thereon a number of international meetings – The Third World Water Forum (Kyoto 2003), Renewables 2004 (Bonn) and Hydropower and Sustainable Development (Beijing 2004) provided a road map for enhanced dams' debate in terms of size, renewability and sustainability. The Dams and Development Project participated actively in all these meetings and channelled the global dialogue on dams by organizing side events on relevant issues.

The UNEP Dams and Development Project moved along the avenues of national, regional and global dialogue reacting to the entrenched pro and anti-dam visions by offering its strategy of dialogue, multistakeholder approach and policy improvement within the framework of the WCD core values and strategic priorities. It proved positive and needs to be further pursued. However even the WCD core values and strategic priorities, despite their wide acceptance by all stakeholder groups, could not avoid the debate surrounding the WCD report as a whole. Both pro and anti -dam groups had viewed this report as an anti-dam tool. Hence they questioned the wide acceptance and consideration of the core values and strategic priorities in the national contexts.

There is a need to continue pursuing the Dams and Development Project goal of improving decision-making. As I have reiterated many times, good dams should integrate a balanced mix of all feasible alternatives, to help harness the water and energy resources that the poor and developed world need desperately to alleviate poverty and improve general welfare. UNEP has a role to play in ensuring sound environmental management of water and energy resources and is working in this direction. The Dams and Development Project is at the forefront in promoting the implementation of improved policies for better decision-making, planning and management of dams. The knowledge is with us – the WCD as well as other criteria and guidelines from relevant sources including those produced in the post-WCD era. I am pleased to see that the external evaluator has recommended that the Dams and Development Project should pursue further the national and regional dialogue. The steering committee agreed to incorporate the elaboration of practical tools that will help governments in their dam decision-making as a main objective of phase 2 of the Dams and Development Project. Producing tangible outputs that address Governments' needs is no doubt the way to move from reservation to acceptance and from controversy to shared views. I am sure that the Dams and Development Project will be able to make a difference in the next phase taking stock of the many achievements and lessons learnt in the first phase of the project. It goes without saying that the second phase will be within the framework of the WCD core values and strategic priorities, since, in my view, they highlight the linkages between development of water and energy resources and sustainability.


Dr. Klaus Töpfer
Executive Director

Acronyms and abbreviations

AMCOW	African Ministerial Conference on Water
ANA	<i>Agencia Nacional de Aguas</i> , the national water agency in Brazil
BMZ	Federal Ministry for Economic Cooperation and Development, Germany
CAI	Argentine Centre of Engineers
CIGB/ICOLD	International Commission on Large Dams
DDF	Dams and Development Forum
DDP	Dams and Development Project
DEPI	Division of Environmental Policy Implementation
DFID	Department for International Development (United Kingdom)
DGIS	Directorate-General for International Cooperation, the Netherlands
DSI	General Directorate of State Hydraulic Works, Turkey,
ECA	Export Credit Agencies
EDF	<i>Électricité de France</i>
ENRE	<i>Ente Nacional Regulador de la Electricidad</i> , the national regulatory agency for electricity in Argentina
FMO	Financial Management Office
GTZ	<i>Gesellschaft für Technische Zusammenarbeit</i> , the German development agency
GWP	Global Water Partnership
IAGLR	International Association for Great Lakes Research
IARH	Argentine Institute for Water Resources
ILEC	International Lake Environment Committee
IMLT	Institute for Management and Leadership Training

INWRA	Interim national water resources authority
ITDG	Intermediate Technology Development Group, United Kingdom
IUCN	World Conservation Union
IWRM	Integrated water resources management
JBIC	Japan Bank for International Co-operation
JICA	Japan International Cooperation Agency
LHWC	Lesotho Highlands Water Commission
MARD	Ministry of Agriculture and Rural Development, Viet Nam
MLIT	Ministry of Land, Infrastructure and Transport, Japan
NDRC	Natural Resources Defence Council
NEMA	National Environment Management Authority
NetWater	Network of Women Water Professionals
NWRC	National Water Resources Committee
SADC	Southern African Development Community
SAMTAC	South American Technical Advisory Committee
SEATAC	South-east Asian Technical Advisory Committee
SDC	Swiss Agency for Development and Cooperation
SIDA	Swedish International Development Agency
SQL	Standard computer language for accessing and manipulating databases
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNON	United Nations Office at Nairobi
WCD	World Commission on Dams
WRTC	Water Resource Technical Committee
WTG	Water and sanitation thematic group

Executive summary

The Dams and Development Project: what it is, what it hoped to achieve and what was achieved

A. What it is: from Spier to Nairobi

1. In November 2001 UNEP established the Dams and Development Project in response to a request from the final Forum meeting of the World Commission on Dams (WCD). The Forum concluded that optimizing the impact of the WCD report¹ required a range of actions to be undertaken beyond the initiatives of individual stakeholder groups. There was general consensus that the international nature of the process so far needed to be disseminated at country and institutional level, taking the debate further through local multi-stakeholder processes.
2. The request took into account the promising role of UNEP in providing information to promote national and local multi-stakeholder processes, particularly among developing countries and countries with economies in transition, and in catalysing United Nations agencies and other stakeholders. UNEP was considered an appropriate body to programmatically link Dams and Development Project activities with current global water processes based on the UNEP water policy and strategy which was approved by the twenty-first session of the UNEP Governing Council (decision 21/11).
3. The Project was implemented based on three important guiding principles:
 - (a) There should be no attempt to renegotiate the content of the WCD report. The report stands as it is and represents the views of the WCD commissioners;
 - (b) Stakeholders would promote appropriate local processes to review and work with the report; and

¹ The WCD report, launched in November 2000, was widely acknowledged as a significant contribution to the debate on dams. At the same time, the report did not settle all controversial issues surrounding water and energy development. There has been a wide range of responses to the report. There was general agreement that the rights and risks approach, the five core values and the seven strategic priorities provide a good framework, while some groups expressed reservations on the policy principles and guidelines. It was acknowledged that the report provided a basis for moving the discussion forward, even if there may be debate on the precise nature and detail of the implementing mechanisms. The need to develop locally-appropriate implementation mechanisms was foreseen in the report. The Commission recognized that its report would be a starting point for discussions at the local level, which should ultimately lead to agreements on how existing procedures need to be adapted.

- (c) Lack of complete agreement with the report's policy guidelines should not be an impediment to moving forward through appropriate local processes and rendering operational the core values and strategic priorities.
4. It was deemed critical that the Project should promote multi-stakeholder involvement in its activities. The key stakeholders with whom the Project would interact were:
- *Governments*: through response to requests for assistance, including facilitation and promotion of broad-based involvement in discussions concerning national-level implementation of WCD core values and strategic priorities (including water and energy, planning, finance, environmental and socially-oriented ministries and departments);
 - *Multilateral and bilateral funding agencies*: as requested through their own water and energy-related activities and through support to country-level dialogues, capacity-building and ensuing initiatives;
 - *Private companies and financiers*: in terms of their corporate policies and application of best practice;
 - *Grassroots organizations and Project-affected groups*: which are involved in decision-making processes concerning individual dam projects;
 - *Non-governmental organization networks*: in particular to assist in promoting dissemination of the report and its messages; and
 - *Professional associations*: through their guidance in the fields of hydropower, irrigation and drainage, water supply, and in relevant fields of research and training.
5. The Dams and Development Project was originally established for a period of two years that was later extended to 33 months. An agreement was reached to initially establish the Project secretariat in Cape Town, South Africa, where physical infrastructure was available. Following the initial start-up period and establishment of the Dams and Development Project work programme, a decision was taken by UNEP in July 2002 to relocate the secretariat office to Nairobi as of 1 April 2003. This relocation aimed to enhance the linkages and synergies of the Project with the activities and programmes carried forward by UNEP divisions, in particular the Division of Environmental Policy Implementation that hosted the Project within UNEP.

B. What it hoped to achieve

6. The steering committee members endorsed the following statement of objectives in January 2003:

Goal

7. To promote a dialogue on improving decision-making, planning and management of dams and their alternatives based on WCD core values and strategic priorities.

Objectives

8. Building on the dialogue of WCD and the core values and strategic priorities expressed in its report, the objectives of the Dams and Development Project were to:
 - Support country-level, regional and global dialogues on the WCD report and the issues it covers with the aim of engaging all stakeholders, with emphasis on those not currently involved;
 - Strengthen interaction and networking among participants in the dams debate;
 - Support the widespread dissemination of the WCD report and the report of the third WCD Forum, and make available responses from other stakeholders and;
 - Facilitate the flow of information and advice concerning initiatives relevant to dams and development.
9. The mandate of the Dams and Development Project excludes it from taking positions or making judgements on individual projects or associated practice.
10. The Project carried out a work programme organized in four main elements consistent with the four objectives that covered the needs perceived at the inception of the Project in November 2001:
 - (a) To promote country-level, regional and global dialogues on the WCD report and the issues it addresses;
 - (b) To strengthen interaction and networking among participants in the dams debate;
 - (c) To widely disseminate the WCD report and related products;
 - (d) To facilitate the flow of information and advice concerning initiatives taken by individual stakeholders or stakeholder groups relevant to the WCD report.

C. Main activities carried out

(i) Promoting dialogue at national, regional and global levels

National and regional dialogue

11. UNEP strategy in carrying out national dialogue was to promote multi-stakeholder in-country processes using the WCD five core values and seven strategic priorities as a starting point. UNEP encouraged inclusive, multi-stakeholder reviews to determine locally appropriate recommendations for policy and procedures on dam decision-making. With focus on the national context and the development of locally appropriate policy responses and guidelines, the goal was to help establish sustainable processes inclusive of all perspectives, locally owned and driven. In this regard the Dams and Development Project encouraged a multi-stakeholder approach, integration with current activities where possible and co-financing by a range of other organizations.

12. The Dams and Development Project supported these activities and processes by:
 - Providing advice, resource people to present material at national multi-stakeholder workshops and partial or seed funding to convene workshops and carry out studies; and
 - Assisting with dissemination of information on WCD and Dams and Development Project-related materials and publications, including information on similar activities carried out by the Dams and Development Project and other organizations around the world.
13. The immediate expected results of dialogue activities were raising awareness on WCD core values and strategic priorities, fostering discussion on dams' issues in the national context and promoting a multi-stakeholder approach. As long as medium-term processes could be started, further expected achievement would be the analysis of WCD core values and strategic priorities in the context of the existing legal framework (scoping reports) leading to recommendations on policy and procedure to improve decision-making, tailored to local conditions.
14. Initial dialogue activities with partial or full accomplishment of the multi-stakeholder approach have been carried out with the involvement of the Dams and Development Project in the following developing countries: Argentina, Indonesia, Kenya, Lesotho, Malawi, Namibia, Nepal, South Africa, Sri Lanka, Thailand, Uganda, Viet Nam and Zambia. Dialogue processes involving elaboration of scoping reports or position papers were developed subsequently in Nepal, South Africa, Thailand and Viet Nam. The process undertaken by the Southern African Development Community (SADC) aiming at the elaboration of a regional position paper on WCD is an example of a regional dialogue approach.
15. The Dams and Development Project has also been consulted by organizations in other countries and regional organizations with a view to launching a dialogue activity on WCD core values and strategic priorities. Some of these countries, like Belarus, Brazil, Ghana, Islamic Republic of Iran, Mexico, Nigeria and Philippines, offer promising prospects for developing multi-stakeholder dialogue activities and eventually launching a dialogue process. At the regional level, the Dams and Development Project has explored possibilities of carrying out dialogue initiatives at river basin level benefiting from the experiences acquired from the SADC regional process. Exploratory consultations were made with the Mekong River Commission, and were also initiated with the Senegal and Niger river basin organizations in Africa and La Plata River Basin Commission in South America.

Global dialogue

16. Promoting global dialogue on dams and development has been an integral aspect of the Dams and Development Project work programme. It has been channelled in three main ways, namely: the Dams and Development Forum meetings, the issues-based workshops and by organizing special events during international meetings.
17. The Dams and Development Forum is an independent body convened by the steering committee to act as a platform for global multi-stakeholder dialogue on dams-related

issues. These issues include: following up on the WCD report; exchanging experiences and lessons learnt on operationalizing and implementing WCD core values and strategic priorities; acting as a consultative body on key outputs of the Dams and Development Project and reviewing the mandate of the Dams and Development Project to continue beyond 2004. As a result of the Forum enlargement process carried out after the first Dams and Development Forum meeting, the Forum has grown from 68 members at the launch to, currently, 120 members from over 40 countries comprising 13 stakeholder categories.

18. Three Dams and Development Forum meetings were held during the period: in Kenya (July 2002), Geneva (September 2003) and Nairobi (June 2004). They were attended by a broad range of stakeholder groups. Discussions focused on a variety of issues, including the presentation of follow-up initiatives around the world, framing national dialogues, key dams and development issues, as well as the emerging responsibilities and opportunities for the Dams and Development Forum to enhance global dialogue on dams and sustainable development.
19. Four issues-based workshops advanced global dialogue on WCD strategic priorities and dams' issues. They were on the topics: "Comprehensive options assessment" (Geneva, September 2003), "Financing dams and sustainable development" (London, April 2004), "Addressing existing dams" (Nairobi, June 2004) and "Ensuring compliance" (Nairobi, June 2004). The meetings aimed to clarify and elaborate on the WCD strategic priorities in order to contribute towards the national dialogue processes and to close the gap between aspirations and reality with regard to their implementation. Their outputs included recommendations, highlighting of critical issues to be dealt with and proposals for the Dams and Development Project to further advance their dissemination and integration into national contexts.
20. Besides the Dams and Development Forum meetings and the issues-based workshops, the Dams and Development Project took opportunities to carry the dialogue into the international arena by organizing special events at relevant international conferences. During this phase, two side events were organized by the Dams and Development Project: a session on dams and development, 'Promoting dialogue for improved decision-making' at the Third World Water Forum in Kyoto, Japan (20 March 2003) and a session on 'Is WCD a suitable tool for assessing the sustainability of hydropower?' at the international conference on renewable energies in Bonn, Germany (2 June 2004).

(ii) Networking

21. The second major element of the Dams and Development Project work programme aimed at establishing and operationalizing a communications and networking strategy that focused on:
 - Maintaining and updating an active website on the Dams and Development Project activities and WCD follow-up;
 - Producing newsletters and other information updates to keep abreast of the status of WCD follow-up and implementation and the results of the various dialogue processes surrounding the report;

- Establishing a help desk for stakeholders to find information on issues related to the WCD report, to keep records of the source and nature of the requests and to document reactions to the report.
22. The active Dams and Development Project website (www.unep-dams.org) is the key feature of the Project information networking. It displays most information materials produced through Project activities. PowerPoint presentations of the WCD process and outcomes as well as of the Dams and Development Project establishment, goals and activities were made at a significant number of national and international events.
 23. As part of the Dams and Development Project communications tools envisaged by the Project communication strategy, the Project has produced a set of ten information sheets (infosheets) to further support networking activities and designed to be of interest to the diverse stakeholders involved in the dams debate. In order to raise awareness of the goal and objectives of the Dams and Development Project, and promote transparent discussion and enhanced mutual understanding among all parties on issues related to dams and development globally, the secretariat staff and other resource persons attended over 60 international, regional and national meetings, making presentations, setting up exhibitions and disseminating information and materials concerning WCD and the Dams and Development Project.

(iii) Dissemination

24. In order to succeed in promoting multi-stakeholder dialogue on the WCD core values at country level, the dissemination of the WCD report and related materials and their availability in a wider range of languages was established as a key component of the Project's work programme. This included:
 - Distributing the WCD report, overview, CD ROM, knowledge base and related products, including the views expressed at the third WCD Forum, and other stakeholder responses; and
 - Overseeing and assisting the translation of WCD materials into different languages.
25. The Dams and Development Project was committed to translating the WCD materials as part of the dissemination element of the work programme. Translating the report or overview presented a range of challenges, not just because of the normal 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 had of the implications of certain phrases or recommendations.
26. In light of this experience, the Dams and Development Project has developed some guidelines for translations that recommend peer reviews by representatives of key stakeholder groups as a necessary step to ensure that the resulting text interprets the original in English with reasonable accuracy. As a United Nations agency, the focus of translation activity is on the official United Nations languages (Arabic, Chinese, English, French, Russian and Spanish) and these are supplemented in countries where there are major plans for new dams and where these languages are not sufficient to reach out to the bulk of stakeholder groups, for example, Thai and Vietnamese.

27. The WCD final report is available in four languages: Chinese, English, Spanish and Vietnamese while the WCD overview is available in 15 languages: Arabic (not printed), Chinese, English, French, German, Hindi (revised version), Japanese, Polish, Portuguese, Russian, Spanish, Thai, Urdu and Sindhi (carried out by the Pakistan national process) and Vietnamese.

(iv) Exchange of ideas on good practice

28. The Dams and Development Project was entrusted with facilitating the flow of information and advice concerning initiatives relevant to dams and development. The fourth component of the Project's work programme relates to sharing information on experiences, practice and tools relevant to the use of the WCD report and bringing them to the attention of the broader community. In fulfilment of this role, the Dams and Development Project developed a web-based database for experiences and cases of 'good practice' and 'lessons learnt' as they relate to dams and their alternatives, which became operative in October 2002. To date, 48 submissions can be accessed on the Dams and Development Project website and additional ones are being processed. The submissions cover one or more specific components of an overall process or project. They are associated with one or more of the seven WCD strategic priorities, which are used as a framework for the submissions database.

D. What has it achieved?

29. The need to establish the Dams and Development Project arose from the debate and reactions surrounding the recommendations of the WCD commissioners, to foster multi-stakeholder dialogue on decision-making, planning and management of dams and their alternatives on the basis of the WCD core values and strategic priorities. In pursuing this task, in a number of relevant countries around the world, the Project:
- Raised awareness on the WCD core values and strategic priorities;
 - Stimulated their analysis within the national policy and regulatory frameworks;
 - Helped generate discussion of key issues relating to national dam policy;
 - Promoted a multi-stakeholder approach to debating highly sensitive issues; and
 - Supported the development of locally appropriate recommendations on policy and procedure to improve decision-making on dams endorsed by a broad range of multi-stakeholder groups. Local ownership and sustainability of the processes leading to such recommendations were also pursued as a long-term added value.
30. The Project also dealt with global dialogue, information networking, dissemination and translation of WCD and Dams and Development Project materials and the web-based database of relevant examples and lessons learnt. These activities supported the major endeavour of taking the WCD discussion into the national context. In all these activities the Project succeeded in engaging a broad range of stakeholder groups around the world

to meet, discuss, produce recommendations and clarifications, request information, and contribute their own experiences and views to the global knowledge base.

31. The numerous outputs of the Project in terms of progress reports, proceedings from Dams and Development Forum meetings and issue-based workshops, newsletters, information sheets, the website, background documentation to Forum and steering committee meetings and financial reports, provide detailed information about the activities and achievements of the first phase.
32. Through facilitating the convening of a significant number of national consultation meetings in 14 countries around the world, the Project has proved that multi-stakeholder dialogue on dams is feasible and that it helps to moderate opposing views, prejudices and entrenched positions. No doubt the fate, ownership, sustainability and timeframe of the Dams and Development Project efforts at national level are largely dependent on local governance and on the existence of enabling environments. The fact that some processes succeeded in carrying out scoping reports and developing recommendations show that the approach is workable.
33. In order to move forward from the debate about the WCD report and shift national dialogue discussions towards broadly accepted policy recommendations, there is need to provide tangible inputs based on clear and non-controversial information that captures comprehensively the existing global knowledge base of criteria concerning dam planning and management, including WCD findings. The goal and objectives proposed for the second phase based on the steering committee recommendations tackles precisely this issue as described below.

E. Way forward

34. At the fifth steering committee meeting in Geneva (September 2003) a decision was taken to carry out an external independent evaluation of the Project to assess its current performance and the potential benefits of an extension beyond the initial duration established for the first phase. The evaluation, completed in February 2004, recommended a time-bound extension to fully develop the Project objectives. At the same time, it provided direction to better streamline the goal, objectives, work programme and governance of the next phase, including actions to improve the cost effectiveness of the Dams and Development Project secretariat.
35. On this basis, the steering committee recommended to UNEP a two-year extension of the Project beyond July 2004. The steering committee also established a set of criteria to streamline the goal, objectives and activities of the Project in the second phase and, at the sixth and seventh steering committee meetings, made a range of comments that formed the basis for the elaboration of the second phase Project document. In particular, the seven points that constitute the shared basis for the second phase of the Dams and Development Project condense the recommendations that emerged from those meetings and set the framework for the Project document. In this regard, the focus of the second phase is on improving decision-making on dams and their alternatives by promoting dialogue on dams and development issues and strategic priorities, and by producing and

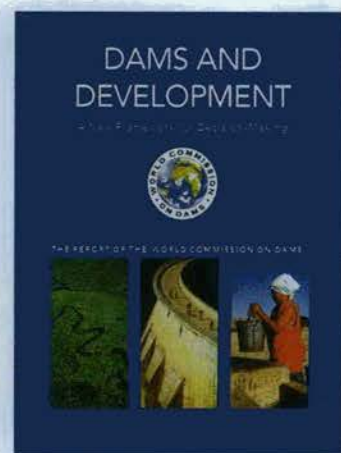
facilitating tools to help governments improve decision-making, building on the WCD core values and strategic priorities and other relevant reference material.

36. Accordingly, the goals, objectives, activities and institutional set-up of the Project were revised to respond to the needs and results expected for this second phase, aiming to achieve a more focused activity plan, tangible outputs and stronger involvement of governments in the activities and governance of the Project.

I. National dialogue: improving dam decision making

A. Placing discussion in the right context

37. WCD was established in 1998 with the mandate of reviewing the development effectiveness of large dams, assessing alternatives for water resources and energy development and developing internationally acceptable guidelines, criteria and standards, where appropriate, for the planning, design, appraisal, construction, operation, monitoring and decommissioning of dams. The WCD final report, 'A new framework for decision-making', launched in November 2000, put forward a set of recommendations structured in five core values, seven strategic priorities, 29 policy principles and 26 guidelines. Since its launch, a range of positive and critical reactions has been expressed on the report. An extensive sample of these views was recorded in the proceedings of the third WCD Forum meeting, convened in Spier Village, Cape Town, South Africa in February 2001. Other reactions are available on the Dams and Development Project website and their analysis may be found in annex XIII.
38. Wide consensus emerged from discussions on two issues:
- (a) The five core values and seven strategic priorities that were endorsed by all stakeholder groups; and
 - (b) Recognition that the national level was the appropriate context where the WCD recommendations should be further discussed and eventually integrated.
39. The United Nations Environment Programme (UNEP) agreed to host the Dams and Development Project, on request from a wide range of stakeholders, with the objective of promoting dialogue on improved decision-making, planning and management of dams and their alternatives based on WCD core values and strategic priorities. While the Dams and Development Project fostered country-level, regional and global dialogue, the former constituted the main thrust of its activities during phase 1.



“The WCD report has been published – it is in the international arena. Some may wish to reject the WCD report. Others may insist that it is implemented word for word. I agree with neither of these approaches. We have seen remarkable degree of concurrence about using the core values and strategic priorities of the WCD report as a starting point for dialogue. The DDP is committed to that.”

*Dr. Klaus Töpfer,
Executive Director,
UNEP*

B. Strategy: objective, support, results

40. The UNEP strategy in carrying out national dialogue is to promote multi-stakeholder in-country processes using the WCD five core values and seven strategic priorities as a starting point and to encourage inclusive, multi-stakeholder reviews to determine locally appropriate recommendations for policy and procedures on dam decision-making. With focus on the national context and the development of locally appropriate policy responses and guidelines, the goal was to help establish sustainable processes, inclusive of all perspectives, locally owned and driven. In this regard, the Dams and Development Project encouraged a multi-stakeholder approach, integration with current activities where possible and co-financing by a range of other organizations.

41. Efforts resulted in a number of national consultation activities, some of which developed into processes, as described in sections D and E below. Since the Project was to act on demand, the number of activities was dependent on the existence of local contexts prone to engage in the dams debate and discuss the WCD recommendations. Government participation was always a condition for Project involvement although the initial request could emerge from civil society, for example, from affected local groups. Once the opportunity for a concrete initiative was identified, materializing it into a dialogue activity or process involved overcoming some common challenges.

42. The Dams and Development Project supported these activities and processes providing advice, resource people to present material at national multi-stakeholder workshops and partial or seed funding to convene workshops and carry out studies. It also assisted with disseminating information on WCD and Dams and Development Project-related materials and publications, including information on similar activities carried out by the Project and other organizations around the world. Recognizing that information should be accessible in local languages for meaningful participation to take place, the Project carried out a limited programme of translation of WCD final report and Spier proceedings.

43. The immediate expected results of conducting dialogue activities were raising awareness on WCD core values and strategic priorities, fostering discussion on dams issues in the national context, and promoting a multi-stakeholder approach. As long as medium-term processes could be started, further expected achievement was the analysis of the WCD core values and strategic priorities in the context of the existing legal framework (scoping reports) leading to recommendations on policy and procedure to improve decision-making tailored to local conditions.

WCD Core values

- Equity
- Efficiency
- Participatory decision-making
- Sustainability
- Accountability

WCD Strategic priorities

- Gaining public acceptance
- Comprehensive options assessment
- Addressing existing dams
- Sustaining rivers and livelihoods
- Recognizing entitlements and sharing benefits
- Ensuring compliance
- Sharing rivers for peace, development and security

C. Structure: activities and processes

44. Ownership and sustainability of the initiatives were conditions of the dialogue processes sought by the Project. These issues, together with the extent of the Dams and Development

Project involvement and support, were subject to regular consideration at the steering committee meetings. The schematic representation shown in annex II depicts the main common emerging elements from the various processes followed up by the Dams and Development Project. Indicators of process and outcomes are related to the various stages identified. These involve the initial stage in the so-called multi-stakeholder approach where a core multi-stakeholder team, led by a Government or non-governmental organization, is configured to organize a first consultation meeting, usually a multi-stakeholder workshop. A further stage involves moving from the initial dialogue activity to a process of elaborating a scoping report and preliminary set of recommendations that are submitted for consideration to a second multi-stakeholder workshop. The expected output of this second meeting is a final set of recommendations on policy and procedures to be submitted to the government and other appropriate stakeholder groups.

45. Initial dialogue activities in developing countries involving partial or full accomplishment of the multi-stakeholder approach have been carried out with the Dams and Development Project involvement in Argentina, Indonesia, Kenya, Lesotho, Malawi, Namibia, Nepal, South Africa, Sri Lanka, Thailand, Viet Nam and Zambia. Dialogue processes involving elaboration of scoping reports or position papers developed subsequently in Nepal, South Africa, Thailand and Viet Nam. The process undertaken by SADC aiming at the elaboration of a regional position paper on WCD is an example of a regional dialogue approach. Sections D, E and F briefly describe these initiatives.

D. National dialogue activities

46. The promotion of national dialogue activities was the main avenue through which the Dams and Development Project pursued the achievement of its goal of promoting dialogue on improving decision-making, planning and management of dams and their alternatives. In this context, the Project strategy focused on encouraging inclusive, multi-stakeholder reviews in order to determine locally appropriate recommendations for policy and procedural reforms using the WCD five core values and seven strategic priorities as a starting point for initiating the dialogue. The most relevant and promising national dialogue activities that the Project facilitated or was associated with in developing and developed countries are briefly described below. The full description of these national dialogue activities is attached as annex III.

(i) Argentina

47. An initial multi-stakeholder expert consultation meeting attended by 32 participants representing a wide range of stakeholders was held in Buenos Aires on 11 December 2003 in the conference room of the *Ente Nacional Regulador de la Electricidad* (ENRE), the national regulatory agency for electricity in Argentina – Dams and Development Forum member. These discussions were the starting point for the second workshop convened in Buenos Aires on 15–16 March 2004 which included over 60 participants. In general, consensus emerged at the workshop that the core values and strategic priorities are widely acceptable although it is recognized that they should be analysed in further detail in the light of local requirements, resources and standards.

(ii) **Indonesia**

48. On 25 March 2004, the Indonesian Committee on Large Dams, Indonesia Water Partnership and Indonesian Directorate General of Water Resources hosted the first multi-stakeholder meeting on dams and development, which included over 100 participants. It was recommended at the meeting that the following suggestions be incorporated into Indonesia's draft policy for development and management of dams: the need to consider the social and natural system at the planning stage; the need to involve communities at all stages of dam development and management; and the need for all stakeholders to define decision-making processes clearly at each step of dam development.



(iii) **Kenya**

49. The first national consultation workshop on dams and development held on 15–16 April 2004 in Nairobi had the main objectives of raising public awareness among stakeholders about the WCD core values and strategic priorities, reviewing the current situation of existing and planned dams to strengthen resilience in coping with extreme climatic events in the context of integrated water resources management; and promoting multi-stakeholder participation in contextualizing the strategic priorities within the Kenyan water resources context. Approximately 52 participants represented a wide range of stakeholders. In general, consensus emerged that the WCD decision-making framework was relevant and therefore greater effort needed to be made to harmonise the strategic priorities within the Kenyan policy regulatory framework.



(iv) **Lesotho**

50. A two-day national Forum on the WCD report was organized by the Ministry of Natural Resources on 7–8 February 2002. Participants comprised government officials, civil society, including affected peoples' groups, the national university, consulting firms and the SADC water sector coordinating unit. The objectives of the meeting were: to allow participants the opportunity to provide feedback on the WCD report; to provide a Forum for reviewing Lesotho's national water strategy in relation to the WCD strategic priorities and guidelines; and to identify the challenges facing Lesotho as an upstream riparian state in the context of bilateral and multilateral treaties and protocols.
51. In concluding, four main points summarized discussions at this meeting:
- The Lesotho Water Partnership, to be launched on World Water Day, could offer an opportunity to take this process forward;
 - The implications of the WCD core values and strategic priorities should be considered as part of the forthcoming review of the national water resources policy and strategy;
 - There may be specific issues related to the Highlands Project where stakeholders could enhance current practice; and
 - The importance of Lesotho's regional obligations as an upstream riparian State.

52. The outcome of the meeting was also seen as a key component in preparing a national position on the WCD report as requested by SADC. Follow up to this meeting is expected as part of a SADC-wide initiative (see below) although this has been delayed pending distribution of formal proceedings of the national Forum.

(v) Malawi

53. The main objective of the National Stakeholders Consultative Meeting on the WCD report, held on 30–31 July 2004 at the Kambiri Resort Hotel, was to develop a national position on dams and development in Malawi. Approximately 65 participants representing a broad range of stakeholders attended the meeting. It is also anticipated that the outcome of this meeting will contribute towards the current development of a regional position on the WCD report in the SADC region.

(vi) Namibia

54. On 23 February 2004, the Namibia national consultation workshop on dams and development was convened by the Namibia County Water Partnership, in collaboration with the Desert Research Foundation of Namibia and the Water Association of Namibia, at the Institute for Management and Leadership Training. Approximately 27 participants representing a wide range of stakeholder groups attended the meeting. The main objective of the workshop was to raise awareness of the WCD report and promote stakeholder participation in contextualizing the strategic priorities in the Namibian context. Consensus emerged that the strategic priorities outlined in the WCD report should be used as a general framework adapted to the particular local conditions within the country.

(vii) Pakistan

55. In 2001, the Ministry of Environment requested that IUCN facilitate discussions about the WCD final report and develop locally appropriate recommendations. The WCD consultation process in Pakistan was launched in Islamabad on 17 June 2003. An introductory panel discussion was held to deliberate on WCD core values and it concluded that they offered an innovative approach to issues related to development planning. A WCD council integrated with well-known experts representing various stakeholder groups was established. The first phase of the consultative process comprised workshops in several provincial locations, a water portal, fact sheets and the translation of WCD executive summary and strategic priorities into Urdu and Sindhi. The Dams and Development Project was also invited to participate and make a presentation on water, dams and development at the national workshop on dams and development, convened by Progress Foundation with the collaboration of the Department of Irrigation and Power, Sindh Government and the Ministry of Water and Power, on 28 January 2004.

(viii) Sri Lanka

56. The first multi-stakeholder consultation workshop on dams and development was held in Colombo on 5–6 December 2003 with the objective of extending stakeholder participation in the planning of dams. More than 50 participants representing a broad range of stakeholders, including affected peoples, government and advocacy non-

governmental organizations, attended the meeting. In general, participants agreed that priority should be accorded to affected groups in the allocation of benefits from projects and that it was important to ensure participation of all stakeholders in the planning process. In addition, a draft of a Sinhala translation of the WCD report by NetWater is currently being presented for comments, with the intention of raising awareness on dams-related issues among a wide range of stakeholders.

(ix) Uganda

57. The Dams and Development Project participated in and made a presentation at a meeting convened by the National Association of Professional Environmentalists with support from the Ford Foundation in Kampala, Uganda, at the Africana Hotel on 19 October 2004. About 100 participants representing a broad range of stakeholder groups attended the meeting. High-level government representatives of the State Ministry of Energy and Ministry of Land gave opening and closing remarks. In general, participants agreed that action should be taken to improve the understanding of WCD, analyse its implications for Uganda, and assess how other options may fit in with and sustain a future multi-stakeholder Forum.

(x) Zambia

58. The Ministry of Energy and Water Development convened a follow-up multi-stakeholder dams and development workshop which was held on 21 July 2004 at the Mulungushi Conference Centre, Lusaka. Approximately 40 participants representing a broad range of stakeholder groups attended the workshop. The main objectives of the workshop were to present the WCD report and the Dams and Development Project goal and activities to various stakeholders to enable them to consider, discuss and comment on the core values and strategic priorities of the WCD report in the Zambian context. Consensus emerged among participants that the WCD strategic priorities were relevant to the Zambian context and recommended that the dialogue initiated at the meeting should continue.

(xi) Dialogue activities in developed countries

59. Some developed countries convened discussions on the WCD report aiming to assess the degree of conformity of their national policies, regulations and procedures with the recommendations of the Commission. The objectives included the assessment of policies and safeguards adopted by public and private financiers, including export and development assistance agencies that support large dam projects in developing countries. Initiatives of this kind were carried out in Germany, the Netherlands, Sweden and the United Kingdom of Great Britain and Northern Ireland.

E. National dialogue processes

(i) Nepal

60. Nepal Water Partnership organized a special session on the WCD report at a regional meeting on integrated water resources management held on 26–28 February 2002. A year later, on 2 January 2003, a meeting was organized at IUCN Nepal to discuss future actions to develop Nepal's position on the WCD report. The first draft of the Nepalese scoping report was issued in September 2003. The Nepal dams and development task force also convened two meetings during the first quarter of 2004 where all stakeholders reaffirmed their interest in continuing the national dialogue on dams and development in Nepal. The national dialogue will continue, therefore, with a steering committee advising a smaller working group (task force) with IUCN Nepal providing the Project secretariat to oversee actual programme implementation.



(ii) South Africa

61. The first multi-stakeholder symposium was held in Midrand in July 2001. At this symposium, South African stakeholders declared themselves broadly supportive of the strategic priorities outlined in the WCD report and a coordinating committee for the South African multi-stakeholder initiative on the WCD report was elected. A second multi-stakeholder Forum was convened in Johannesburg in July 2002, where the main issues outlined in the scoping report were discussed. At a third Forum held in October 2003, the initial draft report on the first three strategic priorities was reviewed and the issues again debated. The scoping report defining key dam issues in the South African context was the first main output of this four-year multi-stakeholder process and a final report of recommendations to remedy any gaps or inadequacies in policy, regulation and compliance policy in South Africa has been finalized for circulation to a broad range of stakeholders and institutions.

(iii) Thailand

62. Thailand convened a multi-stakeholder consultation workshop in March 2003. Participants agreed that the seven strategic priorities articulated by the WCD report represented good practice in principle but that they needed to be addressed within the specific local context in the country. The Thai Ministry of Natural Resources and Environment formally established a working group by decree to define key issues and formulate guidelines for implementation of future projects. The working group held its last meeting in December 2003 and during the first half of 2004 released its products – a set of guidelines specifying the roles of various stakeholders in decision-making about water resources where large infrastructure is an issue and a manual for implementing these guidelines.

(iv) Viet Nam

63. In February 2000, the Ministry of Agriculture and Rural Development hosted the fourth regional consultation meeting of the WCD report. Recognizing the importance of local language editions of the report for the review process within Viet Nam, translations were prepared of the complete WCD report, overview and proceedings of the third WCD Forum meeting that contains a wide range of reactions to the report. As the responsible agency under the National Water Act, the Ministry of Agriculture and Rural Development organized an initial workshop on the WCD report in Hanoi on 11 October 2002 with financial support from the Asian Development Bank. As a result of the meeting, it was decided that a scoping report should be drafted to identify key issues for discussion at a second multi-stakeholder meeting, during which priority tasks would be identified and an institutional mechanism established to develop detailed recommendations on policy and procedural reform. It was also proposed that the second meeting would be held under the auspices of the newly created National Water Resources Council. The scoping report was finalized in February 2004 as the first main output of this process.



F. Experiences at regional level

(i) SADC process

64. In 2002 the SADC water directorate, in collaboration with GTZ and the Dams and Development Project, agreed on a three-phase regional consultation process on dams and development. The main objective of the process was to define the community's future role and the policies for its involvement in dams and development in the region. A SADC regional policy on dams and development and a regional position on the WCD report were the main expected outputs. Drafts of both papers together with other relevant supporting documentation were elaborated during 2003–2004.
65. In November 2003, the decision was taken to merge the dam policy with the SADC water policy which was also then being developed. A multi-stakeholder regional workshop was held in April 2004 to review and discuss the water policy. Consultations on the draft regional position paper on the WCD report were undertaken during the fourth annual Global Water Partnership Consulting Partners meeting held on 7–8 July 2004 in Mbabane, Swaziland. Redrafting the SADC position on the WCD report, taking into account recent developments, was being finalized. It is anticipated that the next steps may involve further consultations at the national level in addition to regional consultations benefiting from the regular Global Water Partnership meetings.

G. Promising consultations

66. The Dams and Development Project has been consulted by organizations in other countries and by regional organizations with a view to launching a dialogue activity on WCD core values and strategic priorities. Some of these countries, like Belarus, Brazil, Ghana, the Islamic Republic of Iran, Mexico, Nigeria and the Philippines, offer promising prospects for developing multi-stakeholder dialogue activities and eventually launching a dialogue process. At the regional level, the Dams and Development Project has explored possibilities of carrying out dialogue initiatives at river basin level benefiting from the experiences acquired with the SADC regional process. Exploratory consultations have progressed with the Mekong River Commission and been initiated with the Senegal and Niger River organizations in Africa and La Plata River Basin Commission in South America.

H. Assessing: indicators of success

67. Table 1 (below) shows the situation of the various country dialogues that the Dams and Development Project has facilitated or been associated with, as regards the stage they have started or completed according to the framework presented in annex II. Out of thirteen countries all have completed at least a first stage of multi-stakeholder consultation on the WCD core values and strategic priorities. Four countries have gone beyond into the analysis of the strategic priorities in the local context. South Africa has carried forward the process the furthest becoming a potential model.
68. Table 2 (page 33) presents the assessment of the indicators of process and outcomes discussed in section C and shown in annex II. In general it indicates that the multi-

Table 1 Situation of country dialogue initiatives as regards having started or completed the dialogue stages			
Country	Stage		
	Multi-stakeholder approach	Dialogue activity	Dialogue process
Argentina	Yes	Yes	No
Indonesia	Yes	Yes	No
Kenya	Yes	Yes	No
Lesotho	Yes	Yes	No
Malawi	Yes	Yes	No
Namibia	Yes	Yes	No
Nepal	Yes	Yes	Yes
South Africa	Yes	Yes	Yes
Sri Lanka	Yes	Yes	No
Thailand	Yes	Yes	Yes
Viet Nam	Yes	Yes	Yes
Uganda	Yes	Yes	No
Zambia	Yes	Yes	No

stakeholder approach succeeded with regard to establishing a focal point to promote an all-inclusive process. The integration of a solid multi-stakeholder core group to drive the process from the start, and the establishment of long-term goals and associated framework, however, were limited to a few cases, namely those that then evolved into dialogue processes. The convening of a first consultation meeting has been satisfactorily achieved in most cases. A tangible activity like organizing a workshop on a sensitive

Table 2 Situation of dialogue activities as regards indicators of success

Country	Multi-stakeholder approach				Dialogue activity						Dialogue process							Comments
	a) Focal point	b) Core multi-stakeholder group	c) Agreed long-term goal	d) Tentative timeframe	a) Core group active	b) Government involved	c) Balanced stakeholder participation	d) Meeting report available	e) Timeframe revised/agreed	f) Other inputs available	a) Coordinating multi-stakeholder body	b) Government involved	c) Process agreed	d) Meeting's minutes available	e) Scoping report	f) Recommendations endorsed	g) Proceedings of workshops	
1 Argentina	2	1	1	0	2	1	2	3	0	Y								Two consultation workshops carried out. Project advised for first and supported second
2 Indonesia	2	1	1	1	1	2	2	2	1	N								
3 Kenya	2	2	2	1	2	3	2	3	1	N								
4 Lesotho	1	0	0	0	1	2	2	0	0	N								
5 Malawi	2	1	1	0	1	2	2	2	1	N								
6 Namibia	2	1	1	0	1	2	2	2	1	N								
7 Nepal	2	2	2	2	3	2	3	3	2	Y	3	2	2	2	2	1	0	Minute of coordinating meetings. Presentations in international forums.
8 South Africa	2	3	3	3	3	2	3	3	3	Y	3	2	3	3	3	3	2	Minute of coordinating meetings. Presentations in international forums.
9 Sri Lanka	2	2	1	1	2	2	1	2	1	N								
10 Thailand	2	1	2	2	1	2	2	1	2	Y	2	2	2	2	2	N/A	0	WCD overview translated into Thai.
11 Viet Nam	2	1	1	1	1	2	2	2	2	Y	1	2	2	0	2	0	0	WCD final report translated into Vietnamese.
12 Uganda	2	1	1	1	1	2	2	2	1	N								
13 Zambia	2	1	1	1	1	2	2	2	1	N								
Average	2	1	1	1	1.5	2	2	2	1									

Scoring (degree of achievement) 0: not addressed; 1: incipient; 2: satisfactory; 3: outstanding

issue is a focus of attraction whereas a medium-term process dealing with public policy analysis is not. In most cases these meetings have involved the government, achieved a balanced participation and completed the elaboration of final reports. South Africa is most advanced in the process having issued final recommendations on policy and research endorsed by a multi-stakeholder meeting. Nepal is also expected to deliver endorsed recommendations in the near future. Thailand's process proposed a more limited goal and Viet Nam developed a promising process in 2003 that needs to be completed.

I. Voice of the national stakeholders

69. Some common emerging features from the workshop proceedings of these meetings include the following:
- Overall, workshop participants stated that the strategic priorities outlined in the WCD report should be used as a general framework and adapted to the particular local conditions within each country;
 - In some specific countries, the emerging recommendation was that dialogue should be continued in consultation with stakeholders, given that there was still further room for detailed discussions on the strategic priorities and their applicability to the particular country context;
 - In some cases, the national workshops convened were viewed as initial steps towards the process of drawing up a draft dams and development policy in the country. Critical aspects that need to be integrated in the future dams and development policies of the countries have been highlighted as being: public consultation mechanisms, needs assessment, raising public awareness and clearly defined decision-making processes defined by multi-stakeholders;
 - In the case of the South African initiative on the WCD report, the main priority recommendations identified at the final multi-stakeholder Forum meeting held on 13–14 October 2004 included improving existing policy, addressing social impacts, enhancing governance of water and energy resources development and promoting river health and sustainable livelihoods.
70. The national dialogue processes in South Africa, Nepal and Viet Nam also developed scoping reports in their analysis of the seven strategic priorities within their respective national contexts. In general, the scoping reports analysed the principles and findings from the WCD report, and identified the key trends, issues and the possible way forward for the various countries. The scoping reports also provided a comprehensive review of existing laws and regulations related to dams and development with additional analysis made to identify specific areas where policy implementation needs to be strengthened. Various gaps are also identified in the scoping reports. For example, in discussing gaining public acceptance in Nepal, issues related to indigenous peoples on the aspect of prior informed consent have been identified as an existing policy gap. Furthermore, general consensus emerged in the various scoping reports that the following issues should be given priority: needs assessment, improving the performance of existing dams, integrating

methods to ensure that social and environmental considerations are given sufficient weight at an early stage of planning, and a basin-wide understanding of ecosystem functioning.

J. Learning for the future

71. The significant number of dialogue activities and processes that the Dams and Development Project facilitated, supported or was associated with during phase 1 provided a sound platform for assessing achievements and establishing the basis for future activities in this regard. Some of the key aspects dealt with are enumerated in the following subsections.

(i) Ownership and sustainability

72. In the development of a dialogue process, achieving local ownership and sustainability is extremely challenging. South Africa and Nepal are examples of dialogue initiatives that were able to build their own momentum at the local level to move forward on the dialogue process stage. Nevertheless, in both cases the Dams and Development Project and other international organizations helped to sustain momentum. This calls for continued involvement of the Dams and Development Project in supporting this process. The evaluator highlighted the likelihood of a long time lag before clear benefit emerges from the Dams and Development Project with regard to country ownership of activities, policies and processes. On this basis he supported a two-year extension of the Project.

(ii) Awareness-raising, fostering dams debate and multi-stakeholder approaches

73. In all the dialogue activities at country level facilitated by the Dams and Development Project, a need clearly emerged for raising awareness on dam-related policy issues in the local context, including considering WCD core values and strategic priorities. These meetings therefore played a relevant role in facilitating the multi-stakeholder dams debate and offering a concrete framework for discussion. The multi-stakeholder approach promoted by the Project as conditional for the Dams and Development Project involvement was generally well received by national focal points. The all-inclusive policy put forward by the Project even played a role in bringing together the various areas of government dealing with dam issues that are usually disconnected. Although limited in comparison with the expected final results of the Dams and Development Project involvement, these contributions need to be highlighted and should be further pursued as part of future dialogue activities.

(iii) Recommendations on policy and procedure for improved dam decision-making

74. While getting multi-stakeholder groups to endorse national processes to issue recommendations on policy and procedure for improved dam decision-making was a major endeavour that proved challenging to the Dams and Development Project, the examples of South Africa and Nepal indicate that it is possible. Sustained efforts are needed, however, and realistic timeframes should be established in order to assess outcomes and success in this regard. Notably this issue is strongly correlated with development of ownership and strong government involvement leading to the

sustainability of the process.

(iv) Government involvement

75. Most dams and development dialogue activities were characterized by participation and involvement of government agencies dealing with dams issues. In many cases, units within relevant ministries undertook leading roles as focal points in convening consultation meetings. Governments failed to drive the dialogue processes further, however, and commit institutional, human and financial resources. The vital role of Governments in dialogue processes has been highlighted by the external evaluator and the steering committee and should be reinforced in the future. This involves further awareness raising and clarification of the relevance of Governments' role in multi-stakeholder dialogue approaches.

(v) Dams and Development Project support

76. The Dams and Development Project support has proved central to initiating dialogue activities and sustaining the momentum of dialogue processes. This contribution goes beyond direct support, providing guidance, information, resource persons or seed funding, and is related to all four elements of the Dams and Development Project work programme, including networking and dissemination. The steering committee debated on the extent and nature of the Dams and Development Project involvement in dialogue activities and processes (see annex IV). The framework illustrated in annex II establishes criteria consistent with current Project practice in phase 1.

(vi) Looking ahead

77. The Dams and Development Project strategy to focus consideration of WCD core values and strategic priorities in the local context by promoting multi-stakeholder dialogue has been endorsed by all stakeholder groups and proved successful though not exempt from challenges. In recommending that country and regional processes should be the main focus of future attention (recommendation 6, external evaluation final report, see annex VI), the evaluator indicated that focusing on national level dialogues to achieve better and measurable development outcomes, is an important step forward. He also indicated that there are built-in advantages and high potential for development of regional dialogues.
78. Steering committee members agreed that efforts should continue to promote national dialogue with the application of selective criteria and a focus on a few countries (less than 10), ensuring the involvement of current decision makers (shared basis for the Dams and Development Project phase 2, sixth steering committee meeting, see annex IV). They stressed that the aim of national dialogues is to improve policies and that current processes should continue, while support to new processes should be limited to a few selected countries.
79. The second phase of the Dams and Development Project should build the future work programme on these recommendations as well as on the experience gained during the first phase, as reflected above.

II. Global dialogue: bridging gaps

A. Global support to national decision-making

80. Promoting global dialogue has been an integral aspect of the Dams and Development Project work programme and, to date, it has been channelled in three main ways, namely: the Dams and Development Forum meetings, issues-based workshops and also Project participation at international meetings.
81. The Dams and Development Forum is an independent body convened by the steering committee which plays an important role in providing guidance to UNEP on the implementation of the Dams and Development Project work programme. The role of the Forum is to act as a platform for global multi-stakeholder dialogue on dam-related issues, including following up the WCD report, exchanging experiences and lessons learnt on operationalizing and implementing WCD core values and strategic priorities, acting as a consultative body on key outputs of the Dams and Development Project, and reviewing the mandate of the Project to continue beyond 2004. One major role of global dialogue is catalysing national and sectoral experiences and lessons learnt into key issues and recommended strategies that may assist countries in framing national policy. Specifically, the Dams and Development Forum meetings dealt with the nature and scope of national dialogues.
82. The issues-based workshops provided an international multi-stakeholder audience to discuss key topics put forward by Dams and Development Forum members. The four issues-based workshops convened – options assessment, financing dams and sustainable development, addressing existing dams, and ensuring compliance – produced as main outputs a set of recommendations and issues to be dealt with at national level with a view to influencing policies and procedures to improve decision-making on dams and their alternatives.

B. Continuing the WCD approach: Dams and Development Forum

83. The Dams and Development Project was established under a general agreement that it should have the same attributes of balance, objectivity, transparency, accountability and multi-stakeholder representation that characterized WCD. In this regard, the Forum constituted a central element of the institutional set-up of the Dams and Development Project in support of such attributes. As proposed at the third WCD Forum meeting in February 2001 and subsequently agreed at the first Dams



and Development Project steering committee meeting in September 2001, the membership of the Dams and Development Forum was based on the model of the WCD Forum. Acting on behalf of the Forum, the steering committee initiated a process to identify new Forum members. Starting in October 2001, the transition WCD secretariat contacted former WCD Forum members to ascertain their interest in continuing on the Dams and Development Forum.

84. The process of enlarging the Dams and Development Forum was, however, initiated following the first Dams and Development Forum and the third steering committee meeting held in Nairobi in July 2002. At the latter meeting it was agreed that the Forum should be further expanded to include more representatives in certain stakeholder categories. As a general rule, it was agreed that stakeholder categories were limited to ten members, with the exception of the government agencies (policy) and government agencies (bilateral development agencies, export credit agencies, regulators). On behalf of the steering committee, the Dams and Development Project secretariat invited selected organizations to join the Dams and Development Forum. As a result of the Forum enlargement process, membership grew from 68 members at the time of the WCD launch to 120 from over 40 countries (see annex V).
85. The first Dams and Development Forum meeting was held on 8–9 July 2002 in Nairobi, Kenya. It provided a unique opportunity for members to comment on the direction the Dams and Development Project had taken since its establishment in November 2001. The Forum meeting was organized into six plenary discussion sessions that covered a wide range of issues including presentations of follow-up initiatives in countries such as Nepal, Pakistan and South Africa as well as institutional follow-up activities, key challenges and defining the role and composition of the Dams and Development Forum meeting. This first meeting attracted 92 participants from a broad range of interest groups around the world.
86. The second Dams and Development Forum meeting was held on 25–26 September 2003 in Geneva, Switzerland. More than 90 participants from 44 countries representing thirteen different categories of stakeholders attended the meeting. The meeting was structured into five plenary sessions that discussed issues relating to framing national dialogues, comprehensive options assessment as well as the emerging responsibilities and opportunities for the Dams and Development Forum to enhance global dialogue on dams and sustainable development. The final plenary session was devoted to seeking guidance from Forum members on how to streamline the activities of the Dams and Development Project phase 1 successfully.
87. The third Dams and Development Forum meeting was convened on 17–18 June 2004 in Nairobi, Kenya. The meeting consisted of seven plenary sessions which were structured in seminar, panel or working group format. The substantive issues discussed intensively by the participants in the plenary sessions included: national and regional multi-stakeholder dialogues for improved decision-making; integrating the WCD core values and strategic priorities into national contexts; defining the indicators of success for multi-stakeholder dialogue processes; as well as the road map for implementation of the second phase of the Dams and Development Project. There were 58 participants from 19 countries representing a wide range of stakeholder groups involved in various aspects of the dams and development debate. Annex V gives further information.

C. Getting to the point: issues-based workshops

88. Participants at the first Dams and Development Forum meeting held on 8–9 July 2002 in Nairobi recommended that the Project convene international workshops to discuss specific key issues concerning the dams debate. These would aim to clarify and elaborate on the WCD strategic priorities in order to provide input to national dialogues. Forum members identified a number of key issues as a focus for global multi-stakeholder dialogue that included: comprehensive options assessment, gaining public acceptance, addressing existing dams and ensuring compliance.
89. The steering committee at its third, fourth and fifth meetings provided guidance on the nature and features of issues-based multi-stakeholder international workshops that the Dams and Development Project convened to focus on those strategic priorities. Further to these workshops, an additional workshop dealing with financing dams and sustainable development was also convened during phase 1. See details in annex VII.

(i) Comprehensive options assessment

90. The workshop on comprehensive options assessment was convened on 22–24 September 2003 in Geneva, Switzerland. Its objective was to facilitate international multi-stakeholder debate on comprehensive options assessment with the goals of assessing the state of the art, mapping the challenges to produce broadly accepted criteria for implementation and articulating strategies to incorporate them into the planning process. The main outcome of the workshop was a statement defining comprehensive options assessment and identifying a set of principles and recommendations to facilitate a more specific stage of discussion at the national level. The statement was incorporated into the proceedings of the meeting and published and distributed as an information sheet.

(ii) Financing dams and sustainable development

91. The second issue-based workshop was convened on 20–21 April 2004 in London, United Kingdom, within the context of the Dams and Development Project work programme component on supporting global dialogues. It focused on financing dams and sustainable development. The overall objective of the workshop was to identify ways to minimize risk related to financing dams and their alternatives and



thereby achieve more sustainable projects. Risks that were addressed at the workshop included financial and investment risks, reputational risks, risks to livelihoods and environmental risks. In identifying the challenges in financing sustainable dam projects, the workshop focused on improving the flow of financing to investments that promote sustainable development of water and energy services, particularly for developing countries and communities with limited financial resources.

(iii) Addressing existing dams

92. The workshop on addressing existing dams was convened on 14–15 June 2004 in Nairobi,

Kenya. The main objectives of the workshop dealt with: systematic assessment of the performance of existing dams; optimization and efficient production of dam benefits under changing contexts; the role of stakeholders in the monitoring of dam performance; and closing the gap between aspiration and reality. The output of the workshop comprised a set of recommendations and list of issues to be dealt with at national level. These issues raised are intended to feed into national dialogues on how to improve decision-making processes regarding dams and development.

(iv) Ensuring compliance

93. On 15–16 June 2004, in Nairobi, Kenya, the Dams and Development Project convened a workshop on the sixth strategic priority identified by the WCD – ensuring compliance. The workshop dealt with: different perspectives and measures to ensure compliance; roles and responsibilities of the various stakeholders and of the public and private sector; and institutionalization of regulatory and non-regulatory measures to ensure compliance. The output of the workshop was a set of recommendations and list of issues to be dealt with that reflected principles, criteria and strategies concerning improved implementation of compliance mechanisms at national level. The goal was to enable their discussion in the context of national and regional multi-stakeholder dialogues and workshops, with a view to influencing policies and procedures to improve decision-making on dams and their alternatives.

(v) Gaining public acceptance

94. To enlarge the scope of stakeholder participation and explore avenues for discussing key issues at global level, the Dams and Development Project secretariat proposed to carry out the discussion on gaining public acceptance, the first of the strategic priorities put forward by WCD, as what may be termed a ‘virtual workshop’. In this regard, the Unit for Social and Environmental Research of the Chiang Mai University in Thailand was commissioned to draft a background paper on gaining public acceptance. Further steps would involve preparing and carrying out a virtual discussion among Forum members and registered participants and eventually a physical workshop during the Dams and Development Project second phase.

D. Taking dialogue to the international arena

95. The global dialogue on dams and development, which is a major element of the Dams and Development Project work programme, was mainly channelled through Forum meetings (annex V) and the issues-based workshops (annex VII). The Project took opportunities, however, to carry the dialogue into the international arena by participating in relevant international conferences. During phase 1, two side events were convened by the Dams and Development Project – a session on ‘Dams and development: Promoting dialogue for improved decision-making’ at the Third World Water Forum, Kyoto, Japan, on 20 March 2003 and a session on ‘Is WCD a suitable tool for assessing the sustainability of hydropower?’, at the International Conference on Renewable Energies on 2 June 2004 in Bonn, Germany.

(i) **“Dams and development: promoting dialogue for improved decision-making”**

96. This session was organized in the context of the dams and sustainable development theme and coordinated by the World Water Council President and UNEP Executive Director. The theme included opening and closing plenary sessions in addition to nine independent sessions on 20–21 March 2003 convened by various organizations such as World Water Council, World Water Forum, the Dams and Development Project, University of Tokyo and several non-governmental organizations. They looked at dams issues from different perspectives including sustainable and human resettlement, dialogue for improved decision-making, the effects of providing reservoirs for river basin development, challenges to financial institutions, watershed management measures such as alternatives to large dams, need to store water for sustainable development, and South Asian perspectives on dams and water management.²

Third World Water Forum declaration

The ministerial declaration emerging from the third World Water Forum affirms the commitment to implement appropriate recommendations in order to achieve the internationally agreed targets and goals, including the United Nations Millennium Development Goals. In particular, water is recognized as a driving force for sustainable development, including environmental integrity and the eradication of poverty and hunger, indispensable for human health and welfare. Good governance, capacity-building and financing are recognized as being of utmost importance in promoting integrated water resources management. The necessity for countries better to coordinate monitoring and assessment systems at local, basin and national levels with the development of relevant national indicators is reaffirmed.

Water resources management and benefit-sharing is also addressed, including the necessity to promote transboundary cooperation in shared watercourses. In addition, the role of hydropower is recognized as one of the renewable and clean energy sources and its potential should be realized in an environmentally sustainable and socially equitable manner. Recognition is also given to the importance of achieving the target established in the Millennium Development Goals to halve the proportion of people without access to safe drinking water and basic sanitation by 2015.

Water is also pointed out as being essential for broad based agricultural production and rural development in order to improve food security and eradicate poverty. Innovative and strategic investment, research and development and international cooperation for the progressive improvement of agricultural water management by such means as demand-driven management, including participatory irrigation management, rehabilitation and modernization of existing water facilities, water-harvesting, use of water-saving and drought-resistant crop varieties, water storage and dissemination of agricultural best practices. The need to intensify water pollution prevention in order to reduce hazards to health and the environment and to protect eco-systems, including control of invasive species, is also highlighted.

² The overall sense of the sessions and the dams theme was well reflected by the theme statement to the ministerial meeting. The text can be read in annex III of the Dams and Development Project interim report or on the Dams and Development Project website.

97. The “Dams and development: promoting dialogue for improved decision-making” session was chaired by UNEP Executive Director, Dr. Klaus Töpfer. The first part comprised a panel discussion and W. Hao (Director, Institute of Water Resources and Hydropower Research, China), J. Carling (Cordillera People’s Alliance, Philippines), K. Abdullah (Director General, Department of Irrigation and Drainage, Malaysia), P. McCully (Campaign Director, International Rivers Network) and H. Schiffer (Managing Director, Hydro Equipment Association) were the invited panellists. The second part was devoted to presentation of case studies promoting dialogue through national and regional multi-stakeholder processes. The cases of South Africa, SADC regional initiative, Viet Nam, Nepal and Thailand were presented. Feedback from the audience and discussion included a brief presentation from Y. Prasad, National Hydroelectric Power Corporation, India.

(ii) ‘Is the WCD a suitable tool for assessing the sustainability of hydropower?’

98. The International Conference for Renewable Energies was convened on 1–4 June 2004 in Bonn and organized by the Federal Ministry for Economic Cooperation and Development and the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety, Germany. The conference had several components: multi-stakeholder dialogue (plenary session I–III), the best practice examples and lessons learnt (plenary sessions IV and V) and the ministerial segment (keynote speeches, roundtables, panels and discussions). The Dams and Development Project organized a side event and made a presentation in session V. The outcomes of the conference can be obtained from www.renewables2004.de.



- 99.. The Dams and Development Project panel presentation and discussion took place on 2 June 2004. The theme had been decided at the sixth steering committee meeting on 20–21 April 2004 in London, following a lively discussion that reflected the tensions surrounding the concepts of renewable energies, large and small hydro and sustainable dams. Over 80 participants attended the meeting. The Dams and Development Project coordinator started the session with a brief presentation of WCD outcomes: the final report and the reactions to it; core values and strategic priorities; the establishment of the Dams and Development Project; and the goals and objectives of the Project. Dr. Uschi Eid, Permanent Secretary, Federal Ministry for Economic Cooperation and Development, Germany (BMZ) chaired the session and panel members were: David Grey (World Bank), Patrick Mc Cully (International Rivers Network), Bikash Pandey (Winrock International), Richard Taylor (International Hydropower Association) and George Mpombo (Minister of Water and Energy, Zambia). The panelists presented their diverse views on the subject and the Chair opened the floor to participants at the meeting for additional reactions and comments.

Renewables 2004: Political Declaration

In the context of Renewables 2004, renewable energy sources and technologies include: solar energy, wind energy, hydropower, biomass energy and biofuels, and geothermal energy. The political declaration emerging from the International Conference for Renewable Energies acknowledged that renewable energies combined with enhanced energy efficiency can significantly contribute to sustainable development, to providing access to energy, especially for the poor, to mitigating greenhouse gas emissions, reducing harmful air pollutants, thereby creating new economic opportunities and enhancing energy security through cooperation and collaboration.

In addition, commitment was reaffirmed towards achieving the United Nations Millennium Development Goals and, in particular, halving the proportion of people living in extreme poverty and achieving environmental sustainability by 2015. Furthermore, ministers and government representatives supported the strengthening of human and institutional capacities for institutional capacities for renewable energies, including building capacity for policy analysis and technology assessment and strengthening educational efforts, gender mainstreaming and the role of women and raising awareness of government decision-makers and financiers of the benefits of renewable energy sources.

E. Outcomes of global dialogue

100. Since the establishment of the Dams and Development Project in November 2001, three Dams and Development Forum meetings have been convened and these provided a unique platform to advance the dialogue on dams and development in a constructive and inclusive manner with the aim of finding common ground on what have often been very controversial issues. A brief summary of some of the key issues discussed is given in this section. The proceedings are available for more information upon request in hard copy and on the Dams and Development Project website.
101. Discussions on promoting national dialogue as an integral aspect of the Dams and Development Project work programme elicited various views and opinions from Forum members, including the importance of ensuring the multi-stakeholder nature of the follow-up process, the need to involve Governments and use of an appropriate facilitator to guide national dialogue processes. A key emerging issue with regard to promoting global dialogue has been how to translate the outcomes of the Forum meetings at the national and sub-national levels and to create avenues to keep a more permanent dialogue open between Forum members. The need for government involvement in national and global dialogue processes was also emphasized and identified as a major challenge during all three meetings, particularly given that Governments are key decision and policy makers.
102. With regard to dissemination, it was noted that the core values and strategic priorities of the WCD report need to be disseminated in different languages such as French and Chinese in order effectively to target a broad range of stakeholders. The beneficial exchange of information on good practice and lessons learnt has also been highlighted as a key issue and the creation of an appropriate Forum that allows various parties to share their own experiences was considered crucial.

F. Learning for the future

103. Promoting national and global dialogues has been an integral aspect of the Dams and Development Project work programme. The various Dams and Development Forum meetings, issues-based workshops and steering committee meetings convened, as well as the external evaluation report concluded in February 2004, have all defined key issues, strategies and dialogue approaches to be carried forward at the global level during the second phase of the Dams and Development Project.
104. With regard to the evaluation report, the global dialogue was assessed as being important given that it is a venue for constructive and reasoned engagement among all stakeholders. The evaluator considered that the Dams and Development Project had assisted in keeping the WCD core values and strategic priorities on the water policy agenda of international organizations and forums. It was signalled, however, that the global dialogue focused on generalities and broad areas of agreement, rather than tackling controversial issues. A major drawback indicated was the lack of a structure or authority at the global level to provide a framework for meaningful and results-oriented dialogue, while the issues are too complex to find globally valid solutions.
105. In the discussion on future Forum meetings, there was general agreement among steering committee members that they should move away from internal processes and generate discussions among the multi-stakeholder group on substantive issues and challenges – possibly stimulated by thematic presentations. The format would be more like that of a conference. Working groups would be used more to generate greater involvement and interaction of the delegates but measures should also be taken to allow more effective exchange of views on specific subjects in the plenary sessions. As a multi-stakeholder body, the Forum represents a major opportunity to get to the heart of the issues surrounding dams and development.
106. With regard to issues-based workshops, it was agreed among steering committee members that the emphasis should be placed on challenges and obstacles to implementing key issues like those put forward by the WCD strategic priorities. The need for expert or professional facilitation to raise the key issues for discussion and to ask the audience to focus on obstacles and challenges, with selective participation from knowledgeable experts, was pointed out.
107. The four issues-based workshops convened in 2003–2004 also provided interesting suggestions on how the Dams and Development Project can develop global dialogue. Emerging suggestions included the following:
 - Promote the output of the issues-based workshops at country level, particularly in those countries where national dialogue processes are taking place;
 - Disseminate workshop proceedings and papers and publication of an information sheet on each of the issues-based workshops;
 - Explore synergies with other UNEP programmes to carry forward the dialogue.

III. Networking: informing stakeholders

108. The second major element of the Dams and Development Project work programme aimed at establishing and operationalizing a communications and networking strategy that focused on: maintaining and updating an active website on the Dams and Development Project activities and WCD follow-up; producing newsletters and other information updates to keep abreast of the status of WCD follow-up and implementation, and the results of the various dialogue processes surrounding the report; establishing a 'help desk' for stakeholders to find information on issues related to the WCD report, and keeping a record of the source and nature of the requests; and documenting reactions to the report.

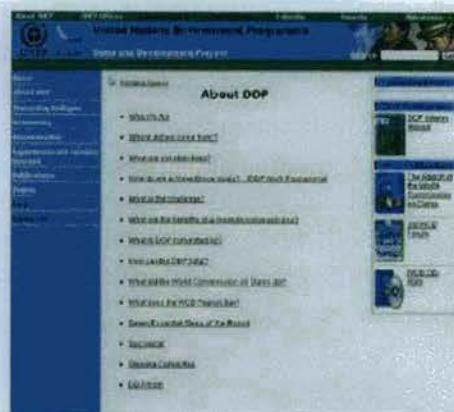
A. Communication strategy

109. The communication strategy was intended as a decision-making framework for the Dams and Development Project communication activities aiming to provide and ensure the effective flow of information, updates and key messages. These activities dealt with information management, including the creation of clear and consistent messages to all stakeholders. The strategy defined the key target groups, identified the relevant approaches and internal processes for optimizing communication with such target groups, outlined mechanisms for delivering information and messages, and presented the timeframe for carrying out the plan and the budget – in the overall context of making the best use of resources allocated to communication work.
110. Seven key target groups were identified as follows: steering committee; the Dams and Development Forum members; water-related government agencies of countries dealing with large dam-building plans; stakeholder groups active in national follow-up and follow-up programmes; relevant stakeholder groups not yet associated with the Dams and Development Project programme; the wider dams and development community represented in the dams' contact database; and the general public media.
111. The interactive website, newsletters, information sheets, e-bulletins, PowerPoint presentations, help desk facility and publication of reports and proceedings of meetings were the main communication tools employed in operationalizing the communications strategy. Some brief comments on them follow.
- (i) **Website**
112. The Dams and Development Project website is central to the networking element of the work programme and to its communication strategy. Accordingly the Dams and Development Project website is used to communicate and exchange information with

interested parties who have access to internet. It features the Dams and Development Project follow-on activities and publications, examples of good practice and lessons learnt, a knowledge base and information on the WCD report, including an overview and reactions to the report.



113. The basic configuration of the site was established while the Project secretariat was located in Cape Town. Upon relocation to Nairobi in April 2003, the site was hosted by UNEP Division of Communications and Public Information that also provided technical support. The Dams and Development Project successfully redesigned its website to conform with the UNEP internet guidelines and the new version was launched on 16 April 2004.



114. The home page provides direct access to relevant information concerning the four main elements of the work programme – dialogue, networking, dissemination and exchange of experiences on good practice and lessons learnt. Further relevant sources of information for specialized and general public are through the *About the Dams and Development Project*, *Publications* and *Frequently asked questions* links. The upper banner, which heads all website pages, follows UNEP standards concerning content, layout and style. It incorporates the search engine to retrieve information contained in the website.
115. The configuration is periodically being updated and improved in order to accommodate to the activities of the project and its outcomes, which provide a continuous input of information to the site. Using ASP scripting technology and running on Microsoft SQL, the DDP website is fully automated with a web-based content management system. The UNEP-DDP events calendar and experiences and lessons learnt systems have also been integrated. During January to December 2004 the number of accumulated visits to DDP website amounted to 90980 and while total page views reached 317676.

(ii) Newsletters

116. Six issues of the Dams and Development Project newsletter, *Confluence* Nos 1–6, were published by the Project covering the period November 2001 to December 2004 on a quarterly basis, with the exception of issues 5 and 6 which were merged into one volume. The newsletters were mainly devoted to informing the wider community represented by the Dams and Development Project contact base about the activities and outputs achieved during the preceding quarter. The substantive sections comprised: brief editorial remarks; summary progress reports of the four elements of the Project work programme; briefings of country, regional and global dialogue activities; summaries of meetings convened by

the Dams and Development Project, comprising steering committee meetings, Forum meetings and issue-based workshops; and descriptions of events with Dams and Development Project participation. Supplementary sections featured personal remarks from Project staff members and other personalities, and a calendar of dam and water related events, among others. The newsletter was distributed through email to all on the Dams and Development Project mailing list and by standard mail.



(iii) PowerPoint presentations

117. Slide presentations of the WCD process and outcomes as well as of the Dams and Development Project establishment, goals and activities were made at a significant number of national and international events. A master presentation compiled during the second semester of 2002 was used as a basis for continuous updating and tailoring according to the nature of the audience addressed in each event. A continuous showing of the PowerPoint full presentation was made whenever the Project was able to organize an exhibition associated with major events like the Dams and Development Forum meetings and relevant international conferences. The master presentation comprised an introduction dealing with the water resources context and dams, a brief summary of the WCD process and outcomes, background to the Dams and Development Project establishment, goal, objectives, work programme, organization and institutional set-up, and presentation of national and regional initiatives, including Project strategy, common elements and expected results from the dialogue processes.

(iv) Information sheets

118. As part of the communications tools envisaged by the communication strategy, the Project produced a set of information sheets (labelled *infosheets*) designed to further support the networking activities among diverse stakeholders involved in the dams debate. They are intended to provide information about the Project as well as illustrate the main activities and outputs resulting from dialogue follow-up activities. These materials have been widely distributed at national and international events and upon request through the help desk facility. Table 3 (page 48) indicates the published information sheets while annex IX provides additional details on their content and the adopted structure of published and planned information sheets.

Table 3 Dams and Development Project published information sheets

Theme	Status
Statement of objectives and work programme	Published
Dams and Development Forum	Published/Updated
National multi-stakeholder dialogues	Published
South African multi-stakeholder dialogue on WCD report initiative	Published/Updated
Viet Nam dialogue on dams and development	Published/Updated
Nepal multi-stakeholder dialogue on dams and development	Published/Updated
SADC consensus process on dams and development	Published/Updated
Defining comprehensive options assessment and identifying challenges and opportunities	Published
Guidelines for translations	Published

(v) Presenting the Dams and Development Project at international meetings

119. As part of its networking activities to raise awareness of the goal and objectives of the Dams and Development Project and to promote transparent discussion and enhanced mutual understanding among all parties in issues related to dams and development globally, the secretariat staff and other resource persons attended a significant number of international, regional and national meetings. The full description of the events with the Dams and Development Project participation is attached as annex X of this report.



120. In many cases the Project secretariat made presentations of the WCD process and the Dams and Development Project establishment, goals and activities, tailoring the contents to the nature and objectives of the host events. This participation also provided opportunity for dissemination of the WCD final report, overview, Spier report and CD ROM as well as the Dams and Development Project materials comprising proceedings of the Forum meetings, issues-based workshops and information sheets, thus contributing to the successful achievement of the dissemination element of the Project work programme.

B. Reactions to the WCD report

121. The networking element of the Dams and Development Project work programme included posting the WCD report on the website, as well as reviews of reactions received (www.unep-dams.org). The report of their analysis prepared by the Dams and Development Project secretariat is attached as annex XIII and is also accessible on the website. The goals of the analysis were to systematically review the reactions to the WCD report in the Dams and Development Project files and to assist in understanding the perspectives of various stakeholder groups, and thereby influence the Project's approach and work programme. A total of 117 reactions were considered, most from professional associations and non-governmental organizations. A summary of the findings of the report and the reactions can be found in the Dams and Development Project interim report (November 2001– March 2003) and is also available on the website.

C. Looking forward

122. According to the evaluation report that reflected the opinions of steering committee and Dams and Development Forum members, the Dams and Development Project has performed well in information networking. The Project has helped disseminate information on new, current and other Project initiatives. It helped interested parties to participate in initiatives relevant to the WCD report, and to gain access to information, technical support and funding. The Project provided access to a range of materials related to WCD. Information on the use of the WCD report has been satisfactory. The website was considered good, although the secretariat has been slow in posting materials about recent meetings. The Project has been effective in providing a central point for reactions to the WCD report and for multi-stakeholder positions. Stakeholders have been able to present their work and information. The reports, information sheets and newsletters were considered very informative.
123. There is, however, room for further development and improvement. The external assessment highlighted some aspects that need to be strengthened in future to provide a quicker response and attain a more efficient and wider outreach. The website in particular offers opportunity for improvement. The set of information sheets needs to be completed as planned and even extended to other issues relevant to the dams debate. A second phase will give the Dams and Development Project secretariat the opportunity to take stock from experiences and lessons learnt emerging from phase 1, and enhance the implementation of this relevant activity.

IV. Dissemination and awareness raising

A. Focusing on the needs

124. Meaningful participation requires that information is available in formats, styles and languages that can be easily accessed by all stakeholder groups, particularly the most disadvantaged. In order to succeed in promoting multi-stakeholder dialogue on the WCD core values at country level, the dissemination of the WCD report and related materials and their availability in a wider range of languages was established as one of the key components of the Dams and Development Projects work programme. To this end the Project was entrusted with ensuring that the outcome of the WCD process was disseminated as broadly as possible and made available in local languages and formats that enhance its impact. This included: distributing the WCD report, overview, CD Rom, knowledge base and related products, including the views expressed at the third WCD Forum, and other stakeholder responses; overseeing and assisting in the translation of WCD materials into different languages; communicating and coordinating information dissemination at events and meetings; and facilitating attendance by, for example, former commissioners and senior advisors as resource persons.
125. In addition, as the Dams and Development Project activities developed and publications and materials were produced, these added to the dissemination effort of the Project.

B. Disseminating WCD materials

126. The WCD report remains available through the publishers, Earthscan, the Dams and Development Project secretariat for those in developing countries who otherwise would not be able to purchase a copy, on CD ROM and through the WCD archive and the Dams and Development Project websites. Related materials, including the WCD overview, Spier proceedings and full knowledge base are also available on CD ROM and through the web. The CD ROM has proved to be a popular medium for dissemination with over 17,000 copies being distributed at meetings and by post to date.

Table 4 Distribution of requests for WCD and Dams and Development Project materials by region

Region	%
Central America	5.8
Central Asia	1.0
East Africa	3.8
East Asia	5.8
Eastern Europe	1.9
North Africa	1.0
North America	19.2
South America	11.5
South Asia	11.5
Southeast Asia	4.8
Southern Africa	4.8
Pacific	4.8
West Asia	1.0
Western Europe	23.1
Total	100.0

127. Dissemination activities continued actively after relocation of the Project to Nairobi. Up to the end of September 2004 the most requested items have been the WCD CD ROM (2,100), the overviews (1,400) and the WCD report (240). Table 4 (page 50) illustrates the regional distribution of the WCD and the Dams and Development Project materials, on the basis of the records of requests kept by the secretariat. Most requests came from Western Europe and North America, followed by South America and South Asia. Almost all regions in the world have accessed the Dams and Development Project requesting these materials. Non-governmental organizations and research organizations have been the main groups requesting materials.

C. Disseminating the Dams and Development Project materials

128. The Dams and Development Project publications and information materials comprise:

- Proceedings of the first, second, and third Dams and Development Forum meetings;
- Proceedings of the issues-based workshops on comprehensive options assessment, financing dams and sustainable development, addressing existing dams and ensuring compliance (See annex VII);
- Interim progress report (November 2001–March 2003);
- External evaluation report (February 2004) (See annex VI);
- *Confluence* newsletter issues No 1 (June 2002) to Nos 5 and 6 (December 2004);
- Information sheets (See annex IX).

129. The Dams and Development Project newsletter, *Confluence*, is distributed in hard copy and electronically to various destinations registered in the dams contact database.

D. Translating WCD materials

130. The Dams and Development Project was committed to translating the WCD materials as part of the dissemination element of the work programme. Translating the report or overview provides some challenges, not just because of the normal difficulty of interpreting one concept into other languages where precisely comparable words do not exist, but also due to the different perceptions that various groups have of the meanings of certain phrases or recommendations. The deficiencies of the original translation of the WCD overview into Hindi highlighted these problems and it has been a lengthy process to prepare a revised version. Similarly, the initial draft Thai translation was contested and steps were taken to ensure a comprehensive review by people from different backgrounds.



131. In light of this experience, the Dams and Development Project has developed guidelines for translations that incorporate the element of peer review by representatives of key stakeholder groups as a necessary step to ensure that the resulting text interprets the original in English with reasonable accuracy. In this regard, an information sheet providing guidance on how to carry out translations into local languages according to the Dams and Development Project prescriptions is available upon request (ddpinfo@unep.org) or on the Project website.

132. As a United Nations agency, the focus of translation activity is on official United Nations languages (Arabic, Chinese, English, French, Russian and Spanish) and these are supplemented in countries where there are major plans for new dams and these languages are not sufficient to reach out to most of the stakeholder groups, for example, when they require Portuguese, Thai, Turkish and Vietnamese. The policy for translation adopted by the Dams and Development Project involves translating the Spier report whenever the full WCD report is translated. In the case of languages where only the WCD overview is translated, an English version of the Spier report on CD ROM is to be circulated.

(i) Status of translation of WCD materials

133. The WCD materials involved in the translation efforts are the final report, overview and Spier proceedings. The phase 1 work programme included an ambitious plan of translations that did not materialize due to funding and time limitations. The current situation with regard to the key documents is briefly described in subsections (ii)–(iv). While carrying forward its own translation plans, the Dams and Development Project has collected and updated information on translation of the WCD materials into local languages through locally-based efforts. Reference is made to the translation of the WCD overview and in some cases main chapters of WCD final report carried out in some countries, including Cambodia, Pakistan, Poland and Sri Lanka, among others.

(ii) WCD final report

134. The report is available in four languages: Chinese, English, Spanish and Vietnamese. Translation into French and Russian could not be carried out during the first phase and should be prioritized in future plans. Hindi, Japanese and Portuguese are other relevant languages to be considered.

(iii) WCD overview

135. The overview is available in fifteen languages: Arabic (not printed), Chinese, English, French, German, Hindi (revised version),³ Japanese, Polish, Portuguese, Russian, Sindhi (carried out by the Pakistan national process), Spanish, Thai, Urdu and Vietnamese. Translation into Nepalese and Turkish are the next steps in the process of making the overview available to relevant audiences.

³ The South Asia Network for Dams, Rivers and People (SANDRP) contributed to the review of this translation.

(iv) Spier proceedings

136. The proceedings of the third WCD Forum meeting, which include reactions to the WCD report, are available in three languages: Chinese, English and Spanish. Future translation of this report should follow the same pattern adopted for the WCD final report.

E. Filling the gaps

137. The evaluation report indicated that the Dams and Development Project played a significant role in promoting the dissemination of WCD materials, which was also effective in keeping alive the commission's main messages among the water policy community. Furthermore, it was acknowledged that concerted efforts should continue to be made to actively disseminate the WCD materials to governments, the industrial sector and the professional community. The Dams and Development Project steering committee members also expressed a wide range of perspectives and views with regard to dissemination noting that further efforts to disseminate WCD material and successful WCD follow-up activities are still required. In this regard, governments were singled out as priority targets to which future dissemination efforts should be directed.
138. As regards translations, financial and subsequent time constraints affected plans to translate the WCD report into local languages. Steering committee members expressed a range of opinions on the issue of translations. Some members believed that translations could be carried out on a country-specific basis (and focus on country-related funding). It was also pointed out that the focus on United Nations official languages should still be pursued as a general secretariat task. Furthermore, it was suggested that the Project should disseminate WCD and the Dams and Development Project materials (for example, information sheets) and that translations into different languages (French, Hindi, Portuguese, Russian) and local languages should be pursued, following the stipulated Dams and Development Project peer review approaches.

V. Good practice: examples and lessons learnt

A. Focusing on the needs

139. The Dams and Development Project was entrusted with facilitating the flow of information and advice concerning initiatives relevant to dams and development. The fourth component of the Project's work programme relates to sharing information on experiences, practice and tools relevant to the use of the WCD report and bringing them to the attention of the broader community. In fulfilment of this role, the Dams and Development Project developed a web-based database for experiences and cases of good practice and lessons learnt, as they relate to dams and their alternatives, which was made operative in October 2002. To date 48 submissions, as indicated in the table in section C, can be accessed on the Dams and Development Project website and additional ones are being processed. See annex XI for further information.

B. Web-based database

140. The web-based submissions interface can be accessed directly at the following website: <http://www.unep-dams.org/goodpractice.php>. The submissions cover one or more specific components of an overall process or project. They are associated with one or more of the seven WCD strategic priorities which are used as a framework for the submissions database. The person submitting information can upload it directly into the Dams and Development Project web-based database or, if preferred, complete a word template and submit it by email or post. A facility is provided for others to comment directly on the web submissions, in pursuance of an interactive approach to discuss the posted information. Related information such as papers, reports or illustrations can be attached to the submission to provide more detail, if available.

FORM FOR SUBMISSIONS OF RELEVANT EXPERIENCES & LESSONS LEARNT	
1. Name of submitter	
2. E-mail address of submitter	
3. Title of project or study	
4. Year (or Years) when the case study or experience took place	
5. Name of dam (if applicable)	
6. Name of river (if applicable)	
7. Country(ies) where dam, project, or study is located	
8. Choose the Strategic Priorities of the WCD which are most relevant to your example (Number 0-6)	<input type="checkbox"/> Ongoing Public Awareness <input type="checkbox"/> Comprehensive Options Assessment <input type="checkbox"/> Addressing Barriers to Action <input type="checkbox"/> Financing, Design and Life-cycle <input type="checkbox"/> Empowering Stakeholders and Sharing Benefits <input type="checkbox"/> Planning, Compliance <input type="checkbox"/> Sharing Experiences for Peace, Development and Security
9. More information on the WCD database: www.unep-dams.org/goodpractice.php (0-1/05)	
10. Why do you consider this worthy to be included in the database. Provide a short summary.	
11. Abstract / Summary	
12. What are the main lessons learnt from the example?	
13. Agreement to consistency with any national or international guidelines or policy, including WCD Policy Principles	
14. Submission of any other relevant information (add, delete or attach as appropriate)	

Figure 6 Template of form for submission of examples

141. Figure 6 shows the template to be used. It requires the details of the person submitting, a summary of the example, the lessons learnt and identification of what WCD strategic priorities and other policy principles the example was associated with.

C. In search of the examples

142. The Dams and Development Project secretariat has been vigorously engaged in the process of expanding the contents of the database to ensure that it becomes a valuable and powerful tool for the exchange of ideas on good practice. A systematic review of possible sources of examples has been conducted and requests for submissions have been sent out to a large number of potential contributors. These include experts currently directly involved with the Dams and Development Project activities, such as the issues-based workshops, or who have contributed to the WCD knowledge base, as well as other potential submitters identified from various media.
143. Although the process was designed to minimize effort on the part of the person making the submission, a key obstacle to be overcome by the Dams and Development Project secretariat was motivating a prospective contributor to prepare and complete a submission. In response to this, the secretariat also undertook the task of completing the submission template on behalf of the author. In this case, the potential author sent the corresponding paper or relevant briefing documentation to the secretariat. Upon completion of the draft submission template, it was sent back to the prospective authors for them to check the content and wording before it was uploaded onto the website database. The experiences and lessons learnt system has also been incorporated into a fully automated web-based content management system.

D. Learning the lesson of looking for lessons learnt

144. The external evaluation report, published in February 2004, suggested that the role of the Dams and Development Project in the exchange of ideas on good practice had remained limited and that a balanced approach should be taken to integrate both good and bad practice, as people learn as much from failures as from successes.

Table 5 Submissions on experiences and lessons learnt by country or region as of December 31 2004

Strategic priority	Number	Country or region
1 Gaining public acceptance	6	Canada, Japan, South Africa, USA
2 Comprehensive options assessment	10	Poland, South Africa, Spain, USA, Viet Nam
3 Addressing existing dams	7	Brazil, Mexico, Japan, South Africa, USA
4 Sustaining rivers and livelihoods	10	Australia, Japan, Kenya, Lesotho, Nigeria
5 Recognizing entitlements and sharing benefits	9	Japan, Thailand, Quebec
6 Ensuring compliance	3	Global application
7 Sharing rivers for peace, development and security	3	Japan

145. Steering committee members also had a range of perspectives and views with regard to the experiences and lessons learnt database – some suggested that the exercise should be phased out while others considered it useful but in need of improvement. It was also suggested that by focusing on success stories and examples on dam building and multi-stakeholder dams and development processes, the good practice and lessons learnt database would be transformed into a more useful tool to facilitate exchange of ideas.
146. Despite considerable efforts by the Project secretariat, many contemporary examples that are of interest have not been published and considerable encouragement is still required to obtain these as submissions. Furthermore, significant efforts are required to encourage more submissions, raising the value of the database and thereby encouraging others to share their experiences. Synergy should also be encouraged with other similar activities such as the toolbox developed by the Global Water Partnership on integrated water resources management.

E. Looking to the future

147. Further development of the database is proposed as a key element of the Dams and Development Project phase 2 work programme and should include the following aspects: experiences and lessons learnt, comprising good and bad practice; decision-making processes and relevant decision-making tools; and planning and management of dams and their alternatives. In actualizing this goal, the Project will strive for partnerships with relevant organizations in order to coordinate joint efforts and integrated approaches with the objective of establishing a jointly-operated system of experiences, practice and lessons learnt on dams and development.

VI. Governance

A. Dams and Development Project institutional set-up

148. In November 2001, UNEP established the Dams and Development Project in response to a request from the final meeting of the WCD Forum. The Forum concluded that optimizing the impact of the WCD report⁴ required a range of actions beyond the initiatives of individual stakeholder groups. There was general consensus that the international nature of the process so far needed to be disseminated at country and institutional level, taking the debate further through local multi-stakeholder processes.
149. The request took into account the promising role of UNEP in providing information to promote national and local multi-stakeholder processes, particularly among developing countries and countries with economies in transition and in catalysing United Nations agencies and other stakeholders. UNEP was considered to be an appropriate body to programmatically link the Dams and Development Project activities with current global water processes, such as the Global International Waters Assessment and the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities – the latter is based on the UNEP water policy and strategy which was approved by the UNEP Governing Council (decision 21/11) at its twenty-first session.
150. The Project was implemented based on three important guiding principles:
- (a) There should be no attempt to renegotiate the content of the WCD report. The report stands as it is and represents the views of the WCD Commissioners;
 - (b) Stakeholders will promote appropriate local processes to review and work with the report; and
 - (c) Lack of complete agreement with the report's policy guidelines should not be an impediment to moving forward, through appropriate local processes, to render operational the core values and strategic priorities.

⁴ The WCD report, launched in November 2000, was widely acknowledged as a significant contribution to the debate on dams. At the same time, the report did not settle all controversial issues surrounding water and energy development. There has been a wide range of responses to the report. There was general agreement that the rights and risks approach, the five core values and the seven strategic priorities provide a good framework, while some groups expressed reservations on the policy principles and guidelines. It was acknowledged that the report provided a basis for moving the discussion forward, even if there may be debate on the precise nature and detail of the implementing mechanisms. The need to develop locally-appropriate implementation mechanisms was foreseen in the report. The Commission recognized that its report would be a starting point for discussions at the local level, which should ultimately lead to agreements on how existing procedures need to be adapted.

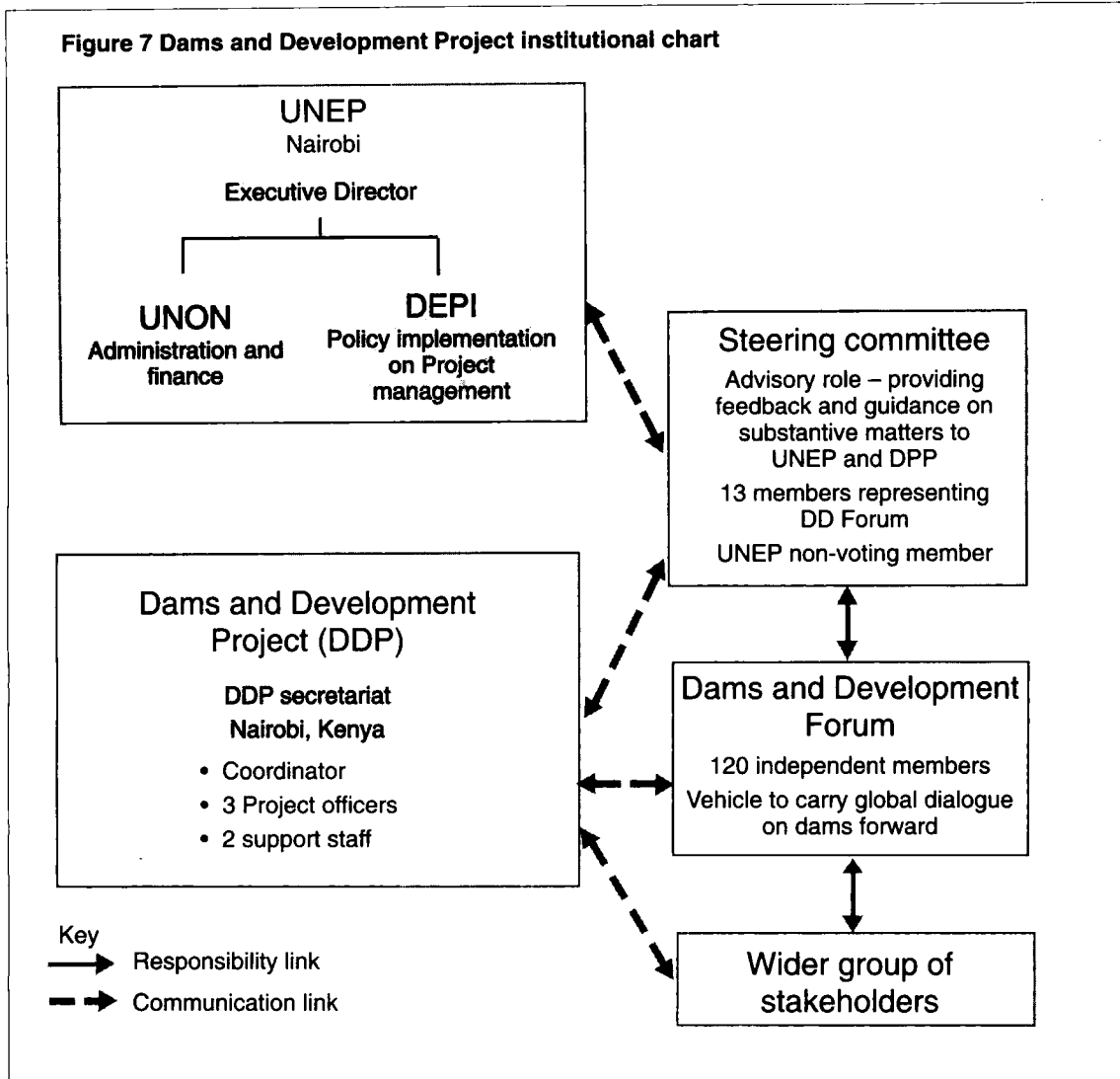
151. It was deemed critical that the Project should promote multi-stakeholder involvement in its activities. The key stakeholders with whom the Project would interact were:

- *Governments:* through response to requests for assistance, including facilitation and promotion of broad-based involvement in discussions concerning national-level implementation of the WCD core values and strategic priorities (including water and energy ministries, planning, finance, environmental and socially-oriented ministries and departments);
- *Multilateral and bilateral funding agencies:* as requested through their own water and energy-related activities and through support to country-level dialogues, capacity-building and ensuing initiatives;
- *Private companies and financiers:* in terms of their corporate policies and application of best practice;
- *Grassroots organizations and Project-affected peoples' groups:* for example those involved in decision-making processes concerning individual dam projects;
- *Non-governmental organization networks:* in particular to assist in promoting dissemination of the report and its messages; and
- *Professional associations:* through their guidance in the fields of hydropower, irrigation and drainage, water supply, and in relevant fields of research and training.

152. The Dams and Development Project was originally established for a period of two years that was later extended to 33 months. An initial agreement was reached to establish the Dams and Development Project secretariat in Cape Town where physical infrastructure was available. Following the initial start-up period and establishment of the work programme, UNEP decided in July 2002 to relocate the secretariat office to Nairobi as of 1 April 2003. Phase 1 activities were formally concluded in July 2004.

153. The Dams and Development Project was established under a general agreement that it should have the same attributes of balance, objectivity, transparency, accountability and multi-stakeholder representation that were characteristic of WCD. In this regard, the overall implementation structure of the Project is depicted in figure 7 (page 59). The important responsibilities of bodies involved are detailed in the following sections B–D.

Figure 7 Dams and Development Project institutional chart



B. Under the umbrella of UNEP

154. UNEP is a non-voting member of the steering committee and its role is to promote programmatic links between the organization and the steering committee. This relationship provides for the distinct advisory role of the steering committee to UNEP, which bears the ultimate responsibility for the Project.
155. The UNEP Division of Environmental Policy Implementation represented UNEP in the steering committee and ensured effective implementation of the Project in the context of the UNEP work programme, including the water policy and strategy. Taking into account the programmatic linkages of the Project to UNEP work programmes, the Division of Environmental Policy Implementation also promoted coordination between Project activities and work programmes of other divisions in order to create mutual benefits and programmatic linkages. The Division also played a leading role in contacting, consulting and collaborating with key Governments concerning Project activities.

C. Steering committee

156. The steering committee was established to provide advice on substantive matters to the Executive Director of UNEP regarding the Project and represents the wider Dams and Development Forum. It comprises 13 voting members representing the following stakeholder groups: indigenous people, affected people, government (bilateral agencies), government agencies (project, basins), developing country government agencies (policy related), international professional associations, multilateral agencies, international non-governmental organizations, other non-governmental organizations (advocacy), industry or the private sector, research institutions, operators and utilities, and institutions involved in non-dam options, in order to maintain the multi-stakeholder character of the Project. UNEP is a non-voting member of the steering committee, represented by the Director of the Division of Environmental Policy Implementation.
157. The steering committee was responsible for providing policy advice to UNEP Executive Director in implementing the overall work programme of the Dams and Development Project, reflecting the objectives and guidance given by the WCD Forum meeting. The steering committee was responsible for the following:
- Providing advice to the UNEP Executive Director on the substantive content of the Project's work, through review of the Project's annual activity schedules and its criteria for priority setting and activity selection, and on issues of policy or substance that inevitably arose;
 - Ensuring that the multi-stakeholder consultative character of the post-WCD process was maintained;
 - Convening meetings of the Dams and Development Forum, and reporting back; and
 - Contributing to the flow of information between Dams and Development Forum members and the Dams and Development Project secretariat, ensuring that the steering committee advisory function to the Project incorporated the views of the respective Forum members.
158. A list of the members and their affiliations is given in Table 6 (page 61).
159. The 14 members of the steering committee have been closely involved in determining the direction of the Dams and Development Project and ensuring a balanced and inclusive approach to its work. The steering committee held seven meetings during phase 1 and other means such as telephone conferencing and email were extensively used for regular communication. Annex IV provides a detailed description of the meetings and key issues covered. In general the atmosphere has been constructive and positive in working towards outcomes that are acceptable to its members. The committee works on the basis of sufficient consensus and has deliberately avoided a majority voting system. In this way, the committee provides an institutional model that is useful for others to consider in setting up dialogue processes. Many of the members have also appointed alternate members to assist in fulfilling their tasks and represent them at steering committee meetings if they are unable to attend. This arrangement has ensured excellent levels of participation and representation of stakeholder groups.

Table 6 Composition of the Dams and Development Project steering committee		
Category	Organization	Representative/s
Developing country Governments (policy)	National Water Agency (ANA) ^(A) / Vacant	B. Braga ^(A) / Vacant
Governments (project/basin level)	Lesotho Highlands Water Commission	R. Mochebelele ^(B) / L.T. Molapo
Bilateral agencies	BMZ, Germany	M. Konukiewicz
Affected peoples organization	Narmada Bachao Andolan	S. Dharmadhikary
Indigenous peoples	Tebtebba Foundation	J. Carino
Utilities, owners, operators	Hydro Quebec	J.E. Klimpt ^(C) / M. Truchon
Industry/private sector	Montgomery Watson Harza	R. Abdel-Malek
International non-governmental organization	IUCN – World Conservation Union	G. Bergkamp
International non-governmental organization (advocacy)	International Rivers Network	P. McCully
Multilateral agencies	World Bank	A. Palmieri
Professional organizations	International Hydropower Association	R. Taylor
Groups working on options	Winrock International, Nepal	B. Pandey
Research organizations	International Water Management Institute	L. Raschid-Sally
Host organization	UNEP	D. Kaniaru ^(D) / S. Tveitdal

^(A) B. Braga (ANA) participated until 3rd steering committee meeting inclusive.
^(B) R. Mochebelele (LHWC) participated until 4th steering committee meeting. Then L.T. Molapo (LHWC).
^(C) J.E. Klimpt (HQ) participated until 5th steering committee meeting inclusive. Then M. Truchon (HQ).
^(D) D. Kaniaru (UNEP) participated until 4th steering committee meeting inclusive and in subsequent meetings as a facilitator. S. Tveitdal (UNEP Division of Environmental Policy Implementation Director) participated from the 5th steering committee meeting inclusive.

D. Dams and Development Forum

160. The Dams and Development Forum is an independent body convened by the steering committee. The steering committee is broadly representative of the Forum and, in providing guidance to UNEP on implementation of the Dams and Development Project, individual steering committee members are influenced by both the discussions of the Forum as a whole and the views of their respective Forum constituencies. Although some individual steering committee members are able to represent the views of the organizations within their respective stakeholder categories, this is not universally possible due to the diverse nature of some of the Forum constituencies.
161. The Dams and Development Forum was established during the first phase and includes representatives of the 13 stakeholder categories represented by the steering committee.

Membership is limited to ten organizations per category in each stakeholder group except in the case of government categories (policy, project/river basin and bilateral export/credit) which remain unlimited, to promote more active participation of Governments and government agencies in the Project. This reflects the changed nature of the work from that of policy development under WCD, to dissemination, outreach, contextualized integration and policy implementation at national and regional levels. Dams and Development Forum membership has been enlarged to 120 member organizations from 40 countries during the first phase of the Project.

162. In its third meeting the steering committee agreed on the following role for the Dams and Development Forum:
- To act as a platform for global multi-stakeholder dialogue on dams-related issues, including follow-up to the WCD report;
 - To exchange experiences and lessons learnt on operationalizing and implementing WCD core values and strategic priorities;
 - To act as a consultative body on key outputs of the Dams and Development Project;
 - To review the mandate of the Dams and Development Project to continue beyond 2004.
163. The Dams and Development Forum held three meetings, in 2002, 2003 and 2004. Annex V provides more detailed information on Forum membership and meetings, including a summary of main issues concerning the Dams and Development Project emerging from the discussions.

E. Dams and Development Project secretariat

164. At the time of the UNEP decision to relocate the Dams and Development Project secretariat to Nairobi, the staffing structure comprised five international professional staff and four local support staff. The secretariat as a whole was intended to cover the disciplines necessary for the execution of the work programme and reflect regional diversity. Table 7 (page 63) lists the staff that served the Project in both locations. The information indicates that the full complement of professional staff was not available until August 2002 and the relocation of the Project to Nairobi had a profound impact on staff composition, resulting in significant gaps in the coverage of posts.

F. Monitoring and reporting

165. The Project complied with reporting commitments established by the Project document (Interim progress report, April 2003, and final report, December 2004) and provided inputs to various regular reporting procedures requested by UNEP involving biweekly, quarterly and annual reports (for example, UNEP Link, Status of Decision of the Governing Council, Integrated Monitoring and Documentation Information System and Division of Environmental Policy Implementation intranet status report). Electronic bulletins in the form of email updates were sent every two months to steering committee

Table 7 Secretariat composition in Cape Town and Nairobi			
Position		Cape Town	Nairobi
Professional	Coordinator (L-6)	Jeremy Bird (until April 03)	Alberto Calcagno (from April 03 to date)
	Senior advisor (L-5)	Khin Ni Ni Thein (from August 02 to March 03)	Khin Ni Ni Thein (from April 03 to August 04)
	Senior advisor (L-5)	Alberto Calcagno (from August 02 to March 03)	Constance Hunt (from August 03 to August 04)
	Associate expert (L-2)	Pamela Wallace (until July 03)	Rene Nijenhuis (from September 03 to June 04)
	Associate expert (L-2)	Jackie Coetzee (from October 02 to March 03)	Wanjiku Kaniaru (from April 03 to date)
Local support	Administrative Assistant	Pamela Morris (until April 03)	Mary Muthamia (from April 03 to date)
	Financial assistant	Nadia Richards (until April 03)	Function provided by UNEP-DEPI FMO
	Communication assistant	Phumla Yeki (until April 03)	Rose Oloo (from May 03 to date)
	Network assistant	Jacques Coetzee (part-time until April 03)	Martin Wahogo (from April 03 to September 04) ^(A)
	Webmaster	Ian Fennel (part-time until April 03)	Martin Wahogo (from April 03 to September 04)
	Secretary	Thando Magadla (until April 03)	Masline Atieno (from April 03 to September 04)
	Librarian	Michel Cozien (part-time until March 03)	Function provided by UNON
^(A) IT support provided by UNON-IT and website support provided by UNEP Division of Communication and Public Information			

members and to Dams and Development Forum members. Financial progress reports were submitted to all steering committee meetings as part of the background documentation.

166. Based on the recommendations of the fifth steering committee meeting, UNEP, through its Evaluation and Oversight Unit, commissioned an external independent review of the Project seeking advice on a potential extension of the Project into a second phase. The evaluation report was published in February 2004. Self-evaluation factsheets have been prepared by the Project on an annual basis in compliance with UNEP requirements. Further to this, annex XIV presents the assessment of indicators of accomplishment established by the Dams and Development Project logical framework adopted by the fourth steering committee meeting.

G. Looking to the future

167. The external evaluation report rated the performance of the Dams and Development Project institutional and administrative frameworks as good. On average, the steering committee was found to be well-balanced and to have guided the Project effectively. The excellent attendance and participation of steering committee members demonstrate their commitment and the importance of the issues at hand. They are a diverse group with firm opinions, who have learnt to work constructively together for mutual benefit. Overall, the respondents felt that the Project secretariat did well in promoting dialogue initiatives at global and regional levels, as well as providing and disseminating information and technical and administrative support. The secretariat needs to be more pro-active in supporting and catalysing national and regional level dialogues, by compiling coherent summaries and reports reflecting the discussions held, in addition to producing the information sheets.



168. Most respondents appreciated the role of UNEP in supporting and facilitating the Dams and Development Project activities and believed it was essential for building confidence in the Project. UNEP has played a catalytic role in the establishment of the Project and provided an excellent opportunity to open a new phase in the dams dialogue. It provided an essential umbrella for the Dams and Development Project activities, providing the assurance of an inter-governmental body, expanding the diversity of stakeholders and keeping a neutral balance. In particular, UNEP provided an invaluable link with governments, industry, inter-governmental processes and civil society. UNEP support was very useful in terms of giving political momentum to the Dams and Development Project and broadening international governmental interest in the WCD report. The evaluator recommends that the Dams and Development Project secretariat should continue to be located within UNEP (recommendation 4) and that the secretariat needs to become more focused, streamlined and cost-effective, in line with the revised objectives and priorities. This reorganization would affect the size and composition of staff and allocation of tasks among them (recommendation 5).

169. Steering committee members debated extensively the composition of the committee, particularly as regards the participation of government (policy) representatives and the involvement of alternates. See annex IV for more details.

170. Taking into account these recommendations, UNEP has incorporated the following issues in the planning of a second phase.

(i) Government involvement

171. Active involvement of Governments at policy and decision-making levels is considered instrumental to the achievement of the Project goal and objectives concerning improved decision-making on dams and their alternatives. Accordingly, UNEP and steering committee members will seek to strengthen representation of Governments of developing

countries with large dam building plans in the steering committee and ensure effective participation of their representatives in the steering committee meetings. UNEP will further explore the interests of such countries in being involved in the Dams and Development Project activities and, more precisely, in the steering committee on a permanent basis.

(ii) Dams and Development Forum members' representation and involvement

172. The steering committee represents the wider Dams and Development Forum. In this regard committee members commit themselves to playing an active role in channelling the flow of information and promoting the active involvement in the Dams and Development Project activities of the Forum members of the corresponding stakeholder groups. In order to further strengthen such representation, nominations of committee members to fill vacancies or act as alternates will take into account the opinion of the respective Forum member organizations and give preference to their involvement.
173. In accordance with the Dams and Development Forum role and its inherent representation of the wider stakeholder audience concerned with dams and development, further involvement of Forum members in Project activities – particularly in national and regional multi-stakeholder dialogue activities and processes – and the Dams and Development Forum meetings will be sought with the collaboration of steering committee members.

(iii) Dams and Development Project secretariat

174. The Dams and Development Project secretariat will be restructured to improve cost efficiency by reducing the composition of the core professional and support staff located in Nairobi at the same time as outsourcing follow-up and facilitation activities to regional resource persons and UNEP offices.

VII. Finance report

A. Donors contribution

175. The table below summarizes income that has been confirmed according to Budget and Financial Management Services, United Nations Office at Nairobi. Including the additional pledges from Federal Ministry for Economic Cooperation and Development, Germany (BMZ) and Swedish International Development Agency (SIDA) received in response to the donor's meeting held in Geneva on September 2003, the total funds made available to the Project amount to 3,4 million dollars.

Source of funds	Pledged funds			
	2001	2002	2003	Total
BMZ (Germany)	485,683		265,793 ⁽¹⁾	751,476
GTZ (Germany) ⁽²⁾			21,088	21,088
DFID (UK)	780,624			780,624
British Dam Society (UK)	1,553			1,553
DGIS (Netherlands)		893,897		893,897
SDC (Switzerland)			293,764	293,764
SIDA (Sweden)	208,121	309,106	135,701 ⁽¹⁾	652,928
World Bank ⁽²⁾			8,000	8,000
Total	1,475,981	1,203,003	724,346	3,403,330
Notes:				
⁽¹⁾ New pledge additional to initial agreement				
⁽²⁾ Support to options assessment workshop				

B. Project expenditures until December 2004

176. The following table summarizes total Project expenditures 2001–2004.⁵

Table 9 Annual expenditures 2001-2004				
	2001	2002	2003	December 2004
Personnel component	20,481	480,089	780,808	615,469
1100 Professional staff	5,136	352,273	522,852	496,416
1200 Consultants (includes translations and editorial)	10,000	7,306	77,528	7,960
1300 Administrative support staff	5,345	66,903	65,892	76,221
1600 Travel on official business: staff, consultants	0	53,607	114,563	34,872
Sub-contract component (IUCN, web service, desktop publishing)	50,000	110,361	7,668	86,100
Training component Workshops, country dialogues, Forum and steering committee meetings	0	86,332	195,035	156,978
Equipment and premises component Expendable and non-expendable equipment. Office rent	0	24,184	17,952	9,735
Miscellaneous component Rental equip., Printing and publishing, phone, mail, office	0	30,737	150,949	61,999
Total direct cost	70,481	731,703	1,147,412	920,282
Programme support costs	0	49,326	119,142	103,135
Total cost of Project	70,481	781,029	1,266,554	1,023,417

⁵ 2004 amounts are provisional up to December 2004.

177. The following table reflects some features of the Project's final budget allocation:

Staff	1,552,752	50%
Activities	1,355,799	44%
Operation	183,777	6%
Direct cost	3,092,328	100%
Support cost	311,002	
Total cost	3,403,330	

C. Prospective funding for the second phase

178. As part of the planning of phase 2, the Dams and Development Project has sought support from the donor countries that have contributed to the trust fund established for phase 1. A draft Project document outlining the goal, objectives, activities and budget estimation resulting from the discussions tabled at the sixth and seventh steering committee meetings was submitted to donors' consideration as background information to support their financial decisions. At the time that this report was elaborated, Germany (BMZ), the Netherlands (DGIS), Sweden (SIDA) and Switzerland (SDC) had confirmed their contributions to phase 2, which sum almost reaches the estimated budget of the Project proposal.

VIII. Looking forward

A. Need for the second phase of the Project

179. At the fifth steering committee meeting in Geneva, in September 2003, a decision was taken to carry out an external independent evaluation of the Project to assess its current performance and the potential benefits of an extension beyond the initial duration established for the first phase. The external independent evaluation of the Dams and Development Project, commissioned to an independent, external evaluator by the UNEP Evaluation and Oversight Unit, at the request of the Dams and Development Project steering committee, was published in February 2003. The primary objective of the evaluation was to determine to what extent the Project had been successful in fulfilling its objectives and achieving expected results in a cost-effective manner – by reviewing Project impact, and the implementation of planned activities, outputs and outcomes. The evaluation would form the basis for a decision on the possible extension of the Dams and Development Project into a second phase beyond July 2004. The findings of the evaluation were based on the review of written documents, interviews with stakeholders, a comprehensive survey questionnaire, and comments received. The executive summary of the evaluation report can be found in annex VI and the full report can be accessed on the Dams and Development Project website.
180. The evaluator assessed that dams and development issues continue to have high priority in many countries, and recommended that efforts to address them must continue. In this regard he stated that a time-bound extension of the Dams and Development Project is justified to realize the benefits of the first phase and suggested that the original Project objectives needed to be carefully reviewed and fresh priorities determined if the mandate was to be renewed beyond July 2004. The report provided a set of recommendations to streamline the goal, objectives, work programme and governance of the next phase, including actions to improve the cost effectiveness of the Dams and Development Project secretariat.
181. On this basis, the steering committee members recommended to UNEP a two-year extension of the Project beyond July 2004. The steering committee also established a set of criteria to streamline the Project's second phase goal, objectives and activities and, at the sixth and seventh steering committee meetings, provided a range of comments that formed the basis for the elaboration of the phase 2 Project document. The Project document identifies the following needs to be considered as priorities:
- To improve decision-making, planning and management of dams and their alternatives at country and regional levels;

- To close the gap between reality and aspirations with regard to the implementation of WCD core values and strategic priorities at national, regional and global levels;
 - To enhance mutual understanding and consensus at the global level on outstanding controversial issues related to the role of dams and their alternatives in sustainable development strategies;
 - To make available practical tools to improve decision-making on planning and management of dams and their alternatives.
182. And accordingly the focus of the second phase emphasizes improving decision-making on dams and their alternatives through promoting dialogue on dams and development issues, and producing and facilitating tools to help Governments improve decision-making, based on the WCD core values and strategic priorities.

B. Road map

183. In defining the framework for the Dams and Development Project phase 2, the evaluation report recommended that country (and regional) processes should be the main focus of future attention, while maintaining the already successful global dialogue at a lower level of intensity.
184. The recommendations of the evaluation report were intensively discussed during the sixth steering committee meeting in London held on 21–22 April 2004. Steering committee members were given the opportunity to discuss issues concerning the goal, objectives, results and outputs of the second phase and to express diverging views on them, for example on the extent of Project involvement in national and global dialogue, the scope of future dissemination efforts, the nature of the example and lessons learnt database, the relevance of making a difference and aiming for tangible outputs. The importance of continuity was also emphasized, particularly with regard to the critical question of how much the second phase goals should differ from the first phase goals. Concurrence emerged that the second phase of the Dams and Development Project should aim to achieve some core visible results as outputs.
185. Following the discussions, consensus emerged on the shared basis for the Dams and Development Project phase 2, which consisted of the following key elements:
- Focus on improved decision-making;
 - Production of non-prescriptive tools to help decision makers;
 - Role as a Forum for sharing experiences on core values and strategic priorities;
 - Need for indicators of success;
 - Dissemination actions tailored to country or regional level according to set rules incorporating the Dams and Development Project processes;
 - At country level, application of selective criteria and focus on a few countries (less than 10) ensuring the involvement of current decision makers; and

- Need to take action to further engage Governments of key countries in the Project, the steering committee and the Dams and Development Forum.

C. Goal and objectives for the next phase

186. Further to agreeing on the shared basis for phase 2 of the Dams and Development Project, the seventh steering committee meeting in Nairobi, June 2004, provided further opportunity for members to discuss Governments' participation in the steering committee and to debate on whether the linkage of the phase 2 goals and objectives to the WCD core values and strategic priorities would be explicit or implicit. Since full agreement on the advice to UNEP about these issues could not be reached at that time, the Project elaborated the goal and objectives set out below. While taking into account the steering committee role, the goal and objectives reflect UNEP institutional approaches in supporting sound environmental management of water and energy resources for sustainable development, poverty alleviation and achievement of internationally-agreed development goals. Annex XII provides additional information on the needs, results and planned activities for phase 2 of the Dams and Development Project.

(i) Phase 2 goal and objectives

187. Based on the WCD core values and strategic priorities, the goal and main objectives of the second phase are to promote improved decision-making, planning and management on dams and their alternatives. The specific objectives are:

- To support multi-stakeholder dialogues at country, regional and global levels on improving decision-making on dams and their alternatives with the aim of engaging all stakeholders, with emphasis on governments;
- To produce non-prescriptive tools, drawing on all appropriate existing bodies of criteria and guidelines for planning and management of dams and their alternatives, to help decision makers.

188. To support these main objectives, the Dams and Development Project phase 2 will further:

- Strengthen interaction and networking among participants in the dams debate;
- Disseminate information on activities, processes and outcomes of national, regional and global dialogues on dams and development;
- Disseminate, tailored to countries and regions, the WCD report and the report of the third WCD Forum, and make available other stakeholders' responses;
- Facilitate the flow of information and advice concerning initiatives relevant to dams and development in partnership with other appropriate organizations.

D. Building the future by drawing on the past

Closing remarks by Svein Tveitdal, Director of the Division of Environmental Policy Implementation

189. I started to get fully acquainted with the Dams and Development Project upon taking over as Director of the Division of Environmental Policy Implementation and Division of Environmental Conventions Director in March 2003. From then on, I have witnessed and supported the efforts of the secretariat to carry forward the work programme challenged by the relocation of the Project offices to Nairobi, staff recruitment, financial constraints and the fact that the bulk of the activities and funds disbursements took place in late 2003 and 2004. The potential and the achievements of the Project, as demonstrated by this final report of phase 1, supported the recommendation to extend the Dams and Development Project into a time-bounded second phase. The external evaluator, the steering committee and UNEP collectively shared the view that dealing with policy implementation at national and regional level involves extended timeframes and continued capacity-building efforts in order to achieve success.
190. While the task completed was remarkable, the task ahead is equally impressive. Without abdicating the goals and objectives of the first phase, the Dams and Development Project intends to elaborate a practical tool to help Governments in their decision-making about dams. While the intention is clear, the scope and nature of the proposed handbook on improved decision-making, planning and management of dams will be a matter of detailed discussions and its elaboration will require intensive work. The role of the steering committee will be instrumental in this regard. We acknowledge with appreciation the guidance the committee provided UNEP during the first phase, which resulted in the Project's good performance, as rated by the external evaluator. We now look forward to an even stronger commitment to the Project, with committee members proactively bringing to the discussion the views of their constituencies and effectively advising UNEP to guide the Project successfully and efficiently in pursuance of the second phase goals.
191. UNEP highly values the multi-stakeholder platform that the steering committee constitutes in representing the wider Dams and Development Forum and at the same time recognizes the role of governments as decision makers in water and energy development matters. Therefore government participation in the steering committee and advice is essential to the success of the next phase. UNEP has therefore engaged in a process of building increased government involvement.
192. The continued support of the donors to the Project needs to be highlighted. They have contributed to all the first phase needs and have committed to support the second phase. While their contributions are most encouraging they underscore the associated responsibilities of the Dams and Development Project and UNEP.
193. Facilitating national and global dialogue, elaborating practical tools and supporting activities like information networking, dissemination and exchange of ideas on good practice, and lessons learnt are all elements of the major task of making a difference at country level in terms of improving policy implementation concerning dams decision-making. As Director of the Division of Policy Implementation, I am aware that the

Project makes a relevant contribution to the division mission and strategy. As UNEP manager I see clearly the synergies and linkages between the Dams and Development Project and other UNEP units and programmes. These started to strengthen from the moment that the Project was relocated to Nairobi. I have no doubt that these will further develop during the second phase, enhancing the decision taken by UNEP to incorporate some of the Project activities in its regular work programme of 2006–2007. In this regard, we can affirm that the exit strategy that the Project is committed to designing and implementing during the next phase to ensure the continuity of relevant activities has already been started at home.

Annexes

Dams and Development Project

PHASE 1 FINAL REPORT

Annex I

Statement of objectives and work programme

(Endorsed by the steering committee, 23 January 2002)

The Dams and Development Project (DDP) is a two-year initiative of the United Nations Environment Programme.

Goal

To promote a dialogue on improving decision-making, planning and management of dams and their alternatives based on the World Commission on Dams (WCD) core values and strategic priorities.

Objectives

Building on the dialogue of WCD and the core values and strategic priorities expressed in its report, the objectives of the Dams and Development Project (DDP) are to:

- Support country-level, regional and global dialogues on the WCD report and the issues it addresses with the aim of engaging all stakeholders, with emphasis on those not currently involved;
- Strengthen interaction and networking among participants in the dams debate;
- Support the widespread dissemination of the WCD report and the report of the third WCD Forum, and make available other stakeholders' responses; and
- Facilitate the flow of information and advice concerning initiatives relevant to dams and development.

The mandate of the DDP excludes it from taking positions or making judgements on individual projects or associated practices.

Work programme

The framework for the work programme contains four main elements that will be implemented according to documented and established criteria. In undertaking the work programme, the DDP will consult with the full range of stakeholders to understand their reactions to the report and their views on the way forward.

1. Promoting dialogue

The Project shall be entrusted with the task of catalysing and supporting efforts by the different stakeholders to consider and discuss the WCD findings and recommendations. Such support will be provided according to criteria to be established by UNEP with guidance from the steering committee.

Actions under this section shall focus on:

- Servicing the Dams and Development Forum (DDF) in a dialogue at a global level on issues related to dams and the WCD report and supporting the role of the DDF in encouraging the involvement of all stakeholders, including those with reservations on the report;
- Assisting broad-based national or sectoral processes, workshops and dialogues;
- Supporting such dialogues through financial resources, access to expertise, information materials and examples of approaches used successfully elsewhere;
- Facilitating the financing of multi-stakeholder processes; and
- Building on the dialogues and, upon request of governments and financing agencies, assisting in improving guidelines and criteria for dams and their alternatives in accordance with the WCD core values and strategic priorities.

2. Information network

The Project will disseminate information on new or current initiatives undertaken by others. It will help interested parties to participate in initiatives relevant to the WCD report, helping them gain access to information, technical support, and funding.

The Project will focus on:

- Establishing a communications and networking strategy with clearly defined priorities;
- Maintaining and updating an active website on WCD follow-up with appropriate links to other websites;
- Producing newsletters and other information updates to keep abreast of the status of WCD follow-up and implementation and the results of the various dialogue processes surrounding the report;
- Establishing a help desk for stakeholders to find information on issues related to the WCD report and keeping a record of the source and nature of the requests; and
- Documenting reactions to the report.

3. Dissemination

The Project shall be entrusted with ensuring that the outcome of the WCD process is disseminated as broadly as possible and made available in local languages and in formats that would enhance its impact. This includes:

- Distributing the WCD report, overview, CD-ROM, knowledge base and related products, including the views expressed at the third WCD Forum and other stakeholder responses;
- Overseeing and assisting the translation of WCD materials into different languages; and
- Communicating and coordinating information dissemination at events and meetings, and facilitating attendance by former commissioners, senior advisors, and so on, as resource persons.

4. Facilitating exchange of ideas on good practice

Sharing information on experiences, practices and tools relevant to the use of the WCD report and bringing them to the attention of the broader community.

Annex II

National dialogue chart

Preliminary proposal of indicators of success (process and outcomes) applicable to national ^(a) dialogues Note: All activities referred to are preferentially multi-stakeholder (MS) in nature tailored on a country basis.				
DDP INVOLVEMENT: GUIDANCE, TECHNICAL AND FINANCIAL SUPPORT, MONITORING ^(b)				
	Multi-stakeholder approach (MS)	Dialogue activity	Dialogue process	Consolidated local dialogue process
Stage	<ol style="list-style-type: none"> 1) Awareness about WCD and DDP 2) Awareness about need for improved decision-making agreed and internalized. 3) Consolidation of a leading key MS core group. 	<ol style="list-style-type: none"> 1) MS initial consultation workshop on WCD core values and strategic priorities. 2) Other type of activity dealing with dams and development. 	<ol style="list-style-type: none"> 1) Analysis of WCD core values and strategic priorities in the local context to assess conformities and gaps (scoping report). 2) Formulation of country level contextualized recommendations on policy and procedure to improve decision-making. 3) Convening of MS workshop/meeting to discuss and issue recommendations. 	Incorporation of recommendations into policy and regulatory framework.
Indicators of process and outcomes	<ol style="list-style-type: none"> (a) Representative stakeholder organizations and contact people identified (database) (b) Core multi-stakeholder group established. (c) Agreed goal, objectives and outcomes that aim to improve decision-making on the basis of a MS platform. 	<ol style="list-style-type: none"> (a) Core MS group actively involved in the organization. (b) Government involved in the activity/process. (c) Balanced participation of representatives of all major stakeholder groups in the activity. (d) Report of the meeting available. (e) Timeframe revised and agreed by stakeholders. (f) Other outputs available. 	<ol style="list-style-type: none"> (a) Coordinating MS body engaged in leading the process. (b) Government involved in the process. (c) Process, goals, outputs and timeframe agreed. (d) Minutes of meetings, decisions of the coordinating MS body. (e) Report(s) analysing the core values and strategic priorities in the local context available. (f) Recommendations on policy and procedures to improve decision-making endorsed by wide MS group. (g) Proceedings of workshops, reports from MS body meetings. Other outputs. 	<ol style="list-style-type: none"> (a) Recommendations formally received by government and other pertinent stakeholders. (b) policies formally incorporated into regulatory frameworks.

^(a) Might also be adapted to river basin regional dialogue activities and processes

^(b) In principle, technical and financial support will be primarily devoted to promote the initial stages of MS approach and dialogue activity, while DDP role will limit to monitoring of further stages. However, the nature of DDP support will be established on a case by case basis.

Annex III

Report on dialogue initiatives

A. Introduction

The promotion of national dialogue activities has been the main avenue through which the DDP pursued the achievement of its goal of promoting dialogue on improving decision-making, planning and management of dams and their alternatives. This is consistent with the views of UNEP Executive Director, Dr. Klaus Töpfer, considering that neither rejection nor strict implementation of the WCD report were viable strategies and that there was a remarkable degree of concurrence about using the core values and strategic priorities of the WCD report as a starting point for dialogue. In this context the Project strategy focused on encouraging inclusive, multi-stakeholder reviews to determine locally appropriate recommendations for policy and procedural reforms using the WCD five core values and seven strategic priorities as a starting point for dialogue.

As dialogue initiatives in various countries started to develop, some common needs and patterns became apparent within the local diversities. Drawing on them, DDP built a set of general criteria to guide the development of dialogue initiatives at country level. In most cases these initiatives could be classified into either dialogue activities or dialogue processes. The first group refers to one-time events where inclusive multi-stakeholder consultations, usually at national level, were convened to discuss the WCD core values and strategic priorities in the local context. The second refers to multi-stakeholder processes driven by a core group or coordinating committee mandated to bring forward the outcomes of the initial consultation into a time-bounded activity leading to the elaboration of situation analysis or scoping reports and the issuing of recommendations that would then be submitted to further discussion and endorsement in a wider multi-stakeholder gathering. Annex II depicts a simplified approach to both kinds of initiatives including the proposed associated success indicators.

In carrying forward these dialogue initiatives DDP look forward to achieving the following results:

- Raised awareness on WCD core values and strategic priorities;
- Discussion on country dams issues in a multi-stakeholder context;
- Promotion of a multi-stakeholder approach to the dams' debate;
- Review and analysis of the WCD core values and strategic priorities within the existing legal framework (scoping reports);
- Recommendation on policy and procedure to improve decision-making appropriate for local conditions;

The expected outputs of the dialogue process include: reports analysing the core values and strategic priorities in the local context, proceedings of workshops and the formulation of recommendations on policy and procedures to improve decision-making, endorsed

by a wide range of stakeholders, which are eventually incorporated into the national regulatory frameworks. The DDP provided support in various ways including guidance, resource persons, seed funding, assistance with translations and dissemination of both WCD and DDP materials at the workshops.

B. Brief description of most relevant DDP-facilitated national dialogue initiatives

The most relevant and promising dialogue initiatives facilitated and supported by DDP are briefly described below in terms of the country background, activities undertaken and challenges and opportunities. Further information and details on these and other initiatives are available on the DDP website. DDP has also been consulted by different stakeholder groups about convening national multi-stakeholder workshops in other countries like Belarus, Ghana, Islamic Republic of Iran, Lesotho, Mexico, Mozambique, Myanmar, Nigeria, Philippines and Uganda. Dialogue activities on WCD have also taken place driven by other organizations like, for example, IUCN in Pakistan, South East Asia and Western Africa.

1. Argentina

1.1 Brief description of the country setting

Argentina average water availability exceeds 22,500 cubic metres per inhabitant. However the non-uniformity of its annual and geographical distribution means about 75 per cent of the country is under arid and semi-arid climatic regimes and availability in some regions is well below the UNDP water stress indicator (1000 cubic metres per inhabitant). The La Plata river system, a three million square kilometre transboundary river basin shared with Bolivia, Brazil, Paraguay and Uruguay, provides 85 per cent of the total mean annual country surface runoff, equivalent to about 25,800 cubic metres per second. The region associated with this river system in Argentina concentrates the largest share of the country's population, urban development and economic activity.

Irrigation demands about 70 per cent of all surface and groundwater extractions, ahead of domestic water supply demands. The country has 125 irrigation areas that involve about 1.5 million hectares. Though this surface is only 5 per cent of the country's total arable land, its contribution to the overall agriculture production is significant, oscillating between 25 and 38 per cent. The need to increase water availability by regulating seasonal variations, to mitigate floods and droughts, and to generate hydropower has induced the construction of reservoirs and multipurpose dams in Argentina since the early 1900s. Initially Government efforts focused on the arid and semi-arid regions, fostering the development of irrigation areas but lately the focus has shifted to massive hydropower generation harnessing the large Parana and Uruguay rivers that drain the La Plata river basin flows into the Atlantic Ocean.

Today the country has built an important regulation capacity of about 90,000 million cubic metres, though in terms of total annual runoff this seems quite limited, being just above 10 per cent. Over 100 projects are operating, the majority of them devoted to multipurpose uses like irrigation, hydropower, industrial and domestic water supply, navigation and recreation. Major boosts increasing storage capacity took place during the 70s when large dam projects entered into operation (Chocon Cerros Colorados,

Salto Grande and others). The largest hydropower potential in Argentina is associated with the La Plata River basin systems (Bermejo, Parana and Uruguay rivers). Opportunities exist, however, in other rivers in the Patagonian region draining into the Atlantic Ocean (Colorado, Negro, Chubut and Santa Cruz). Currently hydropower accounts for about 30 per cent of total annual generation, thermal plants being the major sources of power generation in the country, the majority fuelled with natural gas. Two nuclear power plants are in operation.

During the last two decades, planning and building dams in the humid region through bi-national projects on the Parana and Uruguay rivers, in the context of increased awareness about social and environmental issues, have given rise to conflicts that led to the establishment of sector-specific environmental impact assessment procedures at the same time that technical and political decisions concerning the construction of such dams became progressively more influenced by them and more attentive to community demands.

1.2 Brief history of dialogue activities carried out

A first multi-stakeholder expert consultation meeting was held on 11 December 2003 in the conference room of the Ente Nacional Regulador de la Electricidad (ENRE, Dams and Development Forum member) in Buenos Aires. The meeting was attended by 32 experts representative of a relevant number of stakeholders including government, professional associations, non-governmental and research organizations to discuss WCD strategic priorities on the basis of a background document elaborated by the organizers.

The discussion of the five core values and the seven strategic priorities recommended by WCD was lively and expressed diverging views and sentiments. These discussions became the starting point for the second workshop and proved that:

- There was general consensus among experts about the significance of the matters addressed for the country;
- Bringing together sectors, antagonistic in principle, to exchange and share ideas in a field so prone to conflict in many areas throughout Argentina, was valuable;
- The core values and strategic priorities are in general terms widely accepted, though it is recognized that they should be analysed in detail in the light of local requirements, resources and standards;
- There is a will to set up a detailed discussion process on the seven strategic priorities.

Based on the consensus emerging from the first workshop and the existence of a “critical mass” of stakeholders willing to involve in the discussion, the Argentine Institute of Water Resources and the Argentine Society of Engineers convened, with DDP support, a second two-day workshop in Buenos Aires on 15–16 March 2004.

Various governmental and non-governmental organizations collaborated in organizing the second workshop that was hosted by the Argentine Society of Engineers in Buenos Aires. Over 60 participants from engineering, sociology, economy, law and anthropology areas representing indigenous peoples’ groups, academies, diverse non-governmental organizations (professional, environmental and advocacy) and national and provincial government officials, attended the meeting.

High-level representatives of the government, environmental area and the organizers delivered opening remarks. A presentation of the WCD process and the UNEP-DDP goals, objectives and activities by the Project coordinator ensued. The seven strategic priorities were then considered in plenary sessions, either individually or grouped in sets of two. In each session a coordinator introduced the subject, one or two invited panelists presented their views, a rapporteur summarized the discussions and a team of three professional moderators guided the debate and helped to outline concepts and recommendations.



On the second day, participants were divided into two groups to discuss key issues and proposals as well as the way forward. The final plenary session concluded with a general acceptance of the strategic priorities, identified particular topics and proposals within the range of issues addressed including public participation, planning at river basin level, education and raising awareness. The need for a more detailed analysis of the strategic priorities in the context of national and provincial regulatory frameworks was agreed upon.

The final report of the meeting (available in English and in Spanish at www.unep-dams.org) presents the recommendations that emerged from the discussions concerning the various WCD strategic priorities as well as the general conclusions and recommendations of the meeting.

1.3 Achievements and results

- Two national consultation workshops on the WCD core values and strategic priorities were convened, the second with DDP support.
- The second meeting involved a number of governmental and non-governmental organizations and a wide participation signalling the interest in establishing dialogue among groups with diverging views concerning the role of dams.
- The interest manifested at parliamentary level to promote an inclusive dialogue process following up the recommendations of the meeting is promising as regards the involvement of decision-makers who will play a crucial role in policy development and improvement.

1.4 Future developments: challenges and opportunities

The meeting highlighted participants shared will to delve deeply into consultation processes in Argentina. In this regard, IARH and CAI committed to disseminate the proceedings of both workshops to those involved in water resources, environment and energy policy decision-making at national level and to prompt them to form a working group to carry forward a consultation process throughout the country. It was also agreed to set up simultaneously, a “network of national and non-governmental organizations throughout the country” in order to extend the consultations to the provincial level. The chair of the Water and Environment Commission of the National Senate expressed interest in leading a dialogue process together with other government, private and civil society organizations.

2. Indonesia

2.1 *Brief description of the country setting*

In general, the climate of Indonesia is humid tropical with little variation, having relatively high humidity and heavy rainfall in the range of 1600–3000 mm per annum but during the dry season the available flows of water amount to only 790 cubic metres per second. This seasonal water shortage is greatly exacerbated by extensive deforestation. Almost 80 per cent of the total annual rainfall occurs between November and March, and during this period devastating floods can occur.

More than 200 dams have been built in Indonesia; 117 of these are considered large dams in accordance with ICOLD criteria. The total water demand of the country (1074 cubic metres per second) is currently used to support irrigation, domestic, municipal and industrial uses. At least 80 per cent of Indonesia's population of 215 million people lacks access to piped water. Water demand for food is rapidly increasing as a result of population growth. As the population grows, people crowd into urban centres seeking jobs. Expanding industrial activities in urban areas also results in increased demands for water and energy. While nine million hectares of land in Indonesia are considered suitable for irrigation, existing dams serve only around 700 thousand hectares. Hydropower potential in the country is around 78,000 MW, but only 4 per cent of this potential is currently harnessed while just over half of the population has access to electricity.

There is substantial pressure to build more dams to address current and future water and energy demands. The prospect of constructing additional dams in Indonesia is rife with controversy, however. Opponents of dam construction cite concerns about relocations of homes and villages, negative impacts on fisheries, increased national indebtedness, and environmental devastation which could occur should the country choose large dams as the primary strategy for addressing water and energy demands.

2.2 *Brief history of dialogue activities carried out*

On 8 May 2002, the Indonesian Coordinating Minister of Economic Affairs issued a position paper on behalf of the government of Indonesia to the Jakarta resident missions of the World Bank, Asian Development Bank, and Japan Bank for International Cooperation. The position paper stated the following:

- Indonesia still sees dam development as an important option in water resources development;
- Indonesia cannot guarantee strict adherence to the five critical decision points and the 26 guidelines as formulated by the WCD and would rather modify and or formulate detailed guidelines for development itself whereby the WCD guidelines may serve as a reference for formulation; and
- The Indonesian Government would set up a team or commission to establish guidelines for dam development in Indonesia.

In October 2003, the Indonesia committee on Large Dams (INACOLD) issued a position paper on the WCD report which reiterated the importance of dam construction to development and poverty alleviation in Indonesia and emphasized the organization's commitment to public participation in every stage of development. The paper referred to the WCD core values but did not contain any commitment to the implementation of WCD recommendations. Instead, it included a description of national water strategy

and policy, and of the stages in the Indonesian decision-making process on the construction of new dams (see INACOLD position paper in the annexes).

Indonesia's parliament passed a new water law in February 2004. With 97 articles compared to 17, the new law expands substantially on the previous water law. The characteristics of the new law include the following:

- Rather than primarily focusing on construction of water infrastructure and irrigation networks, the focus of the new law is on management, or the provision of conditions for sustainable water resources management;
- The law aims to integrate water management in all its aspects, for example, surface and ground water, quantity and quality, and it bases water management on a river basin approach;
- Stakeholder participation in all aspects of water resources development and management is emphasized, including the need for effective, efficient and transparent governance;
- Social and economic functions and values are integrated. Water is treated as a scarce commodity and the option to incorporate the market sector is opened.

On 24 March 2004, UNEP-DDP made a presentation on the history of WCD and the content of WCD's strategic priorities, following opening presentations by the Minister of Settlement and Rural Infrastructure, Dr. Ir. H. Soenarno and Director General of Water Resources Dr. Moch Basuki at the annual meeting of the Indonesia National committee on Large Dams (INACOLD). This presentation was followed by discussion and a presentation on the INACOLD position on WCD by Bambang Kuswidodo, Chairman of INACOLD. A second, multi-stakeholder meeting is anticipated, but the dates for the second meeting have not yet been set.

The following day, INACOLD and the Indonesia Water Partnership hosted the first multi-stakeholder meeting on dams and development in Indonesia, which was supported by UNEP-DDP. One hundred people representing government, the private sector, non-governmental organizations, indigenous people and the press attended the meeting. UNEP-DDP presentations on the history and strategic priorities of WCD and on the DDP supported national dialogues were followed by discussions in English. During the afternoon, Dr. Ir. Sutardi presented the Indonesian government's draft position on dams and development, followed by discussion in Indonesian.

2.3 Achievements and results



As a result of the first multi-stakeholder meeting on dams and development, it was recommended by the Indonesian Water Partnership, the Directorate General of Water Resources and the Indonesian Water Partnership that the following suggestions from the dams and development dialogue be incorporated into Indonesia's draft policy for development and management of dams:

- The public consultation meeting process should be defined and agreed by multi-stakeholders and standardized;
- Decision-making processes on each step of dam development should be clearly defined and agreed by multi-stakeholders;

- Needs assessment should be integrated with the available or existing regional development plan and a spatial planning of the region;
- Need to consider social and natural system in planning stage;
- Need to involve community at all stages of dam development and management;
- A greater attention and concern from stakeholders should be given to condition of catchment areas of dams (existing and future). A partnership with concerned non-governmental organizations would be necessary to maintain sustainability of catchment areas;
- Social and cultural approach in gaining public acceptance should be considered in the process; and
- Improved human resources in term of quality and quantity is required for managing existing and future.

2.4 Future development: challenges and opportunities

The new water law is a framework law, with specific details to be hammered out in implementing regulations. Among the regulations yet to be drafted is the regulation on reservoirs, lakes and dams. The need for the government of Indonesia to draft this regulation provides an opportunity to influence the ultimate shape of the legal framework for decision-making on dams and their alternatives in Indonesia.

3. Kenya

3.1 Brief description of country setting

Kenya experiences immense climatic variability to the extent that droughts and floods have become more or less an annual occurrence. Kenya has also been classified as a chronically water scarce country having a mere 647 cubic metres, which is far below the globally accepted figure of at least 1,000 cubic metres per capita per year. Kenya is in this predicament as a result of many decades of sustained deforestation, poor land use practices and water resources pollution, among other factors. This phenomenon has led to increased flooding and siltation of reservoirs. If the trend continues, only 245 cubic metres per capita will be available to Kenyans by the year 2025. In this regard, aggressive measures are urgently required to mitigate against this situation.

The Government is therefore promoting water conservation through increased dam storage and storm water harvesting. Presently, the total storage capacity of dams in the country for domestic water is approximately 183 million cubic metres, which is hardly 20 per cent of the minimum requirement per year. The construction of additional dams and potential inter-basin water transfer schemes are feasible options being considered to reduce this gap over the next five years. Similarly, in the short to medium term, small dams and subsurface flow dams may constitute an alternative or complementary approach to large dam schemes and contribute significantly towards integrated management of both surface and groundwater resources in Kenya.

3.2 Brief history of the dialogue activity carried out

The national consultation workshop on dams and development was organized by a multi-stakeholder interim committee comprising the ministries of water resources, management

and development, regional development and national environment, the national management authority (NEMA), Maji na Ufanisi and the UNEP Dams and Development Project. In this regard, several meetings were held in the Ministry of Water Resources, Management and Development to discuss both the organizational and logistical aspects of the workshop. In addition, a briefing meeting was held with the Permanent Secretary in the Ministry of Water Resources, Management and Development prior to the workshop. The UNEP Dams and Development Project provided advice on the structure and agenda of the workshop, partial seed funding and access to both WCD and DDP information materials.



The first national consultation workshop on dams and development held on 15–16 April 2004 in Nairobi had the following main objectives:

- Raising public awareness on the WCD core values and strategic priorities amongst stakeholders;
- Reviewing the current situation of existing and planned dams in the light of strengthening the resilience of the country to cope with extreme climatic events in the context of integrated water resources management; and
- Promoting multi-stakeholder participation in contextualizing the strategic priorities within the Kenyan water resources context.

Approximately 52 participants representing a wide range of stakeholders attended the meeting. The Minister for Water Resources, Management and Development, Martha Karua, officially opened the meeting. In her speech, the Minister gave an overview of the current water sector reforms in Kenya and reiterated the commitment of the government to follow up on recommendations generated by the workshop with regard to improving the policy and regulatory framework concerning dams decision-making. Three presentations were also made outlining the WCD process and subsequent DDP follow-up initiatives, the role of dams in extreme climatic events in the context of integrated water resources management in Kenya and the policy and regulatory framework concerning dam decision-making. Five plenary sessions discussed the WCD strategic priorities followed by working group sessions and a final consolidation of key discussion points in plenary session.

3.3 Achievements and results

- Government representation through the ministries of water resources, management and development and regional development;
- Multi-stakeholder committee to be established with the Ministry of Water Resources, Management and Development as the lead agency to promote the dialogue on dams and development further in Kenya;
- Workshop proceedings elaborated for dissemination to a wider audience of stakeholders;
- Enhanced public awareness of the WCD core values and strategic priorities and their applicability to the Kenyan local context.

3.4 Future development: challenges and opportunities

Opportunities exist for promoting the dialogue on dams and development further in Kenya particularly given that the government is currently implementing a wide range of reforms in the water sector with the broad objective of enhancing efficiency in the use of water resources, water services provision and water catchment protection. Key challenges, however, include: lack of adequate financial resources, the need to disseminate information about the WCD process and report to a wide range of stakeholders as well as clearly defining a road map with goals, outputs and agreed timeframes in order to initiate the dialogue process in Kenya.

4. Malawi

4.1 Brief description of country setting

Malawi is generally rich in water resources that are stocked in its lakes, rivers and aquifers. All the water in the country is replenished by rainfall falling in catchment areas, on the surface of the water bodies, and in recharge areas for groundwater resources. However, water resources are declining and becoming insufficient to meet the demands from domestic, industrial and irrigation users. Low flows in river channels due to recurrent droughts are an issue of great concern and recently this has affected electricity generation in the country. At present, there are seven major dams in the country with a total estimated storage of 39 million cubic metres. In addition, there are between 700 and 750 small dams in various states of repair, with a combined storage capacity of approximately 64 million cubic metres. Water resources also play an important role in hydropower development in Malawi.

Furthermore, water quality in rivers in both urban and rural areas is deteriorating due to pollution from industries, improperly managed sewerage works and non-point pollution sources such as agro-chemicals and poor sanitary conditions. Flooding due to reduced infiltration in catchments as a result of deforestation are also noted as threats to the availability of quality water.

While commendable progress has been made in the development of water resources, it will be important to address major environmental issues in order to conserve the resources from further depletion and degradation. These include the poor management of catchment areas, unsuitable agricultural practices, rapid population growth, inappropriate discharge of industrial wastes and weak institutional structures for enforcing the water resources policy and legislation.

4.2 Brief history of dialogue activities carried out

The Ministry of Water Development had originally scheduled to host the national stakeholders consultative meeting on the WCD report on 4–5 December 2003. This meeting was later postponed owing to an emerging shortfall in funding as a result of additional efforts undertaken by the Ministry of Water Development to ensure an inclusive and balanced representation at the meeting.

Furthermore, additional efforts undertaken by the Ministry of Water Development to source extra funds from other donors were unsuccessful. Therefore, upon the written request of the Ministry of Water Development, the DDP agreed to meet this shortfall in funding to enable participants from diverse sectors of the dams debate in Malawi to

actively participate in the meeting. This additional financial support from the DDP will also enable the Ministry of Water Development to submit the stipulated outputs, namely, workshop proceedings and a financial report prior to the conclusion of DDP phase 1.

The main objective of the national stakeholders consultative meeting on the WCD report held on 30–31 July 2004 at the Kambiri Resort Hotel was to develop a national position on dams and development in Malawi. Approximately 65 participants representing a broad range of stakeholders attended the meeting. It is also anticipated that the input emerging from this meeting will contribute towards the current development of a regional position on the WCD report in the SADC region.

4.3 Achievement and results

- Government representation through the Ministry of Water Development;
- The Ministry of Water Development will establish a small task force to draw up the terms of reference and design funding mechanisms of the National Water Resources Authority, which is proposed to be the designated institution to begin the process of drawing up a draft dams and development policy for Malawi;
- The workshop proceedings were compiled by the Ministry of Water Development and distributed to workshop participants.

4.4 Future development: opportunities and challenges

Opportunities exist to engage further with the Ministry of Water Development as the lead agency particularly since there remains an urgent need to have a coherent policy in place on dams and development and conservation in Malawi. Furthermore, the government is currently engaged in the process of reviewing the 1999 water policy and therefore renewed debate on dams and development issues is timely and will greatly complement the review process. Factors that have hindered progress to date in initiating the dialogue activity in Malawi have included the following: inadequate financial resources, lack of public awareness of WCD report among diverse stakeholders and a vague understanding of the national process road map to contextualize the broad recommendations in the WCD report in the local country context.

5. Namibia

5.1 Brief description of the country setting

Namibia is the driest country south of the Sahara. Low to very low mean annual rainfall, high variability in rainfall and very high evaporation rates all combine to severely limit water supplies. All of the country's interior rivers are ephemeral, that is they do not carry any surface water for much of the year. The only perennial rivers are shared with neighbouring countries.

Even though population density is very low by international standards, rapid population growth and urbanization, economic growth and industrialization are all making increasing demands on Namibia's limited water resources. Scarcity of water is a key constraint to meeting essential human needs, sustained economic growth and sustainable development in Namibia.

Rapidly increasing water demand and growing water scarcity pose both a direct and an indirect threat to human and economic wellbeing and for essential ecosystem functions. Thus, there is a need to reduce future pressure on water resources by managing human and industrial water demand and by promoting high value-added economic uses of water.

5.2 Brief history of dialogue activities carried out

On 23 February 2004, the Namibia national consultation on dams and development workshop was convened by the Namibia County Water Partnership, in collaboration with the Desert Research Foundation of Namibia and the Water Associates of Namibia, at the Institute for Management and Leadership Training (IMLT). Approximately 27 participants representing a wide range of stakeholder groups attended the meeting.

The main objective of the workshop was to raise awareness of the WCD report and promote stakeholder participation in contextualizing the strategic priorities in the Namibian context. It was pointed out that this national consultative process in Namibia was part of current efforts to contribute towards the development of a regional draft position on the WCD report in the SADC region.

In general, consensus emerged during the workshop that the WCD strategic priorities were relevant to the Namibian context given that the arid country is increasingly seeking ways of augmenting its water supply for domestic use. However, the key questions of who and how, in terms of implementation, still remain given that Namibia is currently engaged in the process of promulgating new water and environment legislation. In defining the way forward, it was noted that there was need to promote further awareness of the WCD report and that this process may require a follow-up workshop to incorporate views of affected communities and non-governmental organizations, whose representation was limited at this initial consultative meeting.

5.3 Achievements and results

- Government representation at the workshop through the Ministry of Water Resources Development;
- Workshop report prepared and circulated to the participants for comments prior to finalization and submission to SADC as an input to the current development of a draft SADC position on WCD; and
- Raised public awareness of the WCD core values and strategic priorities and their applicability in the Namibian context.

5.4 Future development

The inextricable link between dams and development is considered to be very important in Namibia given the arid climate, impending water scarcity and equity considerations, which call for a continuation of Government efforts to provide greater access to safe and reliable water supplies for the poor.

It is, however, inconclusive at this stage whether the initial consultation workshop on dams and development will lead to the development of a dialogue process in the country. Specific challenges emerging from the deliberations at the consultative workshop

included the lack of public awareness of the WCD report and limited engagement with stakeholder groups such as affected peoples in the dams debate in Namibia. As the country has plans to build several dams including the Epupa dam on the Kunene river, DDP still has a window of opportunity to facilitate the establishment of a dialogue process that can lead to improved decision-making through constructive engagement of diverse stakeholders. A key potential partner in this regard would be the Ministry of Water Resources Development as the lead agency.

6. Nepal

6.1 Brief description of the country setting

Nepal is estimated to have a population of 21.56 million and a total area of 140,800 square kilometres. Landlocked and isolated by the Himalayas, Nepal is bordered on the west, south, and east by India, and on the north by the Tibet region of China. Its climate varies from cool summers and severe winters in the north to subtropical summers and mild winters in the south.

Being a landlocked country the transboundary water sharing issues with upstream and downstream riparian countries, China and India, dominate the water resources management landscape. The water uses are for irrigation (irrigated land area is 11,350 square kilometres), domestic, industry and drinking water supply. The current environmental issues are deforestation (overuse of wood for fuel and lack of alternatives), contaminated water, agricultural runoff and industrial effluents, wildlife conservation, and vehicular emissions. Nepal is party to the following international agreements: biodiversity, climate change, desertification, endangered species, hazardous wastes, law of the sea, nuclear test ban, ozone layer protection, tropical timber 83 and 94, and wetlands.

6.2 Brief history of dialogue activities carried out

Nepal Water Partnership organized a special session on WCD at a regional meeting on integrated water resources management on 26–28 February 2002. A year later, a meeting was organized on 2 January 2003 at IUCN Nepal to discuss future actions to develop Nepal's position on the WCD report. There was a general agreement among participants that the WCD report provided a very good basis for discussion within Nepal for more effective water resources management for Nepal's overall development. It was mentioned that the main issue was neither a complete adoption nor rejection of these recommendations but internalizing them for better dams planning and implementation.

A subsequent meeting of the task force agreed on an overall mission statement for the process: "to carry out national consultations on dams and development, to consider the relevance of the recommendations of WCD and other bodies in the Nepalese context with the ultimate aim of recommending the development and adoption of a national guideline for improved decision-making, planning and management of dams and alternatives for Nepal".

DDP supported the Nepalese dams and development national consultation process from 1 January to 31 July 2003. Financial support from DDP for this process was routed through IUCN Nepal to:

- provide consultancy services for three months to prepare a scoping study;
- partially fund costs of a national multi-stakeholder meeting and task force meetings and;
- provide administrative costs of IUCN country office in facilitating the process.

The first draft of the Nepalese scoping report was issued in September 2003. DDP staff attended the consultation meeting with representatives from government ministries and departments on 14 November 2003. After that the Nepal dams and development task force convened two meetings during the first quarter of 2004. At a meeting in February 2004, all stakeholders reaffirmed their interest in continuing the national dialogue on dams and development in Nepal. The national dialogue will continue as in 2003, where a steering committee will advise a smaller working group (task force) to oversee the actual programme implementation. IUCN Nepal will facilitate the process and provide the Project secretariat.

There is also a need to formulate Nepalese dams and development guidelines in accordance with the political, economic and social spheres of Nepal as well as its terrain, culture and climate. Therefore, a concept paper has been put forward for consideration to the dams and development task force, DDP and potential donors. It proposed to implement the second phase.

6.3 Achievements and results

- DDP has assisted in narrowing the gap between government bodies and environmental non-governmental organizations and has helped them achieve a workable compromise;
- Senior government officials renewed their commitment to be more active in the dams and development task force;
- Nepalese Government representation through Nepal Electricity Authority in the DDF has been confirmed;
- The idea of doing analyses of core values and strategic priorities and guidelines on the basis of “reality check” of a hydropower project has been put forward and agreed upon by multi-stakeholder representatives across the spectrum;
- The scoping report and the national workshop proceedings have been published;
- There is a clear determination to translate the WCD report into local languages when funding is available;
- A proposal to carry forward activities during 2004–2005 has been issued by IUCN Nepal and fund raising activities are underway.

6.4 Future development

The above actions have been endorsed by the task force as the priorities in 2004–2005 to improve the understanding on WCD recommendations within Nepal, particularly the costs and benefits of dams for Nepal. The Nepal scoping report provides an appropriate platform to elaborate detailed recommendations that may strengthen and complete the existing laws and procedures. The focus of the next phase should be providing substantial recommendations to complement the existing laws and procedures. The proposed action plan is meaningful and achievable if the renewed commitment from the government as

a key player is maintained and a fund-raising campaign is launched as soon as possible. Gender sensitive approaches and studies should be included in the second phase. Balanced and broad-based participation in the process is crucial.

7. South Africa

7.1 Brief description of country setting

South Africa is a water-stressed country with an average national rainfall of less than half of the world average; only 500 millimetres per annum. To compound the problem, the rainfall is spread unevenly across the country resulting in a very dry western region. Rivers are the main water source, although there are no major rivers of a globally comparative size (the largest river, the Orange, carries less than 10 per cent of the water flowing in the Zambezi; the closest major river to South Africa).

A number of large storage dams have been constructed to regulate natural variable flow and facilitate the transfer of water between catchment areas. The most expensive water augmentation project in South Africa to date (cost so far: 15 billion rand) is the Lesotho Highlands water project which delivers water to the arid Gauteng province via the Vaal dam, and hydroelectricity to Lesotho. Phases 1A and 1B have been completed and Rand Water and other stakeholders are currently considering the implementation of phase 2 (construction of a second dam). The Project is managed by the Trans-Caledon Tunnel Authority (TCTA), a specialized agency set up by the Department of Water Affairs and Forestry.

Total annual water consumption is estimated at more than 16 billion cubic metres, 53 per cent of which is used for agriculture. Based on current trends, availability and use of the nation's water reserves have been projected to the year 2030. Results show that within the first quarter of the century demand will exceed availability of economically usable, land-based freshwater resources.

7.2 Brief history of the dialogue activities carried out

The first multi-stakeholder symposium was held in Midrand in July 2001. At this symposium, South African stakeholders declared themselves to be broadly supportive of the strategic priorities outlined in the WCD report, and a coordinating committee for the South African multi-stakeholder initiative on the WCD report was elected. Its purpose is to contextualize the report in South Africa and build consensus around recommendations on its implementation in the country for all institutions concerned with large dams. The committee comprises representatives from the following stakeholder groups: Government, non-governmental organizations, affected parties, utilities, private sector, academia, research and finance. A scoping report that describes the key issues from a South African perspective was prepared as the first step in this process.

A second multi-stakeholder Forum was convened in Johannesburg in July 2002. At this Forum, the issues were examined, the coordinating committee was re-elected, the mandate was extended and the scoping report, with additional inputs from the Forum, was accepted.

The coordinating committee then started the process of developing the substantive report.

At a third Forum held in October 2003 and attended by approximately 50 participants representing different stakeholder groups, its progress and initial work on the first three strategic priorities was reviewed and the issues again debated. An election for the coordinating committee was held and a further mandate to continue its work was given. The scoping report defining key dam issues in the South African context was the first main output of this four year multi-stakeholder process and a final report of recommendations to remedy any gaps or inadequacies in policy, regulation and compliance policy in South Africa is currently being finalized for circulation to a broad range of stakeholders and institutions.

7.3 Achievements and results

- A multi-stakeholder coordinating committee has been engaged in leading the South African initiative on the WCD report. From the outset of the process, it was decided that there would be a bi-monthly committee meeting where each strategic priority would be addressed and analysed with a view to making recommendations for changes in existing South African policies and procedures where appropriate. As at November 2004, the coordinating committee has advanced to the stage where a draft final report has been submitted for discussion and approval at the fourth and final Forum meeting held in October 2004;
- Government has been involved in the process through the representation of the Department of Water Affairs and Forestry in the coordinating committee.
- Four multi-stakeholder Forum meetings have been convened to test the findings and resolutions of the coordinating committee in a wider audience or reference group comprising diverse stakeholders;
- It has been a well-documented process with clearly defined goals, outputs and agreed timeframes;
- The coordinating committee has set up a sub-committee to work with the Department of Water Affairs and Forestry on the important issue of reparations for past injustices caused by South African dams;
- Main results or deliverables of the South African initiative include the elaboration of a scoping report and a final report making recommendations on policy and procedures to improve decision-making endorsed by the fourth and final Forum meeting held in October 2004. In addition, an important intangible deliverable of the process is the enhancement of continued interaction amongst diverse stakeholders throughout this process.

7.4 Future development: challenges and opportunities

A draft final report making recommendations and defining the way forward based on the detailed analysis of the strategic priorities in the South African context was presented for endorsement at the fourth and final Forum meeting held on 13–14 October 2004, Rand Water conference centre, Johannesburg. In general, the participants agreed that the draft final report detailed important recommendations for the South African context and particularly the institutions concerned with large dams. However, it was also emphasized that there was a need to prioritize the emerging recommendations in order to draw up a definite plan of implementation and a new coordinating committee was elected and mandated to proceed with this task.

8. Sri Lanka

8.1 Brief description of the country setting



Sri Lanka possesses 103 river basins. Major river basins, however, constitute only 20 per cent of these – the Mahaweli basin is the largest, covering about 16 per cent (10327 square kilometres) of the island's area. It is interesting to note that Sri Lanka, despite its favoured location in the humid tropics and lying on the path of two opposing monsoons, exhibits extensive areas of water deficit. The greater part of the island is liable to dry spells lasting several months. Areas of water surplus are along the coastal belt of flood plains, villus and mangrove swamps.

Key water issues for Sri Lanka are firstly to supply adequate water for people and irrigation during the period of water shortages and generate power and secondly to assert a new concept that is to bring about public awareness about water sector issues intended to win public acceptance. Water resources in Sri Lanka are managed by the river basin zonal approach – zones made up of several river basins are identified and managed. There are 16 water resources projects in the pipeline: four reservoir projects, one diversion and one tank project, and the rest are development and water master plan projects. Sri Lanka is well known for its cascaded dams and tanks though it has many dams and reservoirs. Therefore, its major concern is focused on the dam safety issue that is linked to strategic priority three, addressing existing dams and strategic priority six. Strategic priority one, gaining public acceptance, however, is currently the Government's major campaign in the water sector.

8.2 Brief history of dialogue activities carried out

The first South Asia WCD regional consultation was held in Colombo on 8–9 December 1998. The presentation of the WCD report took place in Colombo on 21 November 2000. The first Sri Lanka national dialogue on dams and development workshop was held on 5–6 December 2003. The organizing committee consisted of the Ministry of Irrigation and Water Management, Network of Women Water Professionals (NetWater) and the Interim National Water Resources Authority.

The dams dialogue presented four case studies on proposed dams at Kotmale, Weheragala, Deduru Oya and Moragahakanda for critical comment by the participants. The sessions included a stakeholder panel discussion of environmentalists, farmers and government officers to debate the strategic priorities related to dams construction and present alternate opinions. The Dams and Development Project made a special presentation sharing global experiences in this field.

This activity was the first in a series of workshops planned for extending the stakeholder participation in planning dams. A draft of a Sinhala translation of the WCD report by NetWater was presented for comments, with the intention of making dams-related issues

more widely accessible to Sri Lankan stakeholders. Regional dialogues were planned in early 2004 focusing on areas where dams have been proposed so as to capture a wider range of stakeholder views.

8.3 Achievements and results

- Government representation through the Ministry of Irrigation and Water Management;
- The WCD overview was translated into Sinhalese language;
- The first Sri Lanka national dialogue on dams and development was held on 5–6 December 2003;
- The declaration of the participants was published in two languages, Sinhalese and English;
- The workshop participants resolved to form a multi-stakeholder national dams and development committee in the near future;
- The workshop proceedings have been finalized;
- Mainstreaming gender – addressing gender issues under relevant strategic priorities – has been an important part of the workshop.

8.4 Future development

A multi-stakeholder national dams and development committee was to be formed as a follow-up of the national consultation workshop to begin a national dialogue on dams and development. The plan was to organize regional dialogues in 2004–2005 focusing on areas where dams have been proposed so as to capture a wider range of stakeholder views.

The outcome of the kick-off workshop was positive and therefore the momentum needed to be maintained by local stakeholders. More capacity building was needed – self-learning groups needed to be formed at all levels – from village level to government offices and in between layers of civil society – starting with workshop participants (especially enthusiastic farmers and community groups). The INWRA, government and advocacy non-governmental organizations needed to support them as required. Proactive fund-raising mechanisms needed to be in place to sustain the process. Sri Lanka should expand its capacity and knowledge base on addressing existing dams in order to take a lead where strategic priority 3 was concerned. The peer review process for the Sinhalese WCD overview had started. Non-governmental organization stakeholder representatives needed to be formally contacted as a matter of urgency, to review the Sinhalese WCD overview.

9. Thailand

9.1 Brief description of the country setting

Thailand covers an area of 513,120 square kilometres in Southeast Asia. About 26.79 million hectares are considered suitable for agricultural production and in 1995 the cultivated area was estimated at 20.45 million hectares or 40 per cent of the total area. The agriculture sector accounted for 11.5 per cent of GDP in 1991, and agricultural exports represented 23 per cent of total export earnings. In 1996, 55 per cent of the total labour force was employed in the agriculture sector.

The average annual rainfall is estimated at 1,485 millimetres. Thailand can be divided into seven river basins but in the literature it is generally divided into 25 sub-basins. The total surface water resources of the country is estimated at 198.8 cubic kilometres per year. Aquifer recharge from rainfall is estimated at 41.9 cubic kilometres per year. Approximately 30.7 cubic kilometres per year are estimated to return to the river system and are included in the surface water resources. The total internal water resources of Thailand are therefore estimated at 210 cubic kilometres per year. Thailand shares three rivers with its neighbours: the Mekong, Salawin and the Kolok rivers. The Mekong and Salwin rivers constitute an additional external water resource for Thailand, which has been estimated at 199.9 cubic kilometres per year. By adding the internal and external resources together, the total renewable water resources are estimated at approximately 410 cubic kilometres per year. The total dam capacity is estimated at 85 cubic kilometres. The total water withdrawal was estimated at 33.13 cubic kilometres in 1990, of which 91 per cent was for agricultural purposes.

9.2 Brief history of dialogue activities carried out

Thailand convened a multi-stakeholder consultation workshop in March 2003. The participants in the consultation agreed that the seven strategic priorities articulated by the WCD report represent good practice in principle, but that they needed to be addressed within the context of conditions in Thailand. The Thai Ministry of Natural Resources and Environment formally established a working group by decree to define the key issues and formulate guidelines for implementation of future projects.

The working group held its last meeting in December 2003 and has released its products, a set of guidelines specifying the roles of various stakeholders in water resources decision-making where large infrastructure is an issue and a manual for implementing these guidelines, during the first half of 2004.

9.3 Future developments: challenges and opportunities

The working group plans to convene a number of multi-stakeholder consultations again to elicit comments on the guidelines. Following the consultations, the working group plans to propose the guidelines to the Ministry of Natural Resources and Environment and the Water Resource committee and request the approval of this work by the Thai cabinet.

10. Viet Nam

10.1 Brief description of the country setting

With approximately 834 billion cubic metres of water, 60 per cent of which originate outside the country's borders, Viet Nam has abundant water resources. Only six per cent of the total water resource is subject to control by dams. By the end of French colonization in 1945, 13 irrigation systems in Viet Nam supplied water to 300,000 hectares of rice paddy, as well as to small hydropower plants of 1–2 MW each. From 1954 to the present, a number of dams have been built to meet the demands of reconstruction and development. A nationwide registry in 1992 indicated that the country had 3,000 existing irrigation

dams with a total storage capacity of 5 billion cubic metres that irrigated 450,000 hectares of command areas. One of them, Dau Tieng reservoir, has storage of more than one billion cubic metres. The hydropower plants in Viet Nam have a total installed capacity of 4,080 MW and contribute 51 per cent of the national electricity production (2002). Among them, three large reservoirs have several billion cubic metres of storage capacity. Hoa Binh, at 128 metres in height, is the largest dam in the country and was built, together with the a river dyke system, to control flooding of the Hong river and the population of the river's crowded delta, and to protect Viet Nam's capital city of Hanoi.

Within the country, there is a major drive to construct additional dams to supply water to the country's growing economy, generate electricity, and mitigate floods. It is predicted that ten new, multipurpose projects will be on-line and that several, including the Son La dam on the Da river, are already under construction. However, the policy framework guiding the construction and operation of these structures is changing. In the recent past, the country's approach to water resources management was to develop infrastructure to supply increasing demands. In the past several years, however, the country has taken an interest in integrated water resources management, managing demand as well as increasing supply, and providing for the protection of the environment. The country is in the process of establishing river basin organizations for each of the 14 major river systems in the country, and master plans have already been developed for three of these: the Red, Mekong and Dong Nai rivers. In addition, the country is in the process of developing an inter-sectoral water resources strategy under the auspices of the newly created National Water Resources committee (NWRC), which has its secretariat in the Ministry of Environment and Natural Resources but also includes the Ministry of Industry and the Ministry of Agriculture and Rural Development. The first draft of the strategy is expected to be completed in December 2004.

10.2 Brief history of dialogue activities carried out

Viet Nam has actively participated in WCD and DDP activities for several years. In February 2000, the Ministry of Agriculture and Rural Development (MARD) hosted the fourth regional consultation of WCD. Following the launch of the WCD report, a delegation from Viet Nam participated in a regional workshop on the report organized by the Asian Development Bank in February 2001.

Recognizing the importance of a local language edition of the report for the review process within Viet Nam, translations were prepared of the complete WCD report, overview and proceedings of the third WCD Forum meeting that contains a range of reactions to the report. A peer review committee for the translation was established comprising MARD, the Hanoi Water Resources University, IUCN and Oxfam, United Kingdom.

The translated WCD report was circulated to government agencies, water professionals, academics and other organizations working on environmental and social issues in Viet Nam with an invitation to a multi-stakeholder consultation on the report. As the responsible agency under the National Water Act, MARD organized an initial workshop on the WCD report in Hanoi on 11 October 2002 with financial support from the Asian Development Bank.

As a result of the meeting, it was decided that a scoping report should be drafted to identify key issues for discussion at a second multi-stakeholder meeting, during which priority tasks would be identified and an institutional mechanism would be developed within which detailed recommendations on policy and procedural reform could be drawn up. It was also proposed that the second meeting would be held under the auspices of the newly created NWRC. A draft scoping report was submitted to the DDP secretariat in August 2003.

DDP submitted comments on the draft scoping report and fielded a mission to Hanoi in December 2003 to meet with various stakeholders, discuss the revision of the scoping report with the team that wrote the report, and to discuss a second phase of the Project. Officials from the three key ministries involved in water resources management in Viet Nam, Ministry of Environment and Natural Resources, Ministry of Industry and the Ministry of Agriculture and Rural Development, all agreed that the second phase of the dialogue, including a second workshop to be held in 2004, should take place under the auspices of the NWRC. After revising the scoping report based on DDP comments, the writing team finalized the report in February 2004.

10.3 Achievements and results

A core, multi-stakeholder group has been developed in the form of the writing team, but would require broadening and, in particular, increased participation by non-governmental organizations and affected peoples groups if the dialogue was to be further pursued. An initial, multi-stakeholder consultation has been held, with the participation of the writing team and the government. Draft and final scoping reports that analyse the WCD strategic priorities in the Viet Nam national context and containing broad recommendations on the WCD strategic priorities have been compiled.

10.4 Future development: challenges and opportunities

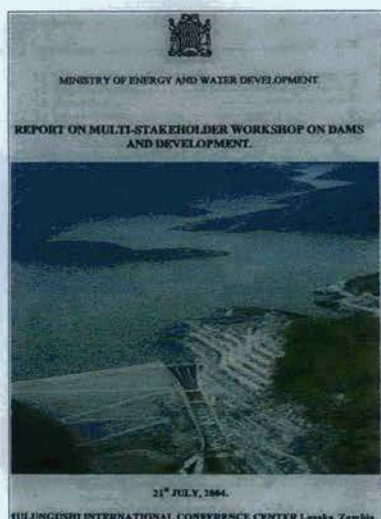
After the responsibility for the dialogue process was shifted from MARD to the NWRC, a second, multi-stakeholder meeting had been anticipated at the end of April 2004 but this meeting was postponed. Momentum needs to be rebuilt on the basis of the new leading actors involved in water and dam management at government level.

11. Zambia

11.1 Brief description of the country setting

Zambia is a fairly large country covering approximately 753,000 square kilometres. Of the estimated 10.1 million people in Zambia, about 58 per cent inhabit the rural areas. It is estimated that at least 200–400 litres per day are accessible per person in the urban area, and roughly 100–200 litres per day available per person in rural areas. These figures may indicate that the situation of water scarcity does not arise, but the quality of water remains one of the most pressing issues in the country.

This is further exacerbated by the fact that Zambia is located in a region characterized by extreme seasonal and climatic variations. Rainfall is therefore quite erratic and poorly distributed with the risk of water stress being prevalent in the southern half of the country. Furthermore, pressure from the rapidly growing population is an important factor in land and water resources extraction. Zambia's population, estimated to be 10.1 million,



is increasing rapidly at the rate of 2.8 per cent. Finally, population growth, densities, and dispersion are also associated with environmental degradation. The excessive removal of vegetation, the over exploitation of aquatic resources, pollution, among other factors, have adversely affected water quantity, quality and accessibility in the country.

The total dam capacity is approximately 200 cubic kilometres, of which major dams (including Kariba) account for 188 cubic kilometres. The Water Resources Board is currently compiling an inventory of the country's dams. The country's energy requirements are mainly provided by hydropower (Kariba and Kafue) from a total installed capacity of 1643.5 MW and annual generation of 10 500 GWh.

11.2 Brief history of the dialogue activity

In recognition of the importance of contextualizing the WCD report in the Zambian context, the Department of Water Affairs convened an initial meeting on 30 May 2002. This meeting, however, concluded that these recommendations needed to be shared with a broad range of stakeholders in another consultative Forum in order to map out a common understanding on the way forward. It is therefore anticipated that the outputs of the multi-stakeholder dams and development workshop in Zambia will provide recommendations for possible specific changes in the country's policies and strategies and also provide input to the ongoing development of a SADC regional position on the WCD report.

On 3 June 2004, the DDP signed an memorandum of understanding agreement with the Ministry of Energy and Water Development in support of the follow-up multi-stakeholder dams and development workshop held on 21 July 2004 at the Mulungushi conference centre, Lusaka. Approximately 40 participants representing a broad range of stakeholder groups attended the meeting. The workshop had the following main objectives:

- To present the WCD report and DDP goal and activities to various stakeholders;
- To enable stakeholders to consider, discuss and make comments on the core values and strategic priorities of the WCD report in relation to the Zambian context;
- To establish a common stand and way forward.

11.3 Achievements and results

- Government representation through the Ministry of Energy and Water Development;
- Report on the workshop proceedings to be prepared by the Ministry of Energy and Water Development and submitted to the DDP by mid August 2004;
- A small technical committee was to be established under the guidance of the Zambia Water Partnership to follow up on the recommendations of the workshop and matters related to dam development in the country;
- A formal response on Zambia's position to WCD was to be prepared as an input to the ongoing development of a regional position on the WCD report.

11.4 Future development: challenges and opportunities

Opportunities for the future development of a potential dialogue process in Zambia do exist and possible synergies can be explored through the Water Resources Action Plan, which is a project under the Ministry of Energy and Water Development. In particular, the Water Resources Action Plan is aimed at supporting the National Water Policy in establishing a comprehensive framework that will promote the use, development and management of Zambia's water resources in a sustainable manner. Therefore, opportunities of synergy do exist to start a multi-stakeholder process on dams and development both in terms of issues and context given the broad network of stakeholders that are involved in this initiative.

C. Regional dialogue initiative

12. Southern African Development Community (SADC)

12.1 Brief description of the regional setting

Freshwater is a scarce resource in Southern Africa, and its low level of development for consumptive and non-consumptive uses is a limiting factor for sustainable growth and poverty alleviation. For a region whose population is primarily rural-based and still heavily dependent on agriculture for their livelihood, the availability of water largely determines when and where development can take place.

In southern Africa, water is a vulnerable resource due to factors that include the following:

- Extreme climate variability and emerging climate change;
- Increasing degradation of water resources due to unsustainable water and land use practices such as over-abstraction of surface sources, over-pumping of groundwater, water pollution, watershed degradation, introduction of alien species; and
- Numerous transboundary waters in the region with complex water rights issues contributing to the insecurity of downstream users and nations.

Effective development and management of water resources is therefore essential for sustainable growth and poverty reduction in the SADC region. In addition, the critical challenge in the promotion of sustainable water resources management remains of balancing between the short-term needs of the people for their social and economic development and the protection of the natural resource base.

12.2 Brief history of the dialogue activity carried out

The WCD report was considered at the tenth meeting of the SADC Water Resource Technical committee (WRTC) on 8 May 2001 in Mbabane, Swaziland. The meeting brought together 30 high level government water resources experts from various SADC member states. SADC requested its member states to consider formulating national positions on the WCD report.

SADC delegates were briefed on the DDP activities at the twelfth WRTC meeting on 8-9 May 2002 in Quatre Bornes, Mauritius. The briefing highlighted the national initiatives

emerging as a result of the WCD recommendations. Discussion focused on follow-up activities in individual SADC member states.

Based on the outcome of the WRTC meeting the SADC ministerial meeting held in July 2002 in Luanda, made the development of a regional position on the WCD report a priority. Member countries were encouraged to hold consultations and formulate national positions on the WCD recommendations. SADC Water Directorate hosted a meeting with the German agency, GTZ, and DDP on 3–4 December 2002, to discuss support for the development of national and regional positions on the WCD report, which has led to a three-phase programme.

Phase one started in December 2002 involving a short-term team of three specialists – regional water development, dams planning and design, and environment and social issues. A concept note on the process and framework for initiating SADC national initiatives and a background paper covering key issues on dams and development in the region (and framework for regional process) have been completed. Exploratory discussions investigating the progress of national processes on the WCD report were held in six countries that included South Africa, Lesotho, Namibia, Malawi, Mozambique and Zambia. Country reports have been elaborated. GTZ provided financial support to the first phase.

Phase two of the consultative process led, on the basis of the outcomes of phase one, to the development of a draft SADC regional policy on dams and development and a draft SADC position on the WCD report. These two draft documents have so far been discussed with the SADC Water Directorate and other related SADC sectors.

Phase three has been reformulated to take into account the decision to incorporate the salient crosscutting policies associated with dams and development into the regional water policy within the context of an integrated water resources management framework with other water infrastructure. A multi-stakeholder regional workshop took place in April 2004 to discuss and review the regional water policy. The redrafting of the SADC position on the WCD report, taking into account recent developments, is currently underway. In addition, the fourth annual consulting partners meeting of the Global Water Partnership of Southern Africa (GWP-SA), organized in consultation with SADC water division, held on 7–8 July 2004 in Mbabane, Swaziland, offered an opportunity for undertaking regional consultations on the WCD report.

12.3 Achievements and results

- Background concept paper covering key issues on dams and development completed;
- Draft SADC regional position on the WCD report elaborated and presented at the fourth consulting partners meeting in Swaziland;
- Initial workshops contextualizing the WCD strategic priorities convened in Namibia, Malawi and Zambia; and
- Regional water policy elaborated incorporating crosscutting policies associated with dams and development.

12.4 Future development: challenges and opportunities

- Development of recommendations on policies and procedures that need to be incorporated or reviewed to improve decision-making at the country level;
- Provision of strategic input to IWRM national country plans as the countries in the region strive to achieve the 2005 targets established at the World Summit on Sustainable Development;
- Continue to promote awareness on the need to improve country decision-making on dams and their alternatives (including transboundary waters) in order to minimise social, environmental, technical, economic and financial risks.

D. Dialogue initiatives in developed countries

Some developed countries convened discussions on the WCD report aiming to assess the degree of conformity of the national policies, regulations and procedures with the recommendations of the commission. The objective included the assessment of policies and safeguards adopted by the public and private financiers, including export and development assistance agencies that support large dam projects in developing countries. Initiatives of this kind were carried out in Germany, the Netherlands, Sweden, Switzerland and United Kingdom. DDP secretariat attended some of the meetings and delivered presentations on its goal, activities and outcomes, particularly as regards the dialogue initiatives facilitated by the Project.

In *Germany*: the Federal Ministry for Economic Cooperation and Development organized four multi-stakeholder meetings to discuss and promote the adoption of the WCD report by the international donor community and also revise dam-related policies and instruments applied by development and export credit agencies. The overall objectives of the meetings included understanding the views of different stakeholders, to find a common understanding of the WCD report and share information regarding national and international WCD-related activities. In general, the German process was instrumental in promoting mutual understanding for 'opposing' positions thereby contributing to strengthening the informal stakeholder networks.

The *Netherlands* (NETHCOLD) arranged a national seminar on dams on 22 March 2001, where the WCD report was presented and discussed. A further follow-up expert meeting on WCD in the Netherlands was convened in the Hague on 1 October 2003 convened by a group of three non-governmental organizations (Both Ends, WWF and IUCN – Netherlands). Discussions initially focused on the strengths and weaknesses of the WCD recommendations. There was general agreement on the core values and strategic priorities but some concerns were also raised about the guidelines. A number of suggested areas for follow-up were raised, for example, exploring the interest in the financial services industry of developing a more user-friendly guide for the sector, including a common approach to assessing and minimizing risks of dam projects and expanding the awareness raising activities on the WCD report in the financial services industry.

In *Sweden*, the World Wide Fund for Nature (WWF) and the Swedish Society for Nature Conservation on 5 March 2004 organized a seminar to discuss the potential of WCD as a potential tool for promoting sustainable water management. The seminar aimed to start a process to implement WCD's principles and practices at the national level and

approximately 60 local participants, representative of a broad range of stakeholders including government, civil society and the private sector, attended the meeting. The conclusions of the meeting reflected the general agreement of the participants about the need to put forward a process to discuss WCD implementation in Sweden. In this regard the elaboration of a scoping report was concluded as a possible next step within a multi-stakeholder environment including government participation.

The *United Kingdom* Government produced a draft response to the WCD report. This consultation draft entitled "WCD report – Towards a United Kingdom position" can be downloaded from <http://www.fco.gov.uk/environment/wcdreport>. This paper sets out how the report's recommendations match existing practice, and how dam-related processes in the United Kingdom will be amended in light of the report. DFID, the United Kingdom Government's Department for International Development, participated with other stakeholders in a national multi-stakeholder seminar organized by United Kingdom non-governmental organizations to discuss this response on 24 January 2003. DDP secretariat was invited to make a presentation on global follow-up initiatives. The principle aim of the meeting was to stimulate interest in the WCD recommendations and to identify how the stakeholders in the United Kingdom may participate as a contribution to sustainable development, both for domestic policies and procedures, and internationally.

Annex IV

Dams and Development Project steering committee

A 14-member multi-stakeholder steering committee provides advice to UNEP on policy issues and the work programme and activities of the Project. The steering committee meets at approximately six monthly intervals. During DDP phase 1 seven steering committee meetings took place as follows:

1. Frankfurt, Germany, 16 September 2001
2. Rettershof, Germany, 23 January 2002
3. Nairobi, Kenya, 7–10 July 2002
4. Gland, Switzerland, 30–31 January 2003
5. Geneva, Switzerland, 24, 26 and 27 September 2003
6. London, United Kingdom, 20–21 April 2004
7. Nairobi, Kenya, 17–18 June 2004

Minutes of the steering committee meetings are made available on the web once its members have reviewed an initial draft. The final version of the minutes are posted once approved.

Participation in the meetings

All steering committee meetings had a remarkable high level of participation of all stakeholder groups as showed in table A1. The Executive Director of UNEP participated in three meetings and the Director of UNEP, Division of Policy Implementation,, a non-voting representative, participated in all of them.

DDP steering committee meetings – some of the issues addressed

Formulating the objectives and work programme of the DDP formed a major part of the discussions at the first meeting held in Frankfurt on 16 September 2001. The meeting felt it was important that the follow-up process involves all countries, including those where certain line agencies had been critical of the WCD report. A balance was needed between efforts to re-engage with such countries or agencies and those where support for follow-up activities is emerging. Discussions on composition of the steering committee took much time and were resolved after a more thorough examination of stakeholder categories with an interest in dams and development. Thirteen member categories were identified in addition to the UNEP facilitating role and a process was agreed to identify nominations for new members. The Executive Director of UNEP outlined the ultimate responsibility that UNEP carried for DDP and consequently that the steering committee played more of an advisory role. This altered the understanding of some groups from that envisaged at the third WCD Forum, but was agreed as a consequence of the institutional arrangement chosen at that meeting and the emphasis on bringing the follow-on process under the umbrella of an inter-governmental organization.

A number of the issues regarding the objectives, statement and work programme of the DDP were taken forward for discussion at the second meeting of the DDP steering committee held in Rettershof on 23 January 2002. In particular this accommodated the desire of incoming members to influence the precise wording of the objectives and the scope of the DDP activities. The final version of the goal, objectives and work programme are reproduced in annex I. The importance of the Forum as a global vehicle to continue the process initiated by WCD was central to discussions. The steering committee saw itself as representing the wider views of the Forum and considerable time was devoted to the process of enlarging the stakeholder base from that of the WCD Forum to encompass the new stakeholder categories identified. On administrative matters, steering committee members discussed recruitment procedures with UNEP and their role in reviewing candidates for the senior secretariat positions.

The third steering committee meeting was held in conjunction with the second DDF meeting in Nairobi, on 7–10 July 2002. Its initial emphasis was to refine the focus of discussion topics at the Forum meeting and apportion tasks for reporting on progress. Further enlargement of Forum membership was considered appropriate to increase the outreach of the DDP. Maintaining a balance of numbers between categories of Forum member had previously been a guiding principle of the steering committee.

However, the committee now reached general agreement that opening up membership to greater involvement of government agencies would be advantageous in terms of stimulating dialogue at national levels. Concerns over balance were alleviated by the realization that other Forum categories were sufficiently well represented to ensure their perspectives would be voiced.

Held 15 months after the establishment of the DDP, discussions at the fourth steering committee meeting in Gland on 30–31 January 2003 reflected on the experiences and lessons learnt from the national dialogues underway and review of proposals for the next stage including concept papers for the issues-based workshops, the first of which was scheduled to be on options assessment, just prior to the second DDF meeting. The relevance of government involvement in DDP activities was highlighted. Other work programme topics covered included the submissions to the database on examples of good practice and lessons learnt, the scheduled dams sessions at the third World Water Forum in Kyoto and the programme for the second DDF meeting.



The fifth steering committee meeting was held in Geneva on 24, 26 and 27 September 2003, bracketing the second DDF meeting. The session before the DDF meeting was dedicated to finalizing the Forum meeting agenda and distributing roles among steering committee members and DDP secretariat. Sessions after the DDF meeting provided opportunity to assess the outcomes of the Forum meeting and address the steering committee agenda. The positive outcomes of the DDF enlargement process were highlighted. Consideration of a second Project

phase started at this meeting and was built into the steering committee meetings agenda. An independent external assessment of the Project was tabled as a basis for the steering committee to elaborate a recommendation to UNEP on a time-bounded extension of the DDP beyond 2004 associated to an exit strategy. The desirable features of the third DDF meeting were lively discussions with focus on agenda and strategies to enhance discussion and attract participation, particularly of government representatives. Similar topics were addressed when dealing with the planned issue-based workshops on the basis of the experience gained with the options assessment session carried out just before the second DDF meeting.

On 20–21 April 2004 the sixth steering committee meeting was held in London, United Kingdom. While brief consideration was given to the details of the workshop on financing dams and sustainable development planned back to back with this steering committee meeting, the bulk of the discussions addressed the second phase draft proposal and associated documentation submitted by UNEP. The ensuing discussions dealt with the nature and scope of the proposal, the approach to national dialogues, government involvement, the interlinkages between global and national approaches, dissemination activities, the goals and outputs of the intended phase 2, improved decision-making, producing practical tools and funding. The need for an exit strategy was also established. The lively discussions converged into a set of seven points that constituted the “shared basis for phase 2 DDP”. Following this, the steering committee discussed the theme and features of the side event that DDP was to convene at the 2004 Bonn International Conference on Renewable Energies. The body finalized the deliberations on the agenda of the third DDF meeting and the two issues-based workshops to be convened back to back just before the meeting.

The seventh steering committee meeting and the last of DDP phase 1 was convened on 16 and 18 June 2004 in Nairobi, Kenya, bracketing the third DDF meeting and following the issues-based workshops on addressing existing dams and ensuring compliance, held back to back. While, as in former similar occasions, the first session was held before the DDF meeting and was dedicated to finalizing Forum meeting arrangements. The second part of the steering committee meeting assessed the outcomes of the third DDF meeting and further considered issues pertaining to phase 2 on the basis of a revised proposal submitted by the secretariat. Consideration was given to the DDF composition and future further enlargement. The Project institutional set-up and the role and composition of the steering committee were matters of renewed discussion, in particular with regard to the incorporation of new government representatives, the criteria of equality among stakeholders and the participation of alternates. When the goal and objectives of phase 2 were discussed, lively discussions about the references to WCD core values and strategic priorities and Project linkages to the WCD final report dominated the deliberations.

Summary of more substantive topics discussed at the steering committee meetings

In fulfilling its role of advising UNEP on substantive matters concerning the policy and work programme the steering committee provided an excellent model of a multi-stakeholder platform carrying forward the dams and development debate. The 13 stakeholder groups represented in the body expressed well and comprehensively the diversity of interests surrounding such debate. Discussions at the meetings were in most cases lively and reflected the positions of each constituency. In many cases the members’

Table AI Participation in DDP steering committee meetings

Stakeholder group	Representative	1	2	3	4	5	6	7
1 Government (Policy)	B. Braga (ANA, Brazil)	(A)	X	X		(C)		
2 Government (Project/River Basin Organization)	R. Mochibebele (LHWC) up to fourth steering committee meeting L. Molapo (LHWC) from fifth steering committee Alternate: R. Mochibebele (NEPAD) from fifth steering committee meeting		X	X	X	X	X	(B)
3 Government (ECA, Bilateral assistance)	M. Konukiewitz (BMZ) Alternate: F. Neumann-Silkow (GTZ) up to sixth steering committee meeting A. Schuster (GTZ) seventh steering committee meeting		X	X	X	X	X	X
4 Affected people groups	S. Dharmidhikary (NBA) Alternate: H. Thakkar		X	X	X	X	X	X
5 Indigenous people groups	Joji Carino (Tebtebba Foundation) Alternate: Ms. Joan Carling (Cordillera of the People Alliance)	(A)	X	X	X	X	(B)	X
6 Utilities	J-E Klimpt (Hydro Quebec) up to fifth steering committee meeting M. Truchon (Hydro Quebec) from sixth steering committee meeting Alternate: J. Karmacharya (Nepal Electricity Authority)	(A)	X	X	X	X	X	(B)
7 Private sector	R. Abdel-Malek, Montgomery Watson Harza	X	X	X	X	X	X	X
8 International non governmental organizations	Ger Bergkamp (IUCN) Alternate: J-Y Pirot (IUCN)		X	X	X	X	X	(D)
9 Non governmental organizations (advocacy)	Patrick McCully (IRN) Alternate: P. Bosshard (IRN)		X	X	X	X	X	X
10 Intergovernmental organizations	A. Palmieri (The World Bank)		X	X	X	X	X	X
11 Professional associations	R. Taylor (IHA) Alternate: J-M Devernay (EDF)	(A)	X	X	X	X	X	X
12 Groups working on options	B. Pandey (Winrock International) Alternate: A. Doig (ITDG)	(A)	X	X	X	X	X	X
13 Research	L. Raschid-Sally (IWMI)	(A)	X	X	X	X	X	(B)
14 UNEP	K. Töpfer (UNEP Executive Director)	ED		ED			ED	
	D. Kaniaru (UNEP DEPI Director up to fourth steering committee meeting)		DD		DD	DD		DD
	S. Tveitdal (UNEP DEPI Director from fifth steering committee meeting)	DD		DD				DD
UNEP Facilitator	D. Kaniaru	X	X	X	X	X	X	X

(A) Incorporated in second steering committee meeting

(B) Absent with apologies

(C) Disengaged from the process after the third steering committee meeting

(D) Absent with apologies. He left written comments distributed to all steering committee members. However, the committee now reached general agreement that opening up membership to greater involvement of government agencies would be advantageous in terms of stimulating dialogue at national levels. Concerns over balance were alleviated by the realization that other Forum categories were sufficiently well represented to ensure that their perspectives would be voiced.

own agenda played an important role in shaping and conditioning their opinions, support or reservations as regards Project policies and activities. In this context the range of opinions and the consensus achieved on substantive matters represent a most valuable output of this relevant group and might constitute a model for other similar undertakings. A brief summary of some of the more relevant issues emerging from the seven steering committee meetings follows (the contents are extracted from the minutes of the steering committee meetings that can be accessed in www.unep-dams.org):

Role of the steering committee and the DDF

Steering committee

- (a) As a Project entity under UNEP, the steering committee acknowledged that UNEP was accountable for the DDP and had the ultimate responsibility for the actions of the DDP. In this regard the role of the steering committee was to advise UNEP on matters of policy and substance. UNEP undertook to seek guidance from the steering committee before taking decisions on policy and substantive matters affecting the work programme of the DDP. However, in the event that the views of the steering committee could not be accommodated, then the rationale for its decision will be explained to the committee by UNEP. Therefore the importance of the multi-stakeholder nature of the steering committee lies in its role in providing advice to UNEP on the direction of the DDP and its capacity to reach out to a broader group of stakeholders.
- (b) UNEP is a non-voting member of the steering committee. This reflects the advisory nature of the committee and its relationship with UNEP.
- (c) The committee would seek to operate by consensus and avoid the practice of majority voting or using vetoes. It was also agreed that UNEP would act as facilitator of discussions during meetings.
- (d) The steering committee saw itself as representing the wider views of the DDF.
- (e) Individual steering committee members may not represent the steering committee as a whole. Their status as individuals in this regard should be made clear at meetings or events where they are introduced as steering committee members. They may speak about the Project, but not for the Project.
- (f) In principle, the results of the steering committee meetings will not be treated as confidential.

Dams and Development Forum

- (a) It was agreed that the role of the Forum would be:
 - To act as a platform for global multi-stakeholder dialogue on dams-related issues including follow-up to WCD report;
 - To exchange experiences and lessons learnt on operationalizing and implementing WCD core values and strategic priorities;
 - To be a consultative body on key outputs of the DDP; and
 - To review the mandate of the DDP to continue beyond 2004.
- (b) Differences in the role of the DDF to that of the WCD Forum were considered important when reviewing its composition and making proposals for further expansion.
- (c) It was generally agreed that the Forum should be considered as a body, rather than

just a meeting, and that it is a formal part of the governance structure of the DDP. As such, it has its own identity.

Steering committee composition

- (a) Since the Spier Forum meeting, the discussion on composition of the steering committee had agreed to add four members to the original six from the WCD Forum liaison group, namely UNEP, a bilateral agency, developing country government and developing country non-governmental organizations. At the first steering committee meeting, the committee went back to examine the overall composition of the committee and identify where there were gaps. The group also considered how increasing the number of representatives could make the process more inclusive and involve groups who currently were not fully represented or felt alienated. Agreement was reached on a committee that represents 14 specific groups, based initially on the categories identified for the WCD Forum, but with some changes and additions. This outcome was seen to build greater inclusiveness in the steering committee while maintaining a balance acceptable to all members. It may result in greater administrative effort, but this was considered necessary to achieve the ultimate goals of the DDP.
- (b) Invitations to integrate the steering committee were issued on behalf of the existing steering committee to seek nominations from new groups. Nominations gave particular attention to reducing the gender imbalance in the committee and ensuring broader regional representation. Nominees were requested to confirm that they subscribe to the objectives of the DDP. They were also asked to confirm that they represent the categories of groups to which their organizations belong.
- (c) It was agreed that the cost of participation in steering committee meetings would be covered by the DDP for members from developing countries, where requested. In exceptional circumstances, the DDP could cover the costs of members from developed countries.
- (d) It was not considered essential for all members to nominate an alternate. In the cases where there is no alternate and the primary member is unable to attend a meeting, that member should advise other committee members of their views before the meeting. Where nominated, alternates are automatically invited to participate in steering committee meetings in the event that the primary member of their group is unable to attend. It was agreed that in the event that alternate members wish to attend a meeting in addition to the primary member, then they would do so as observers. The committee decided that its meetings would not be open to other observers.

Government representation in the steering committee

As indicated in table A1, the representative of the government (policy) stakeholder group stepped out of the steering committee just after the first DDF meeting. Despite UNEP efforts at highest level and measures adopted by DDP in response to the reservations of the delegate, this situation remained unchanged for the rest of phase 1. The issue of lack of government (policy) representation in the steering committee together with the need for increased government (policy) participation in the Project, in the context of preserving the equality among groups in the multi-stakeholder platform represented by the steering committee, led to lively discussions. The relevance of the issue merits a summary of some of the most substantive considerations emerging from the meeting.

- (a) In pursuance of increased government participation in the steering committee, at the fourth steering committee meeting UNEP recommended inviting another government as co-member in the steering committee (instead of alternate). This led to discussions about the role of such a second representative and that of alternates in general. Opinions were diverse, ranging from support to bringing more government representation into the steering committee to allow for their more effective input, to keeping the existing representation unchanged. Concern was expressed that co-membership may affect equality between stakeholders, signalling that some are more prominent than others.
- (b) At the seventh meeting, the importance of having increased government representation in the steering committee as regards phase 2 was strongly supported by many steering committee members and it was agreed that the issue of government participation in the steering committee should be sorted out as soon as possible. Again diverging opinions were voiced in this regard:
- Concerns about jeopardizing multi-stakeholder process were raised by non-governmental organization representatives. They considered that replacement was appropriate but that bringing in more governments would compromise the equality of stakeholders. Reference was made to the multi-stakeholder framework that characterizes the steering committee and that it requires that rules of equality be accepted;
 - The UNEP representative signalled the importance of equality but also noted that DDP is looking for an impact on policy and this requires government involvement. More Government need to be involved so that the status quo does not prevail;
 - Some members indicated that since government involvement was a goal, changes were required in the original formulae of having just one representative per category. A similar formula to the DDF whereby governments have unlimited slots, might be considered;
 - It was also suggested that there was a risk of over empowering governments in the steering committee – that there might be channels and time for another, perhaps governmental, type of framework, but that it was not appropriate there.
- (c) During the above discussions, funding constraints to the participation of alternates were brought forward as an example of imbalances arising from the powerlessness of some stakeholder groups. Such participation had been agreed by the steering committee in a previous meeting and was supported by some members due to its contribution to continuity and keeping the flow of information between stakeholders. While many steering committee members shared these views, the need to ensure equal opportunities of participation in order to keep the balance was emphasized. This meant that travel costs of some alternates would have to be supported by DDP.

DDF composition

- (a) The composition of the DDF was based on the WCD Forum. Two types of membership were envisaged – invited members and observers. The invited members would comprise the existing members of the WCD Forum that were

interested in continuing⁶ and new members added to reflect the balance that had been created in the steering committee and to ensure coverage across all of the sub-groups.

- (b) As an inter-sessional body on behalf of the Forum, the steering committee was charged with identifying organizations and individuals necessary to fulfilling the mandate of the DDP and inviting them to participate.
- (c) Observer status in the DDP Forum would be open to any interested organization or individual although the final number of observers and their participation would be determined by UNEP based on practicality and balance between different representative groups.
- (d) At the fourth steering committee meeting there was consensus that the Forum should be further expanded to involve more organizations in the process. The DDP secretariat was tasked with circulating a proposal for new members to the steering committee for comment and suggestions. UNEP would then take the final decision on composition.
- (e) The agreed strategy included the following aspects:
 - Openness – although Forum membership would be limited due to practical considerations, the information provided to the Forum should be available to all interested parties;
 - The Forum would be limited to the existing 13 categories although there may be need to consider a fourteenth category “others”, depending on the nominations received;
 - No limit would be placed on the number of members in the categories of Government (policy) and Government (bilateral, development agencies and export credit agencies). The latter category would be amended to include regulators;
 - Other categories should be limited in general to ten members each, although in special cases this may be waived if agreed by the committee as a whole;
 - A number of outstanding anomalies regarding allocation of organizations to specific stakeholder categories needed to be addressed although there was a feeling that the categories should not be interpreted too rigidly;
 - New members are expected to be generally supportive of the DDP objectives.
- (f) Standard UNEP procedures for financial support would be provided where requested to members from developing countries and countries in transition. A cut-off date would be specified for consideration of requests for financial support. Any special cases, including requests from developed country members, would be considered by UNEP and, if considered warranted, would be circulated to the steering committee on a no-objection basis. Any response from steering committee members should be made within one week.

⁶The response to requests to WCD Forum members to indicate their interest in continuing on the DDF was overwhelmingly positive. More than 60 per cent had agreed and of the 30 per cent of outstanding responses, many had verbally indicated their interest pending formal acknowledgement.

Phase I goal and objectives

- (a) The objectives and work programme originated in a post-Spier proposal circulated to steering committee members in April 2001 that formed the starting point of discussions. This formulation was used as the basis of the UNEP Project document. The first and second steering committee meetings agreed changes in the text of the objectives and work programme. To sharpen the focus of the DDP, it was agreed that there would be one overarching goal statement, followed by four more specific objectives and the description of the work programme. The final adopted version appears in annex II of this report.
- (b) In achieving such consensus a number of issues were clarified and agreed between steering committee members. Some of them were as follows:
 - The DDP will not rewrite the WCD report or any parts of it;
 - The DDP will not take positions or make judgements on individual projects or associated practices;
 - Dissemination should also include follow up to the WCD report;
 - The report of the third WCD Forum that summarizes the diversity of the responses to the WCD report should also be used for dissemination jointly with the WCD report.
 - The DDP will not judge good practice but provide a space for exchange of ideas on best practices based on the experiences relevant to the WCD report.
 - As a principle, DDP involvement should be demand driven.
 - The DDP should provide a signal that its primary purpose is to promote continued dialogue on the issues and that this process will be inclusive, reaching out to all groups, including those that feel alienated by the WCD process or do not accept the recommendations of the WCD report.
 - Members agreed that the work of the DDP is based on the core values and strategic priorities of the WCD as a framework for dialogue and that the approach of the secretariat needs to incorporate this fundamental principle.
- (c) The role that UNEP could play in discussing these issues with governments and the confidence that this would bring to the process was welcomed.
- (d) The Executive Director echoed the agreed statement of goal and objectives for the DDP and the fact that WCD core values and strategic priorities were the starting point for discussions. The WCD report is not considered a blueprint, but the basis for dialogue. He commented that there was a real challenge to meet development needs and that the DDP would operate with this in mind.

National dialogue

- (a) Support to national multi-stakeholder processes was considered as a major focus for the DDP;
- (b) Committee members emphasized the need for governments to be fully involved. In some cases, certain government agencies may not be willing to participate initially and therefore support to partial multi-stakeholder processes could be considered provided there is balanced representation of perspectives. The following

criteria to govern UNEP-DDP decisions on whether to provide financial support to a follow-on process were considered acceptable:

- The readiness of government agencies to participate;
 - The extent to which such initiatives are inclusive of all stakeholders or are likely to develop into multi-stakeholder processes in the future;
 - The scale of the proposed dam building programme in a country (not necessarily in absolute numbers of projects, but also in terms of the scale of the project relative to a country's national budget);
 - The extent to which a country already relies on large dams;
 - Whether in-country support and facilities for such dialogues already exist;
 - Relevant government agencies should be informed and in agreement;
 - DDP assistance should be targeted towards those cases where it will clearly make a difference.
- (c) The involvement of relevant government agencies in these processes was seen as important and in line with the way that UNEP conducts its activities, although it was accepted that Governments might not necessarily be the first entry point to initiate a process in a country.
- (d) It was not considered a requirement for the DDP to enter into formal approval processes with Governments. In the event that a government agency expresses concern about possible DDP involvement in a national or sub-national follow-on process, then DDP and UNEP will endeavour to establish the underlying reasons and engage in finding a solution through discussion with the appropriate agencies.
- (e) It was agreed that Governments need not be informed of the participation of individual DDP secretariat staff in meetings, conferences or workshops that do not involve DDP financial support to organizations or processes within a country. Care should be exercised by the secretariat not to raise expectations of support that cannot be met within the work programme.
- (f) As regards DDP support to processes that are not multi-stakeholder in nature, it was agreed that single stakeholder activities would not generally be supported financially by the DDP, but that individual requests could be considered on a case by case basis. If the secretariat considers the activity to be controversial, it will consult with the steering committee prior to any commitment. Single stakeholder activities could be supported where change is expected to happen and or it would lead to multi-stakeholder dialogue in the future. Transparency of information is important and, in such cases, the respective government should be informed and an explanation made of how DDP involvement fits within the longer term process. The DDP will not provide financial support to processes related to campaigns against or in support of specific projects.
- (g) National processes should be time bound though it was recognized they may take time to develop. The main consideration of success should not only be the sustainability of the process, but rather the engagement of Governments and adoption of the recommendations. Development of national guidelines as a practical result of national processes, as well as local partnerships and in-country ownership to support these processes were considered as a measure of sustainability.

National dialogue in phase 2 DDP

Consideration of phase 2 DDP activities gave steering committee members the opportunity to reassess their views and positions concerning the DDP role and involvement in the national dialogues, taking into account the experience gained during phase 1 and the external evaluation report. Diverging opinions were tabled on some issues that will certainly be matters for further clarification during the early stages of phase 2 DDP. The following presents a brief review of some of the areas of agreement and disagreement:

- (h) There was agreement in that:
 - The aim of national dialogues is to improve policies;
 - There is a need to be selective, focusing on some national processes and for a realistic approach to limited achievements, obtaining tangible results and closing the gap between aspirations and reality;
 - Those processes that are currently underway should be continued, while support to new processes should be limited to a few selected countries.
- (i) Discrepancies involved:
 - Questioning the very need for DDP to promote such dialogue since countries might go their own way elaborating their guidelines or find guidance attending the DDF. Some members were of the view that dialogue should be limited to DDF and while acting at the global level focus on a product. The rationale was that global dialogue involves less funding while going region by region is seen as unaffordable. In this latter context some opinions called for prioritizing monitoring of national processes rather than supporting them;
 - Other views pointed out that the evaluator recommended improved decision-making at country level. He indicated that the global level did not have much impact at country level. So one should prioritize in a few countries, to improve decision-making at national level.

Global dialogue

During phase 1, DDP channelled the global dialogue mainly through the DDF meetings and the issues-based workshops. The nature and features of these events was largely discussed at the steering committee meetings at the time of preparing their agenda or assessing their achievements. Some of the issues addressed and agreements forged are presented below:

- (a) The focus of DDF meetings should move away from internal processes and be directed towards generating discussions among the multi-stakeholder group on substantive issues and challenges – possibly stimulated by thematic presentations. The need to have a focus on definite substantive issues and not on the DDP process was stressed.
- (b) The format would be more like a conference. Working groups would be used more to generate greater involvement and interaction of the delegates, but measures should also be taken to allow a greater exchange of views on specific subjects in the plenary sessions.
- (c) As a specific multi-stakeholder body, the Forum represents a major opportunity to get to the heart of the issues surrounding dams and development.

- (d) The need to improve the response of participants in terms of participation and discussion was recognized. It was agreed that this involves addressing topics that elicit the interest of those who are willing to share their experience and are willing to come to the meeting to discuss them.
- (e) As regards topics to be addressed, some support was given to focus on the DDP goal of promoting dialogue on WCD values and priorities. Other topics included presentation of national experiences, and evaluation of DDP experiences and results from the first year that may provide guidance to countries from lessons learned. The importance of providing the countries with room to tell their stories was highlighted, so the reality of the world outside is captured in the proper way to engage discussions.
- (f) Controversial issues should not be suppressed, since they are enlightening and would provide indications to move forward. This involves also bringing into the debate other discussions on dams currently occurring outside the Forum.
- (g) Reference was made to the need for increasing quality of participation, inviting key persons and particularly further involving governments by promoting a stronger presence of line ministries in the meeting. This would allow for planning more interactive activities between Government and civil society at the Forum meeting. The organization of panel discussions on substantive issues integrated by Forum members, government representatives and civil society, encouraging the reaction from the audience, was proposed.
- (h) It was pointed out that dialogue is not enough – there is need for a defined end-product. There is a need for the dialogue to have a tangible impact on policy and hence the need to get more Governments involved in the process. More Governments in the meeting would render it more attractive.

Issues-based workshops

An outcome of the first DDF meeting was a general agreement that in addition to supporting national processes, DDP should support sectoral meetings and workshops. Decision was taken to add into the phase 1 work programme five issues-based workshops to be convened before July 2004: *Comprehensive options assessment*, *Gaining public acceptance*, *Addressing existing dams*, *Ensuring compliance* and *Financing dams and sustainable development*. The various steering committee meetings examined a number of issues concerning the planning and development of these meetings:

- (a) Emphasis should be placed on challenges and obstacles to implementation.
- (b) There is a need for expert or professional facilitation to raise the key issues for discussion and to ask the audience to focus on obstacles and challenges.
- (c) As regards participants the need to be selective was emphasized. Participants should be knowledgeable and prepared for the meeting, having read the materials.
- (d) Since issues-based workshops are technical meetings, quality papers should be invited.
- (e) General agreement was reached to move towards a seminar-workshop approach to structure the meetings taking into account their dual function of providing for education and information for the audience at the same time as getting input from participants.
- (f) Although the DDF members provide a broad representative stakeholder group, when participating in these meeting there is also need to proactively invite participants with intimate knowledge in each of the workshop subject areas in

order to maximize the effectiveness of the discussions and carry the debate forward.

- (g) It was recognized that the steering committee request for an improvement in the quality of attendance and involvement of experts and professional facilitators implied an additional financial burden.

Dissemination

Dissemination of WCD final report and other related materials was one of the four main elements of DDP phase 1. In carrying out such activities some steering committee members were concerned that DDP was moving beyond merely supporting the WCD core values and strategic priorities agreed as DDP platform to endorsing the full WCD report. This tension affected the discussions on dissemination issues at the steering committee meeting. Some of the main issues covered follow:

- (a) When distributing copies of the WCD report, it would be accompanied by a standard covering letter from the Executive Director explaining the role of the DDP and a copy of the proceedings of the third WCD Forum that included a speech by former WCD Chair as well as institutional reactions to the report.
- (b) Where the WCD report was being translated into other languages, the third WCD Forum report should also be translated where possible. It was agreed that if this were not possible, then the English version would be attached and referenced so that stakeholders were aware of the opening speech by former WCD Chair and of institutional reactions to the report.

Dissemination of WCD materials in phase 2

- (c) There was intense discussion on whether dissemination of WCD materials should proceed or not. If it did proceed, they would need to agree on which scale or scope should be adopted. Some members supported the idea that dissemination should proceed as long as it was necessary. This included translations, reaching those that are not directly accessible, and raising awareness of the WCD report. These tasks were deemed important and some members supported an even stronger will to clarify WCD.
- (d) Other voices opposed to further dissemination of the WCD report, casting doubts on the real need (if people needed the report they would manage to find it) or the impact of the activity (what could be achieved?). Concerns that disseminating the WCD report equated to supporting it were voiced taking into account that dissemination by UNEP and DDP involved their credibility. In this regard it was suggested that dissemination be limited to WCD core values and strategic priorities. A suggestion was made that if it was felt that dissemination was not the focus of DDP, it should be outsourced.
- (e) Many steering committee members agreed that dissemination should be tailored on a country or regional basis. That materials should be made available on request or through the website.
- (f) It was emphasized that dissemination of WCD materials should follow the established rules concerning the inclusion of the Spier report and a covering letter as agreed upon in former steering committee meetings, giving a clear signal that DDP is not endorsing the WCD report.
- (g) Steering committee members focused on the CD ROM pointing out the need to increase the visibility of the reactions and the Spier report.
- (h) In this regard it was indicated that the second phase should focus dissemination

on DDP materials and activities, signalling a differentiated and more mature process. In this same direction it was opined that the CD ROM cover should include the DDP logo.

Good practice

The implementation and maintenance of a web-based database of examples of good practice and lessons learnt was one of the four elements of the DDP phase 1 programme of work. Some features of the system and process were considered by steering committee members:

- (a) In particular, the inclusion of WCD policy principles as an optional field in the draft template generated considerable discussion. Members' views differed over whether or not DDP should feature the policy principles. Given lack of agreement on the policy principles in general, it was agreed that to move forward, this entry field would be removed and that a new field would be introduced that allowed the person submitting a good practice example to refer to compliance with any national or international guideline or policy that they deemed relevant. This could include the WCD policy principles.
- (b) Deriving positive approaches from bad practices was suggested as an innovative approach. Accordingly changing the term "good practices" to "experiences" was recommended.
- (c) The issue of verification of the examples submitted was also considered. It was concluded that the submissions database should be renamed "Experiences and lessons learnt".

Project extension

The fifth, sixth and seventh meetings included in their agendas the issue of the extension of the DDP into a phase 2 beyond July 2004. The focus given to the topic increased progressively dominating the last two steering committee meetings. An external independent assessment of the Project carried out during December 2003 and January 2004, a UNEP position paper on the extension and at least two versions of the phase 2 Project proposal (prepared by the DDP secretariat on the basis of the steering committee meetings outcomes) were the basis for the discussions. Some of the main issues addressed were as follows:

- (a) It was considered that, at Spier, the third WCD Forum itself decided to continue and the proposal for UNEP to host the DDP arose from the need to have a supporting group established. It was concluded from discussions on this topic at the second DDF meeting, that Forum members generally concurred with a process whereby the steering committee would make a recommendation to UNEP regarding Project phase 2 on behalf of the Forum.
- (b) It was further agreed that any extension would be based on the outcomes of the external assessment and evaluation and, if positive, an extension of one or two years might be considered. The need for an exit strategy was pointed out.
- (c) It was agreed that there was value in continuing with the original objectives. The need to define the mission statement, to move from dialogue to improving decision-making was highlighted.
- (d) The discussions moved to the need to establish three or four main tangible results that the Project should achieve at the end of the two-year process. These results

should focus on: the issues of dissemination involving WCD, DDP activities and results; the need for an approach to involve Governments and make efforts to attract them; and the need to help decision-makers make better decisions. In this regard the need for a global level product, a handbook of good practices or two or three key tools of practical interest at regional, national and global levels to help improve decision-making, as a potential final output of phase 2, was highlighted.

Improved decision-making:

- (e) The need to further discuss the concept of participatory decision-making and stakeholder involvement was pointed out. The question of who takes the decisions was tabled. It was recognized that the Project addresses the stakeholders but that they have different roles regarding decision-making. The question of whom the Project is expected to influence was tabled. Agreement was reached that Government was the target. It was accepted that indicators of success were needed but not to be decided at this stage. The Project should identify some on the basis of selected criteria at the start of phase 2.

Reference to WCD core values and strategic priorities

- (f) The consideration of the goal and objectives proposed for the DDP phase 2 as stated in the draft phase 2 concept paper submitted to steering committee members for consideration on 24 May 2004, triggered lively discussions on the linkages to the WCD core values and strategic priorities and *their* implications.
- (g) Some were of the opinion that, as it emerged from the London meeting, a practical approach was needed for phase 2 on this matter. It was suggested that a way forward might perhaps be keeping the principles but not referring to WCD.
- (h) Other opinions further reiterated that the WCD core values and strategic priorities, were the nexus that brought the steering committee members together at inception and therefore could not be taken out without fundamentally looking again at the whole exercise.

Sixth steering committee meeting, London, 20-21 April 2004

Shared basis for DDP phase 2

1. Focus on improved decision-making;
2. Produce non-prescriptive tools which can help decision-makers;
3. Forum: share experiences on core values and strategic priorities applied to decision-making;
4. Need for indicators of success;
5. Dissemination actions tailored to country or regional level according to set rules incorporating DDP processes;
6. At country level: apply selective criteria and focus on a few countries (less than 10) ensuring the involvement of current decision-makers;
7. Need to take actions to further engage Governments of key countries in the Project, steering committee and DDF

Annex V

Dams and Development Forum

A. Introduction

The Dams and Development Forum (DDF) is an independent body convened by the steering committee, which plays an important role in providing guidance to UNEP on the implementation of the DDP work programme. Therefore, the role of the Forum is to:

- Act as a platform for global multi-stakeholder dialogue on dams-related issues including follow-up to WCD report;
- Exchange experiences and lessons learnt on operationalizing and implementing WCD core values and strategic priorities;
- Act as a consultative body on key outputs of the DDP; and
- Review the mandate of the DDP to continue beyond 2004.

The enlargement process of the DDF was initiated following the first Forum and the third steering committee meetings held in Nairobi in July 2002. At the third meeting of the DDP steering committee, it was agreed that the Forum should be further expanded to include more representatives in certain stakeholder categories. As a general rule, it was agreed that stakeholder categories were limited to 10 members with the exception of the government agencies (policy) and government agencies (bilateral development, export credit, regulators). Therefore, as a result of the Forum enlargement process, the Forum grew from the 68 members at the time of the WCD launch to 120 from over 40 countries. See table A2 containing the list of DDF members.

B. First DDF meeting

The first DDF meeting was held on 8–9 July 2002 in Nairobi, Kenya. It provided a valuable opportunity for members to comment on the direction the DDP had taken since its establishment in November 2001. The Forum meeting was organized into six plenary discussion sessions that covered a wide range of issues including the presentation of follow-up initiatives around the world in countries such as Nepal, South Africa and Pakistan, as well as institutional follow-up activities, key challenges and defining the role and composition of the DDF meeting. During this first Forum meeting, 92 people attended from a broad range of interest groups around the world.



Following the plenary discussion on key challenges, four break-out group discussions were held dealing with the diverse issues of public acceptance, options assessment,

compliance, existing dams and national processes. In particular, the participants were encouraged to focus on the questions that follow.

- What needs to be done to move dialogue and action on these issues forward over the next two years and beyond?
- What is the role of the DDP in such dialogue and actions?
- What are the expectations of the different sectors from each other for moving forward?

Each of these discussion groups provided material to guide further multi-stakeholder debate on these issues with the ultimate aim of providing substantive guidance and a more shared understanding of the issues and possible means of dealing with them. The concepts have been taken further through the convening of a series of issues-based workshops by the DDP. It was also noted that a key challenge for the DDP was to prioritize the different issues raised at this DDF meeting.

C. Second DDF meeting

The second DDF meeting was held on 25–26 September 2004 in Geneva, Switzerland. More than 90 participants from 44 countries representing 13 different categories of stakeholders attended the meeting.

The Forum meeting was structured into five plenary sessions that discussed issues related to framing national dialogues, comprehensive options assessment as well as the emerging responsibilities and opportunities for the DDF to enhance global dialogue on dams and sustainable development. The final plenary session was devoted to seeking guidance from Forum members on how to streamline the activities of the DDP phase 1 successfully.



In addition, break-out discussions were held on the key subject areas of: framing national and regional dialogues; gaining public acceptance; addressing existing dams; ensuring compliance; and financing dams and sustainable development. Each of these discussion groups provided input and guidance towards prioritizing the main topics discussed at the issues-based workshops convened during 2004.

D. Third DDF meeting

The third DDF meeting was convened on 17–18 June 2004 in Nairobi, Kenya. The meeting consisted of seven plenary sessions which were structured in seminar, panel or working group format. The substantive issues discussed intensively by the participants in the plenary sessions included: national and regional multi-stakeholder dialogues for improved decision-making; integrating the WCD core values and strategic priorities into national contexts; defining the indicators of success for multi-stakeholder dialogue processes as well as the road map for implementation of the second phase of the DDP.

The Forum participants were also informed about the outcomes of three issue-based workshops convened by the DDP, on: financing dams and sustainable development; addressing existing dams; and ensuring compliance.



In addition, a brief presentation was also made on the planned virtual workshop on gaining public acceptance. There was active involvement of steering committee members who participated in the meeting as either keynote speakers or panelists.

There were 58 participants from 19 countries at the meeting, representing a wide range of stakeholder groups involved in various aspects of the dams and development debate. All stakeholder categories considered by the DDP were present at the meeting, with non-governmental organizations (advocacy) and affected peoples, followed by government (policy), government (project/basin) and private sector or industry being the groups that were better represented.

Table A2 Dams and Development Forum: current members

<p>Government agencies (policy)</p>	<p>Brazil, National Water Agency China, Ministry of Water Resources China, State Environment Protection Administration India, Planning Commission Japan, River Bureau, Ministry of Land, Infrastructure and Transport Mexico, National Water Commission Nepal, Ministry of Water Resources South Africa, Department of Water Affairs and Forestry Sri Lanka, Ministry of Irrigation & Water Management Turkey, General Directorate of State Hydraulic Works, DSI Uganda, Ministry of Energy and Mineral Development USA, United States Bureau of Reclamation Vietnam, Ministry of Agriculture and Rural Development</p>
<p>Government agencies (projects/ basins)</p>	<p>Confederación Hidrográfica del Ebro, Spain Inter-State Commission for Water Coordination (Central Asia) Jasa Tirta Public Corporation (Brantas River Development Authority) Jordan Valley Authority LHWC, Lesotho Highlands Water Commission Mekong River Commission Nile Basin Initiative secretariat Volta River Authority, Ghana</p>
<p>Government agencies (bilateral development, export credit, regulators)</p>	<p>Argentina, ENRE, National Electricity Entity of Electricity Regulation France, Ministry of Foreign Affairs (Bilateral Development) Germany, BMZ, Federal Ministry for Economic Cooperation and Development Japan, JBIC, Japan Bank for International Cooperation Netherlands, DGIS, Ministry of Development Cooperation Norway, NORAD, Norwegian Agency for International Cooperation Sweden, Sida, Swedish International Development Agency Switzerland, SDC, Swiss Agency for Development and Cooperation UK, DFID, Department for International Development USA, OPIC, Overseas Private Investment Corporation USA, US Export/Import Bank</p>

Affected peoples' groups	<p>Assembly of the Poor, Thailand Barh Mukti Abhiyaan (Forum for Freedom from the Floods), India COAGRET, Coalition of People Affected by Large Dams and Aqueducts, Spain CODESEN, Coordination for the Senegal River Basin MAB, Movimento dos Atingidos por Barragens, Brazil NBA, Narmada Bachao Andolan, India Water and Energy Users' Federation, Nepal</p>
Indigenous peoples' groups	<p>COICA, Federación de Indígenas del Estado Bolívar, Ecuador COPINH, Consejo Cívico de Organizaciones Populares y Indígenas de Honduras Cordillera People's Alliance, Philippines Grand Council of the Cree, Canada Himba community, Namibia Hmar indigenous peoples, India Kuna and Embera communities, Panama RAIPON, Russian association of Indigenous Peoples of the North, Russia Tebtebba Foundation (Global)</p>
Utilities, owners or operators	<p>CIER, Committee for Regional Energy Integration, South America Electricité de France Endesa, Spain ESKOM, South Africa Hydro-Québec, Canada Nepal Electricity Authority</p>
Private sector or industry	<p>Acres International, Canada AES, USA Alstom Power, Belgium Continental Construction, India Engevix, Brazil Hauptverband der Deutschen Bauindustrie, Germany Lahmeyer, Germany Montgomery Watson Harza, USA Nippon Koei, Japan</p>
International non-governmental organizations	<p>Africa Water Task Force ICIMOD, Nepal ILEC, International Lake Environment Committee, Japan IUCN, The World Conservation Union, Switzerland TI, Transparency International, Germany Water Aid, United Kingdom Wetlands International, Japan WWF, World Wide Fund for Nature, Switzerland</p>
Non-governmental organizations (advocacy)	<p>Berne Declaration, Switzerland Friends of the Earth, Japan German Carajas Forum, Germany IRN, International Rivers Network, USA Let's Help the River and Russian Rivers Network National Association of Professional Environmentalists, Uganda NAWISA, Network for Advocacy of Water Issues in Southern Africa Sobrevivencia-Friends of the Earth, Paraguay Sungi Development Foundation, Pakistan Swedish Society for Nature Conservation</p>
Inter-governmental organizations	<p>ADB, Asian Development Bank AfDB, African Development Bank DBSA, Development Bank of Southern Africa FAO, UN Food and Agriculture Organization IADB, Inter-American Development Bank IEA, International Energy Agency SADC, Water Directorate UNDP, United Nations Development Programme UNEP, United Nations Environment Programme WB, World Bank WMO, World Meteorological Organization</p>

Professional associations	<p>Gender Water Alliance or Network of Women Water Professionals Sri Lanka GLOBE, Global Legislators Organization for a Balanced Environment HEA, Hydro Equipment Association IAIA, International Association for Impact Assessment IFAP, International Federation of Agricultural Producers IHA, International Hydropower Association INBO, International Network of Basin Organizations Public Sector International WAC, World Archaeological Congress</p>
Organizations working on options	<p>ABB, Switzerland AFREPREN, African Energy Policy Research Network Focus on the Global South, Thailand INFORSE, International Network for Sustainable Energy, Denmark ITDG, Intermediate Technology Development Group, UK Pacific Institute, USA Renewable and Sustainable Energy Roundtable of Australia Tarun Bharat Sangh, India Winrock International, Nepal World Council for Renewable Energy</p>
Research organizations	<p>Centro EULA, Ciudad Universitaria, Chile Culture and Gender Research Centre, China Freshwater Research Institute, University of Cape Town, South Africa Institute of Urban and Regional Planning and Research, Brazil ISPH, Institute of Hydroelectric Studies and Design, Romania IWMI, International Water Management Institute Tropica Environmental Consultants Ltd., Senegal Universities Partnership for Transboundary Waters, Oregon University, USA Worldwatch Institute, USA WRI, World Resources Institute, USA</p>
Steering committee alternate members	<p>GTZ, Gesellschaft für Technische Zusammenarbeit, Germany NEPAD, New Partnership for Africa's Development SANDRP, South East Asia Network for Dams, Rivers & People</p>

E. Emerging issues discussed at DDF meetings

Since the establishment of the UNEP-DDP in November 2001, three DDF meetings have been convened which have provided a unique platform to carry forward the dialogue on dams and development in a constructive and inclusive manner with the aim of finding common ground on what have often been very controversial issues. A brief summary extracted from the proceedings of these meetings of some of the key issues discussed and reiterated concerning national or global dialogues, government involvement, dissemination and exchange of good practices is given below. The proceedings of the three Forum meetings are available for more information upon request in hard copy and on the DDP website.

National or global dialogues

The Forum meetings opened up stimulating discussion on diverse issues of relevance to the current dams debate, including national and global dialogue, dissemination, good practice and government involvement among others. With regard to the issue of promoting national dialogue as an integral aspect of the DDP work programme, various views expressed by Forum members included the importance of ensuring the multi-stakeholder nature of the follow-up process, the need to involve governments, the importance of

using a neutral facilitator to guide dialogue processes and the possible utility of national laws and other regulatory frameworks as a basis to ensure a level of compliance in a particular country context. Important questions raised during the deliberations included: who would conduct or initiate the process, who was to be held accountable for ensuring that the process was conducted in a transparent, balanced manner and how would the process be set up, particularly with regard to the reporting structures.

The DDF is the specific and main tool to carry out global dialogue on dams and development. However, a key emerging issue with regard to global dialogue has been how to translate the outcomes of Forum meetings at the national and sub-national levels, as well as how to create avenues to keep a more permanent dialogue open between the Forum members. In further promoting global dialogue, it has been suggested that Forum members should also work in collaboration to jointly follow up on issues concerning compliance and existing dams.

Government involvement

The need for government involvement in national and global dialogue processes has also been emphasized and identified as a major challenge in several of the discussions held during the last three meetings, particularly given that Government is a key decision and policy maker. In particular, it has been suggested that Governments are committed to achieving sustainable development and may therefore be willing to analyse WCD recommendations within the national context should obstacles of funding and capacity building be overcome, particularly in developing countries. It was also noted that not all Governments support the WCD recommendations and this remained a crucial challenge, particularly with regard to engaging the support of Governments that were not already involved in the process.

Dissemination and exchange of good practices

In addition, issues related to dissemination and the exchange of good practices were also the subject of intensive debate during Forum meetings. With regard to dissemination, it has been noted that there is need to disseminate the core values and strategic priorities of the WCD report in different languages such as French and Chinese in order to effectively target a broader range of stakeholders. The beneficial exchange of information on good practices and lessons learnt has also been highlighted as a key issue. The creation of an institutional learning framework that allows various parties to share their own experiences was also considered crucial. For example, Australia offers good practice examples on managing limited water resources and environmental concerns and India can provide additional examples of successful local water management and use of traditional technologies.

Annex VI

External evaluation report

Professor Mohan Munasinghe, 10 February 2004

A.. Project details

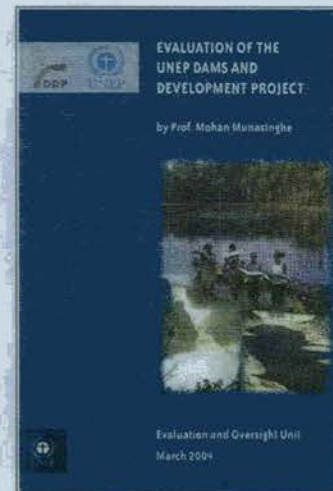
Project title: Dams and Development Project (DDP)
Project number: DU/CP/3010-01-17
Duration: 33 months
Commencing: October 2001
Completion: July 2004
Location: Global
Implementing partner: United Nations Environment Programme
P.O.Box 30552, Gigiri, Nairobi, Kenya
Project cost: \$3.4 million

B. Introduction

Following the publication of the report of the World Commission on Dams (WCD) in 2000, and the completion in February 2001 of its immediate follow-up activity (the WCD stakeholders' Forum), UNEP was requested to host the proposed Dams and Development Project (DDP). The DDP was originally established for a period of two years (October 2001–September 2003) and subsequently extended to 33 months (July 2004). The main objectives during this period were to:

- (a) Promote dialogue to improve decision-making on dams and their alternatives on the basis of the WCD core values and strategic priorities at national and global level;
- (b) Carry out information networking;
- (c) Disseminate WCD materials; and
- (d) Facilitate exchange of ideas on good practices. In particular, multi-stakeholder meetings of the DDP steering committee and the global DDF, as well as regional and country level gatherings, were organized.

The DDP has a total budget of \$3.4 million, financed through the trust fund, United Kingdom counterpart funds and UNEP in-kind contributions. From October 2001 to March 2003, the DDP secretariat was located in Cape Town, with IUCN acting as the implementation agency. From April 2003 onwards, the secretariat was relocated to UNEP headquarters in Nairobi, and managed by UNEP.



This evaluation was conducted by an independent, external evaluator, for the UNEP Evaluation and Oversight Unit (EOU), at the request of the DDP steering committee. The objective of the evaluation was to determine to what extent the Project has been successful in fulfilling its objectives and achieving expected results in a cost-effective manner — by reviewing Project impact and the implementation of planned Project activities, outputs and outcomes. The evaluation would form the basis for a decision on the possible extension of the DDP into a second phase beyond July 2004. The findings of the evaluation are based on the review of written documents, interviews with stakeholders, a comprehensive survey questionnaire, and comments received.

C. Evaluation findings

This section is based on the survey responses, supplemented by information from interviews and written documents. Of the 147 surveys sent out, 42 responses were received – a high response rate of almost 30 per cent. Interviews were conducted with 25 individuals.

- (a) Overall, the respondents found that the achievement of planned results with regard to the four broad objectives was good (3). Major efforts have been made to invite pro-dam countries to participate in dialogue at regional and global levels. The Forum provides a venue for constructive and reasoned engagement among all groups. The achievements of DDP regionally were very limited. More emphasis is needed on integrating DDP dialogue with existing national processes. Participation at major international meetings and use of material has been effective in spreading the message and developing contacts for future dialogues. DDP has been effective in providing a central point for reactions to the WCD report and multi-stakeholder positions. It helped interested parties participate in initiatives relevant to the WCD report and gain access to information, technical support and funding. Dissemination of materials has contributed much to the WCD messages staying alive among the water policy community. Although information effectively reached non-governmental organizations and wider civil society, it did not successfully reach key decision-makers in Government, industry and the professional community. Many respondents found that not much emerged about good practices. A balanced approach should be taken to include good and bad practices, since people learn as much from failures as from successes.
- (b) Delivery of key outputs and activities set out in the Project document by the DDP has been good (3). A good opportunity has been lost due to the DDP and UNEP concerns about avoiding controversy – for example, Forum meetings used the expertise present to analyse and evaluate ground issues relating to “controversial dams” (without passing any judgements) for the benefit of all concerned. Presumably, however, due to time and other constraints, the key issues discussed at Forum and steering committee meetings have not been followed up. The process needs to be streamlined in the future, with fewer meetings, orientated around decision points. A wide range of products has been disseminated by DDP, and the reports, information sheets and newsletters were found to be very informative. The development of the communication strategy took too long. Much concern was expressed about the lack of resources allocated to translations.

- (c) The performance of the institutional and administrative frameworks was rated as good (3). Progress has been achieved on global dialogue since WCD days. Meetings were considered a useful, neutral meeting ground for global dialogue, capturing a diversity of actors and opinions. The issues relating to dams could have been placed in better perspective if more substantive issues, including controversial issues, had been discussed. On average, the steering committee was found to be a well-balanced group, and were considered to have done a good job in guiding the Project. The excellent attendance and participation of steering committee members demonstrates their commitment and the importance of the issues. They are a diverse group with firm opinions, who have learnt to work together for mutual benefit. Overall, the respondents felt that the Project secretariat did well in promoting dialogue initiatives at global and regional levels, providing and disseminating information, and providing technical and administrative support. The secretariat needs to be more proactive, however, in supporting and catalysing national and regional level dialogues, by pulling together coherent summaries and reports reflecting the discussions held, in addition to the information sheets.
- (d) The implementation approach (design of activities, preparatory work, flexibility, ability to re-phase, follow-up actions, and so on) was felt to be good (3). The structure of the Project appears to have been appropriate and effective, and implementation satisfactory. More initiative and flexibility could be demonstrated by the secretariat in both stimulating demand and becoming more responsive to it. One of the main problems was the move to Nairobi – causing discontinuities in staffing and increasing the role of UNEP bureaucracy, making operations more complex and time consuming.
- (e) Resource mobilization and financial and budget planning were good (3). Concern was expressed, however, about the excessive share of the budget devoted to salaries and bureaucracy, with insufficient priority for actual outputs.
- (f) The sustainability of the DDP was rated as good (3). Nevertheless, many respondents found that the DDP would not be sustainable at the same pace and with the current approach, as there were too many meetings (leading to information overload and disengagement) and excessive staff costs. Support is still needed, especially for national and regional processes. It was agreed that the already successful global dialogue could be maintained at a lower intensity, to feed and stimulate the emerging country and regional dialogues. There could be substantial demand for the DDP services and increased impact, while stakeholder enthusiasm would be stimulated if the emphasis shifted towards practical issues at country and regional levels.
- (g) Globally, the success of the multi-stakeholder approach was judged to be good (3). The multi-stakeholder approach on dams has opened up discussions at many levels. The DDF is invaluable in bringing together a diverse group and has been effective in facilitating constructive engagement and learning among stakeholders.
- (h) Country ownership of activities, policies and processes was found to be merely satisfactory (4). There is likely to be a long time-lag before a clear benefit emerges from the DDP in terms of these aspects. There is a need to continue the Project for a few more years. At present, there are no country or regional steering committees capable of taking over this lead role.

- (i) The replicability of the multi-stakeholder approach was rated as good (3). The multi-stakeholder approach is applicable to all development challenges, not just water, and has already been attempted in other dialogues involving water (global dialogue for food and water) with varying degrees of success. The multi-stakeholder approach cannot succeed without an underlying programme of activities that is time-bound, cost-effective and supported by committed governments.
- j) Respondents found the evaluation and monitoring of DDP activities to be good (3). However, some respondents found that there has been little feedback and follow-up, although evaluation questionnaires had been sent out after the last Forum meeting.
- k) Most respondents found that the role of UNEP in supporting and facilitating DDP activities was very good (2) and that it was essential for confidence in the Project. UNEP has played a catalytic role in the establishment of DDP and provided an excellent opportunity to open a new phase in the dams dialogue. It provided an essential umbrella for DDP activities, providing the assurance of an inter-governmental body, expanding the diversity of stakeholders, and keeping a neutral balance. In particular, UNEP provided an invaluable link with governments, industry, inter-governmental processes and civil society. UNEP support has been very useful in terms of giving political momentum to the DDP and broadening international governmental interest in the WCD report.

D. Lessons learned

The core of the DDP effort was the successful emphasis on the multi-stakeholder, multi-level consultative process. However, the process was beginning to experience diminishing returns and delays. Sufficient time was needed to include all stakeholders and also create a balanced and non-confrontational atmosphere for dialogue, but a protracted process would lead to loss of momentum and credibility.

To maintain interest at the global level, it was necessary to move beyond the core values and strategic priorities of WCD and examine more substantive and controversial issues. In view of time constraints, as well as the problems encountered in servicing such a large Forum, meetings would have to be well-structured to take advantage of the wide experience of the members (for example, a combination of conference and workshop, with inter-linked plenary sessions and parallel discussion groups for detailed interactions on specific issues).

There was need to better acknowledge the different emphases required in dealing with new dams as against existing dams. Typically, ex-ante application of safeguard policies and regulatory instruments was more relevant for new dams, whereas the management of existing dams would require greater focus on remedial mitigation of social and environmental impacts (many of which were not foreseen at the time of original construction).

There are built-in advantages and high potential for development of regional dialogues, as evidenced by the SADC experience. Government and stakeholder participation at the regional level has helped in resolving problems of drought and water sharing at regional meetings. The proposal for the DDP to help establish regional bodies covering the Mekong and La Plata river basins, warrants serious consideration.

Focusing on national level dialogues to achieve better and measurable development outcomes, would be an important step forward. Activities at the national level were constrained by the dearth of funds and lack of support for capacity-building, resulting in non- participation of key stakeholders. Multi-stakeholder participation needs to begin from the early stages. Decision-making needs to be closely coordinated, preferably by a key agency which is credible and acceptable to all parties. There are great advantages in working towards integration of dam policy with the national water resources policy, as well as other related national policies in areas such as energy and environment.

A higher level of awareness could have been achieved if mechanisms were provided for the national agencies to disseminate information to ground-level stakeholders (including translations, where necessary). A balanced approach should be taken on good and bad practices as people learn from both. The information and data collected from individuals and organizations needed to be validated. Excessive and unstructured information loses its effectiveness. Hence, to the extent possible, information should be targeted to specific groups and classified accordingly (for example, decision-makers would prefer executive summaries without technical jargon, while experts and researchers would tend to look for more analytical approaches and detailed information in their relevant technical areas).

E. Conclusions and recommendations

Overall assessment of the DDP first phase

During its first phase of activity, the DDP has achieved an overall rating of GOOD, corresponding to the range 60–74 per cent or a numerical value of 3, on the UNEP scale of achievement (see table A3). The rating in each category of the table is based on the survey results summarized in Section 4 and table 4.1 of the main text (50 per cent weight), as well as information from interviews (25 per cent weight) and written documents (25 per cent weight). The final column of table A3 indicates the survey questions which are relevant to each achievement category.

The DDP achievements in almost all the UNEP designated categories fall into the good range, except for three areas. The attainment of outputs and activities is rated 2 or very good. However, both country ownership and cost-effectiveness are rated 4, which is merely satisfactory. Thus, the following recommendations reflect the need to strengthen in-country activities and reduce the fraction of staff costs in the total budget.

Table A3 Rating of DDP activities by UNEP achievement categories

Achievement category	Rating	Survey questions
a. Achievement of objectives and planned results	3	A and C
b. Attainment of outputs and activities	2	B
c. Cost effectiveness	4	E.4
d. Impact	3	A, G and H
e. Sustainability	3	F
f. Stakeholder participation	3	G
g. Country ownership	4	H
h. Implementation approach	3	D
i. Financial planning	3	E
j. Replicability	3	I
k. Monitoring and evaluation	3	J
All categories (overall average)	3	

Note: The UNEP rating system used is as follows:

- 1 = Excellent (90–100% achievement)
- 2 = Very good (75–89%)
- 3 = Good (60–74%)
- 4 = Satisfactory (50–59%)
- 5 = Unsatisfactory (less than 49%)

Recommendations

1. Dams and development issues will continue to have high priority in many countries, and efforts to address them must continue.
2. The original DDP objectives need to be carefully reviewed and fresh priorities determined, if the mandate is renewed beyond July 2004.
3. A time-bound extension of the DDP is justified, to realize the benefits of the first phase.
4. The DDP secretariat should continue to be located within UNEP.
5. The secretariat needs to become more focused, streamlined and cost-effective, in line with the revised objectives and priorities (see recommendation 2). This reorganization would include the size and composition of staff, and allocation of tasks among them.
6. Country (and regional) processes should be the main focus of future attention, while maintaining the already successful global dialogue at a lower level of intensity.
7. The DDP functions and resource allocation should reflect the emphasis on country and (regional) processes.

Annex VII

Issues-based workshops

A. Introduction

Promoting global dialogue is an integral aspect of the work programme of the DDP and it comprises three main elements, namely, the Dams and Development Forum (DDF), a series of issues-based workshops described below and presentations at international meetings. In this regard, the participants of the first DDF meeting held on 8-9 July 2002 in Nairobi identified a number of key issues as a focus for global multi-stakeholder dialogue that included comprehensive options assessment, gaining public acceptance, addressing existing dams and ensuring compliance.

Based on the recommendations of the steering committee at its third meeting, DDP convened issues-based multi-stakeholder international workshops addressing those strategic priorities. An additional workshop dealing with financing dams and sustainable development was also convened on 21-22 April 2004 in London.

B. Comprehensive options assessment workshop

The comprehensive options assessment workshop was held on 22-23 September 2003 in Geneva, Switzerland. The objective of the comprehensive options assessment workshop was to facilitate an international multi-stakeholder debate on comprehensive options assessment with the goals of assessing the state of the art, mapping the challenges to produce criteria for implementation that are broadly accepted and articulating strategies to facilitate incorporation into the planning process. The expected output was a set of principles and recommendations to facilitate a more specific stage of discussions at the national level.

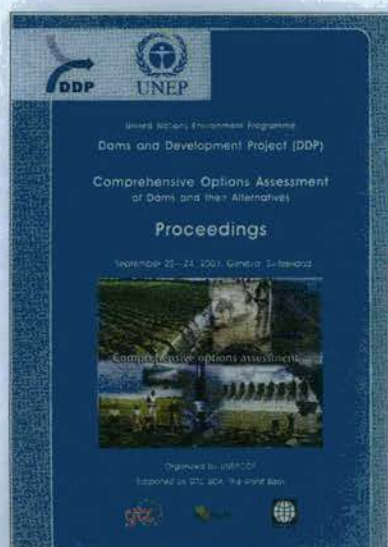


The rationale underlying the workshop was to narrow the broad range of issues involved in options assessment into a more limited set of key aspects. Participants were requested to use these aspects to facilitate detailed analysis of the international and national contexts in which policy alterations, institutional capacity-building and technological opportunities must be realized and in which potential, constraints and requirements must be identified to achieve successful implementation.

The presentation of contemporary experiences with options assessment in the form of case studies set the stage for workshop deliberations. Following the case studies, the

workshop facilitators opened the floor to discussion of the findings and lessons learned, thus providing input for working group discussions and for elaboration of the final recommendations. Four seminar, plenary-type sessions were convened during the first day addressing each thematic area. In each of the four plenary sessions, participants and invited experts presented a small number of case studies dealing with field experiences in options assessment. During each of these sessions, presenters identified lessons learned from their experiences. The floor was then opened for general discussion.

Following the initial plenary session, the participants broke into four working groups. Rapporteurs from each working group presented preliminary working group conclusions in a plenary session at the end of the second morning. These provided an opportunity to exchange preliminary ideas between groups prior to having a more detailed discussion in the second round of working groups. A final plenary session on the morning of the third day allowed the participants to build on the achievements and conclusions of the four working groups and propose a way forward.



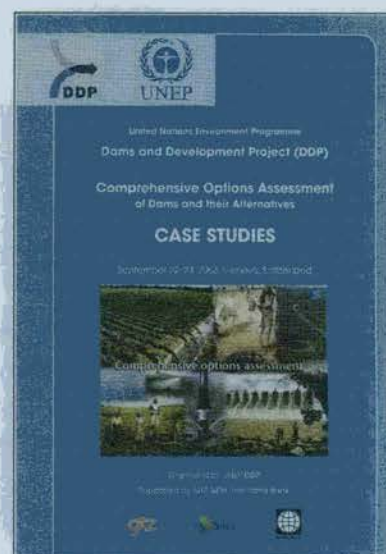
The following key issues were identified by participants as being the main challenges and opportunities for options assessment implementation:

- Governance systems, in terms of transparency and accountability;
 - The extent that country legal systems enable effective consultation procedures;
 - The influence of donor policies and access to funding;
 - Regulatory structures and reforms as regards the participation of private sector;
 - Non-governmental organizations with regard to their ability to analyse and contribute to options assessment, facilitate debate and promote community options;
 - The physical context that could limit some options but trigger other creative initiatives;
- Compartmentalized knowledge that reduces understanding of options, introduces bias and impairs transparency of process;
 - The needs and problems of indigenous communities acting as options promoters;
 - Lack of information or incomplete information on one option compared to others;
 - The influence of models that are either overly complex or too simple to convince stakeholders to accept their results;
 - Costs and time required for data collection;
 - Assessment tools, such as models that could facilitate better and deeper understanding of the comprehensive options assessment process and pave the way to incorporating and disseminating the methodology or, because of lack of familiarity with models and tools and of willingness to apply them, generate the reverse reaction.

In defining the way forward, consensus emerged that the output from the workshop should be fed into the national dialogue processes. In addition, the need to produce a

document or set of documents that would be useful in raising awareness among ministers about the necessity of engaging in comprehensive options assessment was also emphasized. Therefore, the next steps identified for the DDP included the following:

- Dissemination of workshop proceedings with case studies;
- Publication of an information sheet of the workshop summary;
- Building on DDP database on good practices and lessons learnt;
- Promoting issues-based workshops at country level; and
- Using synergies with other UNEP programmes to carry forward pilot projects, like GEF proposals.



C. Financing dams and sustainable development workshop

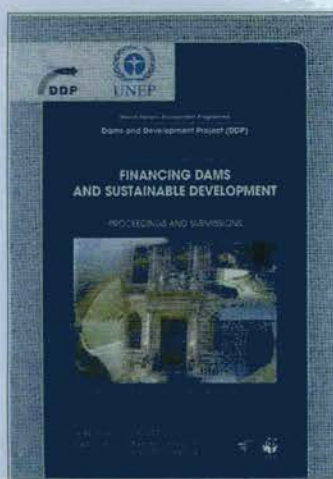
The second issues-based workshop convened within the context of the DDP work programme component on supporting global dialogues focused on financing dams and sustainable development. The financing dams and sustainable development workshop took place on 21–22 April 2004 in London, the United Kingdom of Great Britain and Northern Ireland. The overall objective of the workshop was to identify ways of minimizing risk related to the financing of dams and their alternatives and thereby achieve more sustainable projects. Risks that were addressed at the workshop included financial and investment risks, reputational risk, risk to livelihoods and environmental risk.

Other specific aims were to exchange views on:

- The expectations, roles and responsibilities of public and private financial organizations in relation to policies and sustainability criteria of dam projects and processes that lead to their selection;
- The criteria appropriate for improvement of safeguard policies and procedures of private and public sector financiers in relation to the selection, planning and implementation of dam projects and their alternatives, and the potential for new approaches to lower risk;
- The steps that may be taken to build confidence and ensure that risks have been minimized at key decision-points in financing processes;
- The activities that the DDP and public and private financial institutions themselves may undertake to advance progress in this area.

In identifying the challenges for financing sustainable dam projects, the workshop focused on improving the flow of financing to investments that promote sustainable development of water and energy services, particularly for developing countries and communities that have limited financial resources. In addition, the following common and context-specific challenges were identified:

- Bridging the gap between aspiration and reality to provide a diversified mix of public, public-private and private investment mechanisms appropriate to the different economic and governance settings;
- Providing an expanded portfolio of interventions to meet the diverse needs in rural, peri-urban and urban settings;
- Improving governance in a broad sense, including policy reforms, institutional reforms, regulatory reform and the engagement and involvement of the public as stakeholders.
- Establishing consensus within a country on investment priorities and balancing immediate needs with longer-term economic development aims.



In addition, a number of perspectives on building confidence in the process that leads to financing decisions emerged during discussions at the workshop and are summarized as a proposal indicated below:

- Governments should provide a clear policy framework for the planning and development of water resources projects (including dams and their alternatives) and enabling conditions to enhance financial flows for equitable and sustainable investments;
- Governments should provide an inclusive framework for options assessment beyond their regulatory oversight functions and should be sufficiently involved in project preparation to promote sustainable outcomes;
- Inclusive processes for selection, development and management of dam projects are encouraged by Governments and the private sector to build public confidence in the outcomes, reduce risks of delay or abandonment of individual projects, and improve the development effectiveness of projects;
- Mechanisms for the equitable sharing of benefits and costs should be introduced as an essential step towards gaining public acceptance;
- Improving risk management at all stages of planning and implementation is required to improve financial flows for investment in new water resources projects (including dams and their alternatives);
- New approaches and models for public-private financing of dams (and many non-dam options) need to be identified, tested and more widely adopted to improve financing flows for investments in water infrastructure;
- More emphasis should be placed on defining sustainability criteria applicable to dam projects, including the need for uniformity and the introduction of appropriate procedures for independent monitoring of their application;
- Private financial institutions should build on the equator principles to reflect sector-specific good practice and enhance transparency and accountability in their investment decisions;
- National ownership of decision processes related to the development and management of dam projects should be enhanced and local capacity used fully;
- A checklist of topics should be available to assist private financing institutions identify potential problem areas in screening dam projects and streamline and focus their subsequent investigations on their financial participation.

Furthermore, a range of ideas were proposed for future action, some relating to specific stakeholder groups and others more generic. The next steps for the DDP are to:

- Disseminate the workshop proceedings and papers and publish an information sheet on each of the issues-based workshops;
- Promote the output of the issues-based workshops at the country level, particularly in those countries where national dialogue processes are taking place;
- Explore the synergies with other UNEP programmes to carry forward the dialogue, in particular UNEP-Finance Initiative;
- Consider preparing a checklist of topics related to dams and sustainability as a guide for decision-makers.

D. Addressing existing dams workshop

The workshop on addressing existing dams was the third issues-based workshop to be convened by the DDP on 14–15 June 2004 in Nairobi, Kenya. The main objectives of the workshop were to:

- Identify the current practices and constraints concerning the systematic assessment of the performance of existing dams, including systematic monitoring and safety aspects;
- Identify principles and criteria concerning structural and non-structural approaches for the optimization and efficient production of dam benefits under changing contexts (climatic, social and economic, policy and regulatory);
- Discuss the role of stakeholders, especially government agencies, beneficiaries and affected peoples, in the monitoring of dam performance, including safety issues;
- Specify approaches for closing the gap between aspiration and reality.

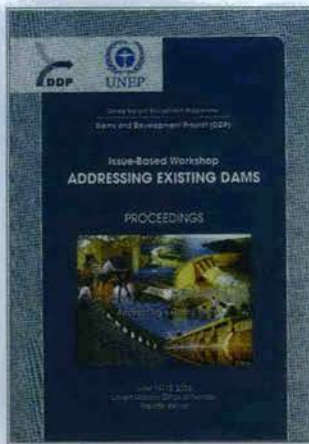


The output of the workshop was a summary report of the proceedings of the workshop including recommended issues to be dealt with. These issues raised were intended to feed into national dialogues over how to improve decision-making processes regarding dams and development. The resulting issues were broad and general enough so that the various governments could consider them within their policy contexts

In addressing the issues of dam safety, emergency preparedness and evacuation and climate change, workshop participants recommended that the following actions and issues be discussed at national level:

- Governments put in place legislation requiring dam safety programmes where not available;
- Financial institutions support dam safety programmes in developing countries;
- Costs of the projects include the costs of dam safety programmes and their payment from the project revenues;

- The potential role of ICOLD in disseminating information on disaster preparedness and evacuation is considered.
- Local people, especially those who would be affected by a dam failure are involved in drafting disaster management and evacuation plans and strategies for communicating risk and recommended actions to communities.
- The potential role of ICOLD in educating its members about risks associated with climate change is considered.
- The elaboration of an international study to predict the effects of climate change on dam safety, including the use of storage for mitigating those effects;
- The design of emergency preparedness and evacuation plans at river basin level considering the interaction of multiple dams.



In the plenary discussions on addressing outstanding environmental issues, including environmental flows, re-licensing and evaluation, workshop participants recommended the following actions and issues be addressed at national level:

- Environment funds to address outstanding environmental issues associated with existing dams are established through seed money provided by multilateral banks and that governments will eventually sustain;
- Communities have a leading role in training programmes and establishing environmental restoration programmes;
- A legislative mandate is created for environmental flows—quantity and quality – as well as for dealing with other environmental issues associated with dams;
- Financial mechanisms are established to fund environmental releases in trans-boundary river basins;
- Re-licensing and re-evaluation management practices are incorporated into integrated water resources management;
- Re-licensing is used as an opportunity to address outstanding environmental issues.

During the discussions on overcoming barriers to regular performance assessments, workshop participants recommended that the following actions and issues be addressed at national level:

- The benefits of evaluations to owners, in terms of improving dam performance, are publicized;
- Laws mandating post-project evaluations are established;
- Consistent standards for assessments are developed by countries;
- The provision of support to developing countries to establish baseline evaluations of existing dams in order to help them conduct regular assessments in the future.

Extensive discussion on outstanding social issues focused on identification, adjudication and financing of reparations for outstanding social issues. Workshop participants also discussed who should pay for reparations and for which type of damage reparations

should be paid for. Another issue raised was how to address trans-boundary impacts on communities downstream of dams.

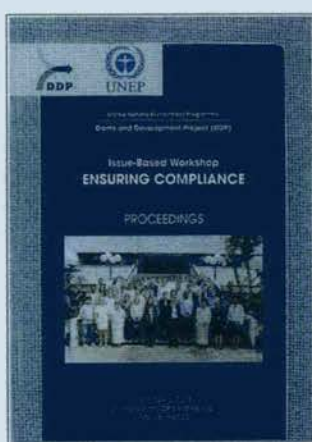
The workshop participants recommended that the following actions and issues relating to governance and financing reparations be addressed at national level:

- The burden of proof in contests over outstanding social issues is allocated to project sponsors, not affected communities;
- The implementation by countries of clear, consistent policies to deal with unresolved social impacts under the initiative of governments and, in this context, the establishment of multi-stakeholder committees that include the participation of dam-affected people;
- A percentage of revenues from services provided by the dam is allocated for reparations;
- Benefit-sharing based on revenues, not profits, is adopted as the welfare of project-affected people should not be determined by project profitability.

In the final session on optimizing performance (structural and non-structural measures), workshop participants expressed the view that in order for the optimization process to become more transparent and participatory, information is needed in local languages with clear explanations of technical terms. The need to identify the roles, responsibilities and needs of various stakeholders was also flagged as an important issue.

E. Ensuring compliance workshop

On 15 and 16 June 2004 in Nairobi, Kenya, the DDP convened a workshop on the sixth strategic priority identified by WCD: ensuring compliance. The output of the workshop is a set of recommendations and issues to be dealt with that reflect principles, criteria and strategies concerning the improvement of implementation of compliance mechanisms at the national level. The goal is to enable their discussion in the context of national and regional multi-stakeholder dialogues and workshops, with a view to influencing policies and procedures aiming to improve decision-making on dams and alternatives.



Issues discussed during the workshop included: the roles and responsibilities of the various stakeholders involved in ensuring compliance; constraints on compliance systems and barriers for their implementation; and tools for ensuring compliance and their relative strengths and weaknesses. Among the roles and responsibilities identified were those at government level, establishing compliance systems and meeting certain conditions at the planning stage, those of donors in policing the implementation of the projects funded, the self-regulatory role of industry, the role of professional societies in disseminating best practices, the role of civil society in integrating third parties and the watchdog role of non-governmental organizations.

Identified constraints on compliance systems included: the costs in terms of time and money; uneven power and capacity in terms of balance among the major actors involved;

a lack of well-defined environmental and social standards; the effectiveness of compliance tools; and lack of access to information. The tools discussed involved appropriate regulatory frameworks, standards and guidelines, regulatory bodies, independent panels, monitoring systems, incentives and deterrents. Weaknesses discussed included the lack of capacity for implementation, government political will for enforcing license provisions, open access to information and public participation in certification programmes.

Discussions from plenary sessions and working groups identified the set of recommendations and issues to be dealt with that constitute a set of relevant principles, strategies, criteria and topics to be considered at the national level when strengthening or integrating ensuring compliance issues into regulatory frameworks to improve decision-making, planning and management of dams and their alternatives. In the discussions on the tools available or needed to ensure compliance, key issues to be dealt with at the national level included the need to acquire a regulatory framework based on an agreed set of criteria, the need for appropriate standards and regulations at national or local level that may be complemented by international standards and the importance of having an external audit or review of existing compliance mechanisms.

Emerging recommendations from the plenary sessions included: the development of clear and enforceable social and environmental standards relating to dams; inclusion of clauses from international conventions in contracts as a gauge to measure compliance (for example, the Aarhus Convention); use of independent witness bodies integrated by diverse organizations including civil society; and promotion of certification systems such as the ISO 14001.

In the discussion on stakeholder roles and responsibilities for ensuring compliance, various issues, such as streamlining of the roles and responsibilities of different government institutions, the responsibility of multilateral development banks for ensuring compliance after project loans have been repaid and the role of non-governmental organizations as watchdogs to help enforce license provisions, were identified. Emerging recommendations included the need for stakeholders to agree on applicable standards when standards and enforcement capacity is low, the need for a way of communication to account for local knowledge and the importance of legally safeguarding the environmental management plan. With regard to capacity-building, workshop participants highlighted that the main challenge was in enforcement and capacity for implementation.

F. Planned workshop on gaining public acceptance

In order to enlarge the scope of stakeholder participation and explore other avenues for discussing key issues concerning dams and development at global level, the DDP secretariat proposed to carry out a discussion on gaining public acceptance, the first of the strategic priorities put forward by WCD, as a virtual workshop. In this regard, a draft background paper on gaining public acceptance was commissioned to the Unit for Social and Environmental Research (USER) of Chiang Mai University in Thailand.

The document provides a brief overview of the WCD process and also introduces the core concepts and recent developments surrounding the issue of gaining public acceptance. It presents the various concepts of public participation as well as the

instrumental, normative or ideological and political rationales that drive various participatory efforts. The background paper further looks into indicators of success, especially on how to measure whether public acceptance has been achieved. The document, that is available from the DDP website, concludes by posing a number of questions addressing topics relevant to gaining public acceptance that aimed to provide a platform for further discussion. It was submitted for consideration by the DDP steering committee and presented to the DDF members at the third DDF meeting. Further steps would involve preparing and carrying out a virtual discussion among Forum members and registered participants and eventually a physical workshop during the phase 2 DDP.

Annex VIII

DDP events at international forums

A. Introduction

The global dialogue on dams and development, which is a major element of the DDP work programme, was mainly channelled through the Dams and Development Forum (DDF) meetings (annex V) and the issues-based workshops (annex VII). However opportunities were taken by the DDP to carry the dialogue into the international arena offered by participation in relevant international conferences. During phase 1, two side events were convened by DDP: a session entitled “Dams and development: promoting dialogue for improved decision-making” at the Third World Water Forum, Kyoto, Japan, on 20 March 2003 and a session entitled “Is WCD a suitable tool for assessing the sustainability of hydropower?”, at the International Conference on Renewable Energies on 2 June 2004 in Bonn, Germany.

B. “Dams and development: promoting dialogue for improved decision-making”

20 March 20, 2003 Third World Water Forum, Kyoto, Japan



This session was organized in the context of the dams and sustainable development theme, co-ordinated by the World Water Council President and the UNEP Executive Director. The theme included opening and closing plenary sessions in addition to nine independent sessions during on 20–21 March 2003. The DDP session was one of a set of independent sessions convened by various organizations, WWC, WWF, University of Tokyo and several non-governmental organizations among them. They addressed dams issues from different

perspectives including: sustainable and human resettlement; dialogue for improved decision-making; the effects of providing reservoirs for river basin development; challenges to financial institutions; watershed management measures as alternatives to large dams; need to store water for sustainable development; and South Asian perspectives on dams and water management.⁷

The DDP session entitled “Dams and development: promoting dialogue for improved decision-making” was chaired by the UNEP Executive Director, Klaus Töpfer. The first part comprised a panel discussion on promoting dialogue for improved decision-making and W. Hao (Director IWHR, China), J. Carling (Cordillera People’s Alliance, Philippines), K. Abdullah (Director General DRI, Malaysia), P. McCully (Campaign

⁷ The overall sense of the sessions and the dams theme was quite well reflected by the theme statement to the ministerial meeting. The text can be read in the annex III of the DDP interim report or on the DDP website.

Director, IRN) and H. Schiffer (Managing Director, HEA) were the invited panellists. The second part was devoted to presentations of case studies promoting dialogue through national or regional multi-stakeholder processes. The cases of South Africa, SADC regional initiative, Viet Nam, Nepal and Thailand were presented. Feedback from the audience and discussion included a brief presentation from Y. Prasad, National Hydroelectric Power Corporation, India.

The panel presentations from government representatives, affected people's groups, industry and advocacy organizations reflected on the challenges and pointed to a way forward beyond the current polarized debate. The contributions from China and Malaysia demonstrated how new concepts for environmental and social planning are being introduced. Other speakers clarified the role that the dialogue plays, reinforcing the principles of inclusiveness, good faith, openness and commitment to the outcome that are necessary if dialogues are to be successful.

The multi-stakeholder character of national and regional processes on dams and development presented from Nepal, South Africa, Thailand, Viet Nam and the SADC region, demonstrated the value of constructive and inclusive engagement on these controversial issues. Their commitment to developing recommendations for policy and procedural reform at national or sub-national levels is a clear indicator of such positive approaches and provides potential for its replication in other countries. All speakers reflected the position of many government agencies and international organizations that multi-stakeholder dialogue on dams and development is needed to improve decision-making.

C. "Is WCD a suitable tool for assessing the sustainability of hydropower?"

International Conference on Renewable Energies, 2 June 2 2004 in Bonn, Germany

The International Conference for Renewable Energies was convened on 1–4 June 2004, organized by the Federal Ministry for Economic Cooperation and Development and the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety of Germany. The conference had several components: multi-stakeholder dialogue (plenary sessions I to III), the best practice examples and lessons learnt (plenary sessions IV and V) and the ministerial segment (keynote speeches, roundtables, panels and discussions). DDP organized a side event and made a presentation in Session V, The outcomes of the conference can be obtained from www.renewables2004.de.

DDP side event

A one and half hour panel presentation and discussion was convened by DDP on 2 June 2004 at the annex conference facilities provided by the organizer (Tulpenfeld 4, Die Hörsaal 1519, next to the Conference Centre IKBB). The theme was decided at the sixth steering committee meeting in April 2004 in London, following a lively discussion and reflecting the tensions surrounding the concepts of renewable energies, large and small hydro and sustainable dams. The following panellists honoured the side event:

Uschi Eid, Permanent Secretary, Federal Ministry for Economic
Cooperation and Development

David Grey, The World Bank.

Patrick Mc Cully, International Rivers Network

Bikash Pandey, Winrock International.

Richard Taylor, International Hydropower Association.

George Mpombo, Minister of Water and Energy,
Republic of Zambia

Over 80 participants attended the meeting. The DDP coordinator started the session with a brief presentation of WCD outcomes, the final report, the reactions, the core values and strategic priorities, the establishment of DDP and the goals and objectives of the Project.

Dr. Uschi Eid, opened the panel session by welcoming the participants. She referred to the key issue addressed by the conference which was how to substantially increase the proportion of renewable energies in a context of climate change , two billion people without access to energy and finite fossil fuel resources. The WCD recommendations had been received with praise and scepticism so the question tabled was whether they were the right and suitable instruments to ensure sustainability of dams. She then proceeded to introduce the panelists and gave the floor to David Grey, World Bank.

David Grey (World Bank) started by clarifying the role of the World Bank as regards WCD report as that of supporter and not author. He posed the example of Africa when referring to the urgent needs of developing countries. In order to close the gap there is need for a minimum platform of infrastructures and storage that guarantees water security. Despite these needs, investment in dams continued to drop between 2000 and 2004. He concluded by stating that the 26 WCD guidelines were not acceptable as an international standard for compliance, that hydropower was renewable and that sustainability was the key issue.



Patrick McCully (International Rivers Network) started his presentation stating that renewability was not the same as sustainability; that while water is a renewable resource, storage reservoirs were not, due to the fact that they lose capacity and become progressively useless. So it is not a position against hydro but against considering it within the pool of renewables and sharing the available financial resources. Following WCD recommendations in good faith ensures that sustainability might be achieved, passing through a WCD compliance process.

Bikash Pandey emphasized that governance is key to sustainability and that sustainable outcomes result from appropriate decision-making processes that ensure that options and risks are duly assessed through a participatory process He then presented the outcomes of the workshop on options assessment convened by DDP in Geneva on 22–24 September 2003 and addressed the issues of why options assessment was needed, and consequently why the workshop had been convened. He gave suggestions about what the DDP could do to further promote options assessment and the outcomes of the workshop.

Richard Taylor presented the International Hydropower Association indicating that it had over 1000 members representing 82 countries. He then referred to the current global

energy situation highlighting that hydropower substituted 4.4 million barrels of oil and that a large potential was still untapped. As regards WCD he pointed out that the report was not impartial and the process had cancelled consultation. There was acceptance of the core values and strategic priorities and that in this regard the International Hydropower Association had been working on a pragmatic solution to solve the problems.

Minister Mpombo started his presentation indicating that it would be a political blunder to adopt a report that would deter development. His country and the region were trying to promote hydropower as a basis for poverty eradication and the report was seen as blocking these efforts and the planned interconnections. African ministers had agreed on the need to continue with dam building. He concluded by indicating the need for the WCD report to be made available to African governments for their information and supported carrying out dialogue on the WCD core values and strategic priorities through consultations at national level.

Concluding with the last presentation, the Chair, Dr. Eid, opened the floor to comments and discussions. A lively interchange of opinions took place. A representative of the Canadian Government stated that Canada supported renewable energies and hydropower operations that were socially and environmentally viable and hopefully economically viable as well. A representative from the Ministry of Foreign Affairs of Turkey raised his concerns that the WCD guidelines had been unduly highlighted and that dams should not be classified in terms of size – large or small – but in terms of their environmental and social viability.

A representative from ITDG (United Kingdom) pointed out that in order to achieve the millennium development goals there was need to address the rural areas and distribution costs favoured decentralized small solutions. A representative from the Ministry of Infrastructure of Ethiopia further stressed that energy security was vital and that hydropower was a means towards poverty reduction. It was then opined that the WCD guidelines should be used as good practice but not for compliance. Another objection was that large hydro would be allowed to access renewables financing and pointed out that the problem was the dams and not the guidelines. Richard Taylor, the IHA representative commented that the IHA guidelines were based on WCD core values and strategic priorities and that WCD was a useful tool but not to measure sustainability of hydropower.

The Chair adjourned the meeting pointing out that clear opinions of rejection as well as acceptance had been heard and hoping that the discussions could be a source of new inspiration for further closing the gap in the dams debate.

Annex IX

Dams and Development Project information sheets

As part of the DDP communications tools envisaged by the DDP communication strategy, DDP produced a set of information sheets (infosheets) aimed to further support the networking activities to diverse stakeholders involved in the dams debate. They are designed to provide information about the Project as well as illustrate the main activities and outputs resulting from dialogue follow-up activities. In this regard the following structure of infosheets has been adopted in order to accommodate accomplished and future Project activities.

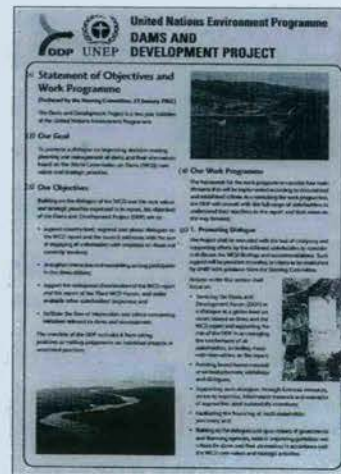
No.	Theme	Status
1	Statement of objectives and work programme	Published
2	WCD core values and strategic priorities	Planned
3	Dams and Development Forum	Published / Updated
4	National multi-stakeholder dialogues	Published
4.1	South African multi-stakeholder dialogue on the WCD report initiative	Published/Updated
4.2	Viet Nam dialogue on dams and development	Published/Updated
4.3	Thailand dialogue on dams and development	Planned
4.4	Nepal multi-stakeholder dialogue on dams and development	Published/Updated
5	SADC consultative process on dams and development	Published/Updated
6	Issues-based workshops	Planned
6.1	Defining comprehensive options assessment and identifying challenges and opportunities	Published
6.2	Financing dams and sustainable development	Planned
6.3	Addressing existing dams	Planned
6.4	Ensuring compliance	Planned
6.5	Gaining public acceptance	Planned
7	Guidelines for translations	Published

Information sheet No. 1: Statement of objectives and work programme

This information sheet describes in brief the goal, objectives and work programme of the DDP. The goal of the DDP is to promote a dialogue on improving decision-making, planning and management of dams and their alternatives based on the WCD core values and strategic priorities. Specific objectives of the DDP as outlined in this information

sheet include: supporting country-level, regional and global dialogues on the WCD report and the issues it addresses; strengthening interaction and networking among participants in the dams debate; supporting the widespread dissemination of the WCD report and facilitating the flow of information and advice concerning initiatives relevant to dams and development. The four main components of the DDP work programme include promoting dialogue, information networking, dissemination and facilitating the exchange of ideas on good practice.

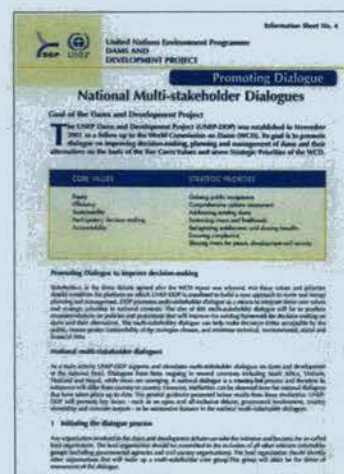
Information sheet No. 3: Dams and Development Forum (DDF)



This information sheet describes the role and functions of the DDF, which is a broad-based multi-stakeholder group with representation from governments, civil society and the private sector. The DDF is a fundamental component of the governance structure for the DDP and functions as a global vehicle to carry the discussion on dams and development forward in a constructive manner by ensuring that all perspectives are brought to the table to support the aim of finding common ground in what are often very controversial issues. It is currently constituted by approximately 120 members and the main issues addressed in the two Forum meetings held in 2002 and 2003 respectively include framing of national and regional dialogues, gaining public acceptance, addressing existing dams, ensuring compliance and financing dams and sustainable development.

Information sheet No. 4: National multi-stakeholder dialogues

This information sheet describes the role of multi-stakeholder dialogue processes as a tool to seek to integrate WCD core values and strategic priorities in national contexts with the aim of producing recommendations on policies and procedures to improve the decision-making framework on dams and their alternatives. The main steps involved in initiating national multi-stakeholder dialogue processes are also outlined including the establishment of a multi-stakeholder core group, elaboration of a scoping report and issuing of final recommendations to relevant stakeholder groups. The support provided by the DDP is also outlined and includes assistance through financial resources, access to expertise, information materials and resource persons.



Information sheet 4.1: South African multi-stakeholder initiative on the WCD report

This information sheet describes the process and outcomes of the South African initiative on the WCD report, which was officially launched in July 2001 under the guidance of a multi-stakeholder coordinating committee. The first main output of the South African multi-stakeholder initiative on the WCD report was a scoping report, which formed the basis for substantive analysis and research. It was expected to lead to policy and procedural recommendations for all South African institutions involved in dams and their alternatives. The outcomes of the three multi-stakeholder Forum meetings convened to discuss the scoping report and detailed analysis of the first three strategic priorities are also outlined. In addition, the main funding organizations providing resources and financial support to the process are also listed.

Information Sheet No. 4.1

United Nations Environment Programme
DAMS AND DEVELOPMENT PROJECT

Promoting Dialogue

South African Multi-stakeholder Initiative on the World Commission on Dams (WCD) Report

Process	Timeline
Symposium on the WCD report Following the launch of the WCD report, a monthly multi-stakeholder symposium on the WCD report was held on 13-14 July 2001. It was jointly organized by the South African National Commission on Large Dams, the Department of Water Affairs and Forestry, the Environmental Monitoring Centre and IJCPC. The World Commission on Dams. The Symposium issued a briefing note for the WCD report followed by a series of public hearings. Case studies were also presented. Following a series of presentations and discussion sessions, the Symposium agreed on resolutions.	13-14 July 2001: First multi-stakeholder Symposium to discuss the WCD report. Committee established. 18 October 2001: First Interim Steering Committee Meeting to determine process. 14 November 2001 23 January 2002 17 March 2002: Coordinating Committee Meeting to develop the way forward. 21 April 2002 15 June 2002: Working group meeting on interim Scoping Report. 8 July 2002: Presentation of the South Africa Interim Stakeholder Initiative to the 1st Dams and Development Forum. 27 July 2002: Second multi-stakeholder Forum to review Scoping Report and plan the way forward. 14 August 2002 30 August 2002: Presentation of South Africa Interim Stakeholder Initiative to the Interim Steering Committee and the World Commission on Dams (WCD) Secretariat in Johannesburg. The Interim Steering Committee will coordinate the process of developing the final Scoping Report.
Resolution 1 The Symposium decided to call for the timely preparation of the interim provisions outlined in the WCD report for inclusion in the public hearings to be conducted in the South African context.	
Resolution 2 The Symposium supports the process of preparing the WCD guidelines for the South African context.	
Interim Steering Committee The Symposium decided to appoint a multi-stakeholder Steering Committee to prepare a plan for addressing the objectives set out in the Symposium Resolutions.	11 November 2002: Discussion on Drafting Public Symposium. 11 February 2003: Discussion on Organizational Options. 22 June 2003: Drafting Public Symposium and Coordinating Committee. Interim Steering Committee. Interim Steering Committee. Interim Steering Committee. Interim Steering Committee. 21 September 2003: Presentation of the South Africa Interim Stakeholder Initiative to the 2nd Dams and Development Forum.

Information sheet No. 4.2: Viet Nam dialogue on dams and development

This information sheet describes the process and outcomes of the Viet Nam dialogue on dams and development. Viet Nam has actively participated in WCD and DDP activities and in February 2000, the Ministry of Agriculture and Rural Development hosted the fourth regional consultation of WCD. A key output of this process has been the translation of the WCD report into Vietnamese. In addition, two phases of cooperation are outlined with the first phase leading to the preparation of the scoping report and the second phase proposing a second multi-stakeholder workshop to consider issues raised in the revised scoping report. It is anticipated that the outcomes of the second workshop, if convened, will provide input to the design of a programme for the second phase of the dialogue on dams and development with the goal of developing recommendations at policy, procedural and management levels.

Information sheet No. 4.4: Nepal multi-stakeholder dialogue on dams and development

This information sheet describes the process and outcomes of the Nepal multi-stakeholder dialogue on dams and development, which dates back to a special session on WCD organized by the Nepal Water Partnership in February 2002. A major output of this process was the scoping report, which provided a comprehensive overview of existing laws and regulations related to dams and development in Nepal. The Nepal multi-stakeholder dialogue meeting also

Information Sheet No. 4.4

United Nations Environment Programme
DAMS AND DEVELOPMENT PROJECT

Promoting Dialogue

Nepal Multistakeholders Dialogue on Dams and Development

The Nepal country initiative that follows up World Commission on Dams (WCD) process is one of the most successful initiatives in Asia. It began with the special session on the WCD organized by the Nepal Water Partnership at a regional meeting on Integrated Water Resources Management on 28-29 February 2002. A year later, a meeting was organized on 7 January 2003 at the World Commission on Dams (WCD) Nepal office to discuss future actions to develop Nepal's position on the WCD report. There was a general agreement amongst the participants that the WCD report provided a very good basis for discussion within Nepal for more effective water resources management for Nepal's overall development. It was concluded that the main issue was neither a complete adoption nor rejection of these recommendations, but to international them for better dam planning and implementation. A subsequent meeting of the Task Force agreed on an overall mission statement for the process as shown in the box below.

The Nepal multi-stakeholders on dams and development, to consider the substance of the recommendations of the WCD report and to take into account the specific context with the objective of recommending the development and adoption of a national guideline for improved dam safety, planning and management of dams and alternatives for Nepal.

UNEP Dams and Development Project has consistently supported the National Dams and Development National Coordination Forum (NDF) process. Financial support has been provided during the period from 1999 to 31 July 2002.

The scoping report

A 6-month report developed by Nepal Water Commission (NWC) published the scoping report under the NWC Nepal Office (NWC) in Nepal. The scoping report, titled 'Guidelines on Dams and Development in Nepal', was developed as a WCD follow-up activity. The scoping report was based on the 'Nepal Water Partnership' report, also known as 'Nepal report on Dams and Development', which was jointly prepared by the NWC and the Nepal Water Partnership. The scoping report was based on 11 September 2002. The scoping report was developed in Nepal, to understand the requirements of national provisions with recommendations of WCD. The Task Force was formed at the same meeting process as the framework for the study and to take on the content of 11 WCD guidelines. The goal is a compilation of work.

- Where Nepal's policies already provide coverage and
- Where there is no current policy.

The scoping report also identifies areas where implementation needs to be strengthened in the light of existing policies. The scoping report (to be completed from UNEP office in Kathmandu, Nepal).

raised awareness on dams and development in Nepal and is gearing up for the second phase expected to be launched soon.

Information sheet No. 5: Southern African Development Community (SADC) consultative process on dams and development

This information sheet describes the origins and establishment of the three-phased SADC consultative process on dams and development. The WCD report was considered at the tenth meeting of the SADC water resources technical committee on 8 May 2001 in Mbabane, Swaziland. The main outputs of the first two phases of the consultative process were: a background paper covering key issues on dams and development in the region; elaboration of country reports and the draft regional policy on dams and development; and the draft SADC position on the WCD report. The third phase has been reformulated to take into account the decision to incorporate the salient crosscutting policies associated with dams and development into the regional water policy within the context of an integrated water resources management framework. The DDP has also been consulted by SADC countries that include Namibia, Malawi and Zambia with regard to the convening of national consultative workshops on dams and development.

Information sheet No. 6.1: Defining comprehensive options assessment and identifying challenges and opportunities

The first issues-based workshop convened within the context of the DDP work programme component on supporting global dialogues focused on the WCD second strategic priority, comprehensive options assessment. This information sheet outlines the importance of decision-makers performing comprehensive options assessments in order to improve development outcomes and ensure that these outcomes are responsive to needs. In addition, the main characteristics, implications, challenges and opportunities of conducting comprehensive options assessments are also addressed. Furthermore, other considerations relevant to comprehensive options assessments, including linkages between levels, data needs, funding requirements and the need for institutional and capacity-building, are also highlighted. Suggestions are also provided on the potential role of the DDP including in the dissemination of case studies, in the promotion of pilot projects and through informing national processes on dams and development about comprehensive options assessments.



Information sheet No. 7: Guidelines for translations

This information sheet provides the guidelines for translation and the main stages of the process are outlined, which include the identification of a competent and independent translator, potential funding, peer review mechanisms and layout and printing procedures.

The dialogue on dams and development, especially at the national and sub-national levels, can be supported by translation and dissemination of WCD materials, which are already available in a number of languages. In the majority of cases, preference is given to the translation of the WCD overview which is a summary document of 32 pages and hence more efficient and easier to translate than the final report and the Spier report.

Future developments

In the period between September 2003 and June 2004, the DDP has convened four issues-based workshops on: comprehensive options assessment, financing dams and sustainable development, addressing existing dams and ensuring compliance, within the context of the work programme component on supporting global dialogues. It is anticipated that information sheets will also be elaborated soon to highlight the main outcomes of the financing dams and sustainable development, addressing existing dams and ensuring compliance workshops.

Annex X

List of relevant events with DDP participation

The DDP communication strategy uses a wide range of mechanisms to reach out to interested stakeholders and disseminate information about DDP activities and initiatives taken by others. Therefore, as part of its networking activities to raise awareness of the goal and objectives of the DDP and promote transparent discussion and enhanced mutual understanding of all parties in understanding issues related to dams and development globally, the secretariat staff and other resources persons have attended a significant number of international, regional and national meetings.

In many cases the DDP secretariat has made presentations of the WCD process and DDP establishment, goals and activities, tailoring the contents to the nature and objectives of the host events. This participation also provided opportunities to disseminate the WCD final report, overview, Spier report and CD ROM as well as DDP materials comprising proceedings of the DDF meetings, issues-based workshops and infosheets, thus contributing to the achievement of the dissemination element of the DDP work programme.

Events at national, regional and international levels that the DDP has participated in since its establishment are listed in the table that follows:

Date	Location	Meeting	Organizers
1. 14 November 2001	Johannesburg, South Africa	South African initiative on the WCD report	South African coordinating committee
2. 14 November 2001	Johannesburg, South Africa	Water Services Forum	Rand Water
3. 26–27 November 2001	Montevideo, Uruguay	Workshop on dams	GWP/SAMTAC
4. 3–7 December 2001	Bonn, Germany	International conference on freshwater	German Ministries of Economic Development and Environment
5. 10–12 December 2001	Prague, Czech Republic	Updating and refurbishing hydro power plants VIII	International Water Power and Dam Construction
6. 12 December 2001	New York, USA	Briefing with Merrill Lynch and Citigroup	Merrill Lynch, Citigroup,

Date	Location	Meeting	Organizers
7. 23 January 2002	Johannesburg, South Africa	South African initiative on the WCD report	IRN
8. 24 January 2002	Oslo, Norway	Briefing on DDP to Ministries of Environment, Energy, Foreign Affairs and NORAD	South African coordinating committee
9. 7–8 February 2002	Maseru, Lesotho	National workshop on the WCD report	Ministry of Energy and Ministry of Foreign Affairs
10. 25–26 February 2002	Kathmandu, Nepal	Regional meeting on integrated water resources management – with special session on WCD	Department of Water Affairs and Forestry
11. 12 March 2002	Johannesburg, South Africa	South African initiative on the WCD report	South Asia Water Partnership, GWP
12. 23 April 2002	Johannesburg, South Africa	South African initiative on the WCD report	South African coordinating committee
13. 2 May 2002	New Dehli, India	Consultations with the Ministry of Water Resources and Planning Commission	South African coordinating committee
14. 8–9 May 2002	Quatre Bornes, Mauritius	Southern African Development Community (SADC) twelfth water resources technical committee meeting – with special session on WCD and DDP	UNEP
15. 8–9 July 2002	Nairobi, Kenya	First Dams and Development Forum meeting	SADC water sector coordinating unit
16. 23 July 2002	Johannesburg, South Africa	South African initiative on the WCD report	UNEP-DDP
17. 11–17 Aug 2002	Stockholm, Sweden	Twelfth Stockholm water symposium – Balancing competing water uses	South African coordinating committee
18. 26 August–4 September 2002	Johannesburg, South Africa	World Summit on Sustainable Development – WaterDome	Stockholm International Water Institute
19. 16–19 September 2002	Beijing, China	Consultations with Chinese agencies, Ministry of Water Resources, State Environment Protection Administration, State Power Corporation	United Nations, JOWSCO
20. 18 September 2002	Johannesburg, South Africa	South African initiative on the WCD report	UNEP-DDP
21. 22–27 Sep 2002	Iguassu, Brazil	ICOLD annual meeting presentation to committee on the role of dams and sustainable development in water resources	South African coordinating committee
22. 10 Oct 2002	Hanoi, Viet Nam	National consultation on the WCD report	ICOLD

Date	Location	Meeting	Organizer
23. 19 November 2002	Delft, Netherlands	Conflict assessment and resolution for reservoir systems	Asian Development Bank/ Ministry of Agriculture and Rural Development
24. 22-24 November 2002	Kyoto, Japan	Third World Water Forum conveners/coordinators meeting	UNESCO
25. 25-26 November 2002	Tokyo, Japan	Briefing on DDP to JBIC, JICA, MLIT	Third World Water Forum secretariat
26. 3 December 2002 (7-8 April 2002)	Maseru, Lesotho Gaberone, Botswana	Meeting with SADC water sector coordination unit and GTZ	Japan Bank for International Cooperation, Ministry of Land, Infrastructure and Transport
27. 9-11 December 2002	Kathmandu, Nepal	Presentation to regional seminar on WCD report Discussion with Ministry of Water Resources on follow-up	SADC water sector coordinating unit
28. 14-16 December 2002	Islamabad, Pakistan	Presentation on Dams and Development to Second Asia Water Forum	Water and Energy Users Federation – Nepal (WAFED)
29. 24 January 2003	London, UK	Consultation on UK draft position on WCD report	GWP
30. 26 January 2003	Porto Algree, Brazil	Brazil forum meeting presentation on DDP	UK Stakeholder Group
31. 27-28 January 2003	Ankara, Turkey	Consultation with Turkish agencies; Directorate of State Hydraulic Works and Ministry of Environment	III World Social Forum
32. 13 February 2003	Johannesburg, South Africa	South African initiative on the WCD report	UNEP-DDP
33. 13-14 March 2003	Bangkok, Thailand	National consultation on dams and development	South African coordinating committee
34. 16-23 March 2003	Kyoto, Japan	Third World Water Forum	Department of Water Resources/SEATAC, GWP
35. 1 April 2003	Niamey, Niger	Regional wetlands conference	Third WWF secretariat/World Water Council
36. 16-20 June 2003	Montreal, Canada	The 21 st Congress of the International Commission on Large Dams (CIGB-ICOLD)	IUCN, West Africa Office
37. 22-24 June 2003	Chicago, USA	10 th ILEC's/46 th IAGLR International conference on lake management	The international conference on large dams (ICOLD), the Canadian Dam Association and Hydro-Quebec

Date	Location	Meeting	Organizer
38. 25 June 2003	Johannesburg, South Africa	South African initiative on the WCD report	International lake environment committee and International association for great lake research
39. 22–24 September 2003	Geneva, Switzerland	Comprehensive options assessment of dams and their alternatives	South African coordinating committee
40. 25–26 September 2003	Geneva, Switzerland	The second Dams and Development Forum meeting	UNEP-DDP
41. 23–24 October 2003	Durban, South Africa	The third multi-stakeholder forum of the South African initiative on the WCD report	UNEP-DDP
42. 14 Nov 2003	Kathmandu, Nepal	Nepal dams and development consultative meeting	Coordinating committee of the South African initiative on the WCD report IUCN-Nepal
43. 21 November 2003	Chiang Mai, Thailand	Regional workshop on WCD	IUCN regional office for Asia and Pacific
44. 5–6 December 2003	Colombo, Sri Lanka	National multi-stakeholder consultation workshop on dams and development	Ministry of Irrigation and Water Management, Interim Water Resources Authority, Network of Women Water Professionals
45. 8–12 December 2003	Hanoi, Viet Nam	Viet Nam dialogue on dams and development	UNEP-DDP
46. 8–13 December 2003	Addis Ababa, Ethiopia	Pan-African implementation and partnership conference on water	AMCOW, UN-Water/Africa, ADB, Ethiopian M/O WR African Water Task
47. 15–19 December 2003	Bangkok, Thailand	Thailand dialogue on dams and development	UNEP-DDP
48. 19 December 2003	Kisumu, Kenya	Meeting for strengthening Kenya's resilience to cope with extreme climate events	UNEP-ROA, Drought Monitoring Centre
49. 18, 22 and 30 December 2003	Yangon, Myanmar	Water and sanitation thematic group (WTG) meeting and meeting with senior government officials from water, environment and dam related ministries	Water, Research and Training Centre on behalf of the Water and Sanitation thematic group
50. 26–27 December 2003	New Dehli, India	Meetings with India Water Partnership, Senior Government officials and GWP SA	India Water Partnership, Institute for Resources Management and Economic Development

Date	Location	Meeting	Organizer
51. 23 February 2004	Windhoek, Namibia	National consultation on dams and development	Namibia County Water Partnership, Desert Research Foundation of Namibia
52. 15–16 March 2004	Argentina	National consultation workshop on dams and development	Argentine Institute of Water Resources, Argentine Society of Engineers, Secretary of Environment and Sustainable Development, and others
53. 15–16 April 2004	Nairobi, Kenya	National consultation workshop on dams and development	Ministry of Water Resources, Management and Development, Ministry of Regional Development, National Environment Management Agency, <i>Maji na Ufanisi</i>
54. 21–22 April 2004	London, UK	Financing dams and sustainable development workshop	UNEP-DDP, WWF International, British Dams Society
55. 1–4 June 2004	Bonn, Germany	International Conference for Renewable Energies	Federal Ministry for Economic Cooperation and Development, Federal Ministry for the Environment, Nature Conservation and Nuclear Safety of Germany
56. 14–15 June 2004	Nairobi, Kenya	Addressing existing dams workshop	UNEP-DDP
57. 15-16 June 2004	Nairobi, Kenya	Ensuring compliance workshop	UNEP-DDP
58. 17-18 June 2004	Nairobi, Kenya	Third Dams and Development Forum meeting	UNEP-DDP
59. 21 July 2004	Lusaka, Zambia	Multi-stakeholder workshop on dams and development	Ministry of Energy and Water Development
60. 30-31 July 2004	Lilongwe, Malawi	National consultation on dams and development workshop	Ministry of Water Development

Date	Location	Meeting	Organizer
61. 17 August 2004	Johannesburg, South Africa	Regional conference "Sustaining water resources"	Development Bank of Southern Africa (DBSA)
62. 13-14 October 2004	Johannesburg, South Africa	The third multi-stakeholder forum of the South African initiative on the WCD report	Coordinating committee of the South African initiative on the WCD report
63. 19 October 2004	Kampala, Uganda	Launching of WCD report in Uganda	National Association of Profes- sional Environmentalists (NAPE) et al.
64. 27-29 October 2004	Beijing, China	United Nations symposium on hydropower and sustainable development	World Bank, UNDESA and NDRC China

Annex XI

Experiences and lessons learnt database

Contributing to and promoting the exchange of ideas on good practice was one of the four main elements of the DDP work programme. Since October 2002, the web-based submissions interface aimed at facilitating the exchange of ideas on good practice has been developed and can be accessed on the DDP website. To date, 48 submissions, as indicated in the table below, can be accessed on the DDP website and additional ones are being processed.

Table A4 Submissions on experiences and lessons learnt
(19 November 2004)

No. Submitted example	Relates to SP						
	1	2	3	4	5	6	7
1. Business partners for development: Water and sanitation cluster		X					
2. Building a consensus on construction of the Shitara dam							
3. Communication and sharing information with the inhabitants of Nagaragawa concerning the River Mouth Barrier project			X	X			
4. Installation of a selective withdrawal system			X	X			
5. Columbia basin management plan		X	X		X		
6. Mainstreaming gender in water management: A practical journey to sustainability guide					X		
7. Greater Hermanus water conservation programme – An example of demand side management		X					
8. National Hydropower Plan (NHP) study, Vietnam, Stage 1. A new approach to sustainable hydropower development		X					
9. Rainwater harvesting project in Gansu Province, China		X					
10. National hydropower plant for Vietnam	X	X		X	X		

No. Submitted example	Relates to SP						
	1	2	3	4	5	6	7
SP2: Comprehensive options assessment continued							
11. Options assessment of the Wloclawek dam		X					
12. Action plan for the Rialb dam affected area	X	X			X	X	
13. Handbook of water use and conservation: Homes, landscapes, businesses, industries, farms	X						
14. Impact of water saving irrigation techniques in China	X						
15. Environmental manual for power development (EM): A tool for comprehensive options assessment in the energy sector				X			
16. China: Loess Plateau Watershed rehabilitation project (Loess 1 and II)	X	X					
SP 3: Addressing existing dams							
17. Operational alternatives for total dissolved gas management at Grand Coulee Dam			X	X		X	
18. Waimiri Atroari programme	X						
19. Community based management of water releases in the Phongolo River	X		X	X			
20. Water quality conservation project at the Terauchi dam			X				
21. Flexible dam operation (flushing discharge)			X				
22. Importance of a monitoring framework to improve dam safety						X	
23. Kafue Flats integrated water resource management programme			X				
SP4: Sustaining rivers and livelihoods							
24. Corporate sustainability assessment partly based on WCD strategic priorities	X						
25. Lesotho Highlands Water Project: Katse Botanical Garden						X	
26. Living Murray (River Murray System, Australia)	X	X	X	X	X		
27. Modifying dam design to allow for flood releases to maintain downstream wetlands		X			X		
28. Rainwater management, Sumida, Japan	X						

No. Submitted example	Relates to SP						
	1	2	3	4	5	6	7
SP4: Sustaining rivers and livelihoods continued							
29. Environmental effect mitigation countermeasures at the Kanna dam	X						
30. Samuera Dam Green Belt project					X		
31. Sediment flushing at the Unazuki dam			X				
32. Increasing the population of Sweetfish in the downstream river by dam improvement			X				
33. Valuation in the Hadejia-Jama'are River Basin		X			X		
SP5: Recognizing entitlements and sharing benefits							
34. "La Paix des Braves" – An agreement to establish a new relationship between the Government of Quebec and the Cree Nation	X						
35. Measures to develop the reservoir area of the Miyagase dam							
36. Resettlement around the reservoir at the Haizuka dam							
37. Training programme: The process of social impact assessment							
38. Valea Sadului Hydrotechnical Development on Jui River					X		
39. Special Measures Act concerning upstream area development							
40. Tonegawa and Arakawa reservoir area development fund							
41. Social impact assessment international principles	X						
42. Nam Theun 2 hydroelectric project (power export from Lao to Thailand)	X	X		X	X	X	
SP 6: Ensuring compliance							
43. International Hydropower Association sustainability guidelines and compliance protocol	X	X	X	X	X		
44. Equator principles	X						
45. Corruption fighters tool kit – Civil society experiences and emerging strategies	X				X	X	
SP7: Sharing rivers for peace, development and security							
46. SADC protocol on shared watercourses							X
47. Heisei Nisshin Forest							
48. Protocol on strategic environmental assessment	X			X			

The DDP secretariat has also been vigorously engaged in the process of expanding the contents of the database to ensure that it becomes a valuable and powerful tool for the exchange of ideas on good practice. A systematic review of possible sources of examples has been conducted and requests for submissions have been sent out to a large number of identified potential contributors. These include experts currently directly involved with DDP activities, such as the issues-based workshops, or who have contributed to WCD and its knowledge base, as well as other potential submitters identified from various media.

The web-based submissions interface can be accessed directly at <http://www.unep-dams.org/goodpractice.php>. The submissions can cover one or more specific components of an overall process or project. Information can be submitted directly into the DDP web-based database or, if preferred, by completing a word template and submitting it by email or post. The seven WCD strategic priorities are used as a framework for the submissions database and in addition, a facility is provided for others to comment directly on the web submissions. Related information such as papers, reports or illustrations can be attached to the submission to provide more detail if available.

The DDP secretariat has made additional efforts to increase the submissions in the database by completing the submission template on behalf of the author. In this case, the potential author sends the corresponding paper or relevant briefing documentation to the DDP secretariat. Upon completion of the draft submission template, it is sent back to the prospective author for changes to the content, wording or phrasing before proceeding to upload it onto the website database. The experiences and lessons learnt system has also been incorporated into a fully automated web-based content management system using ASP scripting technology and running on Microsoft SQ.

From December 2003 to February 2004, the UNEP Evaluation and Oversight Unit (EOU) carried out an external independent assessment of the DDP with a view to assessing current performance up to July 2004 and the potential for further benefits beyond which may support an extension of DDP into a second phase. The evaluation report suggested that the DDP role in the exchange of ideas on good practices has remained limited to date and that a balanced approach should be taken to integrate both good and bad practice, as people learn as much from failures as from successes.

The DDP steering committee members also expressed a wide range of perspectives and views with regard to the experiences and lessons learnt database with some suggesting that the exercise should be phased out and others considering it useful but in need of improvement. It was also suggested that by focusing on success stories and examples on dam building and multi-stakeholder dams and development processes, the good practice and lessons learnt database would be transformed into a more useful tool to facilitate exchange of ideas.

Towards this end, further development of the database on experiences, lessons learnt (comprising good and bad practices), decision-making processes and tools relevant to decision-making, planning and management of dams and their alternatives is proposed to be a key element of the DDP phase 2 work programme. In actualizing this goal, the DDP will seek partnership with relevant organizations in order to coordinate joint efforts and integrated approaches with the objective of establishing a jointly operated system of experiences, practices and lessons learnt on dams and development.

Form for submissions on relevant experiences and lessons learnt	
1. Name of submitter	
2. Email address of submitter	
3. Title of project or study	
4. Year (or years) when the case study or experience took place	
5. Name of dam (if applicable)	
6. Name of river (if applicable)	
7. Country (ies) where dam, project or study is located	
<p>8. Choose the strategic priorities of WCD which are most relevant to your example (please tick)</p> <p>More information on the WCD strategic priorities is given at http://www.unep-dams.org/document.php?doc_id=185</p>	<ul style="list-style-type: none"> • Gaining public acceptance • Comprehensive options assessment • Addressing existing dams • Sustaining rivers and livelihoods • Recognizing entitlement and sharing benefits • Ensuring compliance • Sharing rivers for peace, development and security
9. Why do you consider this case to be an example that reflects the strategic priority (ies) you selected?	
10. Abstract/ summary	
11. What are the main lessons learnt from the example?	
12. Reference to consistency with any national or international guidelines or policy, including WCD policy principles	
13. Reference(s) or source(s) of additional information [add hyperlink or attachment if appropriate]	

Annex XII

Proposed second phase goals, objectives and activities

A. Introduction

1. At the fifth steering committee meeting in Geneva in September 2003, a decision was taken to carry out an external independent evaluation of the Project to assess its current performance and the potential benefits of an extension beyond the initial duration established for the first phase. The evaluation completed in February 2004 recommended a time-bounded extension to fully develop the Project objectives. At the same time, it provided direction to better streamline the goal, objectives, work programme and governance of the next phase, including actions to improve the costs effectiveness of the DDP secretariat.
2. On this basis, the steering committee members recommended to UNEP a two-year extension of the Project beyond July 2004. The steering committee also established a set of criteria to streamline the Project's phase 2 goal, objectives and activities and provided at the sixth and seventh steering committee meetings a range of comments that formed the basis for the elaboration of phase 2 Project document. The focus of the phase 2 is on improving decision-making on dams and their alternatives through promoting dialogue on dams and development issues and strategic priorities and producing and facilitating tools to help governments improve decision-making.
3. Accordingly, the goals, objectives, activities and institutional set-up of the Project have been revised to respond to the needs and results expected for this second phase aiming to achieve a more focused activity plan, tangible outputs and stronger involvement of Governments in the activities and governance of the Project.
4. Phase 2 also comprises the elaboration and implementation of an exit strategy to ensure that relevant continuing Project activities will be hosted by organizations dealing with water and energy resources management. UNEP has incorporated in the proposed 2006–7 programme of work some activities as a continuation of DDP in the context of its regular work programme.
5. The goal and objectives for phase 2 have been subject of discussion at the fifth, sixth and seventh steering committee meetings. The last meeting left open the issue of linkage and consequently reference in the text to the WCD core values and strategic priorities. See annex IV for details on the points raised and opinions delivered. The version presented below represents the UNEP position, taking into account the substance of said discussions. As such it has been incorporated into the DDP phase 2 proposal submitted to the donors that has been the basis for their financial decisions. It is expected that further discussion and proactive input will be provided on this matter when the steering committee meets to discuss the phase 2 work programme.

B. Goal and objectives

Based on the WCD core values and strategic priorities, the goal and main objectives of the phase 2 Dams and Development Project are:

Goal

To promote improved decision-making, planning and management on dams and their alternatives.

Objectives

- To support multi-stakeholder dialogues at country, regional and global levels on improving decision-making on dams and their alternatives with the aim of engaging all stakeholders, with emphasis on Governments;
- To 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.

To support these main objectives, the phase 2 DDP will:

- Further strengthen interaction and networking among participants in the dams debate;
- Further disseminate information on activities, processes and outcomes of national, regional and global dialogues on dams and development;
- 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;
- Further facilitate the flow of information and advice concerning initiatives relevant to dams and development in partnership with other appropriate organizations.

The mandate of the DDP excludes it from taking positions or making judgments on individual projects or associated practices.

C. Needs and results

Needs

- Improved decision-making, planning and management of dams and their alternatives at country and regional levels;
- To close the gap between reality and aspiration with regard to the implementation of WCD core values and strategic priorities at national, regional and global levels;
- Enhanced mutual understanding and consensus at the global level on outstanding, controversial issues related to the role of dams and their alternatives in sustainable development strategies;
- Availability of practical tools to help decision-makers improve decisions on planning and management of dams and their alternatives.

Results

- 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;

- Recommendations on policy and procedures to improve decision-making on dams and their alternatives produced at country level to become available to Government and stakeholders;
- The DDF multi-stakeholder global dialogue is widely recognized as a relevant channel to discuss outstanding, controversial issues related to the role of dams and their alternatives in sustainable development strategies;
- Decision-making on dams and alternatives is facilitated 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;
- Strengthened interaction and networking among participants in the dams debate further facilitates the flow of information on dialogue initiatives and the exchange of best practices and lessons learnt on dams and their alternatives.

D. Outputs

Promoting dialogue

- Proceedings or reports of country and regional multi-stakeholder dialogue activities (for example, workshops) and dialogue processes (for example, workshops, scoping reports, recommendations);
- Background documents and proceedings of the DDF meetings and thematic workshops;
- Reports covering financial aspects, access to expertise, information materials and examples of approaches used successfully elsewhere.

Practical tools for improved decision-making

- Handbook on improved decision-making on dams and their alternatives in the context of water and energy resources management;
- 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 organizations.

Information network

- An active DDP web site on DDP activities and WCD follow-up initiatives with focus on country, regional and global dialogues;
- Bi-annual newsletters and other information updates to keep abreast of DDP activities and achievements, the results of the various dialogue processes at national, regional and global levels;
- Help desk for stakeholders to find information on issues related to DDP activities and the WCD core values and strategic priorities.

Dissemination

- Records of distribution of 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;
- Translation of WCD final report and Spier proceedings into French;

- DDP information materials translated into key languages;
- 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.

Steering committee and donors

- Reports of the steering committee;
- Reports to financial contributors.

E. Activities

Promoting global dialogue

- Organization of the fourth and fifth DDF meetings in mid 2005 and 2006. Elaboration and distribution of the proceedings. The meetings will channel the dialogue at a global level through sharing experiences applied to decision-making of dams and their alternatives as well as addressing outstanding controversial issues related to dams and development;
- Consolidation of the DDF membership in coordination with the steering committee and UNEP. Emphasis will be on the incorporation of relevant organizations from key dam-building countries and stakeholder groups, including those with reservations about the WCD report;
- Organization of two thematic workshops dealing with outstanding and controversial issues regarding the roles of dams and their alternatives in sustainable development, preferably back to back with steering committee or DDF meetings.

Promoting national dialogue

DDP will promote a limited number of multi-stakeholder dialogue activities and processes in countries or regions (river basins) that are already engaged or likely to engage in such initiatives (see annex IV). Selection will be made on the basis of the phase 1 findings and established criteria discussed with the steering committee members. The DDP will act on demand and seek the participation of all relevant stakeholder groups including government and key decision-makers. The DDP will support such dialogues through financial resources, access to expertise, information materials and examples of approaches used successfully elsewhere.

Within this framework the potential scope of activities will comprise follow-up, facilitation and support of current and emerging or potential national dialogue processes and activities, with emphasis on key countries with large dam building plans. The aims will be to raise awareness and produce recommendations on policy and procedures to improve decision-making on dams and their alternatives. The rationale underlying the concept of multi-stakeholder dialogue activities and processes as well as the corresponding indicators of success that will be further developed and monitored during phase 2 is depicted in annex V.

Practical tools for improved decision-making

The Project is committed to elaborating non-prescriptive practical tools that will help

decision-makers to improve decisions on planning and management of dams and their alternatives. While it is established that these tools will be based on the WCD core values and strategic priorities and will also draw on all similar bodies of criteria and guidelines dealing with planning and management of dams and their alternatives, their nature and scope will be determined during the initial stage of phase 2 in consultation with the steering committee members and potential partner organizations. It is expected that these tools will be compiled into a handbook for improved decision-making at the end of the Project cycle. It is envisaged that the two following elements will integrate the intended activity:

- Elaboration of a checking list of issues, topics or elements that would be taken into account, decided or integrated into the decision-making process concerning dams and their alternatives aiming for sustainable outcomes;
- Compilation of examples or lessons learnt concerning the issues, topic or elements above-mentioned that illustrate how they had been approached and the results achieved as well as the emerging way forward benefiting from the lessons learnt.

Communication and networking

The phase 2 Project will further ensure that all interested parties have access to information on new or current dialogue initiatives undertaken by the DDP or other activities relevant to the WCD core values and strategic priorities.

- Maintenance of the website with appropriate links to other related websites;
- Production and dissemination of four newsletters and other information updates;
- Maintenance of the help desk for stakeholders to access information.

Dissemination

During phase 2, DDP materials, particularly those relating to dialogue activities and processes will be widely disseminated in printed and electronic form. Dissemination of WCD materials will be tailored to countries or regions.

- Wide distribution of DDP information materials, reports and publications with focus on outputs of global, regional and in-country multi-stakeholder dialogue processes;
- Translation of DDP information materials into a limited number of selected languages in support of dialogue activities and processes;
- Further distribution of the WCD final report, overview, Spier report and CD ROM, tailored to countries or regions;
- Translation of the WCD final report and Spier proceedings into French, and promoting, overseeing and providing guidance to local initiatives for the translation of WCD materials into different languages;
- Dissemination of materials at international and major regional events and country meetings, including presentations by the DDP secretariat and selected resource persons.

Facilitating exchange of ideas on experiences and lessons learnt

- Further development of the database on experiences and lessons learnt (comprising

good and bad practices), decision-making processes and tools relevant to decision-making, planning and management of dams and their alternatives. To this end the Project will seek partnership with relevant organizations to coordinate joint efforts and integrated approaches with the objective of establishing a jointly operated system of experiences, practices and lessons learnt on dams and development;

- Promotion of the development by relevant stakeholders of practical experiences at country or regional level concerning the decision-making, planning and management of dams and their alternatives.

Steering committee and DDF meetings

- Organization of four meetings of the steering committee, two of them jointly with the DDF meetings;
- Organization of two meetings of the DDF.

Annex XIII

Assessment of DDP indicators according to DDP logical framework

(as considered by the fourth steering committee meeting, Gland, January 2003)

Narrative summary	Objectively verifiable indicators	Means of verification	Achievements
<p>Goal:</p> <p>To promote a dialogue on improving decision-making, planning and management of dams and their alternatives based on the WCD core values and strategic priorities.</p>	<p>Degree of multi-stakeholder dialogue at global, regional, national and sub-national levels including the effectiveness of the DDF as a vehicle for discussion of key issues</p>	<p>DDP reports that include outputs of country initiatives, forum discussions, proceedings from thematic meetings and feedback from individual stakeholder groups.</p>	<p>See list of DDP documentation, including all reports and publications listed as means of verification.</p>
<p>Results:</p> <p>1. Country-level, regional and global dialogues are effective in considering the core values and strategic priorities of the WCD report, are inclusive of all stakeholder groups and have reached out to those not previously involved.</p>	<p>1.1 DDP has been consulted on at least 15 national, sub-national and regional processes and been active in supporting or facilitating at least 10 of these.</p> <p>1.2 National, sub-national and regional processes have produced recommendations for specific policy and procedural reform.</p> <p>1.3 DDF is functioning as a global multi-stakeholder vehicle to address key issues related to dams and development.</p> <p>1.4 Workshops on key issues are convened and give way to broad multi-stakeholder discussions.</p>	<p>1.1 Reports and information generated by national processes and DDF as reflected on DDP website and in its interim and final reports.</p> <p>1.2. An information database describing the output of the national and regional processes including recommendations for specific policy and procedural reform.</p> <p>1.3 Forum meetings conclusions and recommendations</p> <p>1.4 Record of participating organizations and experts in workshops.</p>	<p>1.1. DDP has been consulted on over 15 national dialogue initiatives including Argentina, Brazil, Indonesia, Kenya, Lesotho, Malawi, Mexico, Namibia, Nepal, Philippines, South Africa, Sri Lanka, Thailand, Uganda, Viet Nam and Zambia. DDP has been active in supporting or facilitating at least 10 of these.</p> <p>1.2 Reports of DDP supported processes are available in hard copy and the majority of them are accessible on the website. Nepal, South Africa and Viet Nam scoping reports with recommendations are available.</p> <p>1.3 Three DDF meetings have been convened in 2002, 2003 and 2004. Proceedings of the meetings have been published and distributed.</p> <p>1.4 Four issues-based workshops convened and the organization for the fifth started. Proceedings of the workshops published and distributed. List of participants available and contact details added to DDP mailing list.</p>

Narrative summary	Objectively verifiable indicators	Means of verification	Achievements
<p>2. Strengthened interaction and broader understanding of main issues facing dams and development among key stakeholders at an international level</p>	<p>2.1 Feedback from stakeholder groups indicates that communication tools to promote work programme of DDP have been used effectively including website, newsletters, email and information sheets.</p> <p>2.2 Review papers and discussion materials elaborated and circulated;</p>	<p>2.1 Activity records from email and fax communications and records of interactions with stakeholders.</p> <p>2.2 Conclusions and recommendations from workshops</p>	<p>2.1 Available records of email correspondence, the number of queries to the help desk, website statistics, infosheets and newsletters provide indication of a fair level of networking activity involving all stakeholders groups.</p> <p>2.2 Conclusions and recommendations from four workshops available. Background paper for discussion on a fifth workshop prepared. Background documents to seven steering committee and three DDF meetings and two side events (Kyoto and Bonn) (Annexes IV, V, VII and VIII).</p>
<p>3. Raised awareness of the WCD report, its core values and strategic priorities, the issues it addresses, reactions of various stakeholder groups, and follow-up activities.</p>	<p>3.1 WCD report and related materials distributed to targeted organizations in at least 20 countries with dam building programmes.</p> <p>3.2 Reactions to WCD report widely disseminated</p> <p>3.3 Requests for WCD report and related materials.</p> <p>3.4 Self initiated processes of WCD materials translation into other languages, dissemination and discussion.</p>	<p>3.1 Distribution records and level of feedback through national processes.</p> <p>3.2 Availability of WCD and DDP materials in the various languages.</p> <p>3.2 Level of interaction through the web page and help desk facility.</p>	<p>3.1 WCD materials widely distributed over 20 countries and wide regional scope.</p> <p>3.2 WCD final report available in four languages; WCD overview available in 15 languages. Reactions to the report and a report on the analysis of reactions available on the website.</p> <p>3.3 Record of help desk queries and website statistics available indicate fair level of interaction.</p>
<p>4. Raised awareness of examples on good practice, lessons learnt and latest thinking on key dams and development issues.</p>	<p>4.1 Level of feedback on and interest in aspects of good practice and lessons learnt.</p> <p>4.2 Degree of common ground developed in global discussions on key issues.</p>	<p>4.1 Submissions on good practice and lessons learnt made to the database.</p> <p>4.2 Record of feedback and discussions on the submissions on good practice and lessons learnt database.</p>	<p>4.1 Forty-eight submissions associated with one or more of all WCD strategic priorities available on the website.</p> <p>4.2 Discussion facility incorporated on the web-based examples and lessons learnt database.</p>

Narrative summary	Objectively verifiable indicators	Means of verification	Achievements
<p>5. Raised awareness of DDP as an independent objective facilitator of multi-stakeholder dialogues on dams and development based on WCD core values and strategic priorities, disseminator of information about key issues, good practices and lessons learnt.</p>	<p>5.1 DDP has been consulted on at least 15 national, sub-national and regional processes and been active in supporting or facilitating at least 10 of these.</p> <p>5.2 Feedback from stakeholder groups indicates that communication tools to promote the work programme of DDP have been used effectively including website, newsletters, email and information sheets.</p> <p>5.3 Awareness of the DDP process and related issues is raised to a level that leads to requests for information and support for follow-on activities.</p> <p>5.4 The DDP reports and communication materials widely disseminated.</p>	<p>5.1 Reports and information generated by national processes and DDF as reflected on DDP website and in its interim and final reports.</p> <p>5.2 An information database describing the output of the national and regional processes.</p> <p>5.3 Reports and communication material concerning DDP activities.</p>	<p>5.1 See 1.1 to 1.4</p> <p>5.2 See 1.1 to 1.4</p> <p>5.3 See 1.1 to 1.4</p>
<p>Outputs:</p> <p>1.1 National, sub-national and regional processes have produced or are in the process of producing locally appropriate recommendations for changes in policy, procedure, criteria and guidelines where considered necessary in the local context.</p> <p>1.2 Global dialogue has produced body of knowledge on key issues that reflects common ground between stakeholder groups.</p>	<p>1.1 Degree to which the processes have addressed issues raised in the WCD report.</p> <p>1.2 Recommendations from in-country dialogues addressing changes in policy, procedure, criteria and guidelines where considered necessary in the local context.</p> <p>1.3 Recommendations, principles and guidelines arising from global dialogue on key issues.</p>	<p>The following documentation will provide information on the listed outputs:</p> <ul style="list-style-type: none"> - Progress reports to steering committee and Forum prepared prior to each meeting - Reports of national and global processes - Proceedings of issues-based workshops and Forum meetings - Papers prepared for international meetings - Interim and final reports - Website content and other communication tools such as newsletter, press releases, info-sheets, videos, CD ROMs, posters, and so on. 	<p>See list of DDP documentation, including reports and publications</p>

Narrative summary	Objectively verifiable Indicators	Means of verification	Achievements
<p>2. Information on relevant dams and development initiatives and key issues is widely available and accessible.</p> <p>3. WCD report, the report of the third WCD Forum, reactions to the WCD report and knowledge base materials are widely disseminated.</p> <p>4. Comprehensive database on good practice and lessons learnt examples that is available for all stakeholders.</p> <p>5. DDP is widely recognized as a centre for retrieval and dissemination of dams and development related information and its assistance required for</p>	<p>2.1. Knowledge base expanded accounting for DDP direct and induced contributions.</p> <p>2.2 Request received at DDP on follow-on activities, key issues and general dams and development information.</p> <p>3. Full WCD report and Spier report distributed in at least five languages and overview in at least 15 languages. Analysis of reactions to WCD widely available.</p> <p>4. Scope and quality of submissions database of good practice and lessons learnt – at least 100 substantive cases.</p> <p>5. Requests for information and support for follow-on activities are received at DDP from a broad range of stakeholders and regions.</p>		