Sector Project
Policy Advisory for
Sustainable Hydropower

On behalf of
Federal Ministry
for Economic Cooperation
and Development

IFOK.

Planning and Implementation of National Dam Dialogue Processes

Handbook

Bensheim/Berlin/Brussels/Munich, 5th February 2008

Introduction – About this Handbook

Why provide this Handbook?

National dam dialogues for discussing dam-related issues and policies will be of increasing importance for improving decision-making. In this context competencies and capacities for engaging in multi-stakeholder dialogues will be of central import for decision-makers, civil society, dam-affected communities and funding organisations.

Existing experiences emphasise the fact that organising such a process is a very challenging task, often requiring new skills and abilities amongst all actors involved. Taking this into account the GTZ has undertaken the task of preparing this practical handbook for the planning and implementation of national dam dialogues. The handbook builds on the experience of existing dialogues and on dialogue expertise in Germany and Europe.

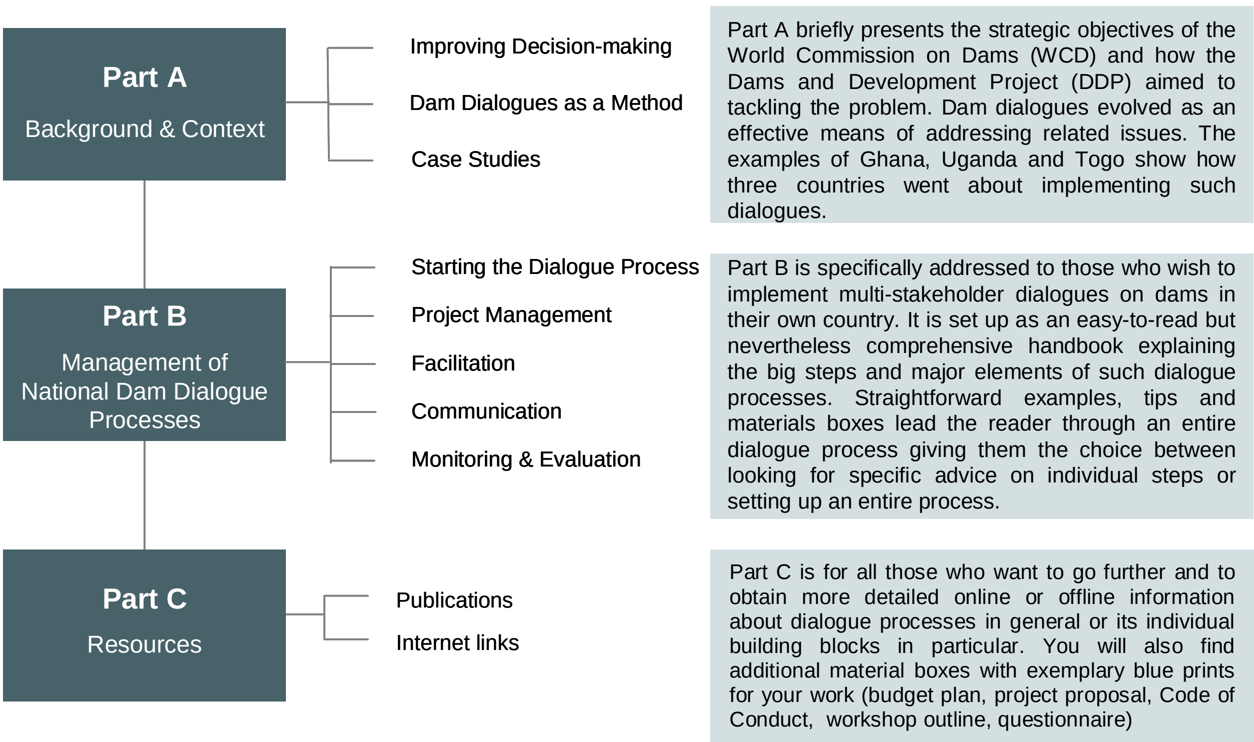
The objective of the handbook is to further enhance the successful implementation of national dam dialogues and thereby contribute to improved decision-making on dams.

For whom is this Handbook?

The handbook addresses decision-makers, key players, practitioners and other stakeholders of such a national dam dialogue. It provides background information on multi-stakeholder dam dialogues as well as tangible, practical recommendations based on experiences as well as practical tools for the management and facilitation of a national dam dialogues.

How to use this Handbook

Diagram 1: Overview of the Handbook



Further Information and Contact

Contact at the GTZ

For further information please contact:

Daniela.Kussberger@gtz.de

Cathleen.Seeger@gtz.de

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IFOK project team

Writing of the handbook and evaluation of selected national dam dialogues

Britta Baums

Dr. Hannah Büttner (Project lead)

Nina Elzer

Nina Jungcurt

Jonas Schumacher

Matthias Spöttle

Fiona Wollensack

Further information: www.ifok.de

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Executive Summary

Multi-stakeholder dialogues are increasingly used as tools and instruments in decision-making processes. One context within which such dialogues take place is the development and construction of dams, a process often marked by a multitude of actors involved in and affected by decisions, a long list of issues arising and resistance to change and conflict. In order to make decision-making more smooth and to alleviate the impact on the population, dam dialogues have been introduced at various national levels.

This handbook draws on the experience with national dam dialogues, especially in the countries Ghana, Togo and Uganda. All three dialogues have been implemented with the support of the UNEP DDP Programme and GTZ. In the future, more of these dialogues will hopefully be organised that directly involve the stakeholders of dam projects, establish a forum of exchange, discuss relevant issues, come up with relevant recommendations and thereby improve the efficiency of the decision-making process.

Multi-stakeholder dialogues are complex by nature and need to be carefully thought through and efficiently implemented. The right people have to be involved at the right time discussing the right issues and coming up with relevant recommendations. This is why this handbook has been written. It is to provide support in the shape of information and practical recommendations to those who wish to implement such dialogues including decision-makers, key players, practitioners and other stakeholders of dam dialogues.

Part A explains the background and context of dam dialogue projects and highlights their importance as a method. The role of the World Commission on Dams (WCD) as well as that of the Dams and Development Project (DDP) who aimed to tackle the problems related to the construction of dams are briefly presented. It then lays out how Ghana, Togo and Uganda went about implementing national dam dialogues in their country.

Part B is specifically addressed to those who with to implement multi-stakeholder dialogue on dams in their own country. Subdivided into six chapters (see below) ranging from starting such processes to ensuring their impact, it elaborates on the process and project management the implementation of such dialogues implies.

Chapter 1 highlights the important role of the initiator and promoter, their characteristics and qualities, in starting the dialogue process. Creating an impact on decision-making is key to the process and the initiator should therefore ideally be a person or institution that has the power to do so by laying the benefits of such dialogues and motivation other institutions to participate. After the process is launched, promotion comes to the forefront. On the one hand, the initiator should find a well-known, charismatic individual who will be the “external promoter” or “face” of the process and represent it to the general public and should therefore be a neutral and widely respected person with an inviting attitude. The internal promoter, on the other hand, will “keep the car running”. Usually, this is the role of a Secretariat entrusted with administrative and organisational tasks.

Chapter 2 describes how to manage a national dam dialogue from planning to steering and concluding the process. In a first step, it will be necessary to identify and approach possible donors. A watertight and well-thought-through proposal is key in this step. The different elements and the structure of such proposals from goals to objective, milestones, activities, the process concept as well as a blueprint for a budget are set out in detail and common criteria by which donors assess the quality and feasibility of such proposal are listed. Examples of time, resources and activities plans are given that need to be taken into consideration to carefully plan the project. In a second step, the chapter details the requirements necessary to successfully steer a project both internally and externally, including the capacities required of those entrusted with project steering and the need for organisational structures and procedures.

Different organisational bodies need to be created in the course of the project ranging from small committees or the Secretariat concerned with preparatory and administrative work to an encompassing forum that is responsible for verification and decision-making. Each group and each individual will have its role and responsibilities and their degree of participation will vary with the different tasks ahead. An example of a code of conduct is given, which sets out the goals, mandate, structure and behavioural rules of participants, e.g. in case of conflict.

The methodological steps needed to identify stakeholders are outlined next. The issue to be discussed will considerably determine who should be considered major or minor stakeholder. A stakeholder mapping will help identifying their relevance and relative impact regarding the issue. Both for the purpose of managing an ongoing project and reporting (e.g. to donors), documentation needs to match the needs and expectations of the readership, which is why this sections gives guidelines as to how to structure intermediary and final reports, how to draft minutes and protocols and how to handle correspondence.

Resource management concludes the chapter and refers to resources such as funds (thereby highlighting the importance of relationship management with donors), internal and external expertise (with an emphasis on establishing a joint knowledge base and including the right experts) as well as stakeholders as “part of the team” (e.g. as members of committees) and sources of knowledge and experience.

Chapter 3 explains the term and components of facilitation, i.e. mechanisms and activities used to manage the three dimensions of facilitation, i.e. the topic, the individual and the group in order to discuss interests a goal-orientated manner leading to commonly agreed upon outcomes. Professional facilitators are at the core of this process and therefore have to fulfil certain requirements from neutrality to flexibility and forward thinking to make sure that each voice is heard and that the group works towards a common goal. For this purpose various visualisation interactive dialogue methods can be applied. Also, types of conflict within or between groups are addressed and conflict resolution mechanisms suggested. A general outline of how to prepare, organise, manage and document a workshop are given at the end of the chapter.

Chapter 4 deals with various aspects of both internal and external communication – to or with stakeholders and beyond the stakeholder group by means of recommendations. Already at the beginning, stakeholders should be asked for their expectations; expectations should then be mapped to see whether they are in line with the project’s objectives and discussed to explain is what is possible or impossible to achieve. Recommendations are final product of the dialogue process and one of the central means by which the work and outcomes of the dialogue process are communicated to others. Advice is given on how to make them specific, measurable, achievable, relevant and time-bound. Public relations, advocacy and lobbying constitute the latter part of external communication. The terms are distinguished from each other to then present instruments and activities to either mange the relationship between public and private institutions, media and the broader public (Public Relations), articulate and represent views, provide advice and information and help negotiate and resolve conflict (Advocacy), or explicitly try to change the views of policy or decision-makers about measures that are in planning or proposed (Lobbying).

Chapter 5 sets out in detail how to set up and implement monitoring and evaluation programmes for a project. Both monitoring and evaluation are used to assess projects at specific points in time in order to measure progress, analyse performance, take corrective action if needed and synthesis reports and formulate recommendations. Whereas the section on monitoring elaborates in more detail how to establish a set of indicators (explaining what indicators are, their characteristics and what they measure), the section on evaluation demonstrates in more depth the different steps for carrying out an evaluation (from preparation to design, implementation and communication of the evaluation and its results) and includes a list of evaluation criteria used by organisation to specifically evaluate development programmes. The chapter concludes with a short section on feedback; one of the mechanisms that can be used to collect data needed for monitoring or evaluation reports.

Chapter 6 concludes the handbook with advice on how to ensure that the outcome of national dam dialogue processes creates impact thereby concentrating on the importance of continuity of the results of the dialogue (not the process itself) and the relevance of the dialogue, i.e. the need for the institutional bodies of the process (not the raison d'être of the process or its outcomes). In addition to the advocacy and lobbying mechanisms, continuity can be enhanced through involvement, commitment, simplicity, and public pressure. In order to assess the relevance of the dialogue, the reasons for concluding it should be determined (e.g. if a major stakeholder drops out). Re-evaluation could help assess whether there is a need for re-activation of the process but relies on good process documentation. The role of maintaining a "light version" of dialogue bodies (e.g. the coordinating committee) to more easily re-activate the process is also addressed.

<u>Part C</u> provides information about more detailed online or offline information sources about dialogue processes in general or its individual building blocks in particular. Additionally, further useful material for managing dialogue processes (e.g. with exemplary blue prints of a budget plan, project proposal, Code of Conduct, workshop outline, questionnaire) are compiled in this part.

Part A BACKGROUND

1 Improving decision making on dams

World Commission on Dams (WCD)

Dams have made and will continue to make a major contribution to development. However, the report by the World Commission on Dams (WCD) has clearly documented the urgent need to make dams more sustainable. In the past there has all too often been little regard or circumspection for social and ecological aspects and many countries with large dams are still struggling with the unwanted – and often unintended – side-effects and conflicts related to and arising from these issues.

The WCD was established in May 1998 in response to escalating local and international controversies over large dams. It was mandated to review the development effectiveness of large dams and to assess alternatives for water resources and energy development. In addition it was charged to draw up internationally acceptable criteria, guidelines and standards for the planning, design, appraisal, construction, operation, monitoring and decommissioning of dams.

The WCD was an independent time-bound activity, dissolved as planned in 2001 after the publication of its Report. It had prepared global policy recommendations through a unique process of multi-stakeholder dialogue (see also chapter A 2).

Response to the WCD's report has been mixed: while a number of government agencies and professional associations have voiced strong reservations about the detailed proposals contained in the WCD Report and some agencies responsible for dam-building programmes have even gone so far as to reject the Report and its outcomes, nonetheless, there is a remarkable degree of consensus on the five core values and seven strategic priorities proposed by the WCD:

Table 1: The WCD's Core Values and Strategic Priorities

7 Strategic Priorities of the WCD	5 Core Values of the WCD
1. Gaining public acceptance	1. Equity
2. Comprehensive options assessment	2. Sustainability
3. Addressing existing dams	3. Efficiency
4. Sustaining rivers and livelihoods	4. Participatory decision-making
5. Recognising entitlements and sharing benefits	5. Accountability
6. Ensuring compliance	
7. Sharing rivers for peace, development and security	

The Dams and Development Project (DDP)

Following the publication of the World Commission on Dams (WCD) Report in November 2000 there was a call from a wide range of stakeholders for the establishment of a body that could provide guidance and support for national follow-up processes, further disseminate the WCD Report and Knowledge Base materials, and provide information on activities undertaken around the world in response to the report.

For this reason the Dams and Development Project (DDP) was launched as a time-bound project hosted by United Nations Environment Programme (UNEP), financed by contributions from donor countries including Germany. Its task was to support those countries and regions that request assistance in analysing the WCD's recommendations and determining appropriate responses and actions relevant to prevailing national contexts. Here the WCD framework is not being used as a regulatory framework, but rather as a framework for discussion on issues at national level.

Table 2: The DDP's Vision and Mission

The DDP
DDP Vision
"The development and management of water and energy resources address the full range of options and are attained through institutionalised participatory and transparent decision-making processes to achieve sustainable outcomes that benefit all."
DDP Mission
"Promote improved decision-making, planning and management of dams and their alternatives building on the World Commission on Dams' core values and strategic priorities and other relevant reference materials through promoting multi-stakeholder dialogue at national, regional and global levels and producing non-prescriptive tools to help decision-makers."

The project was divided into two phases:

- DDP Phase 1 (2001-2004) intended to promote a dialogue on improving decision-making, planning and management of dams and their alternatives based on the WCD's core values and strategic priorities.
- DDP Phase 2 (2005-2007) intended to promote improved decision-making, planning and management of dams and their alternatives, building on WCD core values and strategic priorities and other relevant reference materials through promoting dialogue and producing non prescriptive practical tools to help decision makers.

In the second phase, national and regional dialogues were promoted, as an avenue for producing broad-based recommendations on policy and procedure reforms in the local context. Chapters 2 and 3 in part A of this handbook will explain and illustrate the role of dialogue processes for improving decision-making on dams.

Role of the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

On behalf of the Federal Ministry for Economic Co-operation and Development (BMZ), the GTZ actively supports the process of implementing the WCD recommendations. This includes pilot studies to develop procedures and concepts, and technical support to governments to implement the WCD strategic priorities. The GTZ also provides assistance to multi-stakeholder processes to discuss the WCD report in a national context.

The GTZ is currently supporting several national dialogues on dams, partly as a follow-on activity of the UNEP Dams and Development Project (UNEP-DDP). The overarching objective of these national dam dialogues is to improve decision-making on dams and to address country-specific, action-oriented policy guidelines (see the next chapter for further details).

2 Dam Dialogues as a Method

Why organise national dam dialogues?

As was stated in the context of the WCD report, the intention for organising a national dam dialogue was to ensure improved decision-making, planning, construction and operation of dams by effectively using all available social, economic and environmental, as well as technical information, and by involving all stakeholders concerned. These criteria have been identified as of major importance for the development-effectiveness and sustainability of future dams.

Multi-stakeholder dam dialogues hold great value for decision-makers and civil society for improving decision-making with regard to dams and to dam-related policies including water, energy, settlement, agricultural and environmental policy.

Table 3: Definition of an Inclusive Multi-Stakeholder Process

What is meant by an inclusive multi-stakeholder process?
A multi-stakeholder approach brings together people from diverse backgrounds who have an interest in dams and development means by facilitating mechanisms. This approach was for example reflected in the Steering Committee of the global multi-stakeholder process facilitated by DDP that involved amongst others governments, affected and indigenous peoples' groups, industry and utilities, international organisations, NGOs, professional associations, researchers and groups working on various options. The involvement of those government agencies and organisations that expressed strong concerns over the WCD report in order to find ways of opening the dialogue process was crucial for an inclusive multi-stakeholder process.

With the help of a multi-stakeholder dialogue

- **Decision makers** can learn from past mistakes, discuss and clarify expectations with different groups in society, obtain feedback, reduce risks for ongoing plans, improve co-ordination and communication among different, relevant governmental bodies and their sector policies respectively (e.g. water, energy, environment, agriculture, settlement etc.), and, finally, obtain a better information base for future decision-making.
- **Civil society groups** can contribute to and exchange knowledge and information and share their views with decision-makers.
- **Affected communities** are given a platform from which they can be listened to by decision-makers, can bring in their experiences and share their concerns.

For all groups, improved communication and information, clarification of different views and expectations, and increased trust and understanding are key benefits that can be generated by a dialogue process. In sum, multi-stakeholder dialogues can contribute to improved decision-making on dams and – in addition – to a modern and democratic form of governance.

Crucial elements for successful dialogue processes and current experiences

One of the key criteria for a successful dialogue process is that the dialogue has an impact on decision-making. However, influencing national policies is a very ambitious goal requiring a lot of time, the right people, capacities and a lot of hard work.

To work effectively towards this goal a multi-stakeholder dialogue needs a clear structure and an effective and pragmatic management of the process. This is especially relevant given the limited resources usually available for such processes. At the same time the trust and commitment of the stakeholders involved has to be ensured. The following box summarises key challenges and success factors for dialogue processes.

Table 4: Key Challenges and Success Factors for Dialogue Processes

Key Challenges and Success Factors for Dialogue Processes
1. **Driving force** / **promoter of the process** **à** Is the promoter of the dialogue process legitimate, committed, neutral, accountable, accepted …?
2. **Open question**, selection of issues **à** Are the objectives and questions for the dialogue process clear, open, inclusive, transparent…?
3. **Representation of Stakeholders** **à** Are all interests represented? Capacities and information available? Commitment…?
4. **Organisation of the process**, **rules & professional facilitation** **à** Are the Secretariat and facilitator(s) of the process competent, neutral, efficient, transparent … ?
5. **Common results** **à** Did the Dialogue Forum produce common results?
6. **Impact of process outcome** **à** Relevant results, implementation? Sustainable (e.g. commitment of decision-makers)?
7. **Outreach and communication** **à** How far are public and media involved and informed?

To address these factors and to achieve the objectives of a national dialogue process, the compliance with some key elements of a multi-stakeholder dialogue process has proven crucial (part B of this handbook will provide practical tools with regard to this):

- First of all, someone is needed to initiate the dialogue process. Ideally this is a person or institution that has the power to ensure political support for the dialogue. The **initiator** foresees the benefit of the dialogue and motivates other important institutions and actors to participate in the process. With respect to national dam dialogues, the initiative often comes from an environmental or social NGO, in some cases jointly with a government institution or a ministry that has participated in the global dialogue process hosted by UNEP.
- Secondly, an **"external promoter"** is very useful. His or her role is to be the "face" of the dialogue process and to safeguard a common way forward. Ideally this person is much respected, has an inviting attitude and is neutral regarding the issues at stake. The external promoter is often identified and commissioned by the initiator and he or she is chairing the steering committee and/or the forum of the dialogue process (further information: chapter 1.1). In many of the national dam dialogues the Secretariat (see below) seems to be the most visible face of the dialogue. This means that the success of the dialogue depends to a great

extend on the ability of the Secretariat to remain strictly neutral and to liaise with decision-makers and to secure their support.

- Thirdly, a **Steering Committee** that represents the different interests in the dialogue process is to be elected. This committee is the guiding body of the dialogue process and ensures that the relevant stakeholders and issues are included in the process. Commitment and continuity of the Steering Committee members are crucial for the success of the dialogue. In all national dam dialogue processes such a committee is in place; however continuity and composition do vary (further information: chapter 2.2.1).
- Fourthly, as mentioned above, a **Secretariat** is essential to implementing the dialogue and to providing all necessary services for the dialogue process, including the organisation and facilitation of meetings and the management of the process and its resources. In the case of the national dam dialogues it is often the Secretariat that initiates and promotes the dialogue process. In some cases the Secretariat is a civil society organisation that has a stake in the process (usually environmental). This is not compatible with the role of the Secretariat as a neutral body and bears the risk of decreasing the acceptance of the dialogue process, especially among decision-makers (further information: chapter 2.2.1).
- Finally, all **stakeholders** concerned have to be involved in the process. Transparent and timely communication about the process as well as neutral facilitation of the meetings are required if the trust of the stakeholders is to be secured. A clarification of expectations, of roles and of responsibilities at the beginning of the dialogue process for all actors involved is crucial. And, from the very beginning, clear and common objectives have to be set together with the stakeholders. Capacity building to balance the different backgrounds of stakeholders is crucial (further information: chapter 2.2.4 and 2.4.3).

During the process challenges may arise and need to be dealt with in the following areas: ensuring continuity, commitment and dynamism of the process, focussing on core activities and objectives and – most importantly – involving relevant decision-makers so as to make sure that the dialogue process will have an impact. For a detailed description of the roles and bodies of a national dam dialogue, please refer to chapter 1 and chapter 2.2 in part B of this handbook.

<u>The GTZ's experiences</u>

In 2007 the GTZ supported dam dialogues in Togo, Ghana and Uganda. In the past activities have been carried out in Nepal, Cameroon and the Republic of South Africa (as part of the SADC) as well as in Germany. In Autumn 2007, GTZ – with support from IFOK GmbH – undertook an analysis of experiences with multi-stakeholder dialogues to date in order to draw lessons and recommendations for the organisation of national dam dialogues in the future. The experiences with the national dam dialogues so-far underline that such processes are a useful and widely recognised tool among different types of stakeholders. They also emphasise the fact that organising such a process is a very challenging task, often requiring new skills and abilities among all actors involved. The existing dialogues provide excellent learning experiences that should be built upon.

To provide some practical insight into existing experiences, the next chapter will briefly introduce the main features of and lessons learned from the three national dam dialogues that were supported by the GTZ and others in Ghana, Togo and Uganda.

3 Examples of National Dam Dialogue Processes

The following reports from Ghana, Togo and Uganda have been selected as examples for illustration of multi-stakeholder dialogue processes with regard to dams and development. These processes have been supported the GTZ and so in-depth experiences could be gained. A short process profile and key lessons learned are provided for each country.

3.1 Ghana

Background

The development of Ghana's water resources for the generation of hydroelectric power and other purposes constitutes one of the most important elements of the country's economic development. It is, however, acknowledged that some environmental and social factors were not adequately taken into account during the planning and execution stages.

The Akosombo and Kpong dams have contributed to alleviating poverty in Ghana with the most important functions of the dams being the generation of hydroelectric power. Currently the Akosombo and Kpong dams generate 912 MW and 160 MW respectively. This constitutes more than 70% of Ghana's total electricity production. The construction of the Bui dam is also currently envisaged. In view of the shortcomings of previous projects, the urgent need to improve decision-making in the planning and management of dams and their alternatives in the country was recognised.

Initiation and key actors

The Volta Basin Development Foundation (VBDF) is an NGO based in Ghana. It has advocated a national dialogue process in Ghana since 2004. VBDF, together with the Volta River Authority and Ministry of Energy, the Ministry of Water Resources Works and Housing, the Water Resources Commission and Conservation International made up an interim Steering Committee in 2006 so as to initiate the national dialogue.

Objectives

- Identify the critical dam issues relating to both existing and planned dams.
- Create and sustain a neutral multi-stakeholder platform to discuss the identified issues while strengthening collaboration between all parties involved.
- Develop strategies and guidelines regarding the operation and development of large dams and their alternatives in Ghana and produce recommendations to strengthen existing legislative processes

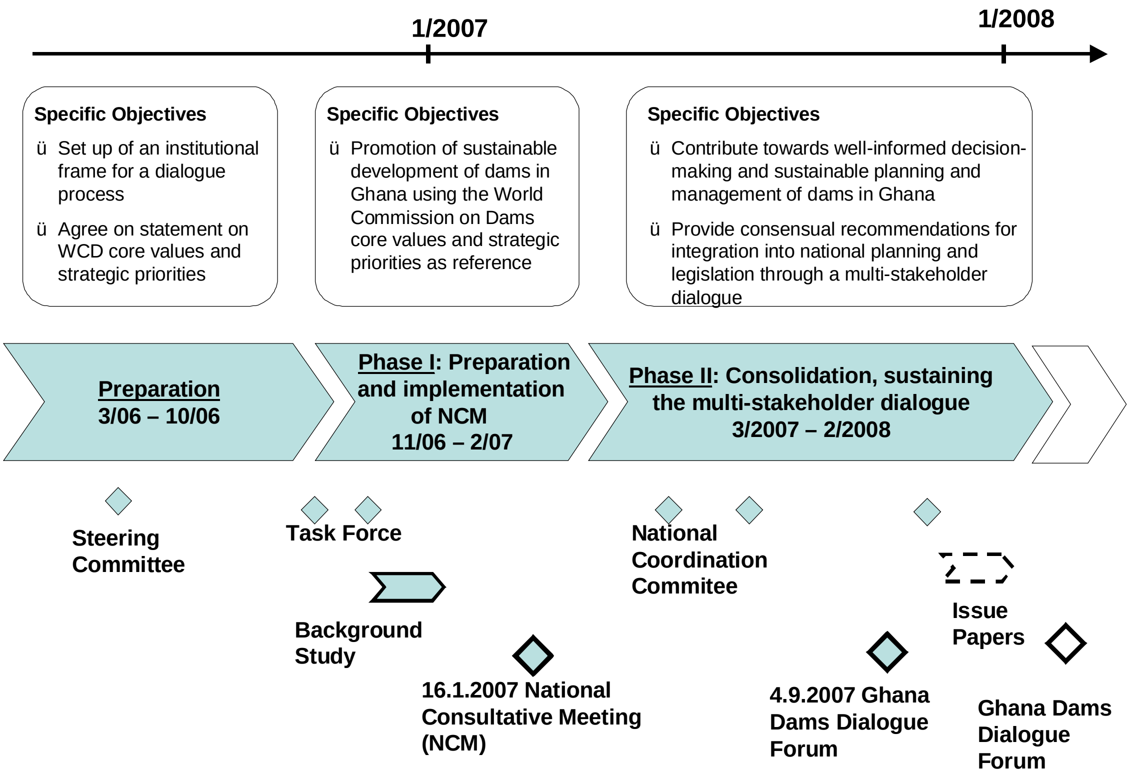
Elements of the dialogue process

1. **Secretariat of the Dialogue Process**: operated by Volta Basin Development Foundation. Supported since phase 2 by the International Water Management Institute.
2. **Steering Committee / Task Force**: 7 members, three meetings. Organised the National Consultative Meeting. Commissioned Background Study.
3. **National Consultative Meeting**: 64 participants, one-time meeting. Discussed Background Study. Elected National Co-ordinating Committee
4. **National Co-ordinating Committee**: 15 members, two meetings. Follow-up body of the Steering Committee. Composition reflects the greater forum to steer the process. Chair of NCC: Senior Research

Fellow of Volta Basin Research Project.

5. **Ghana Dams Forum: one meeting**: Meeting of all relevant stakeholders on dam issues. Chair of the Forum: Rotation principle, occupied by governmental officials. Chair of 1st Ghana Dams Forum: Deputy Minister of Local Government, Rural Development and Environment.

Process overview



Stakeholder involvement

Stakeholders involved

National Government

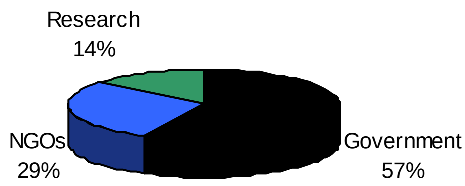
- Ministry of Water Resources, Works and Housing
- Ministry of Energy; Water Resources Commission
- Volta River Authority
- District Assemblies

Private Sector and Finance:

- Association of Ghana Industries
- China Investment Bank

Representation in the dialogue process

Steering Committee



Dam affected communities

- Ghana National Association of Canoe Fisherman
- National Association of 52 Townships
- Representative of Lower Volta Basin
- Representative of the Bui Region, Distric Assemblies

NGOs:

- Conservation International
- Volta Basin Development Foundation

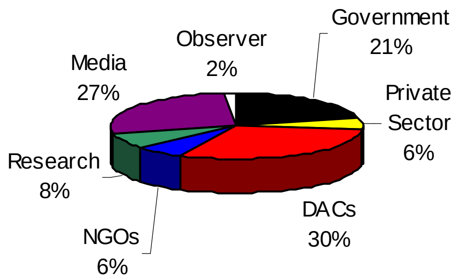
Research

- Volta Basin Research Project
- Water Research Institute
- International Water Management Institut

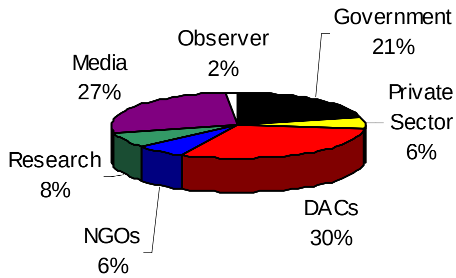
Observer:

- UNEP-DDP

National Coordinating Committee



National Consultative Meeting



Lessons learned – benefits and challenges

So as to ensure that the key benefits of the dialogue are guaranteed, it is important to:

- Raise awareness of affected people and their problems.
- Exchange experiences.
- Update and complete information on planned and existing dams.
- Improve existing decision-making processes.

To meet the key challenges presented by the dialogue it is important to:

- Implement capacity-building into the process.
- Establish feedback mechanisms.
- Improve open communication, facilitation and transparency of the dialogue.
- Ensure media involvement and increase public awareness.
- Develop a strategy to ensure the implementation of results.

3.2 Uganda

Background

Uganda is situated in East Africa. In the country dams are of special relevance: Nalubaale Power Station has replaced Owen Falls and used to deliver up to 380 MW before an energy crisis, caused by low water levels in Lake Victoria, rocked the country in 2006. There are a small number of other dam sites, yet Nalubaale by far produces the most energy.

The estimated hydroelectric power potential of Uganda lies, however, at more than 2000 MW. Two large dam projects are, therefore, currently being planned: the Bujagali and Karuma dams. The Bujagali dam is supposed to deliver about 250 MW but the project has been highly contested among the population who would prefer the Karuma project and with the potential of delivering 200 MW. IN addition, the latter project poses fewer dangers to the environment and population. Dam construction aims to satisfy the need for energy in the country and thus strengthen development. Actors are very much aware of the negative effects of dams – they are the cause for village resettlements and often do not deliver the amount of energy initially supposed.

Initiation and key actors

In recognition of the importance of contextualising the contents of the WCD's Report in Uganda, the National Association of Professional Environmentalists (NAPE), a Uganda-based NGO actively engaged in advocating and lobbying for sustainable natural resource management and organised a national workshop on 19th of October 2004 under the title "Towards making WCD Outcomes a Reality in Uganda" in Kampala, Uganda. This meeting established an inter-sectoral and multi-stakeholder steering committee comprising of various government ministries and agencies, NGOs, Civil Society Organisations, private sector and academic institutions. These were to define the way forward and oversee the dialogue process on dams and their alternatives in Uganda.

Following the workshop, NAPE, in close collaboration with the Ministry of Water, Lands and Environment (MWLE), organised the first meeting of the steering committee on the 13th of June 2005.

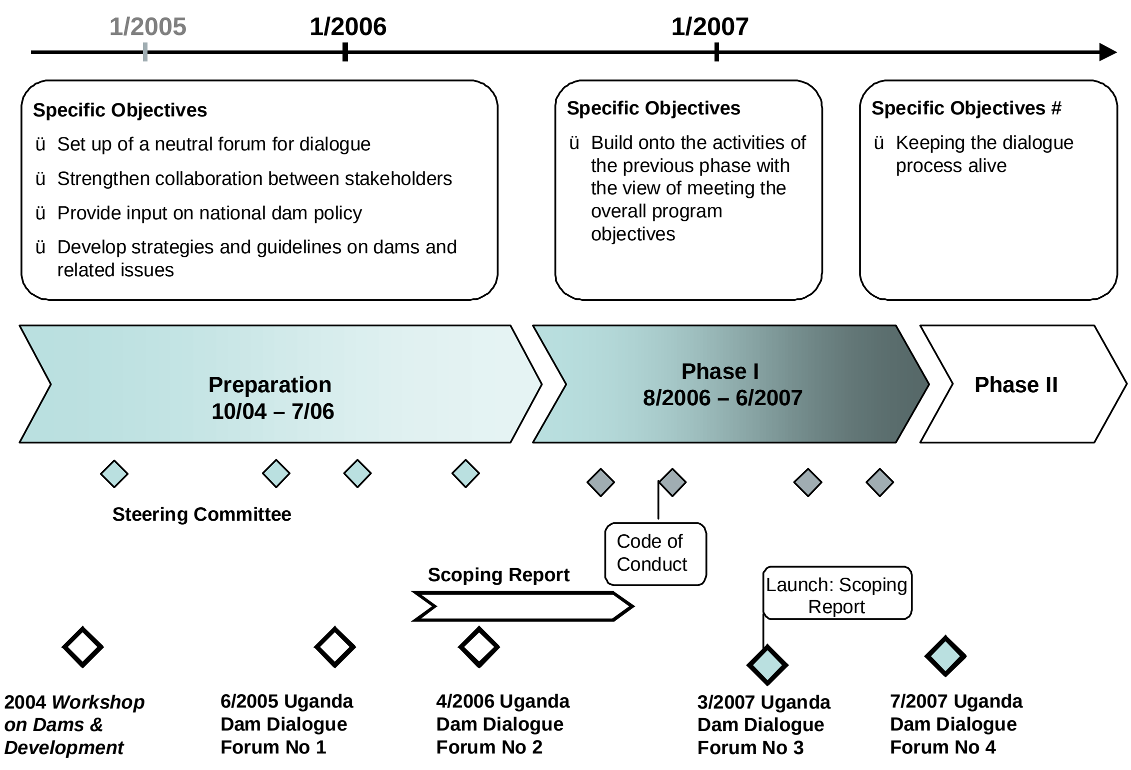
Objectives

- To provide a neutral forum for dialogue and strengthen collaboration between the various parties involved in the development of large dams and their alternatives in Uganda.
- To provide input into the decision-making processes regarding the development of large dams and possible options.
- To develop strategies and guidelines for the development of large dams and their options in Uganda.

Elements of the dialogue process

1. **Secretariat of the Dialogue Process**: operated by the National Association of Professional Environmentalists. Service the day to day operations of the National Forum as well as representing it. Fundraise for the dialogue activities.
2. **Steering Committee**: 27 members, eight meetings. Developed strategy and guidelines as well as the road map for the dialogue. Set terms of reference for the scoping report. Chair: Commissioner of the Department of Environmental Affairs, Ministry of Land, Water and Environment.
3. **Uganda Dams Dialogue Forum (UDD)**: 71 members, four meetings. Network to share dialogue information. Endorse the outcomes of the work done by the Steering Committee. Issue recommendations for national policy. **Chair** of the forum: Commissioner of the Department of Environmental Affairs, Ministry of Land, Water and Environment.

Process overview



Stakeholder involvement

Stakeholders involved

National Government

- Ministries: Land, Water and Environment; Agriculture Animal Industry and Fisheries; Energy and Mineral Development
- National Authorities: National Forest Authority; National Environment Management Authority, Agency for Environment and Wetlands
- Natural Resource Committee Jinja
- Presidents Office

Private Sector and Finance:

- ESKOM Ltd., Waba Associates Ltd.
- African Development Bank
- Uganda Electricity Distribution Company, SCARFACE Ltd.

Dam affected communities and traditional leaders

- Kingdom: Busoga Kingdom, Buganda Kingdom, Mukono District Council
- Regional Bodies: Muyenga Resettlement Village, Jinja District, Bujagali Dam affected

NGOs and Civil Society:

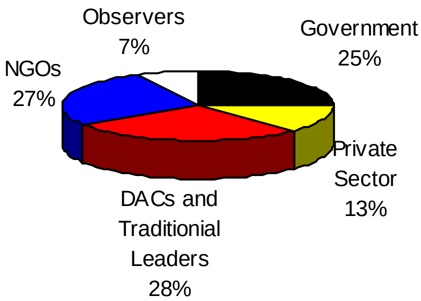
- Environment related NGOs: NAPE, Green Watch, World Conservation Union, Uganda Wildlife Society, New Horizons, Uganda Environment Education Foundation, Kikandwa Environmental Association. Pro-Biodiversity Conservationists, Ecological Christian Organization, Suswatch Network, Uganda Forestry

Association.

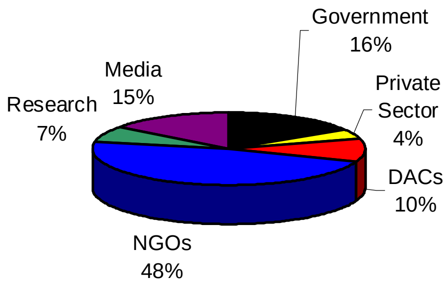
- Development related NGOs: Rural Community Development Foundation., Uganda Network on Toxic Free Malaria Control, Hands on Community Development Organization. NGOs on Education and Illiteracy, Uganda Coalition for Sustainable Development, Community Development Initiatives, Mbarara Development Agency
- Others: Uganda Nile Basin Discourse Forum, Uganda Network on Toxic Free Malaria Control.

Representation in the dialogue process

Steering Committee



Uganda Dam Dialogue Forum (4th meeting)



Lessons learned – benefits and challenges

So as to ensure that the key benefits of the dialogue are guaranteed, it is important to:

- Popularise the concept of dialogue as a means of alternative decision-making.
- Exchange information against highly diversified backgrounds.
- Ensure acceptance of national shortcomings.
- Increase networking

To meet the key challenges presented by the dialogue it is important to:

- Ensure neutrality of the Secretariat.
- Build capacities prior to initiating the process.
- Ensure the process is transparent.
- Establish a regular feedback process as a “early warning system” for the donor.
- Improve facilitation.
- Involve all relevant stakeholders.
- Clarify rules and objectives at the beginning.

3.3 Togo

Background

Togo has an unequal distribution of water from two main river basins of the Volta and the Mono. Forty six per cent of the population do not have access to potable water. Only five per cent of the population are connected to a piped water network.

The country has two main dams, Kpime (16 000 KW) and Nangbeto (65 MW), built in 1960 and 1985 respectively. The country imports eighty per cent of its electricity from neighbouring Ghana. As a result of low water levels the Nangbeto dam is out of service for several months at a time, resulting in severe power cuts. Studies reveal that the national energy demand will reach 927 GWh in 2010 and 1143 GWh in 2015. The Adjaralla dam is in the planning stage. It is expected to generate 326 GWh. With a hydro-capacity of 94 MW, it is likely to displace more than ten thousand people and have impacts on fisheries and forests in the area. It is against this background that a national dialogue process on water and energy policies in Togo was initiated.

Initiation and key actors

The Jeunes Volontaires pour l'Environment (JVE) is an NGO based in Togo. Its mandate is to involve youths (and marginalised groups) in sustainable development processes and to promote social justice for all. Between 2005 and 2006, JVE organised several awareness activities on dams and development issues based on the WCD Report and other DDP materials, initially for civil society groups but subsequently for government officials and representatives of utilities. Such activities included the River Festivals, meetings with various governmental departments and with the Prime Minister's office.

These activities culminated in the establishment of an interim multi-stakeholder Co-ordinating Committee comprising representatives of civil society and affected communities, Communauté Electrique du Benin and the Ministries of Energy, Mining and the Environment at the end of 2006. The Ministry of Water of Togo joined the dams and development Forum in November 2006.

Objectives

The main purpose for establishing the Committee was to work towards the establishment of a Forum and towards obtaining the endorsement by government of a proposal for a national multi-stakeholder process in Togo. The objectives of the envisaged dialogue on dams and development in Togo were to:

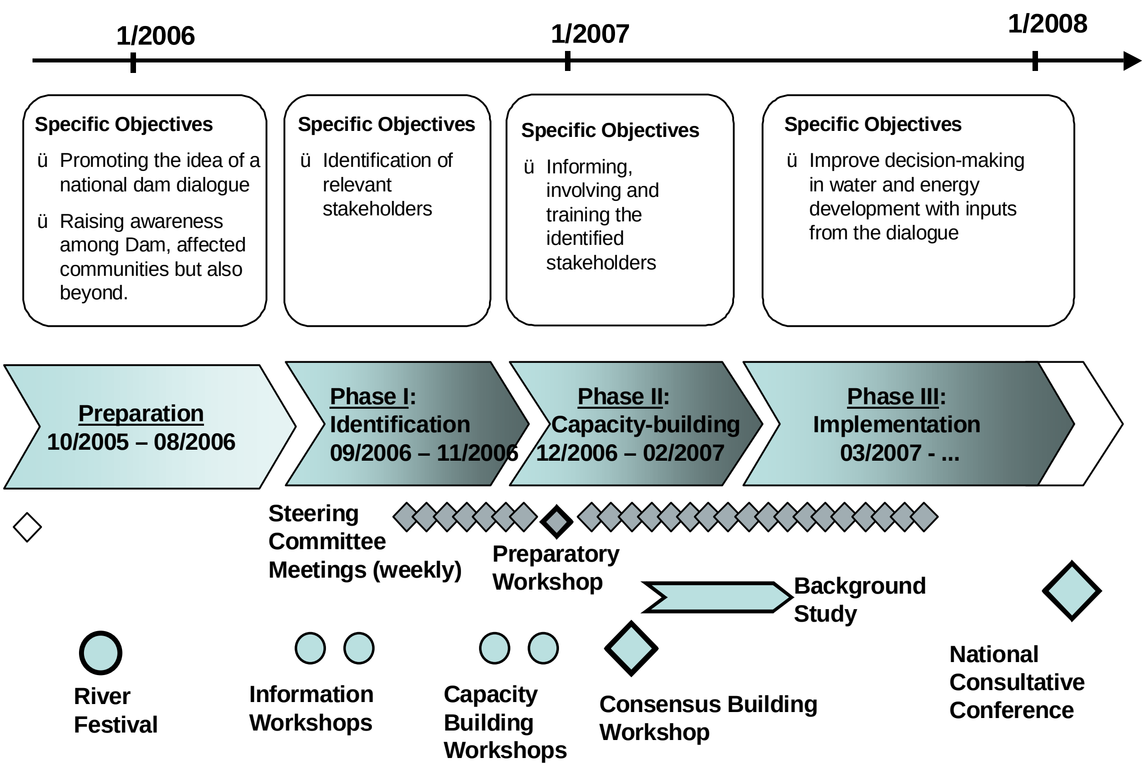
- Sensitise government officials, policy makers, NGOs and the general public about the WCD recommendations.
- Bring together the communities that are affected by dams in the sub-region to create awareness, share experiences, build capacity and define the proper strategy to enhance participation in the process of development of dams.
- Improve the national regulatory framework relevant to the development of dams through integrating relevant ecological, social and economic aspects.
- Improve the decision-making processes in Togo regarding dams by adopting participative approaches.
- Examine alternative sources of energy so as to meet energy demands while mitigating adverse social and environmental impacts.

Elements of the dialogue process

1. **Secretariat of the Dialogue Process**: Operated by Jeunes Volontaires pour l'Environement (JVE). Obligation to keep all files and disseminate them. Responsible for daily organisation as well as fund raising.

2. **Steering Committee**: 7 members, 30 meetings (weekly). Set terms of reference for Background Study and monitored it. Organises **National Consultative Conference** and supports Secretariat. **Chair of SC**: Rotating presidency.
3. **National Consultative Conference**: 136 participants, one-time meeting. Analysed, improved and validated the Background Study. First genuine multi-stakeholder event in the process. Set strategic priorities for three studies to be conducted. **Chair** of the Forum: Director of Jeunes Volontaires pour l'Environement.
4. **National Co-ordinating Committee**: planed to replace the Steering Committee, two meetings since October 2007.

Process overview



Stakeholder involvement

<u>Stakeholders involved</u>

<u>National Government</u>

- Ministries: Water and Hydraulic Resources; Environment and Forest Resources; Energy; Finance; Social Affairs and Women; Local Administration; Agriculture, Animal Breeding, & Fisheries; Economics and Development; Education; Justice
- Office of Prime Minister, Prefects of several Districts, Delegates of Parliament

<u>Private Sector and Finance</u>:

- Eau Vitale Togo, Brasserie BB Lomé, Togolais des Eaux.

Dam affected communities and traditional leaders

- Communauté affectée par les barrages
- Dam affected communities of Kpimé, Atchankoé, Nangbéto, Assanté, Okouta, Okoutalakou, Gapé Wonougba, Tetetou, Alokoegbe.

NGOs:

- Environment related NGOs: Jeunes Volontaires pour Environnement, Friends of the Earth
- Development related NGOs: Collectif des ONGs de la Region Maritime, Dunenyo Association, La Rose de l'Espoir, Novation Internationale, Eau pour Tous
- Local NGOs: 21 small organisations.
- Others: AIESEC, Terre de la Jeunesse Culturelle, La Rose de l'Espoir

Research:

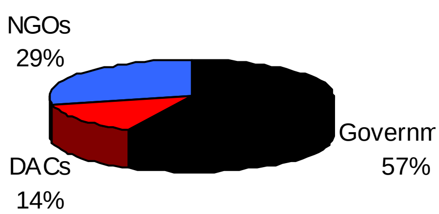
- University of Lomé, Global Lead, Ecole Africaine des Métiers d'Architecture et de l'Urbanisme

Observer:

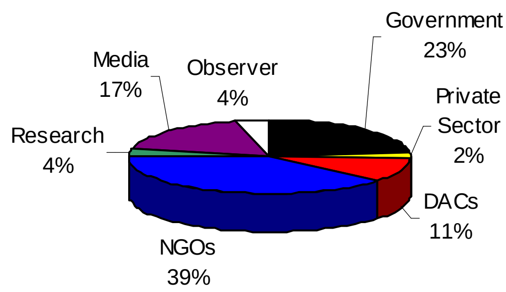
- UNEP-DDP, UN Food and Agricultural Organization, GTZ

Representation in the dialogue process

Steering Committee



National Consultative Meeting



Lessons learned – benefits and challenges

So as to ensure that the key benefits of the dialogue are guaranteed, it is important to:

- Raise awareness of the situation of dam-affected communities and related issues.
- Create a basis to better understand each other.
- Give people the capacity to participate and bringing them closer to democracy.

To meet the key challenges presented by the dialogue it is important to:

- Set achievable milestones and deadlines.
- Set up a clear organisational structure with separate and clear mandates.
- Improve Communication, facilitation and transparency.
- Develop a strategy to ensure the implementation of results.
- Ensure media involvement and increase public awareness.

Part B Management of National Dam Dialogues

This part provides you with practical information on how to conduct a national dam dialogue. The following chart helps you to find the information you need in the 6 chapters of part B.

Diagram 2: Overview of Part B

Part B

Management of National Dam Dialogue Processes

1	Starting the Dialogue Process	**Chapter 1** outlines the necessary qualities and characteristics of those who wish to initiate and promote a dialogue process. It explains why both external and internal promotion are crucial in the initiation phase and the differences between the two.
2	Project Management	**Chapter 2** describes how to manage a national dam dialogue process. It goes through the different steps and phases of such a process from writing a successful proposal to obtain funding, selecting stakeholders and relevant issues all the way to implementing and evaluating the project. Next, the chapter gives advice on how to steer a project - both internally and externally - looking at solid structures and rules to handle stakeholders and procedures. Documentation and examples of clear structuring are given afterwards. Lastly, the issue of when and how to draw on additional resources – such as external expertise, knowledge from stakeholders and additional funding – is addressed.
3	Facilitation	**Chapter 3** explains what lies behind the term facilitation and what the requirements for good facilitation and a good facilitator are. It outlines interactive methods fostering dialogue and resolving conflict. In addition, it shows how to successfully set up and manage workshops.
4	Communication	**Chapter 4** deals with the various aspects related to both internal and external communication. While undertaking a dialogue process it is important to understand and address the expectations of stakeholders. The chapter sets out the requirements for the results produced at the end of such processes, i.e. the recommendations. Lastly, strategies and mechanisms of how to communicate these results are presented.
5	Monitoring & Evaluation	**Chapter 5** details how to set up and implement a monitoring and evaluation programme for a project. It explains and distinguishes the two terms and provides examples of indicators that can be used to measure progress and of criteria to evaluate both the process and its outcomes. The usefulness of feedback within this context is describes and a sample feedback questionnaire is attached.
6	Ensuring Impact	**Chapter 6** concludes with details on how to help ensure that the outcomes of the national dam dialogue process and its attendant recommendations are implemented in national policy and have an impact upon the policy-making process. In addition it gives details on how the dam dialogue and its bodies can be re-activated if there is a need.

1 Starting a Dialogue Process

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1.1 Key Roles: Initiator and Promoter

As was highlighted in section A, a crucial challenge for national dam dialogue processes is to create an impact on decision-making regarding dams and dam-related issue. Initiation and promotion of the dialogue process play a key role from the very outset of the process so as to ensure that results are relevant for decision-makers and that the dialogue process is accepted.

The initiator of a national dialogue should, therefore, ideally be a person or institution that has the power to ensure political support for the dialogue. The initiator foresees the benefit of the dialogue and motivates other important institutions and actors to participate in the process.

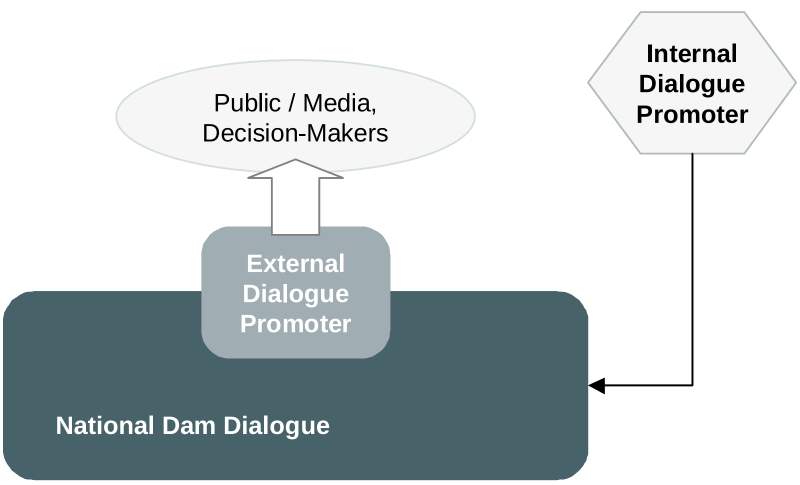
After the launch of the dialogue process the initiator needs to find a well-known, charismatic individual who will promote the whole dialogue process. This promoter or “face” of the dialogue is a neutral and widely respected person with an inviting attitude and who represents the dam dialogue process to the general public. A promoter is one element of the dialogue, but an important one as they help keep the process alive, ensure a common way forward and push the dialogue. In order to ensure impact and acceptance of the dialogue process and its outcomes it is very important to involve influential promoters who will support the dialogue. Their importance for the dialogue process rests in their reputation, authority, knowledge or impact on politics (see also: Part A, Chapter 2).

1.2 Internal and External Promotion

Two different promoting functions are needed for national dam dialogue processes: an internal and an external promoter. The **external** promoter is the **driver, driving the process forward**, while the **internal** promoter **ensures that the car keeps running**. It is essential that both be neutral as regards the issues of the dialogue process and that they each safeguard the idea of a transparent and fair dialogue process.

The following diagram illustrates these different roles.

Diagram 3: Internal and External Promotion of the Dialogue Process



Since the two promoters are of central importance for the dialogue process, their role and function is outlined below. Generally speaking the term promoter is understood to be an external promoter and they represent the driver of the process. Nonetheless the internal promoter should not be forgotten – they are, after all, the silent and well-oiled machinery which enables the process to function – the car so to speak.

1. **External promoter:** The external promoter is ideally identified and mandated by the initiator of the process and is chairing the steering committee and/or the forum (see also: Part A, Chapter 2). The person who takes on this role is able to accelerate the process by providing resources and dealing with opponents of the dam dialogue process. Furthermore they grant the process credibility, political acceptance and legitimation.

   An elder statesman would be a perfect external promoter of the whole process as any threat of retreat by national government would make the issue political as a result, and thus the external promoter also acts as a deterrent.

   External promoters also "open doors" – they have and gain access to donors, decision-makers, networks, financial and personal resources, etc. Experience shows that people's willingness to co-operate increases when an authoritative figure supports and promotes a dialogue process.

   It is important to have a representative who is an opinion leader and a multiplier as this enables the process to gain media attention. If the role of an external promoter is held by an expert for dam related issues then their role in the dialogue process might be extended to consultation or the execution of tasks which take advantage of their background. However it is important to keep in mind, that the most important function of the external promoter is the safeguarding of a fair and consensus oriented dialogue process.

2. **Internal promoter:** Although the real driver of the dialogue is the external promoter, a vehicle is needed for managing the dialogue process and ensuring that it keeps moving forward.

   Usually a Secretariat is entrusted by the dialogue-initiator with the management of the dialogue process. This role is strictly limited to administrative and organisational tasks as it is of the utmost importance that the Secretariat remain neutral.

   Therefore the secretariat functions as an "internal promoter" of the dialogue process and is responsible for the smooth and productive flow of the dialogue process.

The two functions have to be clearly distinguished from each other, as a dialogue may fail if these two are combined in one single institution or person. Furthermore the functions require completely different skills.

2 Project Management for a National Dam Dialogue Process

Project management refers to the structured and methodical approach towards planning and steering a project process from the beginning to the end. A project manager will try to organise, manage and allocate resources (financial, human, materials etc.) within a defined scope taking into account requirements to the quality, time and costs involved. The ultimate aim of project management is to ensure that the product or service you are about the create delivers an added value or brings about beneficial change.

This chapter leads you through the different phases involved in project management from the writing of the proposal, to the planning and resource management, implementation and facilitation of the project, documentation, monitoring and evaluation as well as the internal and external communication of the project. It is specifically relevant to the organisation drafting and submitting the proposal as this is where most of the elements (e.g. resources, time schedule, budget etc.) have to be well thought through.

Any project must assign one *project manager* who is responsible for overseeing the progress and efficiency of the project and who is the point of contact in case of difficulties. During the course of the dialogue process, the *Secretariat* is the project manager and takes over the role of organising and managing *activities* related to the dialogue process and has an eye on the allocation of resources and the communication with the stakeholders involved. Other key persons, like the external promoter and the initiator will have to be kept up to date as regards the current and planned activities as well as the overall progress of the project.

2.1 Proposal for Acquiring Support

For most of the projects envisaged by organisations or individuals, it is rarely the case that they can be implemented without additional support. This support can be of both financial and managerial or even political nature. Especially for large projects that aim to have an impact on public decision-making processes – as is, for instance, the case for multi-stakeholder dam dialogues – it is essential that they can rely on political support.

For both financial and managerial assistance most organisations apply for partial or full support by other national or international bodies. In most cases, these bodies offer financial support. Yet, sometimes, they also offer their help in drawing up proposals and assessing and developing the applicant's own capacities.

The prerequisite for obtaining support is the drafting of a watertight, well thought-out proposal – either in response to an official call for proposals or tenders or on its own initiative. A proposal is a request for financial assistance to implement a project.

A project proposal describes in detail how a series of activities and measures aim to solve a specific problem. It explains why a project is needed and why the particular organisation making the proposal is suited to implement it. It outlines the activities planned within a certain timeframe, explains the methodology behind it as well as the objectives to be achieved and states the resources needed (human, financial, time, material etc.). On the one hand, this proposal will prove to the grant-giving body that the applicant's project is realistic and relevant. On the other hand, the proposal will help the applicant to plan and structure the process in advance.

Nevertheless, large-scale, long-term and complex processes like dam dialogues, which involve a multitude of actors, are bound to be affected by unforeseen developments. They, therefore, require a built-in flexibility in order to react quickly to such situations and the readiness to constantly adapt of the elements set out in the proposal.

Therefore, already in the proposal, the applicant has to foresee several points in time that are dedicated to a thorough review of the project's progress and at which objectives are compared to the actual situation in order to fine-tune the process accordingly. Any major changes to the planned process, however, have to be immediately and openly communicated to the funding organisation, which is key to ensuring their commitment and further support.

The following sections set out in detail the major elements of such a proposal and likely criteria used by the funding organisation to assess the quality of the proposal.

2.1.1 Goals, Objectives and Non-Objectives, Activities and Milestones

In a proposal it should be made clear by the applicant that they have identified and understood a core problem and that this will be tackled in an efficient, realistic and targeted way with the measures detailed in the proposal.

For this purpose it is necessary to demonstrate what the project intends to achieve (objectives), how (activities) and what the major steps towards undertaking these activities, and thereby meeting the objectives, are (milestones). The following sections explains these different elements of a proposal and how they are related.

<u>Goals</u>

A proposal should state both a goal and objectives. A goal is a bold statement of what the project intends to achieve. The goal can be considered a mini-abstract of the project in its entirety. It sets the framework for what is being proposed and can usually be broken down into various objectives. Contrary to objectives, a goal is usually not easily measurable.

<u>Objectives and non-objectives</u>

Objectives are operational, i.e. they specifically explain what is to be achieved in the course of the project and build the basis of the activities proposed. They therefore have to be measurable. Usually a mix of objectives is pursued rather than just one.

The project's objectives should be:

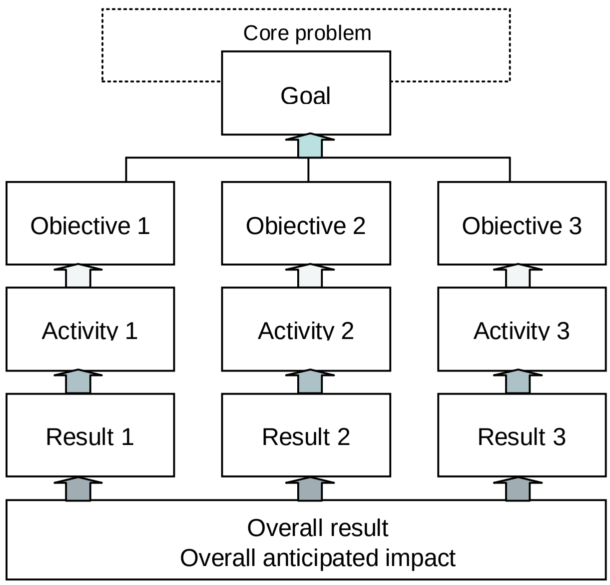
a. Arranged hierarchically, i.e. from the most to the least important, from specific to broad.
b. Stated quantitatively, i.e. they should be measurable and as specific as possible (e.g. "reach x people within y years", "improve y by x%"…).
c. Realistic, i.e. they should arise from a thorough analysis of the organisations' and its partners' strengths and weaknesses as well as perceived opportunities and threats.
d. Consistent, i.e. they should not be contradictory but complementary, they should overlap with the overall goal and the objectives of the funding organisation.

In a nutshell, objectives should be SMART, i.e. specific, measurable, achievable, relevant and time-bound (see also chapter 4.2 Guidelines for formulating recommendations).

While this does not necessarily need to be stated in the proposal, it might help when writing a proposal to also define what is <u>not</u> to be achieved (i.e. the "non-objectives"). This includes things that are impossible to achieve, things clearly undesirable and those clearly beyond the scope of the project.

The goal will present which problem the project seeks to address and, broadly, how. The goal is operationalised by defining objectives. Each objective will be achieved through (a series of) activities, each of which will produce a result. It is important to ensure that these individual results (e.g. a background study, a successfully conducted capacity-building workshop) not have a stand-alone value only but also contribute to a larger result (e.g. policy recommendations) and work towards achieving an impact.

Diagram 4: Goals, Objectives, Activities and Results



Activities and milestones

For each of these objectives, a certain series of activities will need to be defined. It is important that it is possible to trace back each activity to a specific objective and vice-versa.

Unless stated differently, funding organisations are keenly interested in what activities are planned, how they contribute to fulfilling the objectives and what resources are needed to implement them. They are usually not interested in a detailed breakdown of activities into sub-activities and tasks (e.g. all the steps needed before holding a workshop etc.).

A proposal needs to include a description of activities both in the project description section (purpose, input, output, etc.) and in the section on the project budget (resources required). For long-term projects and in particular if the application for funding is for a specific period only it is advisable to divide the process into different phases and to allocate activities to each of these phases. For multi-stakeholder dialogue processes, for instance, the process could be sub-divided into the following phases: preparation, identification, implementation, dissemination, follow-up and evaluation.

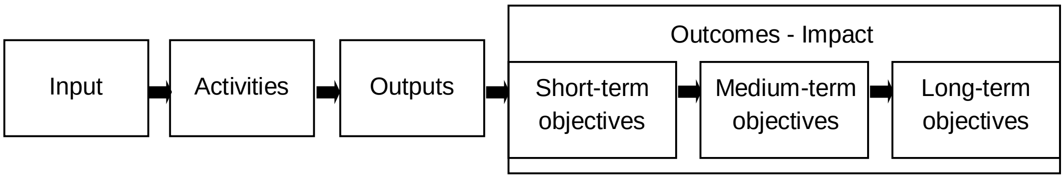
However, in order to determine exactly how the activities are related to and build upon each other and what resources are required to perform them a detailed activity plan will be needed. This activity plan is usually not included in the project proposal. Information on drawing up an activity plan can be found in the material box below.

Material Box 1: How to prepare an Activity Plan

Step	Activity	Considerations
1	List all project activities	Develop a single list of all activities planned
2	Break activities into manageable tasks and sub-activities	Break activities first into sub-activities and then into tasks. Each task is assigned to an individual who assumes it as a short-term goal. Stop breaking the activities down any further as soon as you have sufficient detail to estimate the resources required.
3	Clarify sequence and dependence	Relate activates to each other in order to determine their sequence and dependence.
4	Draw up a timeline for each task	Each task should be given a start-date, a duration and a completion date. The schedule should then be followed as closely as possible.
5	Summarise the scheduling of main activities	Having specified the timing of the individual tasks, the next step is to plan (summarise) the timing of the entire, main activity.
6	Use milestones	Milestones are key events that provide a measure of project progress and targets for the project team to aim for. For example, when working towards institutionalising multi-stakeholder processes as a tool used in decision-making, one milestone could be the actual conduction of the first multi-stakeholder forum.
7	Define expertise	The level and type of expertise needed should be decided for each task separately.
8	Allocate tasks among the team	Distribute responsibilities in consultation with the team members.

TIPS: Drawing up an Activity Plan

Make sure there is a clear picture of what kind of input is needed to perform an activity, what its output is and how it contributes to the project's objectives in the short-, medium- and long-term. In a next step, think about whether and how the outputs of one activity feed into the next activity. The following illustration is known as a "logic model" and can help formulate and structure ideas. This model is an aide mémoire and should not be included in the proposal.



The input is what is invested (time, resources, people). The activity is what is done (a workshop, training etc.). The output is what is achieved (affected people, satisfaction etc.). Finally, the outcomes/impact are the short-/mid-/long-term results or changes (e.g. a change in behaviour or conditions). The following is a simplified and exaggerated example – a planned activity might be an information workshop for stakeholders on dam dialogues.

The input is a list of issues and information material that has been previously identified as relevant to participants and a certain method of how to facilitate the discussion during the workshop. The output is the target group reached (stakeholders), maybe a list of recommendations for next steps and the fact that they are satisfied with what they have learned. The short-term result is that they have learned something, in the mid-term they might discuss what they have learned in different environments (e.g. parliament), in the long-run it might lead to a better political framework with a more transparent and participatory decision-making process.

Based upon this, different possibilities of illustrating / visualising the activity plan are available. It is advisable to begin by stating the result intended to be achieved by an activity, naming the activity and breaking it down into sub-activities or event tasks, which can then be assigned to individual team members. The level of detail should be determined by what proves useful.

Activity		**Jan**	**Feb**	**Mar**	**Apr**	**May**	**…**	**Oct**	**Responsible**
Result 1	Awareness of project x raised among dam-affected population								
Activity 1.1.	Information workshop								Staff 1 (lead)
Sub-activity 1.1.1.	Design the workshop								Staff 2
Sub-activity 1.1.2.	Hold the workshop								Facilitator 1-3
Activity 1.2.	Distribution of leaflets								Staff 3 (lead)
Sub-activity 1.2.1.	Draft the text								
Sub-activity 1.2.2.	Print leaflets								
Sub-activity 1.2.3.	Distribute leaflets								
…									
Activity n	First multi-stakeholder forum								

The example above is divided into months though it could just as easily be broken down into days. The advantages of such a level of detail include being able to highlight the exact start dates and deadlines. The illustration above shows that activities 1.1. and 1.2. can be pursued independently of each other. However, in order to be able to perform sub-activity 1.1.2. (hold the workshop), the sub-activity 1.1.1. of designing the workshop needs to be concluded. Activity n, the first multi-stakeholder forum, is marked as a milestone.

The further and more detailed activities are broken down, the clearer the picture of costs and resources required becomes. This forms the basis for the allocation of the resources needed for the activities. This will, in turn, make it possible for a budget to be drawn up and set (see the section on drawing up a budget).

In addition, a resource plan can be drawn up on the strength of this detailed break-down of activities as it helps make clear what is needed for the completion of each step. For example, so as to distribute leaflets, a laptop, printer, photocopier, staff and a number of other items will be needed (see chapter 2.1.4 Time and Resource Planning)

2.1.2 Budget

The budget is key to the planning of a project. A clear, precise and realistic budget will show the funding organisation that the activities and their related costs (staff, subsistence, travel, equipment etc.) have been well considered by the applicant. If responding to a call for proposals or tenders, the organisation issuing the call is likely to have detailed requirements to the budget section. If there are no such specifications, the major elements set out in the blueprint for budgets should be included as the very minimum.

A budget is an itemised statement of what an organisation expects as income and/or expenditure over a certain period of time. Income refers to all sources of financial support (grants, in-kind contributions etc.). Expenditures refer to the expected costs of the undertaking. Naturally expected income should match expenditure. Expenditures (or costs) should be broken down into logical budget categories or “budget lines”, such as salaries and allowances, equipment, travel, per diem, rent, telephone etc. Costs are split into direct costs, i.e. those that directly relate to a certain project activity (e.g. the organisation of an information workshop), and operational or indirect costs, i.e. costs that relate to the internal activities of an organisation and can be considered fixed costs in the short run (e.g. staff salaries, rent, but also depreciation of computer equipment over the duration of the project etc.).

The elements needed to calculate costs are: units (e.g. 2 facilitators, 3 laptops), quantity per period (e.g. 3 laptops per 6 month, 2 hours per week) and the costs per unit ($30 per hour, $1,000 per laptop).

In order to better estimate the costs related to each activity, it is advisable to break down each activity into sub-activities and then into tasks which can clearly be assigned to individuals. This makes it possible to establish how many staff will be needed to fulfil the task (or how many staff hours), what equipment they need, how much will be required etc. Only attach the detailed breakdown into sub-activities and tasks in the proposal if required by the funding organisation.

You will find a blueprint budget plan and a blueprint proposal in Part C (Material Box 9 and 10)

2.1.3 Process Concept

This section broadly outlines what to think about when designing a concept. It starts by defining what a process and a concept are and then illustrates a process concept based on the example of a multi-stakeholder dialogue process. The section wraps up the different elements of a dialogue concept, some of which are outlined in-depth later on.

As was mentioned in the section outlining the drawing up of a proposal, the project proposal describes a series of activities and measures aimed at solving a specific problem. It is obvious that each of these activities and measures are related to, build upon or influence one another and that they follow a certain order and produce outcomes. The sequence of these activities and measures that lead to certain changes is known as a process.

At the outset, when developing initial ideas, it is necessary to have a general and abstract idea about how the different elements of the process are connected, what activities and measures should occur and at what time. The term for this is concept. Illustrating and putting a concept down on paper will help construct and order ideas.

<u>Considerations when setting up a dam dialogue process</u>

In a multi-stakeholder dialogue process, stakeholders from different sectors of society are brought together to discuss issues that affect them in different ways. The construction of a dam, for instance, will involve dam-affected communities, non-governmental organisations, ministries etc. but each of them will look at the issues from a different point of view and will be affected differently by decisions made in the field.

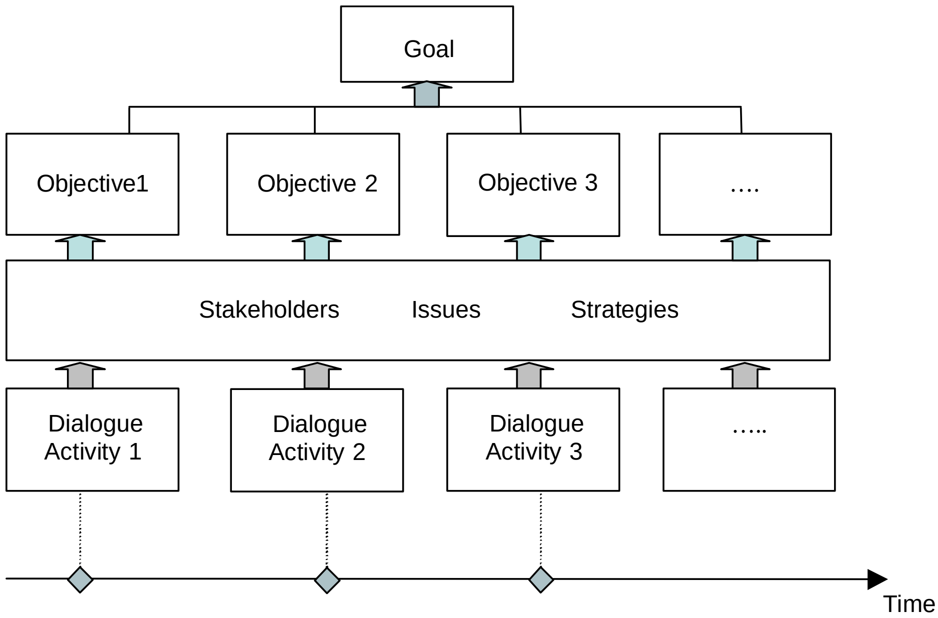
The ultimate aim of such a dialogue should be to achieve better decisions, i.e. decisions that are better informed, that are supported or even owned by stakeholders, are more sustainable and are implementable.

Such a dialogue does not intend to replace government or take over its decision-making powers; instead it tries to give stakeholders a role in contributing to better decisions. It is important that the expectations of stakeholders tally with what is realistic and possible (see chapter 4.1 Management of Expectations).

First of all it must be clear what the overall goal and the objectives are, i.e. what *is* to be accomplished and what is *possible* to accomplish. The next step is to determine who (stakeholders) discusses what (issues) at which point in the process (the strategy).

Setting up a concept for a dialogue process is therefore similar to the procedures of setting up the proposal. Diagram 5 (see below), detailing the dialogue concept therefore resembles Diagram 4: Goals, Objectives, Activities and Results in chapter 2.1.1.

Diagram 5: Process Concept



In a dam dialogue process, for instance, the overall goal would be to make decisions that take into account the views of the different stakeholders, involve them in the decision-making process and address issues that are of their concern. It will not be possible to discuss all issues with all stakeholders during one dialogue activity. Dialogue activities could, therefore, be subdivided into those that address different groups of stakeholders, first separately, then together. The first activity should select the main issues for discussion, the next discuss them etc.

The different steps of a dialogue process

Diagram 6: Steps of a Dialogue Process (below) broadly outlines the different steps of a dialogue process. Where applicable a reference to related sections in this handbook is given.

Each step might require several activities before its satisfactory conclusion. For instance, in order to build consensus, stakeholders might have to meet several times until they come up with a solution that pleases all of them.

Diagram 6: Steps of a Dialogue Process

Step 1: Identify stakeholders and discuss their involvement	Identify stakeholders and discuss with them how they can be, should be and will be involved in the process. Collect information about the different aspects of peoples' lives that might be affected by a decision (issues) (see chapter 2.2.4. Methodology for the Identification of Stakeholders).
Step 2: Educate stakeholders and raise awareness	Involve stakeholders from the beginning and throughout the project cycle by providing them with the information and knowledge needed to effectively participate in the process. This includes information transfers, education and capacity-building measures.
Step 3: Gather and integrate diverse opinions and contributions	Collect the different concerns, suggestions, expectations and needs from all stakeholders and set up mechanisms to integrate and evaluate them. This will be an ongoing process with "semi-permanent" structures, enabling various consultations of stakeholder representatives. A possible structure would be an advisory board or oversight panels, which are characterised by their privileged access to information and their good collaboration with – but not replacement of – existing decision-making structures.
Step 4: Create options, converge opinions, reach a decision	Over time, opinions and perspective should start converging. The number of stakeholders actively involved is likely to decrease until a decision is reached. The nature of the decision (consensus or formal decision) depends on the nature of the process and the willingness of more powerful stakeholders to share their decision-making authority (see chapter 3 Facilitation).
Step 5: Build consensus for the long-term	The focus of the dam dialogue process can shift towards consensus building once a semi-permanent structure or group is established, thus enabling its various members representing all stakeholder groups to work together. Ideally, the members are no longer advisers but a part of the decision-making process and the decision they reach satisfies all participants and not just some or most of them.

It is unlikely that every single stakeholder will be involved in each of these steps. Working towards consensus requires the commitment, will and skills of the participants as well as time, effort and extensive funding.

TIPS: Principles to keep in Mind when drawing up a Dialogue Concept
When setting up a concept for a multi-stakeholder dialogue, the following principles should be borne in mind: - People must be allowed and able to speak for themselves, i.e. they articulate for themselves in their own way what their interests are. - The dialogue process must be facilitated, i.e. it is necessary to proactively reach out to those who might be affected by decisions and to make sure that they are involved in ways that are meaningful to them. - The dialogue process addresses the needs of all participants, i.e. all important issues of all individuals or groups are addressed even if or despite the fact that these are not equally important to all of the parties. - Participants are involved in defining and designing how they will participate. - Participants are provided with the information they need to participate in a meaningful way, i.e. they have timely and full access to information about proposals, problems, impacts and alternatives etc. - Participants are informed about how their input will or did influence decisions as a result of their participation.

2.1.4 Time and Resource Planning

Planning the time and resources necessary for each stage of the dialogue process is essential for ensuring the successful, timely and financial implementation and completion of the process.

Below are a number of materials boxes with exemplary plans, information and illustrations to aid time and resource planning for concrete projects.

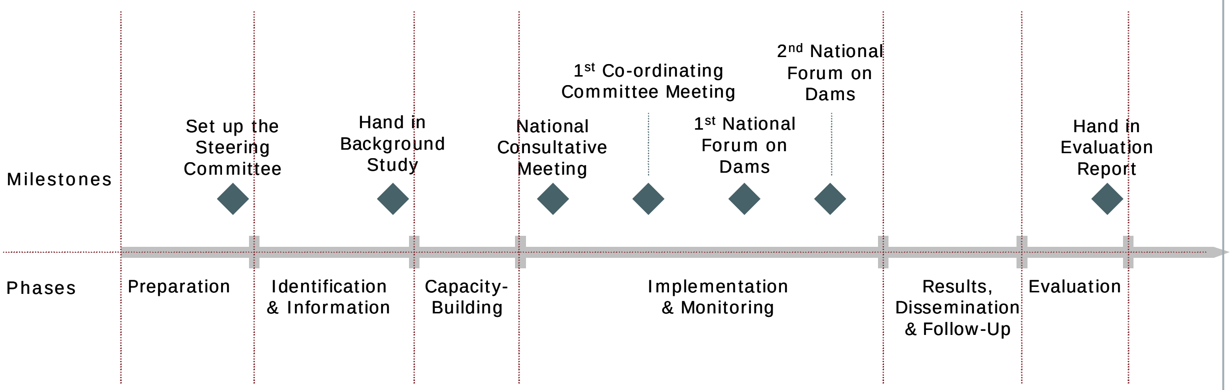
The diagram in Material Box 2 describes in detail a model of a dialogue process. The horizontal axis describes the six phases of the process. The vertical axis shows the order of activities to be carried out in each phase. Milestones indicate during which phase major activities are to be completed and principle results can be expected.

Material Box 2: Detailed Description of the Project Phases

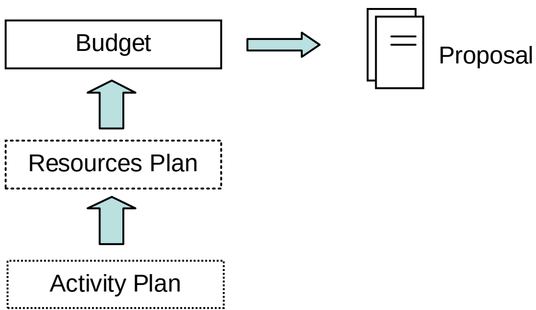
Preparation	Identification & Information of Stakeholders	Capacity-Building	Implementation & Monitoring	Results Dissemination & Follow-up	Evaluation
Set up team within initiator-organisation	Set up Secretariat	Capacity building workshops for different stakeholders (training on public speaking, lobbying, consensus-building etc.)	***Milestones:*** National consultative meeting with all stakeholders. Adoption of background study. Election of Co-ordinating Committee Drafting of Code of Conduct (CoC)	Dissemination of results through various communication channels	Internal evaluation of the process
Project proposal: draft outline and testing	Launch workshop, identification of stakeholders	Capacity-building and awareness-raising among media	Monitoring Report ***Milestone***: 1^{st} meeting of Co-ordinating Committee Adopt CoC	Follow-up events explaining the results	External evaluation of the process
Appraisal: (internal/external) project assessment and adjustment	Information workshops		Commissioning of issue papers/ scoping report setting out strategic priorities		***Milestone***: Hand-in the evaluation report
Funding: identification of funding sources and application (final project proposal)	Visits to dam-affected communities		***Milestones***: 1^{st} National Forum on Dams. Adoption of scoping report / issue papers and strategic priorities		
Set-up of a code of conduct (see also chapter 2.2.3.)	Lobbying and PR activities		Monitoring Report		
Setting-up of the Steering Committee			Formulation of recommendations		
Commissioning of the Background Study	***Milestone***: Hand-in of Background Study		***Milestones***: 2^{nd} National Forum on Dams Adoption of recommendations		
	Monitoring Report		Monitoring report		
			On-going lobbying and advocacy activities (e.g. follow-up of implementation of recommendations		

Material Box 3: Timeline with Milestones and a Resource Plan

The comprehensive table above should be illustrated in a timeline. Depending on the complexity of the process, only the major phases and activities should be indicated for reasons of readability.



A resource plan identifies the resource requirements (staff, equipment, etc.) per phase, activity, sub-activity etc. The level of detail required depends on budget requirements and the complexity of the process. A resource plan per activity is based on the activity report (see the section on drawing up a proposal). The resource plan lays out the detailed calculation of the costs described in the budget and therefore serves as a qualification of the budget. They should only be includedin the proposal if so required by the funding organisation.



Material Box 4: Exemplary Resource Plan

Below is an exemplary resource plan, which identifies the resource requirements (staff, equipment, etc.) per phase based on the table above.

Phases	Main Activities	Quantity per period (month, quarter…)				Cost per unit ($)	Fun-ding Source	Cost per period ($)				Total costs
		1	2	3	4			1	2	3	4	
Preparation												
	Set-up of team											
	Project proposal											
	Appraisal											
	Funding											
	Steering Committee											
Resource Requirements												
	Staff (in h/month) Project Manager Secretary Intern Other	10 5 20	10 5 20	10 5 20	10 5 20	50 20 10	GTZ GTZ GTZ	500 100 200	500 100 200	500 100 200	500 100 200	$3 200
	Equipment (in quantity/month) Laptop Photocopier	2 1				1 000 2 000	GTZ GTZ	2 000 2 000				$4 000
…	…	…										

2.1.5 Criteria for Quality Assessment

When funding organisations are considering whether to devote time and resources to a project, the only means they have at hand to assess whether the project is worth the effort will be the proposal handed in by the applicant. They will, therefore, have an interest in carefully analysing and assessing it, usually by applying a pre-defined set of criteria, which is specific to their organisation and its scope of activities.

When assessing the quality of the proposal, a funding organisation will look not only at the proposal's content and format but also whether the applicant organisation has the capacity to do what it proposes. In addition, funding organisations often have as one of their own main priorities the promotion of sustainable development. They are therefore likely to support projects that are sustainable and/or promote and support sustainable development.

Table 5: Organisational Capacities

Organisational Capacities
The capacity of an organisation refers to its ability to perform (e.g. an activity) or to produce (e.g. an output out outcome). It can also refers to the organisation's power or "mental" ability to learn or retain knowledge and, thereby, its potential to grow or develop. There are different areas of organisational capacity: - An organisation's structure and governance: what are the roles and responsibilities organisation, decision-making and strategic planning processes, relationships with constituents, etc.? - Financial management, accountability: does the organisation use a special system, what are its policies and procedures, etc.? - Management and development of human resources: who is part of staff, what are their skills and training possibilities, career paths, what about recruitment and retention of staff, etc.? - Leadership, policy development: is there apparent leadership, what about team development; what are the organisation's advocacy and lobbying strategies, etc.? - Service delivery and evaluation: is the organisation capable of providing relevant and efficient services, are results from evaluation used to improve the policy development processes, etc.? - Technology: does the organisation apply new technologies in administration, advocacy, for learning strategies, projects; do they have the infrastructure and maintenance capacities needed, etc.? - Change management: does the organisation understand and foster structures and relationships, cross-sector partnerships, potential collaborations and networking?

<u>Content of the proposal</u>

In order to check whether the basic elements are included in a proposal, a funding organisation is likely to start by verifying that the following key questions have been successfully answered by the proposal:

What? - the objective

Why? - the background

How? - the activities and outputs

When? - the duration

How much? - the budget required.

In a next step, a funding organisation is likely to analyse each section of the proposal in-depth applying a certain set of criteria. The following chart outlines a potential set of criteria used on each section of the blueprint proposal as set out in the section on drawing up a proposal.

Table 6: Set of Potential Criteria for a Proposal

Elements	Criteria
1-page summary of the project	Short, clear, precise; relates to priorities of funding organisation, describes expected benefits. Issues: complete, relevant, transparent, open/changeable.
Background of the project	Clear grasp of a prioritised and real problem, and its context.
Goal of the project	Addresses the problem, helps solve it.
Objectives	Clear, precise, transparent, consistent, measurable, traceable, hierarchical, logical sequence, achievable.
Scope and reach	Target group: well defined, limited, complete, relevant, able to participate.
Project applicant and other project partners	Applicant: has (technical) capacity, experience, network, resources. Others: mentioned, relevant, helpful, have capacity, sustainable, at all levels, includes networks, multipliers, decision-makers.
Activities / Tasks	Helpful, relevant, feasible, related, goal-oriented. Options: considered, best option justified. Capacity-training: included, both for stakeholders and staff.
Expected results	Relevant (e.g. for policy-makers), inclusive (issues), concrete, useful, likely to have impact, implementable, documented, communicated.
Anticipated impact	Both negative and positive impact taken into account.
Monitoring and evaluation	Monitoring: foreseen, milestones defined. Evaluation criteria: defined, relevant, evaluator identified.
Methodology	Dialogue concept: feasible, includes relevant and complete stakeholders. Dialogue process: interactive, participative, functional, facilitated, involves beneficiaries in decision-making. Facilitation: conflict resolution mechanisms, mechanisms for interaction.
Organisational structure	Robust, complete, clearly assigned roles and responsibilities, contains code of conduct.
Resources	Available, if not: adequate external support identified or mentioned in budget. Other donors mentioned.
Budget	Realistic for duration of project, costs and income over time are appropriate for the project.
Timeline	Realistic, complete.
Information dissemination plan	Addressed, addresses the relevant audience, uses relevant communication channels, timely.
Risk assessment	Addressed, assessed and will be managed.
Sources of information	Mentioned.
Appendices	Relevant.

Format of the proposal

A funding organisation will also look at the structure, layout and formatting of a proposal. Questions the funding organisation might ask include: does the proposal contain the main sections? Have the titles of the chapters been well-chosen? Are they in the right order? Is the applicant using the same terminology throughout the proposal? Are the criteria or vocabulary used well defined? Is the applicant using graphs and tables to better illustrate complex relationships and activities?

Table 7: Criteria for the Format of a Proposal

Elements	Criteria
Structure	Clear, precise, consistent, follows a logical sequence.
Terminology	Correct use, defined if necessary, no unnecessary jargon used.
Graphical illustrations	Relevant, supportive, used to simplify complex relationships

Capacities of applicant and others involved

The funding organisation will look not only at the applicant's capacity to implement the project but also at whether the stakeholders' capacities have been taken into consideration. For example, it is useless to have different parties work out a consensus if they have no experience in drafting recommendations. It will also be difficult to work out a lobbying strategy for stakeholders to use if they have no experience in public speaking.

If the applicant organisations plan to draw on the knowledge and skills of experts, they will have to prove that these experts do really possess the knowledge and skills required. The same is true for intended partners or subcontractors.

Table 8: Capacity Requirements

Capacity	Questions to ask
Applicant's capacity	Does the applicant have the capacity (managerial, technical, financial, manpower etc.) necessary to implement the project proposed? Does the applicant have the competences and experience needed to do so?
Stakeholders' capacity	Do the stakeholders involved have the capacity needed to effectively participate in the project (e.g. speaking skills, knowledge of the project etc.)

Partners' capacity	Do the partners have the capacity (knowledge, experience, manpower) to efficiently support the project proposed?
Experts	Are experts included in the project? Do they have the knowledge, experience etc. needed to effectively support the project? Are they independent? Critical?
Networks	Are networks involved in the project? Are networking activities foreseen? Will a network be set up?

<u>Applicant's approach towards sustainable development</u>

Many international donors nowadays look specifically at whether a project promotes or supports sustainable development. Sustainable development is about meeting the needs of today's societies without diminishing the capacity of future generations to meet theirs. It refers to development that is economically feasible, socially just and ecologically stable.

When assessing whether sustainable development has been taken into consideration, the funding organisation will look at whether the approach is:

Table 9: Criteria for Sustainability

Criteria	Questions to ask
Integrative	- Does the project work towards objectives that are economically feasible, socially just and environmentally stable? - Does the project involve actors at local, regional, national and cross-boundary level? - Is co-operation among political actors, civil society and private actors' work fostered? - Are there mechanisms that enable actors from political institutions and agencies, NGOs, international organisations, associations, companies and the local population to network?
Process-oriented	- Are the activities foreseen in the project managed professionally and impact-oriented? - Does the project increase the capacity of people, organisations, companies, state structures etc. to participate constructively in debates, policy- or decision-making process? - Does the project pay heed to a balance of interests ensuring that all interests, including minority interests, are taken into account?
Value-oriented	- Does the project promote the preservation of democracy, the rule of law and human rights? - Is good governance, including citizen participation, transparency and accountability, promoted? - Are the principles of an ecological and social market economy promoted?

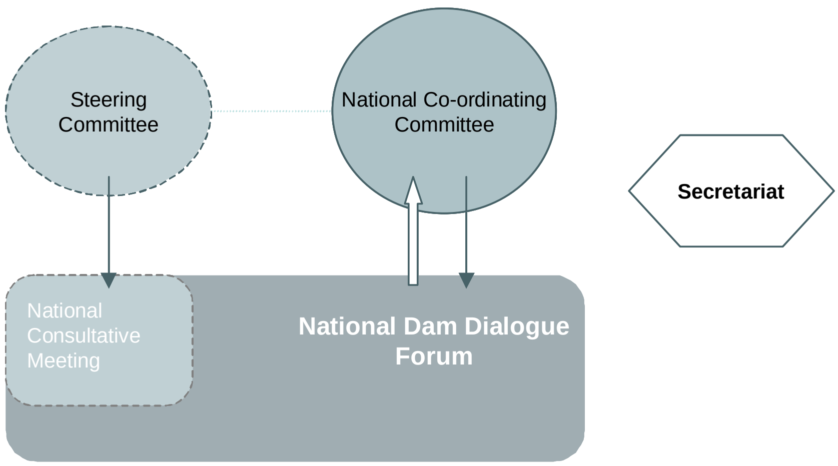
2.2 Project Steering

This chapter details the requirements necessary to successfully steer a project. On the one hand, successful project steering demands certain capacities from those who are responsible for it. On the other hand, successful project steering itself is characterised by the presence of certain elements. The following sections therefore concentrate on the requirements to the Secretariat, the body usually entrusted with the daily business that goes along with the planning and implementation of project activities. In addition, the prerequisite of a project that is well steered are addressed. These include the presence of a clear organisational structure, people who know what their roles and responsibilities are and who are committed to both the project and its results.

2.2.1 Structure and Roles

This section will look into the connection between the different organisational bodies necessary for a national dam dialogue process, as well as the composition of each. Details on the tasks and outputs of each body can be found in the section on the organisation of the process.

Diagram 7: Structure of a Dialogue Process



The diagram above is the result of a thorough analysis of the national dam dialogues already undertaken and adapted to present an ideal structure for steering a national dialogue on dams. It consists of two key elements:

1. The varying shades of grey represent the chronological establishment of the various organisational bodies and the dashed lines symbolise that the body is disbanded and integrated into another as depicted.
2. The grey arrows represent permanent lines of action or influence; the white one a single, isolated act or relationship.

Table 10: Structures and Responsibilities of Bodies

Steering Committee	After the initiation of the national dam dialogue a Steering Committee should be institutionalised to launch and manage the process. It is a preliminary committee representing the hitherto identified stakeholders and issues, usually the initiator, governmental authorities and some dam-affected communities. The commitment of the Steering Committee members is crucial for the success of the process. Its foremost task is the preparation of the National Consultative Meeting.
National Consultative Meeting	This is a one-off meeting of the relevant stakeholders which elects the National Co-ordinating Committee and adapts issues outlined in the background study. It is the first genuine multi-stakeholder event in the process but only constitutes a pre-step towards the National Forum because its task is to identify further participants who need to be involved in the dialogue process.
National Co-ordinating Committee	In contrast to the Steering Committee which it replaces, the National Co-ordination Committee is a legitimate advisory body for the dam dialogue process. It is elected by the stakeholders themselves. The National Co-ordinating Committee is a reflection of the larger Forum, consisting of the members of the Steering Committee and additional representatives of other identified stakeholders.
National Dam Dialogue Forum	This general assembly gathers all stakeholders of dams and development issues together at regular intervals. It is the highest body within the whole dialogue process and it is here that the final authority for decision-making rests. Usually the national dam dialogue Forums consists of the members of the National Consultative Meeting plus further relevant participants.
Secretariat	In the illustration above the Secretariat seems a little out-of-place and external to the dialogue process and the other bodies. This positioning apart from the other bodies signals the neutrality of the Secretariat. Under no circumstances should the Secretariat be part of a non-governmental or otherwise polarising organisation with a stake or vested interest in the dialogue process. Such an intertwining would degrade or even negate the acceptance of the dialogue process, especially among decision-makers. In addition, the Secretariat must have sufficient capacity for professional, competent and efficient working.

It is important to note that not only the bodies of the dam dialogue process must have sufficient capacities to fulfil their tasks but also the parties involved. Capacity building measures have to be conducted in order to enable stakeholders to take part in the dialogue process. Since such a dialogue process is an alien, perhaps even totally new means of solving problems, it needs to be explained to the stakeholders identified in the context of the first workshop or a similar event. Furthermore information about the World Commission on Dams and the expected outcomes of the dialogue must be disseminated at the very beginning and available throughout the process.

2.2.2 Organisation of the Process

Participative processes become more complex the more stakeholders are involved. So as to ensure a productive, goal-orientated and efficient process, a clearly defined organisational structure is essential. At the start of the dam dialogue process the initiator is still able to conduct several activities such as writing a proposal by themselves. Such activities would not be possible in larger networks with their attendant increase in complexity.

So as to deal with the discordance of interests between the highest degree of representation and efficient working, several organisational layers and levels need to be established. In doing so the key principle to uphold is that form follows function. There is, therefore, a constant need for review and, if necessary, reorganisation of the organisational bodies, their function and the co-operation between the different bodies. The following shows the various organisational levels deemed necessary and between which to differentiate:

Table 11: Organisational Levels within a Dialogue Process

Decision-Making Level	The creation of commitment and a sense of ownership for the outcomes of the dam dialogue is essential for ensuring its success. Political decision-makers and other important stakeholders must, therefore, be represented at this level. It is their engagement in decision-making within the process that will help ensure the implementation of the final results in national policy. Actors on the decision-making level are responsible for the development of strategies and guidelines. The acceptance of the process depends on the composition of actors at this level given that in their composition they represent the make-up of the larger stakeholder group.
Working Level	At this level guidelines developed at the decision-making level will be substantiated and transposed by experts. Actors at this level, including consultants or working groups, are highly involved in translating strategies into concrete activities. In the national dam dialogue process this level has no permanent body because working groups are dissolved after having completed the activities they are charged with.
Co-ordination and Management Level	The Secretariat links the decision-making level with the working level by documenting outputs and disseminating information to all participants. It is also responsible for administrative tasks such as the organisation of meetings and it functions as a back office.
Participation Level	Bodies at this level are open to all stakeholders in dams and development, but also to the media. Their task is to adjust and approve the strategies developed and the process' activities. The national dam dialogue forums transforms affected people into involved parties.

Of course the role of participating stakeholders is not limited to the attendance of the forum – they can also be part of a working group. Members of the Steering Committee may also participate in a working group. The levels are permeable for participants; the neutral Secretariat and its activities are limited to the tasks and the level of co-ordination and management.

The chart below shows the bodies on each level and their expected input and output within a national dam dialogue process. As mentioned previously, consultants as well as working groups are not permanent bodies. Nonetheless they play an important role in the dialogue.

Table 12: Roles and Responsibilities during a Dialogue Process

Body	Expected Input	Expected Output
Decision-Making Level		
External Promoter	Promotes and pushes the dam dialogue process forward	Dialogue is accepted as a means of changing national dam policy.
Steering Committee	Institutionalises the dialogue Identifies stakeholders Develops a road map for the dialogue. Commissions a background study	All relevant stakeholder have been identified and involved. Background study outlines the relevant issues.
National Co-ordinating Committee	Reflection of larger National Dialogue Forum Advisory body for the Forum	Legitimate and legitimised successor of the Steering Committee
Working Level		
Consultant	Background study Inclusion of scientific know-how	Terms of reference for the dialogue Identification of relevant issues
Working groups	Discussion of several issues Preparation of decisions Support in problem-solving	Action Plan for dealing with issues
Co-ordination and Management Level		
Secretariat	Raises funds for the dialogue Supports the day-to-day operations of the Forum	Obtained seed funding Meetings are facilitated Process is documented Equal level of information amongst the stakeholders
Participation Level		
National Consultative Meeting	Election of the National Co-ordinating Committee Platform for information exchange and networking	Greater acceptance of the dialogue All relevant topics are covered within the dialogue process
National Dialogue Forum	Commonly agreed upon recommendations for dams and development	Implementation of the recommendations into national policy

2.2.3 Code of Conduct (CoC)

One important outcome of the evaluation of national dam dialogues already undertaken was the identification of the need for a specific code of conduct (CoC). Such a CoC would help establish a modus operandi, avoid conflicts arising and provide an agreed upon means of conflict resolution in the event of their arising.

The code of conduct clearly defines the purpose as well as the objectives of the dam dialogue forum, but it also facilitates communication between the bodies of the national dam dialogue.

Every member of the Steering Committee must accept these rules in advance, as they provide a common ground for further proceedings. It is recommended to adopt a CoC in the very beginning of the process. A draft CoC could be prepared by the secretariat together with the external promoter.

You will find an exemplary Code of Conduct in Part C (Material Box No 11) which can be used as a template or guide when drawing up such a document. A code of conduct could have this structure which is extendable to fit the requirement in the particular country.

2.2.4 Methodology for the Identification of Stakeholders

This chapter provides information necessary for inviting all relevant actors (stakeholders) to the dam dialogue process. Methods on how to identify stakeholders are outlined below whilst how to deal with stakeholders is dealt with in the section on stakeholder management. Understanding stakeholders to be a “participant” or an “actor” is too limited a definition as the term has a variety of meanings, including “target group” and “partner” to name but a few. Here reference is made to the definition given by the British Department for International Development, which defines a stakeholder as “any individual, community, group or organisation with an interest in the outcome of an activity, either as a result of being affected by it positively or negatively, or by being able to influence the activity in a positive or negative way.”

Deciding who constitutes a legitimate stakeholder and who not is often a difficult task and one taken up by the Steering Committee. Most stakeholders in large dam-related proceedings are self-selected. For instance the organisation initiating the project, direct beneficiaries and governmental officials need to be involved. All others who stress the need for being involved need to be regarded as relevant stakeholders. It should be noted that organisations rejected as stakeholders tend to mobilise opposition against the dialogue process since their interests remain unmet and their sense of fairness is felt to have been violated. Latent conflict potential arising from an inadequate stakeholder identification process can be avoided by following the method described below.

Firstly it is important to develop the issues which the dam dialogue process will deal with and which arise from the goal of the overall process. An analysis of benefits, problems and other related issues will give rise to actors who should be involved. Relevant stakeholders of a national dam dialogue can be clustered according to the chart below:

Table 13: Stakeholder Groups

Category	Organisation
Key Stakeholders can significantly influence the success of an activity.	Financial investor of large dams - Dam developer and operator - Energy sector - Regulatory authorities - Government
Primary Stakeholders are either positively or negatively impacted by the activity.	Dam-affected communities - Political representatives -Traditional authorities - Irrigation sector - Authorities who mitigate effects (responsible for social infrastructure)
Secondary Stakeholders are all others with a stake, interest or intermediary role in the activity.	Private sector - NGOs (especially environmental and civil society organisations) - Donors and international development organisations - Religious institutions - Researchers and experts - Media

This table only provides an overview and is by no means complete – a list of stakeholders is never final, rather it is flexible, thus making it possible to add further parties affected by the proceeding of the process. Re-assessments should be undertaken to ensure that the parties involved are still all the relevant stakeholders.

Identifying and involving the relevant stakeholders is a precondition for the success of a national dam dialogue. Having all important groups on board and involving them in decision-making will lead to higher general acceptance as well as accountability for the outcomes of the dam dialogue.

Some important stakeholders may not take part in the dam dialogue due to insufficient capacity, including insurmountable obstacles or difficulties in understanding the process. It can be noted that in particular indigenous people are either not informed or not aware of the effects of large dam projects for their well being.

Furthermore the meetings of a dam dialogue usually take place in the capital or other big cities, difficult to reach for people with limited means or mobility, including indigenous people or others not used to such forms of participation. The fear of political persecution can also hinder groups or individuals from participating in a dialogue process. Dialogue is a very democratic form of decision-making, not acknowledged by totalitarian regimes. In most cases the government itself co-initiates a national dam dialogue, thus reducing the risk of repercussions.

The identification of stakeholders is not completed when the full range of relevant stakeholders have been identified: in addition to being identified, these stakeholders need to be mapped in terms of their relevance and their influence. Visualising this gives a stakeholder map:

Table 14: Stakeholder Mapping

Stakeholder Mapping	
Aims	Overview of the diversity of stakeholders and their relevance to the topic. Overview of the influence of stakeholders, e.g. pro or contra large dams. Overview of possible areas of conflict as well as conflicting parties.
Methods	Interviews. Experience from conducted workshops. Expertise of members of steering committee.
Example for visualisation	contra **large dams** pro weak **Influence** strong

Stakeholder mapping requires a lot of information and knowledge about the participating actors but helps reduce the complexity of multi-stakeholder dialogue processes. It is a notably difficult task to classify stakeholders in a manner which enables their accurate mapping, in particular because participants tend to have hidden agendas not transparent to others.

For example the Ministry for Energy may well favour the construction of a large dam so as to generate hydro electric power, and the influence of the Ministry will be strong compared to other participants. In contrast an environmental NGO might fight the construction of such large dams and their influence will depend on their capacity for creating social pressure through media support or other such means.

1

2.3 Documentation and Documents

This section deals with the documentation of the dam dialogue process and the documents necessary to enable this. Documentation, especially good documentation, is vital if other are to benefit from the process, have access to it or if the process is to be re-activated at a later date (see the section on ensuring impact). In addition, documentation has a variety of legal implications.

2.3.1 A brief Introduction to Documentation

As the name suggests, the purpose of documentation is to document – to keep hold of – what has been said, done, decided, agreed, processes implemented, outcomes achieved etc. And this is done by means of documents.

Documentation is not done simply for its own, administrative sake – its purpose lies in capturing and conveying information to readers. These readers can be part of the project or process, or not; they might read it now or later in time and so it tends to need to be complete so as to stand the test of time. What is relevant or helps ensure completeness varies from case to case, but important documents include

- Reports
- Minutes from meetings
- Correspondence and
- Contracts

The first question to ask is

“What purpose does this document serve?“

This question can be best answered by identifying for whom the document is intended and what that reader needs to know. A document tends to have two types of reader:

- Internal readers – people party and privy to a project or process. Though they know something – even a lot – about the project or process detailed in the document, they might not have enough, all or the right information or may have different backgrounds. For these readers documents helps prove the group with a common understanding and a uniform basis for their working together.
- External readers – people not involved in the project or the process but who wish to have access to or engage with it by learning more about it. This group of readers also includes those who only read about the project or process at a later point in time – maybe years after completion and for a totally different purpose or in a different country.

These two audiences have very different amounts of information and a document seeks to address the need for more information and understanding felt by its readers. Here relevance is everything!

2.3.2 Guidelines for Interim and Final Reports

The function of a report is to inform the reader. A report can inform the reader about progress or occurrences, about the status quo, past or next steps, or about a variety of other things. Reports can be directed at an internal or an external readership, and can be drawn up with regularity or when necessary. Reports are not only a document by themselves but also a key means of documenting a process or project and charting its development. They are an important means of both internal but especially external communication and are central in guaranteeing the transferability of a project – across time and space.

The reader's "rights"

When writing a report one should not ask

"What do I want to write?", but

"What does the reader need to know?"

By focussing on the reader in every aspect of writing a report – from the choice of content to the selection of writing style – it can be ensured that a report fulfils its purpose, namely to inform the reader.

The reader of a report has five "rights" and a report should respect and fulfil these:

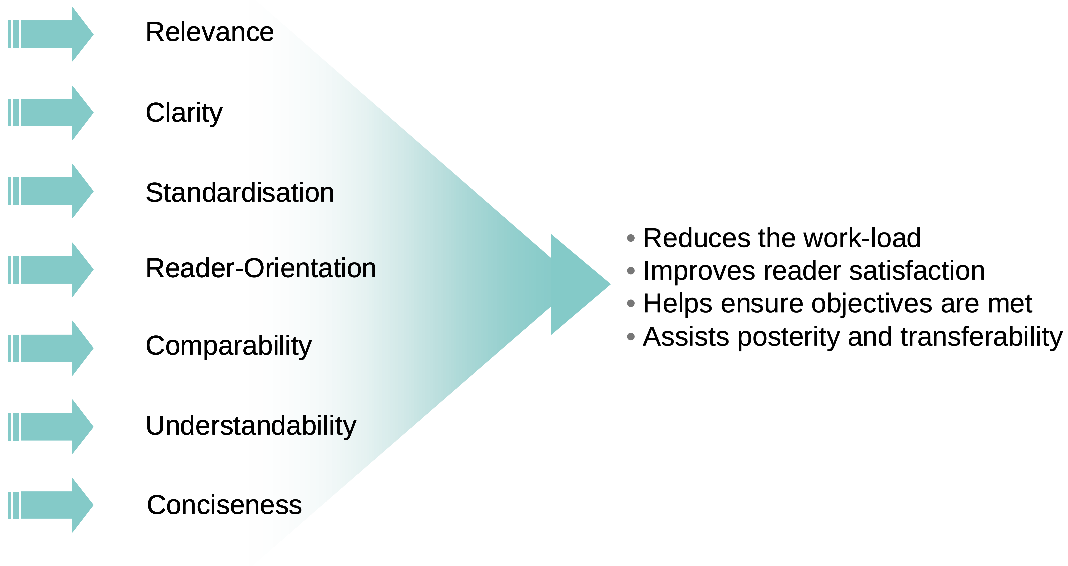
Diagram 8: The Reader's Rights

- The reader receives the most important information at the beginning
- The time necessary for reading the report is appropriate and proportional
- It is instantly clear to the reader why they should read this report
- The recommendations being made are clearly identifiable
- The reader knows what they are to do next

How to fulfil the purpose of a report

The purpose of a report – informing the reader – can be achieved if the seven principle aims listed below are met. These aims apply for all aspects of a report – from choice of content and structure to selection of writing style – and should be followed throughout. In addition to ensuring a report fulfil its purpose, these aims also provide four valuable benefits also depicted below:

Diagram 9: Guidelines for Reports and the Purpose of a Report



Contents

The contents of a report will vary, depending on the readership and the function of a report. What is included and what is not must be determined on the strength of the content's relevance for the reports' purpose and readership. Relevance and reader-orientation really are everything! As a very rough and minimum content requirement, a report should detail a project or process'

- Objectives
- Activities
- Outcomes and
- Impact

Structure

The importance of a report's structure should not be underestimated! Here the reader's rights help give guidance as do the seven aims listed above.

Style and tone

This issue is closely linked to a number of issues, including who the readership is, what the function of the report is and, not least, who is writing the report. Here in particular, however, the seven key aims of a report should be borne in mind and applied when writing a report. The style selected should be appropriate (relevance); it should be clear; it should be uniform (standardised) throughout; it should be reader-friendly; it should aid comparability; it should be understandable and it should be concise.

2.3.3 Guidelines for Minutes / Protocols

Minutes or protocols from meetings help document – capture – what has been said and agreed upon in the course of a meeting or conversation. They are a factual and clear report of the meeting or discussion.

A protocol serves the following purposes:

- It records the outcomes of the conversation
- It makes the following easier
- Returning to matters at a later point in time
- Informing oneself or others about the status quo
- Ensuring success
- It ensures that the participants have correctly understood the decisions and results arrived at

Protocols and minutes vary in length and detail and include the following types:

- **Transcriptions** in which everything said is noted. These are drawn up when every word is important.
- **Progress protocols** are chronological. These are drawn up when not only the outcomes need to be documented but also how they are arrived at.
- **Brief protocols** only detail the outcomes and most important steps.
- A **protocol of outcomes** gives a very brief summary of the outcomes.

A protocol can either contain the names of speakers or they can remain anonymous – the style should be discussed and agreed upon amongst those present at the outset. The latter is most common. In both forms, however, the person responsible for a task or to do should be clearly noted next to that activity.

When writing a protocol, the following are important and should be borne in mind:

TIPS: Writing Protocols
- Sort the important from the unimportant - Do not loose the thread of argument when discussions are raging - Differentiate between facts and opinions - Do not judge or evaluate things – it is to be factual and accurate - Do not transcribe everything – accurately summarise the most important things - If in doubt – ask! This is especially important when it comes to decisions and resolutions

The following should be included in a protocol:

- The participants listed should be those people actually present (those absent should be noted as such)
- Date, time and location of the discussion or meeting
- Who chaired the meeting
- A list of any documents sent to participants in preparation and handed out at the meeting
- The points on the agenda to be and actually discussed
- All results, outcomes and decisions arrive at as well as all additional tasks/to dos
- Open points that still need to be dealt with
- Documents that will be sent with the minutes to the participants after the meeting

What a protocol should look like is fairly flexible, but the following should be adhered to:

TIPS: Laying out a Protocol
- Sentences should be clear, short and complete. They should be in the present tense - It should be structured according to topics (not chronologically) - Decisions and to dos should be listed at the start of the protocol so that they do not get lost in the text - The person responsible and the date by which a task or to do is to be completed by should be noted next to the task/to do.

Every protocol must be agreed upon by all members present at the meeting or participants of the discussion once it has been written. Changes must be agreed upon in the group and noted.

A few additional tips include:

ADDITIONAL TIPS: Protocols
- All results should be kept but also some central discussion threads, key points of view and disagreements should be noted. It is not always possible to come to a consensus or mutual agreement on certain topics. The objective of the dialogue process is not necessarily to establish one unitary point of view, but also to create a common ground of discussion where all positions and controversial arguments are brought together. For this reason, central lines of argument from the discussion should, therefore, be kept just as outcomes are. - At the beginning of each meeting feedback on the minutes of the last meeting should be discussed and resolved upon. Following this, feedback on the assigned tasks should be obtained.

<u>Memos of telephone calls</u>

Memos of telephone calls should be briefly summarised and should help ensure that, as with all protocols, others can easily pick up the thread and the most important contents.

A memo of a telephone call is made when the contents of the conversation are relevant for the project or other parties, or when important issues have been discussed and the agreements reached need to be noted for future reference. Important information to include in the memo are, amongst other things,

- Time and date of the conversation
- Name and number of the caller
- All parties privy to the phone call (relevant if it was a telephone conference for example)
- The topics discussed
- Decisions made
- Action to be taken, by when and by whom

2.3.4 Correspondence and its Management

Correspondence is also an important source of information for documenting a project or process. It is also one of the most handy methods of communicating and disseminating information.

Correspondence, in particular official correspondence directly related to the development and progress of a project or event, should be well documented and kept. Whether official or not, correspondence should be relevant, appropriate (in form, tone, appearance etc.) and timely.

Plenty of information on how to write letters is available via literature and the internet. Here are a few pointers which should help improve letter and e-mail writing

Letters and e-mails

TIPS: Writing Letters and E-Mails
- The lay-out and presentation of a letter itself makes a statement. Letters, especially formal ones, should be clean and neat, should bear accepted lay-outs in mind (sender's address top right-hand corner, recipient's address top left-hand corner, date on the right under the sender's address, bold line for the subject of the letter, sender's name printed below their signature etc.) - The first sentence of a letter is the most difficult – but also the most important. It should awake the reader's interest and should be to the point. - Be clear and concise – even if you want something from the recipient, be honest and clear about what you want, what is expected of them etc. - Ensure you use the appropriate greetings and tone as well as titles. - Though an e-mail is often perceived to be not as formal as a written letter, it is still official correspondence with all its attendant legal implications. - Ensure that there is an appropriate and complete signature to the e-mail so that the recipient can get in touch if necessary and my means other than e-mail. - Inappropriate informality can be offensive and so, even when writing an e-mail, should be avoided. This includes tone, abbreviations, smiley faces, colours etc. - A degree of tact and sensitivity should be applied when sending an e-mail to more than one person. Sending the e-mail to everyone and making the recipient list visible places everyone on the same level – this might or might not be appropriate. Sending an e-mail carbon copy (cc) to someone is often done so as to inform them of the correspondence – is that ok for the recipient too? Sending an e-mail blind carbon copy (bcc) to lots of people avoids the problem of "devaluation" which can arise when sending an e-mail to numerous people with the recipients visible, but can be seen as "sly".

Managing correspondence

The following provides a few pointers for managing correspondence:

- Rules of procedure should determine the form and method of correspondence. These should be agreed upon by all participants. The following aspects should be considered:
  - Invitations must be sent for all meetings to all participants and no later than two weeks beforehand.
  - The invitation should include the agenda, a list of participants and directions
  - It must be possible for the agenda to be modified with requests from participants. This should be possible up until a fixed and communicated deadline, for example a week before the meeting.

- All participants should receive all handouts relevant for/to be discussed during the meeting in advance. This helps ensure all are prepared and equally well informed. Documents not sent with the invitation should be sent at a second, fixed and communicated point in time, for example a week before the meeting. Up until this point in time all participants can send materials or documentations to the central office. The office staff ensure that all relevant, additional documents are sent to all participants.
- The minutes of the last meeting should be sent to all participants, together with a list of participants of that meeting. Two weeks after the meeting is an appropriate time for this. All participants should have the chance to comment on the minutes. Feedback on the minutes should be sent to the central office up until the next meeting. At the beginning of each meeting this feedback should be presented, discussed and the minutes resolved upon.

o Spreading information:
  - The office should, in general, offer to pass information to all participants. Strict rules as to which information is passed on, and to whom, are, none the less, essential. The central office must ensure it maintains its neutrality by not benefiting or disadvantaging particular participants or stakeholders.
  - If information is disseminated via the office, it must be made clear where it comes from.

Filing and Filing Systems

Written correspondence and documents are kept so as to ensure that appointments are kept, so sort out misunderstandings, as a source of information and so as to meet legal requirements. For that reason, when filing documents, the differentiation is made between

- Follow-up, containing documents requiring further attention or with a deadline;
- In-tray, containing documents that might be needed again at a later point in time, and
- Archive, containing documents that only seldom need to be accessed.

Some documents are covered by legal requirements as regards how long they must be kept – financial documents, contracts etc. These must, therefore, be kept with the duration dependant upon local or national law. A filing system should enable quick access to documents, ensure that they can easily and readily be found, it should be as space-saving as possible and it should be organised in a manner others can also get to grips with. In addition, a filing system should be up to date, with unnecessary documents removed. It should also be possible to trace which documents have been removed, when and by whom.

Current documents and files which everyone in the office needs to be able to access should be placed in a central place. Confidential documents – financial details or personnel files for example – should be kept in an appropriate place with strict, limited access. It might prove helpful to draw up a plan of where different files/file types are kept if they are kept at more than one location.

Filing systems can be organised in a number of ways, including

- Alphabetically
- By topic/contents
- By location
- Chronologically
- Numerically
- According to geographical areas or
- By symbols.
-

It is imperative that the system selected is understandable – also for people who do not sue it with regularity – clear and consistent. Naturally it should also meet the requirements of the office and its users, as well as be appropriate for the volume and nature of documents it contains.

Filing E-Mails

With regard to e-mails, the following points should be noted:

- It is of importance to electronically file all essential e-mail communication. It should be done in the e-mail client used and backed up regularly so as to avoid the loss of data. Only those e-mails with important contents (agreements and arrangements, proposals and recommendations, financial issues, criticism or e-mails from key actors) should be archived
- Depending on the availability of facilities e-mails could be archived either by date, by topic or by sender. It is important that only one system of archiving be installed and that all staff members adhere to it
- An e-mail is only legally binding if it still exists in its original digital form. Printouts can, therefore, only be used for internal documentation purposes. Printing e-mails is a time and resource consuming process. It should, therefore, be reduced to a minimum and not used for archiving purposes

2.4 Resources

The term resources is used here with a very broad definition, ranging as it does from expertise and financial means to stakeholders. All of these things are of use if not essential to the dialogue process and hence the over-arching term resources is applied. Important issues with regard to resources are, in particular, their management as resources are usually scarce.

2.4.1 Fundraising

Fundraising is a form of marketing by which non-profit organisations gain supporters, financiers and volunteers and mobilise them to provide resources for the organisation. With regard to dam and development dialogue processes it is an important activity as it can often be the most important means in securing the resources necessary for such a dialogue process to be conducted at all.

The multiple uses that such a dialogue process can serve – from concrete needs in the dam-affected areas to broader, social benefits such as strengthening democracy – make them attractive to a variety of funding organisations that can be approached with regard to providing resources. Each such potential funder must naturally be approached differently, each relationship managed uniquely and the dialogue process individually presented in a manner attractive to them.

The most effective way in which to acquire and secure such resources – be they time, work, money, gifts in kind, materials etc. – is by means of a strategic and systematic approach. Fundraising is most successful if it is undertaken strategically and directly linked to the mission of the organisation, and if it is undertaken systematically when it is then translated into operative exercises. Empirical studies identify planning as one of the most central criteria for the success of fundraising activities.

Fundraising can be successful for small- and medium-sized organisations if support and supporters can be won for the organisation’s mission. In this context the term “mission” refers to the normative, emotionally charged core and values of a non-profit organisation or activity. The mission details why an organisation is active in that field – not how. The aim is to find people who share these normative values and hence are willing to make resources available.

This highlights another key issue surrounding fundraising, namely that it is not money, which is at the heart of fundraising activities – relationships are. This includes relationships to interested parties and possible donors. Once such relationships have been established – both rational and emotional relationships – then potential donors will be ready and willing to make their contributions.

As can be observed above, fundraising does not limit itself to money but includes far more – spoken of here under the umbrella-term “resources”. These can include:

- Materials and equipment
- Voluntary work

- Services
- Networks and social contacts
- Political support
- Empathy and emotional support

When developing a fundraising strategy the benefits the organisation can offer the donor – not the benefits it can offer its clients – needs to be defined and highlighted. Experience shows that people provide resources when

- They share the organisation's mission;
- The projects proposed are understandable and worth supporting;
- They are involved in the organisation's work or can be involved in it,
- They know for what and how the resources will be used – people want to make a difference with their donation.

Finally it should be noted, that transparency is recommended with regard to the different donors involved, i.e. the project manager should inform the donors about other funding agencies involved in supporting the project. This is helpful for establishing a trusty working relation with the donor agencies.

2.4.2 Internal and External Expertise

The dam dialogue aims to achieve consensus with regard to national policy on dams and development within a dynamic configuration of stakeholders and knowledge. It is notably difficult to arrive at commonly agreed-upon outcomes if the arguments presented by every party involved are based on differing scientific data.

A participative process has a markedly high degree of factual, methodological and theoretical knowledge unequally distributed amongst a number of stakeholders. This latent knowledge has to be channelled towards the goals of the dam dialogue and made available and accessible to all participants.

This chapter seeks to detail how an equal level of information amongst all participants can be ensured, presenting joint fact-finding as a means for achieving this. In addition details are given on how the quality of external expertise can be guaranteed.

<u>Joint fact-finding</u>

Joint fact-finding is an organised, scientific discourse in which experts representing both sides of a controversial topic work together with key stakeholders to create a new report summarising and addressing the relevant issues. This then becomes the theoretical foundation upon which the remainder of the process is built. It is an attempt to resolve secondary conflicts over facts as part of an effort to deal with the larger, more fundamental conflict.

Table 15: Joint Fact-Finding – Procedures, Conditions and Outcomes

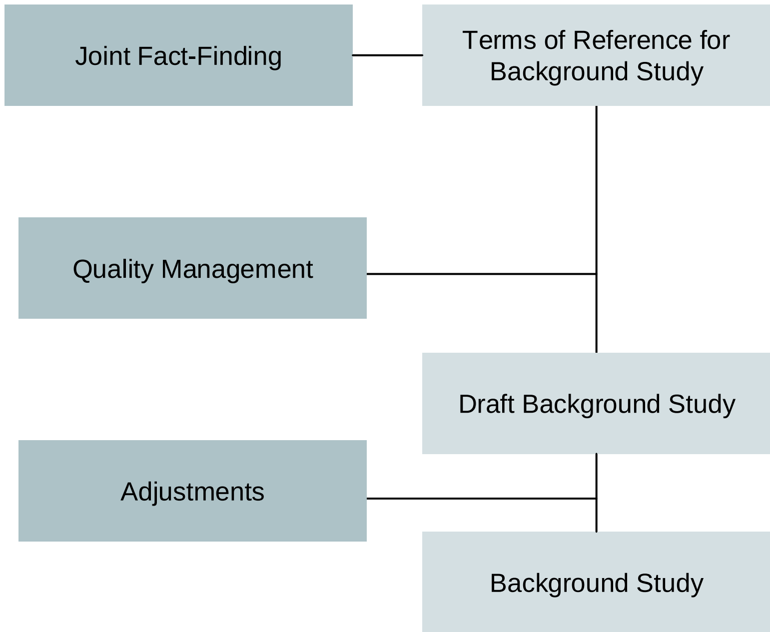
Joint fact-finding		
Procedures	**Conditions**	**Outcomes**
Defining issues: Formulating the open question.	Collaboration between experts, decision-makers and key stakeholders representing opposing positions.	Capacity-building among stakeholders: Common knowledge-base; Ability to participate.
Rules for acquisition of information and analytical methods.	Rule-based and integrated into the overall process.	Better arguments based on the most accurate information.
Splitting the open question into detailed question to be addressed to the experts.	Information and resources will be shared.	Collaboration between stakeholders improves relationships and creates trust.
Consultant integrates the findings into a Background Study.	Final result is a commonly agreed-upon document incorporating the sum of the joint efforts.	Objectification of the discussion.

The following process is recommended to ensure neutrality and quality of external expertise:

- With regard to the national dam dialogue the Steering Committee commissions a consultant to draw up a background study on dam-related issues and based on terms of references developed by the members of the Steering Committee. The consultant themselves together with other experts is responsible for quality management.
- The Forum then elects one of the experts proposed by the Steering Committee who is to be responsible for writing the Background Study, whilst the “runner up” expert is commissioned with the quality management of the Background Study. It is important to stress that the pool of experts up for (s)election ought to consist of experts reflecting the whole spectrum of dam issues. In a situation where resources for external expertise are not available, the steering committee can also seek for expertise from the stakeholder groups for the quality management exercise. Then it is of utmost importance, that the whole spectrum of dam issues and interests is included and that the rules of the exercise are clearly followed in order to achieve a balanced and comprehensive result (see below).
- Ideally, an expert for environmental research should be entrusted with the Background Study while an expert on hydro-power manage the quality of the study – or vice versa. In this way the inclusiveness and completeness of the report which will form the foundation of all further proceedings can be assured. The consultant is to continuously report to the quality manager as well as to the Steering Committee, who in turn are to assess the report.
- Finally, the national dam dialogue will make adjustments to the Background Study as deemed necessary before finally approving it.

Diagram 10: The Joint Fact-Finding Process (below) illustrates this process.

Diagram 10: The Joint Fact-Finding Process



The inclusion of external expertise for joint fact-finding and quality management in the dam dialogue process not only leads to the drawing up of an excellent and wholly accepted Background Study, but also catalyses and condenses scientific findings providing as it does quality assured state-of-the-art research.

A well-done Background Study may also prove useful for other national dam dialogues. Moreover, this method of objectifying the discussion serves as a means of conflict prevention as all future discussions amongst opposing parties have a commonly agreed-upon analysis. There is no place for conspiracy or suspicion if this process is conducted in a transparent manner – rather, it is a step towards successful co-operation amongst participants.

Finally, the issue of an asymmetrical distribution of knowledge is addressed and reduced as a result of resources being made equally available among all stakeholders. In some cases, language barriers may make it necessary to translate key information into other languages. It does not make any difference if an organisation involved is able to spend huge amounts on scientific research or not – all participants will refer to the same basis of analysis, no matter what means are at their disposal.

If the Steering Committee is overtaxed by accompanying the joint fact-finding and quality management, an additional body can be established and charged with this task. This body should consist of key actors who reflect the make-up of the larger stakeholder group.

The Secretariat is responsible for the dissemination of information between the consultant, quality manager and accompanying body. It also deals with the administrative aspects of involving experts such as drawing up the necessary contracts and financial agreements.

2.4.3 Stakeholder Management

To categorise stakeholders as a resource may seem a little surprising, but when looked at from a rational point of view it is an understandable classification. The stakeholders of a dialogue are its most important input or ingredient – without stakeholders there can be no stakeholder dialogue, no matter what other resources have been secured! They are a resource in the sense that they provide an important input for the dialogue process, and in that its outcome is co-dependent upon them.

This special importance given to stakeholders in the dialogue process affords that they be treated with special care in order to guarantee the constructive and successful development of the dam dialogue process. Therefore, stakeholder management is understood to be "the planned practice of the secretariat for dealing with persons or groups, who have an interest in the outcome of a dam dialogue process." In the long-run, no company, organisation or institution can force or enforce decisions which ignore the interests of that decision's stakeholders.

Stakeholder management seeks to create a balance between potentially conflicting interests by means of a concerted dialogue with and participation of stakeholders. The involvement of stakeholders by means of a dialogue is more than just a procession of speeches and hearings – it is a central means for gaining trust, credibility and acceptance. The preconditions for this are that:

- The dialogue poses an open and relevant question;
- No participant is excluded arbitrarily;
- The Secretariat cares for professional process management and facilitation;
- The outcome of the dialogue is implemented transparently in decision-making, and
- Outcomes are preferably developed together.

Large construction projects like dams for hydro-electric power generation often evoke strong resistance amongst the public; resistance which may then develop into conflicts.

For this reason, the secretariat responsible for managing the dialogue process must also manage stakeholders and bear their views in mind with regard to the following aspects:

- Many actors suffer when there is a lack of information, or feel confronted by ready-made decisions.
- On the strength of bad past experiences, some stakeholders associate dams with frustration or other negative aspects.
- The participating stakeholders are a very heterogeneous group, incorporating contrary positions and values, thus making conflicts almost predestined.
- Media can sometimes strengthen conflicts.
- Meta- or fundamental discussions on topics such as climate chance may detract from the concrete, action- and outcome-orientated national debate on dams and development.
- Large dams are subject to high levels of preconceived mistrust as significant environmental impacts are suspected.

Exact methods for stakeholder management are given by the design and structure of the dialogue as this determines when and how to inform or involve which stakeholder in the dialogue process. Some initial, general recommendations for successful stakeholder management are summarised in the chart below.

Table 16: Stakeholder Management – Outcomes and Success Factors

Stakeholder Management	
Outcomes	**Success Factors**
Relevant stakeholders and their topics have been identified, so that they can be incorporated in the dialogue.	Stakeholder mapping informs the Secretariat about the interests and positions of the participants.
Methods for dealing with stakeholders ensure appropriate involvement.	Methods are goal-orientated.
The planned activities are detailed in a time-line which contains both internal and external co-dependent developments and which helps chart the way to the desired outcome.	Outcomes are achievable.
Permanent monitoring of the actions taken leads to improvement of the whole process.	Measurable indicators for evaluation.
Capacity-building within the Secretariat and Steering Committee. Know-how as well as resources for stakeholder management are provided.	Stakeholder management is an integral part in the organisation and steering of the process. External consultants and facilitators support the members of the steering bodies.
Capacity building amongst the participants enables stakeholders to take part.	Success of the dam dialogue depends on the ability of the stakeholders to participate and gain understanding of the process.
Information level of stakeholders is up-to-date. Background studies and other such means provide a uniform level of information.	Transparent and binding treatment of stakeholders. The Secretariat is responsible for the up-to-date and timely updating and allocation of information activities undertaken and planned.

The guiding principle for stakeholder management is a transparent and honest dealing with and involvement of stakeholders in the dam dialogue's design, proceedings and decision-making. Successfully done, stakeholder management creates trust, accountability and ownership for the whole process and its outcomes amongst the parties involved.

3 Facilitation

Skilful facilitation is at the very core of successful dialogue processes. Facilitation ensures that a group of participants with different backgrounds and interests discuss in a goal-orientated manner leading to commonly agreed upon outcomes. It increases the acceptance of decisions, because every affected individual or organisation is given a platform to articulate their wishes, demands, fears and interests, which will also be taken into account in the final decision.

Reaching consensus without facilitation is almost impossible as the number of divergent views increases with the number of participants. A dialogue on dams is established to find consensus on further national dam and development policy, in order to avoid past mistakes and creating overall acceptance for the policy. For this purpose facilitation is one of the essential constituents.

3.1 What is Facilitation?

Put simply, facilitation helps a group achieve their goals with regard to an important and complex problem, which cannot be decisively solved by the group itself. There are three dimensions within a dialogue process and these are in tension with one another – the topic, the individual and the group. A facilitated process or dialogue strives to maintain and use these tensions in a productive manner. This involves ensuring that the group pays attention to individual wishes; that collective needs prevail rather than individual ones and that the topic remains relevant for the group or individual.

Good facilitation ensures efficient working amongst group members in finding innovative, collectively generated solutions, which also makes constructive use of conflicts. Facilitation is necessary whenever participants with varying hierarchies, backgrounds, skills, goals or wishes and abilities meet.

A facilitator steers such a process as briefly described above and will be outlined in detail below, including information on how to facilitate. The principal task of the facilitator is to enable all group members to express themselves, to contribute and to ensure that they are understood by and within the group.

A clear contract between the Secretariat and the facilitator must determine the roles of everybody involved, expectations, “no-go areas” as well as costs and terms of reference. It its important to note that the most common reason for a facilitation to fail can be traced back to a bad or nonexistent contract.

Where feasible, it is advisable to work with a pool of 2-3 facilitators, so that dependence on one single facilitator is less. Ideally, the facilitators are part of the secretariat and hence closely connected and informed about the dynamics and actors of the dialogue process. Facilitation should be involved from the very beginning of the process and should be applied for the steering committee meetings as well as for the National Forum in order to ensure a fair, efficient and comprehensive dialogue between the different stakeholders.

3.2 Requirements for a Facilitator of National Dam Dialogues

Facilitator do not exert influence on the issues and content of the discussion they are steering – they are only responsible for the smooth and productive flow of the dialogue process. The group itself is responsible for the content, outcomes and results.

On charging a facilitator the Secretariat of a national dam dialogue has to affirm that the facilitator has no stake in the dam dialogue, i.e. he is not directly affected by the construction of large dam or has any other intentions towards the outcome of such a dialogue.

Nevertheless, the facilitator plays an important role in enabling this content to be generated and the outcomes to be achieved, and so should bear in mind the following behavioural dos and don'ts and general requirements:

Table 17: Dos, Don'ts and Requirements for a Facilitator

Dos, Don'ts and Requirements for a Facilitator
*Please note that the masculine form has been used in this section in a gender-neutral manner and has been adopted for ease of readability. **Dos for a facilitator**: - Introduces themselves and clarifies their role at the beginning of the session. - Acts as a catalyst or midwife – they support the group in developing their ideas ("conceiving their child"), enables the group's discussions ("helps the baby grow") and ensures an outcome ("births the child"). - Keeps their personal opinions or views out of the process. - Introduces rules for the game and sticks to them, after getting the approval of the group. - Examines their own strengths and weakness and discovers. - Should speak of the group's "hopes and fears" and should avoid speaking of expectations. The term "expectations" generates demands by the participants towards the facilitator, suggesting that the facilitator has some co-responsibility for the outcomes. This is not the case **Don'ts for a facilitator**: - Has no subject-related interests, which may influence the process. It is important that the facilitator be neutral at all times. - Does not show scepticism or sarcasm but trusts in the group's ability to solve problems and achieve solutions. The facilitator is aware that motivation motivates. - Does not try to manipulate participants but behaves in an honest and open manner. All aspects of the facilitator's behaviour, even non-verbal communication like gestures, will be noticed by the group (see the table below for more details). - Never defends things, except the agreed-upon rules of the game. **Requirements for a facilitator**: - Takes responsible for getting to the agreed target with the participants in the given time. - Is responsible for the selection of the "right" participants for the given event. Although the

stakeholders have already been identified, the participants during a process can vary according to the issues discussed.

- Names problems and gives critical feedback to the group, but concurrently ensures the group that the answers and solutions remain in the group itself.
- Needs to creates possible scenarios by using open-ended questions which allow the participants to build up cohesive solutions and create a mutual result. If time is running out, the use of closed questions is acceptable.
- Needs to create a link to reality and the world external to the process through questions such as “What hurdles and possibilities does the project have in practice?” or “What do we need from which actors so as to implement the project?”
- Must be flexible in their attitudes and in their concepts so as to be able to incorporate the demands of the group into the process. The facilitator outlines the impacts of a change in the agenda and timing but leaves it to the group to decide on how to proceed. Important principle: Form follows function.
- Ensures an optimal setting for productive working in which the participants feel comfortable.
- Must visualise the discussion from start to finish.

When receiving feedback, a facilitator:

- Is quiet and listens, which is sometimes not easy at all.
- Does not argue, explain or defend him/herself.
- Decides for themselves which of the feedback they have been given they will take on board and which not.

As mentioned above, everything done or said is noticed by the participants. Communication is not just verbal, but also includes non-verbal forms such as facial expressions, gestures and tone of voice. Therefore the facilitator should be constantly aware of them. One option to ensure that this is monitored is to ask a co-facilitator to observe the facilitator and for them to give discreet feedback on how the facilitator’s behaviour affects the group (see next table).

Table 18: Non-Verbal Communication and the Role of the Facilitator

Behaviour of the Facilitator	Typical Situation	Possible Effects on Participants	
		Positive	Negative
Stands in the centre of the room in front of an open circle of participants	Opening situation; leading a discussion	Calming point of focus; authoritative presence; eye-contact possible; security	Passivity; intimidating
Stands behind a console or desk; reads; writes the protocol	During the discussion	Participants can discuss independently	Mistrust ("What are they reading/writing?")
Keeps their hands behind their back or in their pockets	During a discussion; during independent working	The participants can discuss independently	Facilitator is uninterested; has something to hide
Holds their hands open, high next to their head	The facilitator points to the poster or projection behind them; the facilitator is being asked a question	Participants are focussed on the discussion thread; facilitator is neutral; participants take decisions; clear stop signal	Facilitator is being backed into a corner; defensive position, disinterested "it has nothing to do with me" posture; inflexible.
Smiles	Opening or closing situation	Mobilises; motivates; enables an emotional interaction or exchange	Emotional dependence; sweeping away of conflicts
Facilitator sits in the circle of participants	Introductory session; discussion; during a content contribution	Open conversational culture; free, creative discussion	Lack of orientation; time-management is slipping; confusion; contributor is waffling and does not keep to their allotted time
Walking or gesturing towards individual participants	Polarisation	Over-talkative participants are quiet; focus is on the facilitator, topic or on keeping a conflict factual	Exposure; attack on an individual participant; rest of the group is left to fend for itself

The facilitator will soon find their own "secret weapons" in winning over both the group and the issue, thus enabling them to develop their own, unique facilitation style. Humour, time management, integrity, level of information, ability to cope with criticism can all be secret weapons that the facilitator should and can master.

Visualisation

"People remember 20% of what they hear, but 40% of what they hear and see." Visualisation helps make a workshop or discussion more efficient and more interesting for the group. No facilitator will be able to steer a group to their goals without some form of visualisation. It is also a means of disciplining a group as the facilitator can refer to the mentioned themes visualised on a pin board or flip chart.

When visualising elements of the group's discussion, the facilitator should:

REQUIREMENTS: Visualisation by the Facilitator
- Be in real time, and reflect the most current status of the discussion. - Provide both a systemic overview as well deal with detailed aspects. - Be connected to the group. - Include the agreed upon points but also those open for discussion. - Capture conclusions or questions in precise short manner. - Be clear, attractive and simple. - Enable participants to become involved in the discussion and outcomes.

Requirements for the group

Though the requirements for the facilitator are of the greatest importance, the group being facilitated must also meet a number of requirements.

REQUIREMENTS: For the Group
- The group must be aware of its role, responsibilities and expectations, as well as of the rules of the game. Such rules may include: do not interrupt others, voice criticism, bring in your own ideas, the group is responsible for the results and their implementation etc. - The group needs to accept the facilitator. If at the outset acceptance of the facilitator is lacking, this tends to grow as experience of and with the facilitator develops in action. - The group must be willing, able (sufficient capacities) and allowed (mandate for decision-making) to participate. When giving feedback members of a group should: - Not behave judgementally, but phrase feedback in the first person singular ("I") and speak about the facilitator's effect on them personally. - Concentrate on the here and now. - Also stress positive aspects. - Not teach or preach, but develop new approaches and make positive suggestions.

3.3 Interactive Dialogue Methods

The methods detailed below enable participants to discover important aspects by themselves, thus creating a strong feeling of ownership and motivation. The methods used during an event ought to be varied so as to help to keep participants alert. Hand-outs and parallel visualisation – from the concrete targets to be reached by the meeting, through to the decisions and thought process, all the way through to the next steps at the close of the meeting – help ensure that participants follow the discussion without being busy and distracted by taking notes.

Material Box 5: Interactive Dialogue Methods

Introduction Session: Participants of the dam dialogue present themselves to each other.

Uses	Introduction sessions play an important role in seminars, workshops etc. by helping create a relaxed atmosphere. Insecurities, strangeness and shyness can all be broken down and communication amongst the participants made easier. Playfully organised introduction rounds are not only motivational tricks which help improve learning in the opening phases; the outcomes of such sessions should be incorporated into the rest of the event.
Method/ Application	<u>Partner-Introduction-Session</u> This method takes the traditional form of introducing oneself individually and replaces it with a more communicative approach. The aim is to introduce a participant to the forum and to focus on them as a person. The participants form pairs, get to know one another in a one-on-one conversation (name, job, hobbies, family…) and then introduce the partner to the rest of the plenary. <u>Get-to-know Matrix</u> This is particularly useful for brief sessions where time is short. The facilitator draws up in advance a matrix with column headings (name, job etc.) The table should include a column directed at an emotional/personal aspect of the person. Participants enter their details into the matrix before the beginning of the session. The disadvantage of this method is that participants do not enter into conversation with one another. <u>Introductions with the help of an object</u> Participants select an object or a picture that links them to the dam issues to be discussed and introduce themselves with the help of the object or picture to the rest of the group.

Warm-up Exercise: Facilitator familiarises participants with the dam dialogue process

Uses	Warm-up exercises serve a similar purpose as introductory sessions. In addition to exercises to loosen participants up physically, there are a number of warm-up exercises that loosen participants up mentally, and are decoupled from the serious nature of the discussion's content. Such exercises can help as a transfer-in to phases requiring imagination as they help get thoughts and ideas going.

	Rational-analytical or emotional-intuitive exercises can be used, depending on the nature of the problem to be dealt with in the imaginative phase which follows.
Method/ Application	<u>Rational-analytical Exercises</u> An example of a rational-analytical exercise is the seeking of common features between objects (e.g. “A plate is white and round, what else is white and round?”) or their different uses (e.g. “What uses are there for chewing gum?”) <u>Emotional-intuitive Exercises</u> A well known example of an emotional-intuitive exercise is creating stories, where the facilitator begins a story or fairy-tale, stopping after a few sentences leaving the next participant to pick up the thread, furthering it by a few sentences before passing it on. <u>One dimensional opinion snap-shots</u> Also suitable for warming-up participants are one-dimensional opinion snap-shots (e.g. “How do you feel this morning?”) or “graffiti” – posters on which the beginning of a sentence has been written (e.g. “The policy on dams needs to…”) and which is then finished off by participants. All in all, participants and facilitators should be energised and the expectations of the participants made the subject of discussion.
Question Development: Facilitator motivates participants to express their views on dam issues.	
Uses	Asking questions is one of the most important and significant tasks of a facilitator in a facilitated process. The way in which a question is asked can often make the difference between manipulation and helping the group help itself. Questions enable the inclusion of all participants, the laying open of the knowledge of group members, the co-ordination of work steps and make moods transparent.
Method/ Application	<u>Goal definition</u> A clear definition of the question’s aim is important. This applies to the purpose of the question in the specific facilitation situation and for the event as a whole. A visualised question can hardly be verbally reported. A further guideline is that questions should never purport to offer possibilities for action which do not exist – asking participants what their expectations of the seminar is for the facilitator only to then announce that these do not match up with their planned concept for the seminar is an example of how not to use this method. <u>Bad Questions</u> Bad questions are uninteresting, too easy and questions which do not have a useful purpose (because they, for example, have an unclear goal definition). Manipulative and suggestive questions should be avoided. <u>Good Questions</u> Good questions are understandable, short, clear and precisely formulated. They are open and do not narrow down possible answers. Good questions are also interesting that activate the knowledge of the participants and make them interested and curious. <u>Types of Questions</u> Different types of questions which can be used in the facilitation process include:

	Open questions (e.g. "What topic shall we discuss in the group session?") are the most often used as they enable answers to be given freely. *Closed questions* (e.g. "Can we move on to the next phase?") can only be answered with yes or no and serve as an orientation aid in the facilitation process. *Alternative questions* (e.g. "Shall we deal with this point now or move on to the next?") have the potential danger of splitting the group. *Rhetorical questions* (e.g. "Shall we deal with the point forever?!") should never be used in a facilitation process as they nip any alternative opinion in the bud. *Suggestive questions* (e.g. "Surely you agree that…?") manipulate the listener and should be avoided.
Card Survey: Collection of relevant dam issues which should be covered within the dialogue.	
Uses	The card survey is a part of the pinboard method and is suitable for the collection of information, possible explanations, problem solutions and creative ideas. The method activates participants and creates transparency. It enables all participants to simultaneously express themselves verbally and ensures that no contributions get lost. Rhetorically versed or decisive participants can not dominate as strongly as the group is working with factual statements on the pinboard and not so much with persons expressing themselves.
Method/ Application	The group members are handed several facilitation cards and the topic or problem is briefly outlined by the facilitator in the form of an open question which is then stuck to the pinboard. The participants then have approximately 5 minutes in which to note the 3 to 5 most important aspects of the problem on the cards. The facilitator then collects the cards. Participants should still have access to blank cards so they can note ideas during the process. When grouping the answers on the pinboard the participants should determine to which group they are allocated – the facilitator should not intervene. Following this preliminary grouping the different groups can be checked and adjustments made if necessary. An open discussion on the type and nature of the problem to be solved can then begin with the groups then being sorted according to urgency. The results should be recorded in written form when the process is finished.
Prioritising: Participants weight the collected issues	
Uses	Group decisions can not be reached by top-down means or by means of a democratic majority. In essence they must be the result of a coming together of different wishes and co-operation, and must reflect the group consensus. The weighting of opinions and ideas enables an equal valuation of several possibilities such as topics, project ideas, plans or procedures. Each participant is able to decide for themselves how they prioritise things. A prioritisation can be done according to importance or urgency.

Method/ Application	An idea-bank is briefly presented in the plenary. To the right of the ideas is an empty board for the weighting. The participants each receive coloured stickers, half as many as there are topics or ideas. The facilitation team asks a good, well formulated question according to which the participants are to weight and prioritise the topics/ideas before they are then visualised. The results of the prioritisation must be accepted by all participants. The participants need time to reach their decision. The facilitation team can neither hurry nor watch intently nor make suggestions – they must wait until all stickers have been stuck and the participants have returned to their seats. In silence the facilitators count the results and note the outcomes in the corresponding field.
Open Space Technology: One method for events with large groups.	
Uses	The Open Space Technology (OST) is a new approach which advocates self-organisation and organisational change “from the inside out”, i.e. through the participants themselves. Whilst attending a conference which ran over several days, the “inventor” of OST found that it was the coffee breaks which were by far and large the most popular part event. Form these totally unstructured coffee breaks he sought to learn about the design of an effective seminar. The number of participants of an open space conference is never fixed with groups between 5 and 900 possible. The length of the conference should be 3 days during which the forum is divided up into individual groups. The content preparation for such a conference should limit itself to a framework topic. The aim of the event is to develop an action plan. The advantage of an OST conference is the release of individual and collective energies and the generation of creativity and inspiration. This makes the method particularly applicable for organisations in a critical transition or transformation stage. The method can also be applied to a smaller event such as day workshops. Through the stronger orientation towards participants and the high degree of personal responsibility, the method is also suitable as an introduction to more lengthy processes and helps deal with false expectations towards the facilitators – everyone is individually responsible for which group they ascribe themselves to.
Method/ Application	Topics are proposed by members of the group to the group as a whole, thus trying to initiate groups, with the other participants then selecting and joining one of these groups. Participants can enquire into more than one group. There is one key principle and four rules/guidelines for an open space process: Key Principle: The law of two feet (participants take responsibility for where they go, which groups they join, how long they stay there) Rules/Guidelines: *Whoever comes is the right person - Whatever happens is the only thing that could have - Whenever it starts is the right time hen it’s over, it’s over* The outcomes of the working groups of an OST conference are briefly noted on a computer by a contributor and simply documented, before then being ordered according to priorities and being “linked” with the “right” person so as to ensure implementation.

3.4 Methods for Interactive Conflict Resolution

Communication between a large number of actors always bears the risk of conflicts. People with diverse backgrounds have different perceptions of the world which affect their perception, priorities and understanding.

The facilitator must help prevent conflicts arising from misunderstandings by means of clear and explicit communication. It is often the case that the recipient of a message does not receive the meaning originally intended by the sender due to a distortion during the transfer of the message.

Only 7% of a message's meaning is in the words spoken; facial expressions and the way words are articulated convey the remainder of the (unconscious) message. It is the task of the facilitator to identify the real meaning in order to then translate between sender and recipient.

Even in a utopian world of perfect understanding conflicts will arise. The term conflict literally means confrontation, which has a clearly negative connotation. Since conflicts may also have positive aspects, it is better to speak of the differences generated by conflicts. An assumed threat to the status quo eventually and in retrospect turns out to be a challenge which leads to an innovative outcome, helping to transfer the status quo to a better one.

Generally speaking, conflicts can be divided in two categories:

Value-based Conflicts	Very difficult to solve due to a high level of complexity. Values cannot be tackled with rationality or logic.
Conflict of Interest	Regulation with objective criteria and deliberation possible.

Unfortunately; real conflicts tend to be a mixture of both types! An environmental NGO does not have the same interests as a company, with these goals founded on other values. As can be seen from this example, the conflict between the two parties arises from both the content of the disagreement (interests) and their perception of the world or values (value-based). In addition, conflicts can be grouped according to the parties involved:

1. Individual Conflict	**2. Intra-Group Conflict**
3. Inter-Group Conflict	**4. External Conflict**

It is important that the facilitator identifies the actual conflict itself, the lines of conflict and any latent or hidden conflicts, which take place somewhere in between. Whenever a conflict arises, the facilitator has to find out if the current process is able to cope with it, whether there is a hidden agenda behind it and if it is possible to control the conflict. The conflict must be made transparent and used as a means of stimulating engagement and creativity.

Table 19: The 10 Golden Rules of Conflict Resolution for Facilitators

The 10 Golden Rules for Conflict Resolution for Facilitators:
1. **Careful diagnosis:** Analyse the background and the connection of the conflict. 2. **Plan:** Stick to a developed plan**.** 3. **Role:** Define your role and disclose how you will fulfil it. 4. **Acceptance:** Take all parties involved serious 5. **Communication:** Ensure on-going communication between conflict parties and promote understanding**.** 6. **Emotions:** Allow them, as they belong to conflicts. It is not just about facts. 7. **Neutrality:** Be aware of manipulation and do not take sides. 8. **Transparency and Consistency:** Act open and sincere. 9. **Patience:** Do not expect quick results. 10. **Modesty:** Give the praise for success to the conflict parties.

In such situations the facilitator's role changes to that of a mediator – they become a person supporting the negotiations between the conflicting parties, by taking a neutral position and attitude. Which methods should be applied for mediation depends on the number of parties involved as well as on the aspired degree of conflict resolution, ranging from simple settlement of disputes to reconciliation and social transformation.

Some typical situations which often give rise to conflicts within groups in the context of stakeholder dialogue processes on dams, and some possible solutions, include:

Table 20: Facilitation – Difficult Situations and Possible Solutions

Typical Situation	Possible Solution
Participants arrive too late	No problem if others do not ask for the reason. (break if necessary).
Speeches too long / talk over one another	Do not tolerate this in the plenary. Interrupt verbally, move in closer or even touch the speaker (stick to this order).
Problems of hierarchy	Clarify limits of participation beforehand. Define no-go areas.
Dominant person	Slow the person down. Charge the person with a task. Speak to them during a break. Do not cut off the speech, as dominant people are often driving forces for the whole process.

Silent majority	Address them directly.
Polarisation	Visualise pros and cons. Conduct an inverted role play. Find out similarities.
Intention to leave	The facilitator should never voice their intention to leave the process in the plenary. If one person wants to leave prematurely, the group should be consulted for comment. If the participant nonetheless insists on leaving, a one-on-one interview might be necessary.
Collective drawbacks	Work out reasons and analyse them properly. Do not strive for a pseudo consensus. Check for new external aspects.
“Black Holes”	Have a break (fresh air, light and catering). Motivate emotionally or with regard to the content. Provoke or ask paradox questions, but be careful…

3.5 Workshop Management

This chapter provides the reader with the guidelines for preparing and conducting a facilitated event. A facilitation process is divided in three main steps: 1. Pre-Workshop. 2. The actual Workshop, 3. Post-Workshop. The term workshop management stands for a way of designing activities, like meetings, forums, or workshop. Marked keywords shall be kept in mind, when designing any event with several participants.

Before the workshop

- Contracting: The facilitator and the Secretariat develop the frame for process and define goals, outcomes, roles, participants, timeframe and the reason for the workshop.
- Facilitation plan: Detailed plan including the agenda, the goals, the method, time allocations and the materials needed.
- Logistics: Should be determined in the contract to the responsibility of the Secretariat with regard to demands from the facilitator.
- Setting: Choose a proper location for comfortable working atmosphere. The rooms shall have enough wall space for visualisation, carpets to cut down the noise and be equipped with moveable chairs, but no tables, because they serve as a barrier for communication. Get to know the location before having to facilitate in it!
- Seating: The seating arrangement influences the working atmosphere and shall be constructed carefully with regard to the participants. People feel exposed sitting on chairs without tables, vice versa tables can be used to hide. Seating in an open circle without barriers can support mutual respect and communication of stakeholders at eye level. If an intensive discussion in smaller groups is required, the seating should support this e.g. by providing small round tables or chair circles. It is important to consider, that a seating arrangement is not static, and that change during a workshop or a forum meeting with active help of the participants even functions as an energiser.
- Physical Preparation: Comprehensive preparation is a golden rule of facilitation. Be prepared not only in terms of facilitation techniques (visualisation done before starting) but also in terms of information on the topic including the connections to and between the participants.

The workshop

The organisation of a workshop is similar to the production of a movie as the facilitator writes a screenplay full of stage directions. Contrary to a movie the facilitator is addressing himself /herself with orders on how to act. Together with the Secretariat the facilitator shall act out the workshop before it actually takes place, in order to change the design so that it fits to expected answers of the participants. This pre done test sometimes bear new insights on the topic, helping the facilitator to develop a design, which leads to the goals defined before. The table below outlines a possible internal agenda of a first workshop for the collection of themes, which shall be covered within a dam dialogue process.

When dealing with big groups a plenary discussion is the ideal place to begin with, to synchronise thoughts, work out group conflict or dilemma, feedback and close. For using the full creative potential of all participants it is better to split into different working groups. The facilitator has either to equip each group with co-facilitator or visit them regularly, in order to ensure goal-orientated efficient working.

After the workshop

Following the workshop the following should be provided to the participants in a timely and appropriate manner:

- **Documentation** of the outcomes and everything visualised during the workshop.
- **Report** for the participants of the dialogue and all interested parties delivered within the communicated deadline.
- **Follow-up** of the overall process is clearly set out.

In Part C you will find a Blueprint for a workshop programme (Material Box 12).

4 Communication

Communication is an essential element for ensuring the success of the dialogue process. It includes internal communication to or with stakeholders, in particular with regard to their expectations, and external communication, often beyond the stakeholder group, by means of recommendations. Public relations and lobbying and advocacy are also very important means and forms of communication, seeking to communicate the dialogue process and its outcomes to as broad an audience as possible. This section highlights the most important aspects to consider when engaging in such communication activities.

4.1 Management of Expectations

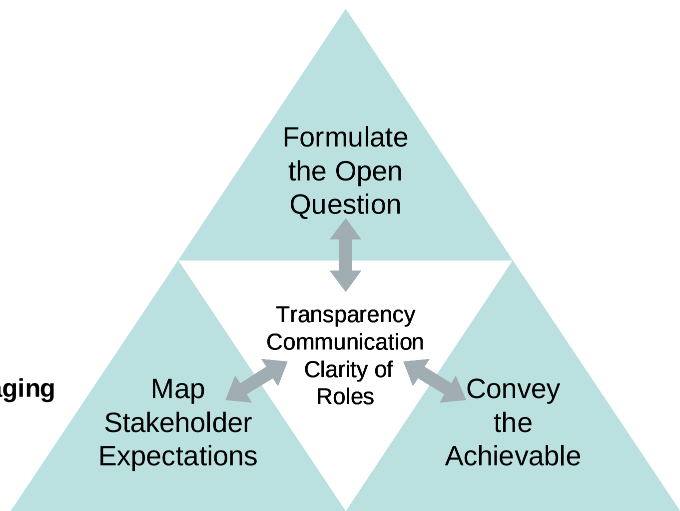
All people have expectations, and they have them of all manner of things. These usually highly varied expectations are often a source of vulnerability in a change process – both for individuals and for the process itself. Hence the management of expectations is intrinsic to all change processes.

Expectations can be viewed as the pre-conceived needs of stakeholders. In other words, the stakeholder or group of stakeholders believes that certain things should be a certain way. Expectations are, therefore, often critical to the (perceived) success or failure of a project – it is these personal, individual and by their very nature ever-changing expectations against which stakeholders measure outcomes. Whether the project and its outcomes live up to these expectations is key criteria for the success of the whole process.

Steps for stakeholder management

The illustration shows the three activities for managing expectations and the three elements essential for its success.

Diagram 11: Key Elements of Managing Expectations



Expectations are in a constant state of flux, influenced by everything from generally available new information to a very personal experience, a conversation or even the weather!

1. None the less, **expectations can be mapped** and this is the first and one of the most crucial tasks in the dialogue process. It is important that the expectations of all stakeholders be documented and discussed so that a common basis of understanding can be found. It is important that all expectations of all stakeholders be given the same level of importance and that stakeholders be made to feel that their expectations are considered important.

   Even if it is not possible for each and every expectation to be met, conveying to the stakeholders that their expectations are important helps make them more receptive to reframing those expectations in light of the dialogue's boundaries and open to discussion within those boundaries.

2. The next step in managing expectations is to **convey what the dialogue process can genuinely and realistically achieve**. Herein it is of the utmost importance to be open, honest and realistic. Make clear to stakeholders within which boundaries the dialogue takes place. What are the immutable parameters of the dialogue? What is open for discussion and can be negotiated?

   It is essential that all stakeholders know and accept this factual framework as it forms the confines of future working and discussions, as well as the baseline against which the process' success or failure will be measured.

   Do not forget that such limitations can be internal as well as external to the stakeholder group or dialogue process: they can include resource limitations, legal restrictions, governmental decisions as well as the interests, motivations and agendas of individuals involved.

3. **Formulating the open question** is the next step and helps focus the often disparate expectations of stakeholders. Here it is necessary to differentiate between what we want *from* the process and what we want *with* the process – to differentiate between intentions and aims.
   - The former provides the common basis of understanding among stakeholders which determines how they view the dialogue process, their dedication to it etc. and is bounded by set circumstances. It can often be a very broad intention.
   - The latter reflects the room for manoeuvre granted to the dialogue process; this is what is then translated into concrete aims and goals, projects and measures to be implemented – the aims of the process.

These steps are only to a limited degree linear. Because expectations are influenced by so many variables they are in a constant state of flux. It may, therefore, be necessary to return to stakeholders' expectations and to re-evaluate them in light of developments within the dialogue process and relative to the open questions formulated.

Three elements essential to the success of expectation management are

- **Transparency** – what can genuinely be achieved?
- **Communication** – on changes, developments, information etc. Maintain dialogue with all stakeholders throughout so that they can re-evaluate events and personal expectations accordingly.
- **Clarity of roles** – who can do what and who should do what? This includes stakeholders just as much as members of the project team.

These three elements are at the heart of managing expectations – and therefore, ultimately, at the heart of determining the success of the dialogue process as defined by its stakeholders. Therefore they interact with all three steps.

4.2 Guidelines for Formulating Recommendations

Recommendations are one of the central means by which the work and outcomes of the dialogue process are communicated to others and impact upon their work. They are informed suggestions for action to further a process or project and to help achieve agreed-upon goals.

Recommendations for action can be directed at a number of actors, both ones involved in the dialogue processes and external actors, and they can be directed at – and impact upon – a number of societal levels. As to the nature or characteristics of recommendations, here the same holds true as for objectives – they too should be SMART.

<u>SMART recommendations</u>

SMART is a mnemonic drawn up by George T. Doran and used in project management for setting objectives. It also, however, holds true for drawing up recommendations in a project.

According to Doran, objectives and recommendations should be

S Specific

M Measurable

A Achievable

R Relevant

T Time-Bound

Specific denotes that the recommendation should be precise so that the outcome can be better determined.

Measurable refers to the ability to track or record progress towards the desired outcome.

Achievable - Recommendations should be achievable by the people they are set for; everything else is either unrealistic or will not motivate people to strive for the fulfilment of the recommendation.

Relevance refers to both the person being charged with the recommendation – it should be relevant to them – and to the project – the recommendation should serve the project's aims.

Time-bound sets a deadline by which a recommendation should be fulfilled.

Example for a SMART recommendation: Rather than say "*clean up the water in the lake*" consider using "*reduce the discharge of sewage in the lake to one-half the permissible limit by June 30 2009*."

Societal Levels

Four levels can be identified at which actions within society can be directed, depending on the means available and the desired results. Addressing each of these four levels when making recommendations helps ensure that the changes proposed by means of the recommendations take root, are long-lasting and effective.

Different actors and organisations are to be found at each level, thus presenting different needs and capabilities for the fulfilment of recommendations.

The four societal levels and their attendant actors are as follows:

- The **micro-level** of individual agents, institutions and organisations.
- The **meso-level** of targeted and selective interventions (e.g. development programmes, regional infrastructure etc.).
- The **macro-level** of economic policy and institutions, where structural framework conditions are created.
- The **meta-level** of socio-cultural, political and economic mindsets, structures and dynamics (social values, the economic orientation of society, histories, etc.).

Though it is beyond the scope of this handbook to detail each aspect and its impacts on each level, as well as on the wider societal framework, it should be noted that recommendations would do well in seeking to address each of these dimensions as relevant to the four levels – in addition to addressing the four levels and their attendant actors.

Actors

A broad range of actors can be addressed by recommendations. Be that as it may, it is for obvious reasons important that the right actors be addressed – for dam dialogues this would include governmental institutions and ministries, (inter)national NGOs, local community leaders etc. These will, generally speaking, find themselves within the stakeholder group identified at the outset of the project.

Having involved them from the beginning in the project brings the benefit that they feel that they too carry responsibility for the project's success and hence, generally, show a greater willingness to help ensure the success of the project's implementation. For example this could include taking responsibility for specific implementation tasks or communicating the results of the dialogue to politics, media and public. Finally, the commitment of the stakeholders is likely to increase the impact of a project (see chapter 6).

4.3 Public Relations

4.3.1 An Introduction to Public Relations

Public relations (PR) refers to the systematic dialogue and relationship management between public and private institutions, media and the broader public. It includes all measures that aim to provide these actors with continuous information about attitudes, opinions and behaviour.

PR is not to be confused with marketing, even if some instruments such as advertising might be used for both. Marketing refers to activities that focus on the profitable introduction and promotion of an enterprise's product and/or service. In the business context, PR can often be found among the instruments used for promotion.

PR has both external and internal objectives. Externally, i.e. vis-à-vis the outside world, PR aims to build a positive image of and trust for a company, institution, group, campaign or process. PR intends to involve the public, evoking emotions, raising awareness and promoting understanding, as well as getting and maintaining people's interest. Internally, i.e. within an organisation, group or process, PR helps create an identity that is shared among all people involved.

For dialogue processes, the value of PR is in raising public awareness and public understanding of the process, ensuring transparency, establishing commitment and, thereby, increasing the likelihood that the public will support and defend activities in case ideas and recommendations are not taken up by policy-makers.

The responsibility for Public Relations can lie within a company, institution, group etc., for example within a certain department or with a team. However, PR can also be outsourced to an agency, which might sometimes be able to keep a more objective view of what needs to be done and how a company, institution or group is perceived externally.

4.3.2 Instruments for Public Relations

As mentioned above, Public Relations makes use of various instruments, some of which overlap with traditional marketing tools such as advertisements in TV, radio, press or the publication and the dissemination of brochures, flyers etc.

Table 21: Instruments and Activities for Public Relations

Instruments	Activities
Personal dialogue	Personal meetings, telephone conversations etc.
Public speaking	Giving lectures or presentations at universities, NGOs, ministries etc.
Direct media communication	Press conferences, interviews, training for journalists on the issue/process, long-term media partnerships, competitions and awards for journalists (e.g. to win a trip to the event venue), visits by editorial staff…
Indirect media communication	Press releases, op-eds* in local or national newspaper, press kits for journalists before or at an event, letter to the editor, informative fact sheets, TV or radio adverts etc.
Online communication	Website, online campaigns, short videos, downloadable pod casts…
Events and events sponsoring	Organisation of public events (e.g. River Festival in Togo), exhibitions (e.g. in public buildings or ministries), sponsoring of smaller events of related organisations.
Other instruments	Competitions (e.g. poster competition), road shows, performances etc.

*An **op**(posite) **ed**(itorial) is a newspaper page, usually opposite the editorial page, that features signed articles expressing personal viewpoints or opinion columns.

4.4 Advocacy and Lobbying

4.4.1 An Introduction to Advocacy and Lobbying

Advocacy refers to active and sincere support of an idea or cause, especially by arguing or pleading for it. Advocates are loyal, accountable and dedicated to the cause and the group they defend. Advocates speak up for, or act on behalf of, themselves or others (e.g. citizens or a group affected by a certain action, such as dam construction) and articulate their concerns during a one-off critical situation or on an ongoing basis.

Public advocacy comprises a range of activities, including lobbying. Lobbying is often used interchangeably with interest representation and aims specifically to influence policy-makers and to make them take position for or against an issue. Quite contrary to the conventional wisdom that lobbyists are a nuisance to policy-makers, they are frequently consulted by them as a source of expert knowledge – policy makers often lack both time and resources to investigate an issue in depth.

Advocacy can help to make clear the views and wishes of those the advocate acts on behalf of. He or she will articulate and represent these views, provide advice and information and help negotiate and resolve conflict. Lobbying on the other hand explicitly tries to change the views of policy or decision-makers about measures that are in planning or proposed (e.g. the construction of a new dam) or to ensure that existing measures are modified (e.g. a law or legislative framework).

Who should lobby for a cause?

A good advocate must be dedicated to the cause and the group on whose behalf they speak and act. They must be free of any pressure or conflict of interest and independent of institutions, enterprises or ministries that provide services to the group (e.g. provision of energy).

For the particular purpose of influencing policy-making or -makers, some interest groups appoint or hire a dedicated person, i.e. a lobbyist. An advocate and a lobbyist can be, but need not be, one and the same person.

In any case, it is recommendable to limit the number of lobbyists in order for policy- or decision-makers to know whom to contact and so as to build up trust between the two parties. A good lobbyist needs to be proactive, have analytical and communicational skills, must be trustworthy and should have a good network.

With respect to national dam dialogues, the role of the advocate for the dialogue process (but not for specific issues at stake) has to be played by the external promoter. It is important to remember, that he or she is the advocate of the whole dialogue, i.e. the consensus oriented communication among different stakeholders and their common results.

4.4.2 Instruments for Advocacy and Lobbying

This section will be split into more general instruments of advocacy, with a special focus on working with allies. Lobbying, as one of the instruments of advocacy, is dealt with in more detail for its particular importance in dialogue processes on dams.

Instruments for advocacy

Whereas an advocate who acts on behalf of a group might appear to be a “one-man-show”, advocacy also tries to give others the means, the opportunity or the capacity to speak up and advocate a cause. The primary target of these activities is so-called “change agents” – individuals who can effectuate, manage or implement change.

This includes politicians responsible for compensation, resettlement, etc., VIPs related to the cause (e.g. sports persons that come from an affected region), project managers, journalists, but also potential beneficiaries of these activities. The objective of these activities is to turn these change agents into dedicated allies.

Table 22: Objectives and Instruments for Advocacy and Lobbying

Objective	Instruments
Giving the floor to change agents	Seminars, launching studies, disseminating results via media, building on the support of change agents
Building the capacity of change agents	Training, coaching, facilitating and support of networks
Providing consultancy	Develop and disseminate useful tools, conduct trainings, ensure follow-up, training, technical consultancy, identification and exchange of best practice

Instruments for lobbying

Lobbying activities commonly comprise monitoring policy initiatives, policy developments and future trends in order to provide stakeholders with relevant information and to effectively communicate and bargain with policy makers. The materials box below provides some first strategies for this.

Material Box 6 How to set up and implement a lobbying strategy

When lobbying an interest, it is necessary to proceed strategically. Key questions to ask are how will the right information get to the right person at the right time? In doing so it is important to follow the decision-making process and to anticipate decision-makers' next steps.

Analyse the environment

Both the internal and the external environment should be analysed – both internal (own) strengths and weakness and external opportunities and threats should be analysed. This is commonly known as a SWOT analysis. The following can then be developed on the strength of this SWOT analysis:

- The **vision or mission** that states what the interest is and what is to be achieved in the long run.
- **Objectives** that define more clearly and practically short- to mid-term goals.
- **Internal resources, assets or bargaining tools**, i.e. financial and human resources, expert knowledge or networks that can be drawn on. In doing so constraints should also be defined, i.e. the shortage or lack of all or some of these resources.
- **External political environment** – power structures within ministries or departments, the policy-making process, rules and procedures, institutional actors and other stakeholders.

Decide on the message, channels, target and timing

In a next step, options will have to be assessed and a choice made:

Message	What message is to be conveyed? What are the people being lobbied to do?
Channels	…of influence and of potential allies: at what level(s) are demands to be made (local, regional, national)? Will the lobbying be done alone or together, i.e. with allies or partners?
Target	Who are the actors and stakeholders? Who is important and who is less important?
Timing	At what stage in the decision-making process is it best to intervene?

When lobbying allies are needed. In recent years so-called strategic alliances, consisting of associations, companies, civil society actors etc. – often from many different sectors – have come to the fore, clustered around a certain issue (e.g. the construction of a dam) or development (e.g. the shift from conventional to renewable energies), coming together in this form for only a limited time-span (e.g. the life-span of an issue being passed into legislation). Collectively such alliances develop and present a “ready-made” consensus to decision-makers. Because of the consensual nature of the agreement among the actors, the probability of decision-makers integrating and implementing them are much higher than if several groups presented single positions – greater acceptance is almost guaranteed.

Decide on the instruments

Broadly speaking, there are two “styles” of lobbying: direct and indirect. When undertaking direct lobbying the actors or stakeholders to be influenced are spoken to directly. When lobbying indirectly an intermediary is used, including other actors, structures or communication channels.

Direct Lobbying Instruments	Indirect Lobbying Instruments
Personal visits, letters, phone calls, e-mails Invitations to and participation in events Membership in committees Presentations of your position Formal visits, contacts, delegations, requests, petitions Folders, brochures, position papers Mass media participation Advertisements Press conferences Demonstrations, boycotts, blockade, strike Litigation, court procedure	Go via national/local associations or governments Go through international networks Build ad hoc groups or work with affiliated interest groups Science and scientists Well-known personalities and VIPs Civil servants Friends inside certain structures Brokers and consultants Political parties Mass media mobilisation

These instruments may prove to be more or less helpful at different stages of the lobbying strategy and it will be necessary to decide upon which (combination of) instruments will deliver success.

Stay with the issue

When lobbying on an issue, a significant amount of staying power is required! Lobbying activities must continue until the objectives have been achieved or it is certain that all means to achieve them have been fully exhausted. If the objectives are linked to the implementation of recommendations, it will not be enough to formulate these recommendations and hand them over to decision-makers. It will be necessary to ensure their commitment and what is happening with the recommendations once they enter an often intransparent process of policy-making will have to be monitored.

Public follow-up activities are often necessary in order to avoid recommendations falling into oblivion inside a ministry or department. If the issue is directly related to a policy dossier it will be necessary to continue lobbying on the issue until the dossier is closed, i.e. when a proposal has been adopted or discarded. During such lengthy processes it is more than likely that the lobbying strategy adopted will need to be re-addressed and adapted.

5 Monitoring and Evaluation

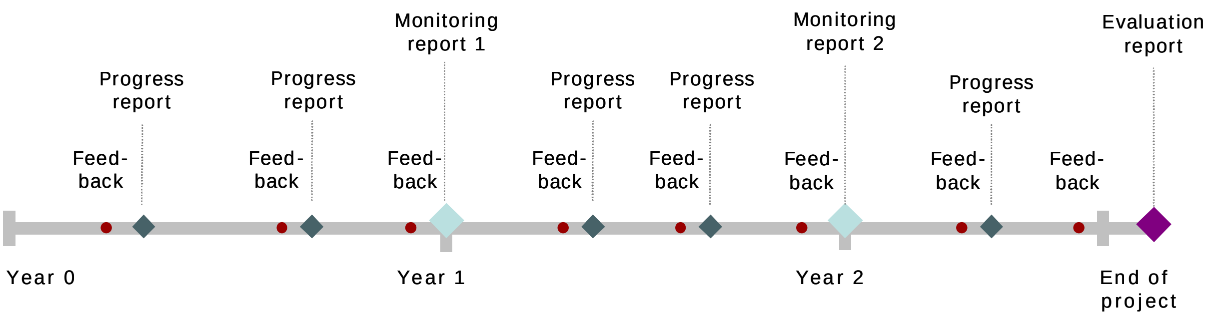
This chapter describes how to monitor and evaluate a project. Despite the fact that monitoring and evaluation are dealt with in separate sections, they are intimately related. Both are tools used to assess projects at specific points in time in order to inform decision-making and make those charged with implementing the project accountable for the project and its progress.

Both monitoring and evaluation follow roughly the same steps: defining standards (indicators or criteria) against which the project will be measured, analysing the performance of activities, synthesising results in reports and formulating recommendations based on these results to improve processes.

Whereas the section on monitoring elaborates in more detail how to establish a set of indicators, the section on evaluation demonstrates in more depth the different steps for carrying out an evaluation. The chapter concludes with a short section on feedback; one of the mechanisms that can be used to collect data needed for monitoring or evaluation reports.

The following diagram shows, in a simplified form, the relationship between monitoring, evaluation and feedback. Evaluation, in this example, happens at the end of the entire project. It is however, possible to perform evaluations in the planning or during project implementation phases.

Diagram 12 Monitoring and Evaluation: Milestones



5.1 A Monitoring Programme with Indicators

Monitoring is a continuous process for assessing a project and its environment with regard to its planned objectives, results, activities and instruments.

The purpose of monitoring is to enable stakeholders to review progress and to propose action needed to achieve the objectives.

Monitoring is often used as an early-warning mechanism to facilitate the timely correction or adjustment of operations.

External monitoring is done by institutions, agencies, organisations etc. who are not directly involved in the project. Those who manage the project monitor progress internally. Beneficiaries and other stakeholders or affected groups monitor progress while participating in the project.

Monitoring systems need to be project-specific and need to already be considered when drafting the proposal. Therefore the project's objectives, purpose and results need to be defined in operational and measurable terms by using performance indicators.

These indicators help measure inputs, processes, outputs, outcomes etc. Collecting data in these areas, e.g. through surveys, feedback questionnaires etc. makes it possible to track progress, demonstrate results and take corrective action where needed.

<u>What to monitor and how</u>

In order to assess whether things have changed, it is necessary to make comparisons. The following are just some of the things that can be compared:

- situations, i.e. how it was before and after the project was started
- areas, i.e. the area where the project takes place and similar areas without such a project
- groups, i.e. one that is working with the project and one that is not (a so-called control group)

The indicators that are used can be of both a qualitative and quantitative nature. In order to decide which indicators to use it is necessary to know in advance what kind of information is needed. Here the key question is "What types of changes are we interested in?" – for example: the presence or absence of something, the level of use, the extent or scope of an activity, the quality of a process, the effort required to achieve change, etc. Relevant indicators for this can, therefore, be:

Types of Indicators
- Simple (the number of participants). - Complex (the number of participants involved over x months). - Compound (the number of actively involved participants, where "actively" needs to be defined or assessed). - Qualitative – open-ended: perception of stakeholders of the overall performance of a project. - Qualitative – focused: perception of stakeholders about a very specific aspect of a project.

A clear and useful indicator should possess the following characteristics:

Characteristics of Indicators
- It applies to a specific target group - It uses specific unit(s) of measure - It will be monitored over a specific timeframe - It refers to a benchmark for comparison - It possesses defined qualities (often expressed with adjectives, e.g. effective, participatory, adequate etc.) - It applies to a specific location

Table 23: Monitoring

What to monitor	How to monitor	Indicators (qualitative / quantitative)
Achievement of results	Compare actual results with those planned in proposal	Types of improvements per target group Behavioural change (e.g. more involvement) Physical progress (e.g. creation of a network)
Execution of activities	Compare activities performed with milestones	Dates of starting and completing an activity
Delivery of means (human resources, material inputs)	Scan project accounts and records	Physical (e.g. appointment of staff) Financial (financial support)
Changes in the project environment	Assess the probability of assumptions and risks to happen; observe general changes in the environment (e.g. other projects in the sector)	Manifestation of a risk, Presence / absence of other projects

The issues that are monitored should produce information that can help assess the core evaluation criteria set out in the next section: relevance, effectiveness, efficiency, impact and sustainability.

It must, however, be borne in mind that some of these criteria – for example impact – can normally only be assessed after the project has been in place for some years. The results of monitoring processes are made available in progress and monitoring reports.

Material Box 7 Monitoring: Examples of Performance Indicators

As said before, performance indicators can be of both quantitative (numbers, duration, etc.) and qualitative (perception, satisfaction, etc.) nature. The following, non-exhaustive table contains a range of such indicators, which can be used for monitoring.

Numbers	Ratios	Properties	Time
Enquiries, enrolments, visits	Enquiries to enrolment	Enquiries by type	Allocation of staff time to different tasks
Enrolments	Staff to trainees	Enrolments by type, name, area, age, gender	Time spent on strategic thinking and planning
Members in network	Number of contacts before project to number after project	Of funding by source	Time spent at meetings
Requests for information	Number of people judging the event “satisfactory or above” to those judging it “below satisfactory”	Of promotional activities by type	Actual against predicated timetables
Number of visits		Of training by topic	Stages at which slippage was greatest

Achievements	Views and Opinions	Compliments and Complaints
Attainment of objectives	Of trainees, funders, researchers, politicians, etc.	Number and nature of positive feedback comments
Delivery of stated outputs	About the project, about the training programmes etc.	Levels of use of complaints procedures
Accomplishment of planned tasks	About the benefits	Satisfaction levels following complaint
Attainment of awards	About what should (not) have been done	
Existence of new policy recommendations	About the barriers	

How to structure Progress and Monitoring Reports

The difference between a progress and a monitoring report is that the former is done more frequently and contains mainly the management team’s understanding of the results achieved and the activities performed. Progress reports not only document progress but also comment on findings and draw conclusions. Based on these conclusions suggestions for action to be taken are made and responsibilities assigned. Monitoring reports are usually published yearly and highlight, in particular, the views and perception of the beneficiaries and other affected groups. They can, therefore, go into greater detail about the achievement of the issues monitored and resemble more and more the evaluation report.

5.2 Evaluation

An evaluation is a systematic and objective assessment of a project or programme that is in planning (to improve the planning), ongoing (to monitor the implementation) or already completed (to assess its impact and sustainability). This chapter focuses on the latter type of evaluations, those that happen once a project or when a major phase has been completed.

Looking at the design, implementation and results of such a project, an evaluation determines the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. The main objectives of an evaluation are to improve decision-making, resource allocation and accountability. This can be achieved by informing the public, key decision-making processes and encouraging ongoing organisational learning.

An evaluation is commissioned by an organisation, e.g. ministries, agencies, donors. They are executed by evaluators, organisations or individuals, who collect and analyse the data. The evaluator can be the organisation that manages the project (self-evaluation), research bodies, consultants or other third parties (external or independent evaluation). The evaluations drawn up are used by policy-makers, auditors, policy or project managers and staff, as well as other stakeholders that have an interest in the policy or project.

A credible evaluation needs a credible and competent evaluator who takes into account the views and opinions of the stakeholders including: the beneficiaries, external experts, the population and staff of its organisation and that of the donor. The (methodological) quality of the evaluation can be enhanced by using relevant criteria, adequate data and evidence as well as reliable and clear findings. Requirements for evaluations should be built into projects from the beginning. An open dialogue and communication of the findings also enhances credibility.

The issues addressed in an evaluation need to be relevant to political, budgetary, management or strategic decisions in order to build a link with policy- or decision-making processes, and the purpose and use of an evaluation should be clearly defined.

Steps in undertaking an Evaluation

Table 24: Steps in undertaking an Evaluation

Prepare the Evaluation		
1	Become familiar with the project and its stakeholders	What is the project about? What needs does it address? What is the goal what are the objectives, expectations? What is the context of the project? What are the activities within the project? What is the duration of the project? Who is behind the project? Who are the stakeholders (target group, beneficiaries, partners)? Who (co-)finances the project?

2	Define the objectives of the evaluation	To document what the project consisted of (what happened, when, where, why, with whom?) To define the scope or reach of the project (who was supposed to be reached, who was finally reached?) To identify the costs (what were the requirements in time, money, equipment, staff, etc.) To identify how the initiative is perceived (what do the various stakeholders consider to be strengths and weaknesses?)
Design the Evaluation		
3	Define criteria	What are the criteria used for evaluation? (see below for examples) Why were they chosen?
4	Define data to be collected and methods	What / who are the information sources? What kind of data will be used (qualitative / quantitative)? How will the data or information be collected? How will the data be analysed? What will be the sequence of the evaluation activities? How will the results of the evaluation be reported, communicated and disseminated? What are the evaluator's or the evaluating organisation's credentials in evaluating the process? What resources are needed for the evaluation? What is the timeline of activities?
Implement the Evaluation		
5	Collect the data and information	
6	Analyse the data and information, and draw conclusions	
Communicate the Results of the Evaluation		
7	Report the evaluation results	How to structure the evaluation report (see below for an example)
8	Disseminate the results and ensure their use	Who should use the results? What is their added value?

Evaluation Criteria

The following table presents a shortened version of the evaluation criteria set out by the OECD to evaluate development assistance. They are mentioned here for their straightforwardness and ease of application to various projects. In general, each criterion should be defined or explained. The questions guide the evaluator in their assessment of the extent to which a criterion has been met. In order to make evaluation results measurable and more meaningful, it can be beneficial to ask respondents to rate the attainment of a criterion on a scale (e.g. from 1 to 5). The feasibility, practicality and usefulness of such an approach must, however, be assessed in advance.

Table 25: Evaluation Criteria

Criteria	Explanation	Questions to ask
Relevance	The extent to which the project fits or addresses the priorities and policies of the target group, recipient and donor	To what extent are the objectives of the project still valid? Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives? Are the activities and outputs of the project consistent with the intended effects and impact?
Effectiveness	The extent to which the project attains its objectives	To what extent were the objectives achieved / are likely to be achieved? What were the major factors influencing the achievement or non-achievement of the objectives?
Efficiency	Measures the outputs (qualitative and/or quantitative) in relation to the inputs. Checks whether the least costly resources possible have been used to achieve the desired results.	Were activities cost-efficient? Were objectives achieved on time? Was the programme or project implemented in the most efficient way compared to alternatives?
Impact	Refers to the positive and negative changes produced by a project - directly or indirectly, intended or unintended – including main effects and impact resulting from the activity on the local social, economic, environmental and other development indicators.	What has happened as a result of the project? What real difference has the activity made to the beneficiaries? How many people have been reached?
Sustainability	Measures whether the benefits of an activity are likely to	To what extent did the benefits of a programme or project continue after donor

	continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable.	funding ceased? What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?

Whilst the criteria mentioned above should be reflected in the evaluation, they need not necessarily be formulated in the exact same way. For example the evaluation of the Dams and Development Project undertaken in October 2004 assessed the following criteria:

- Achievement of planned results with regard to the project objectives
- Delivery of key outputs and activities set out in the project document
- Performance of institutional and administrative framework
- Implementation approach (design of activities, preparatory work, flexibility etc.)
- Resource mobilisation and financial and budget planning
- Sustainability

Material Box 8 How to Structure an Evaluation Report

Chapter	Contents
Executive summary	Should state on no more than 2 pages the main results, lessons learned and recommendations of the evaluation While it should raise the interest of readers to read the whole report, it is intended for those who do not have the time to do so
Background	Describes shortly the project Established the (political, economic etc.) context of the project
Objectives and scope of the evaluation	(see “evaluation steps / preparation”)
Timing and methodology	(see “evaluation steps / design”)
Evaluation results	States in detail what the results of the evaluation are Uses tables, graphs and lists to illustrate the results
Lessons learned	Describes what has been gained in terms of knowledge or understanding through this evaluation
Conclusion and recommendations	Gives an overall and summarising assessment of the project Details what needs to be done and who should do it Gives prospects of the future and indicates the next steps
Appendicies	Lists of participants (evaluators, interviewees) Questionnaires Material produced, documents used.

5.3 Feedback

Feedback refers to messages or information that is sent back to the source of that information or message. In this case the addressee of this handbook is the source of information (e.g. the project initiator, the presenter, the organiser of an event or meeting etc.) and is interested in what others think about their performance, the event, a process, the results etc. Feedback consists of two components: giving feedback and receiving feedback. It can be oral (in a conversation) or written (in a questionnaire).

Feedback is an exchange of experience among the participants. Feedback gives people the opportunity to talk about how they experienced something, what else should be taken into consideration and what changes would help them. The purpose is to learn from their experiences and to improve the message, the event, the process etc. Feedback also helps to make a process more transparent.

Feedback questionnaires or surveys are particularly useful to inform progress, monitoring or evaluation reports. They give insights into the stakeholders' opinion about the process and possible recommendations for improvement. Individual face-to-face feedback rounds can be included after each meeting, group work, presentation, event etc. Before starting such a feedback round participants should be given some simple rules on how to give and receive feedback (see chapter 3 Facilitation).

<u>Things to consider when designing a questionnaire</u>

There are many aspects to keep in mind when drawing up a questionnaire. This section only mentions those, which will help get the ball rolling. A sample questionnaire in the materials box below illustrates what questions can be asked and how the answers can be structured.

- **Questions** can be <u>closed</u> (i.e. the options are set) or <u>open-ended</u> (i.e. participants have the freedom to put in what they like). Closed questions are more easily measured but open questions might give better indications about feelings and give people the chance to better express their recommendations or perspectives.
- **Options for answers**: Participants can be questioned about the degree to which they agree/disagree with a statement. Alternatively, they can be asked to rate their agreement/disagreement on a scale, e.g. from 1 to 5 (see below).
- **General structure**: a good way to structure the questionnaire is to ask about objectives and expectations, followed by questions about the outcomes and the expected impact. In addition, participants can be asked whether and how there were satisfied with the organisation of the event. The structure should be similar to the one chosen for monitoring or evaluating the project.
- **Anonymity**: The questionnaire need not be anonymous but people tend to be more honest if their comments cannot be traced back to them. Sensitive questions such as age or income should be used with care – if they have to be used at all. Try to circumvent such sensitivities by, for example, giving a bracket or interval for the answers.

In Part C (Material Box 13) you will find sample questions for a questionnaire.

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6 Ensuring Impact of a National Dam Dialogue

6.1 Continuity (Implementation of the Results)

Before detailing the purpose and contents of this chapter, the term continuity as used here needs to be defined. Here continuity refers to the results of the dialogue, **not** to the process itself. In this case ensuring continuity means perpetuating the outcomes of the dialogue within national policy and the national policy process.

The purpose of a dam dialogue process is to influence national policy by drawing up and disseminating commonly agreed-upon recommendations and directing these towards national government. However, these recommendations are seldom binding for the government and so it is their choice whether to implement the outcomes of the dialogue process or not.

Nonetheless there are ways in which the chances of the dialogue having a sustained impact can be increased. Some measures to achieve this are detailed in the section on the instruments for advocacy and lobbying as well as in that on formulating recommendations.

In addition to these measures the following arrangements should be made and fulfilled so as to enable and strengthen the implementation of the recommendations by the national government:

1. **Involvement:** Design the dialogue as a process of inclusion with all relevant stakeholders but especially decision-makers on board.
   Governmental authorities ought to be part of the initiation and launch of the dialogue.
   Relevant ministries, such as energy and water, should be members of the Steering Committee or the National Co-ordinating Committee.
   It is important that the involvement of a ministry in the dialogue process is undertaken by the highest official as any commitment by a lesser official is worthless until it is agreed upon by their superior.

2. **Commitment:** Create political commitment for and ownership of the dialogue.
   The relevance of the covered issues must be stressed.
   Agreement should be secured before joining the dialogue that national decision-makers at least comment on the outcomes.
   Stress the importance of a national dam dialogue as a democratic process with the National Co-ordinating Committee as a legitimate steering body representing the will of all stakeholders in dam-related issues. Therefore a government will feel obliged to consider the outcomes of the dialogue in any kind.

3. **Simplicity:** Make it easy for the government to incorporate the outcomes in national policy.
   Outcomes must be translated into the language of national policy and also justified with the appropriate terms.
   Customise the outcomes on existing policies and responsibilities in order to address the right person and with due regard for their given circumstances in an appropriate manner.
   Ensure that there is a fit between the outcomes of the dialogue and national policy by constantly providing feedback. This will help prevent the development of impracticable recommendations.

4. **Public pressure:** Gain the support of the media and civil society for the dialogue. This will provide leverage and enable the application of pressure on the government to stick to commonly agreed-upon recommendations.
   Involve and use the media to raise awareness for the dialogue and its outcomes.
   Make the recommendations available to everybody interested via a website.
   Announce publicly if a private dam operator defies recommendations for dam construction, e.g. if environmental aspects are ignored. Especially international companies will feel obliged to incorporate the recommendations, as they will seek to protect their image and reputation.

6.2 Relevance of the Dialogue Process

A national dam dialogue and its attendant bodies are not established as permanent institutions. Such a process and the work it enables may loose its relevance and its raison d'être. This chapter deals with the relevance of a dam dialogue and outlines how a dam dialogue comes to conclusion.

Relevance in this case refers to the need for the institutional bodies of the process and is not to be mistaken with the general need for the dialogue process or the need for the outcomes of the process.

The outcomes of the dam dialogue process may well still be of importance and relevance whilst the generation and the means for the generation of such results may no longer be required. In addition measures for re-activating a national dam dialogue, should such a need arise, are detailed.

<u>Reasons for concluding a national dam dialogue process</u>

- The participants determine that all the objectives set have been fulfilled and the milestones have been completed.
- The objectives set can no longer be meaningfully addressed due to functional or financial reasons.
- Important participants have opted out and the remaining stakeholders are not competent enough, are not representative or do not have sufficient authority for the continuation a successful dialogue process.
- The dialogue is not intended to accompany the implementation of the dialogue outcomes into adoption in national policy or implementation. In this case the deadline for the recommendation is the end of the process as defined at the outset.
- The circumstances have changed in such a way that makes a dam dialogue process unnecessary, e.g. it is not possible to build further dams.
- Strictly speaking only the participants are able to terminate the national dam dialogue process, but, in practice, of course the Initiator or the Secretariat can also terminate it.

- The dialogue comes to a conclusion due to severe and irreconcilable conflict between involved parties or within the dialogue organisation itself.

Re-evaluation of a national dam dialogue

Irrespective of which of the reasons mentioned above leads to the termination of the national dam dialogue, a possible re-evaluation ought to be guaranteed. A national dam dialogue can only be reactivated when the process is well documented and archived – a little like a car parked in the garage that can be used at any time, but is not needed at the moment.

In the same way it is necessary for the national dam dialogue to be stored away properly so it can be re-activated and become effective once again when it is needed. Documentation is, therefore, of an importance beyond the institutional existence of the national dam dialogue process.

The primary pre-condition for the re-activation of a national dam dialogue is the need for it, meaning that new circumstances demand new objectives, which should be addressed by means of a dam dialogue process. Any individual or group that deems a new dialogue to be necessary can function as a new external promoter and restart the process. While the external promoter may change, the Secretariat – the internal promoter – should be held by the same organisation as before the termination of the dialogue.

They will have all the relevant documents and the experience to re-activate the national dam dialogue process. It is important to note that whilst a new dialogue process can be set up when the need for it is felt, a new dialogue process should not be established simply because of the wishes of a disaffected individual or group or because of their dissatisfaction with the outcomes.

In order to avoid a “show dialogue” whose sole raison d’être is for its own sake, transparent procedures for a re-evaluation need to be defined. For instance the National Co-ordinating Committee or a smaller version of it might continue after its official termination in the form of a high-level body.

Instead of terminating the dialogue process completely, it is better to maintain it in a “light” version without multi-stakeholder events. One option would be that this high-level body meets on an annual basis to review the need for re-activating the national dam dialogue process. If it is deemed necessary then this high-level body might re-activate the dialogue in its entirety.

Part C RESOURCES

1 Additional Material Boxes

Material Box 9: Blueprint for a Budget

Direct Costs

1. Staff Directly Assigned to the Project

Function	# of people	Total # of days	Amount ($ per day)	Total
Project manager				
Media manager				
Assistant staff				
Assistant staff for media				
Secretaries				

2. Travel Expenses and Subsistence Costs for Staff

[This section will contain *estimates* as regards costs for travelling necessary to complete activities. Subsistence costs usually include per diem expenses. Yet, it is recommendable to mention per diem expenses also separately in this section]

Mode of transport	# of people	Total # of days of journeys	Average cost per journey	Total
Car				
Bus				
Flight				

Place of stay	# of people	Total # of days	Average cost per day	Total
Hotel				

3. Production, Communication and Dissemination Costs

- Production (publications, books, CD Roms, videos, internet etc.)
- Translation costs
- Distribution costs (mail, postage, packaging)
- Dissemination: advertisements, promotion, press etc. (e.g. invitations)

4. Costs linked to the Conference, Seminars and Meetings

- Premises hire
- Equipment hire

- Travel expenses, subsistence costs for participants and speakers
- Local transportation costs
- Interpretation
- External speakers fees
- Reception staff
- Reproduction costs (photocopies etc.) for documentation distributed to participants
- Other costs: markers and pens, materials

5. Other Costs Directly Related to Project Activities

- Insurance
- Transportation of equipment
- Copyright or royalties
- Experts involved

Indirect Costs / General Expenditure

- Supplies, telecommunications, postal charges
- Depreciation of computer equipment corresponding to the duration of the action

Expected Income

1. Specific Grants

Organisation	Activity	Duration	Amount
International public institutions			
National public institutions			
Regional, local public institutions			
Private companies and organisations			
International organisations			

2. Income Generated by the Project

- Registration fees
- Sale of publications

3. Self-Financing by the Applicant Organisation (and its Partners)

Material Box 10: Blueprint for a Proposal

Note: Major changes to a proposal need to be reported to and agreed by the funding organisation.

Page	Elements	Contents
Title Page	Cover page	- Must-haves: title, applicant name, date of submittal of proposal. - Optional: collaborating partners. - The title: should reflect the focus of the proposal, contain only necessary words, describe the main ideas of the project.
1	Table of contents	
2	1-page summary of the project	Think of it as an Executive Summary for someone who is unlikely to read the full proposal - Contact data of main persons/organisations involved (applicant organisation, managing organisation (if different), Secretariat) (surname/first name, position, postal address, telephone, fax, e-mail). - Project overview: gives the reader the picture of your project, sets the framework, brings it into context with the funding organisation and its objectives, mentions collaborating partners and how the project contributes to their objectives - Total cost of the project. - Amount applied for. - Duration of the project (start and end date). - Location / scope of project.
3	Project background	- Economic, social, ecological, political context and legal framework. - Related national and international programmes (e.g. UNEP DDP). - If applicable: how does it build on or complement previous phases, projects etc.? How will it avoid past mistakes? How does it strengthen collaboration? Why is it unique? - Statement of the problem / needs (what pressing problems will be addressed? Why are they important? etc.) - Expected solution (how does it contribute to the goals of the funding organisation? Why is this applicant organisation especially suited to conduct the project? etc.)
	Project goal	Describe an overall and basic goal of the project. A goal is a bold statement of what the project intends to achieve but is not easily measurable. It sets the framework for what is being proposed.
	Objectives	Objectives are operational. Usually a mix of objectives and not just one is pursued. Objectives should be arranged hierarchically, stated quantitatively, be realistic, achievable and consistent.
	Scope and reach	Specify both the - Direct target, e.g. dam-affected people. Try to prove that contact with them has been established and that they support the project. Ideally, they have been involved in drafting the project. - Indirect target, e.g. media, sponsors etc. Try to get them on board early enough in order to state their support in the proposal.

	Other project partners	- In case a consortium has been established, mention the name of each organisation, contact person and details and give a brief description of each organisation (no more than 2-3 lines). - Distinguish clearly between project partners and subcontractors (see below).
	Activities / Tasks	For each of the activities the following should be borne in mind - Why this activity is actually needed (purpose). - What kind of resources are needed to implement it. - What inputs are needed to implement it. - What outputs are expected form this specific activity. - How it will contribute to the objectives (in the short-, medium-, and long-term). (A logic model can prove useful in establishing the “answers” to these “questions” – see above)
	Expected results	Results, unlike outputs, do not refer to what come out of an activity. The term refers to the overall outcome expected to be achieved by means of the project. Possible results could include: - X people involved in information workshops etc. - The setting up of a platform or network with xx members. - A background study on the legal framework of dams in country x. - A set of recommendations handed over to x.
	Anticipated impact	Specifying the impact is a difficult tasks but will indicate whether both the possible positive and/or negative impacts of the proposed project have been thought through, including impacts on decision-making, society, the applicant organisation etc. Here it is necessary to be less specific and more forward-thinking than when writing about the project’s expected results.
	Monitoring and evaluation	(see the chapter on monitoring and evaluation) - Show how exactly it is intended that progress towards achieving the objectives, the execution of activities etc. be monitored. - Define so-called (performance) indicators to assess this progress. - Explain the means of monitoring and evaluation, i.e. the person/organisation responsible for it, the timing, the mechanisms (e.g. feedback questionnaires) etc.
	Methodology	- If it is intended that a certain methodology or methods be developed or applied, then it is necessary that they be explained e.g. specific methods for facilitation (table, group and plenary discussions), certain conflict-resolution or consensus-finding mechanisms might be intended. - Explain why they are needed in order to achieve the project’s objectives and how they address the problems and needs specified in the Executive Summary.
	Organisational structure	- Define the roles and responsibilities of each body foreseen the organisational set-up and its responsibilities with regard to the activities. - If committees are to be established, specify as far as possible who they consist of (organisations, persons). - If committees or other bodies are to be elected or selected within the course of the project, indicate how they are selected, by whom, what for etc. In case, these bodies are elected, specify the voting mechanisms (who has how many votes and what are the rules for electing such a body etc.)

		- Staff: identify key staff working on the project and present them to the funding organisation as the team they will be working with (photo, short CV etc.)
	Resources	Resources available - Network / contacts: collaboration with other organisations, membership in networks, contacts at national, regional and local level, etc. - In-kind contributions (facilities, voluntary note-takers, facilitators etc.) Resources needed - Referring back to the staff section above, indicate who will be paid from the grant (full-time or part-time) and specify sub-contractors (organisation, name etc.) - Facilities (event venues, meeting space etc.) - Equipment / supplies (laptop, monitor, projector, screen, internet connection, telephone, photocopying machine etc.)
	Budget	Check whether there are required budget categories (budget lines), accounting standards etc. that must be respected. Also verify whether seed funding or up-front payment is possible, or whether the funding organisation will pay in instalments. The budget will need to be adapted accordingly. In general, when setting up a budget, the following should be included: - The overall budget of the project and the amount asked for from the funding organisation. - Budget lines (as few as possible) outlining how much will be spent on which activity, staff, organisation, etc. at which point in time during the project. - Other sources of funding and the respective amounts.
	Timeline	The timeline should be illustrated by means of a graph in order to - Indicate what activity is planned at which point in time. - Highlight so-called milestones (specific objectives that are planned to be achieved at a certain point in time, reviews etc.). - Show that the proposed project is feasible.
	Information dissemination plan	Here it should be shown how information about (interim) results or the project in general will be disseminated to other audiences, e.g. target groups, decision-makers, the media etc.
	Risks assessment	Potential risks related to the project should be present openly and clearly and it should be indicated what their effect could be on the different elements of the proposed project.
	Sources of information	If reference is made to official documents, specific methods etc., these should be referenced in as full a manner as possible and the source unmistakeably specified.
	Appendices	For example: - Templates (e.g. questionnaires) used for monitoring and/or evaluation. - Letters of support. - Results / reports from previous phases of the project, etc. - List of people previously involved.

Material Box 11: Exemplary Code of Conduct

Sections in italic type give information on what is to be included in that section – this will vary from dialogue to dialogue.

Code of conduct for a National Dam Dialogue Forum (NDDF)

I. **Preamble:** The National Dam Dialogue Forum has been initiated to institutionalise the participation and involvement of persons or groups having a stake in dam related issues. It is not a decision-making body but an advisory body which serves as a platform for a discussion on dams and development which is open, informal, without preconditions and without predetermined outcomes. The degree of liability of its recommendations / resolutions is dependant upon the degree of achieved consensus and the willingness of the government ministries and agencies to implement the outcomes of the NDDF.

II. **Purpose and coverage of the code of conduct:** The code of conduct enters into force on the date of approval by all members of the Steering Committee. It is the framework for all activities and executing tasks on behalf of the NDDF and applies to all NDDF bodies and members during the course of their participation. The Code of Conduct ensures a smooth and productive flow of the process.

III. **Background:** *Insert here a brief introduction about the emergence of the NDDF, its name, vision and objectives, as stated in the proposal.*

IV. **Mandate:** Promoting the dialogue on dams, providing the structure and information for the relevant stakeholders, as well as developing strategies and guidelines with respect to dams development.

V. **General rules of behaviour:** A dialogue enables and allows everyone to express their opinion and interests, whilst also giving room and equal voice to opposing opinions. Every participant is obliged to solve evolving conflicts and work towards establishing a consensus on jointly developed recommendations. In addition they are also obliged to work together on the basis of transparency, trust and mutual respect.

VI. **Structure:** *Insert information which helps clarify the roles and responsibilities of each organ: Chairperson, Secretariat, Steering Committee, Coordination Committee and Dam Dialogue Forum (see the section on Structure and Roles for details).*

VII. **Meetings:** *Insert a timeline for regular meetings, note rules and procedures for timely invitation (at least two weeks in advance) with a provisional agenda and all necessary additional information, rules for the request of meetings, guidelines for the agenda.*

VIII. **Membership:** Open to all interested persons and organisations willing to accept this code of conduct. Members of the NDDF are autonomous of their institutions for all their utterances and behaviour, expect when acting for or on behalf of the NDDF. In such instances they represent the NDDF, its members and positions, decisions and opinions. It is not necessary that members of the NDDF pursue the same aims. Each member institution shall be required to complete and submit a membership admission form whereby this code of conduct is accepted. Membership is free of charge.

IX. **Scientific backing:** External expertise shall provide terms of reference by means of a background study so as to provide a common foundation of information and knowledge for the participants. Representatives of research organisations shall be members of the Steering Committee.

X. **Observers:** The Steering Committee may invite donors, development partners, or governmental authorities with a particular interest in dam-related issues to join the meetings.

XI. **Decision-making:** *Detail measures on how to reach consensus within the different bodies of the NDDF*. A dialogue aims to attain commonly agreed outcomes but nevertheless a qualified majority – *to be defined here* – shall be enforced when making decisions. *In addition, details should be given on how many participants have to be present in the particular meetings for agreements to be binding*.

XII. **Conflict resolution:** If severe conflict arises the NDDF may commission a neutral mediator, agreeable to the parties involved, to help reach a resolution.

XIII. **Documentation:** Minutes of every meeting have to be taken and delivered to all participants. A second set of minutes detailing the outcomes of a meeting shall be disseminated to all members of the NDDF (see the section on documentation and documents for further details)

XIV. **Public Relations:** *Insert information here on the status of meetings – open to the general public or not; clarify which body (Secretariat, Chair, individual participant) is responsible for and has the right to conduct public relations; include guidelines for dealing with the media*

XV. **Media Relations:** *Insert agreed upon guidelines for dealing with the media*

XVI. **Finance:** The NDDF is financed by funds raised by the Secretariat or Steering Committee in the form of grants and donations. No attendance fees will be paid; the reimbursement of expenses for the participants' attendance will depend on the solvency of the NDDF. The Secretariat shall be entitled to manage the budget and accounting.

XVII. **Administration:** *Include here details on intellectual property rights for the outputs of the NDDF, the withdrawal of membership, suspension of the code of conduct, etc.*

XVIII. **Declaration:** *Signatures of members of the Steering Committee for approval*.

***

Material Box 12: Blueprint for a Workshop Programme

Workshop: Collection of relevant issues for a dam dialogue.
Goal: Invited stakeholder shall define and prioritise themes which shall be covered within the dam dialogue process.

	Setting	Activity	Notes
Morning		**Reception** Provide participants with name badges	
	Plenary	**Welcome** Explain the process to participants	Driving Force / Initiator Facilitator
	Plenary	**Introduction of subject and objectives** Presentation of a Background Study to inform the participants.	Expert
	Plenary	Comments on Background Study	Participants ask questions to the expert
	Plenary	**Hopes and fears for this process**	Facilitator asks participants
	Plenary	**Introduction of working groups** Topic A Topic B Topic C	Facilitator suggests to discuss topics outlined in the study in several working groups.
	Plenary	**Formation of working groups**	Participants are free to decide which group to join.
	Break		
Early Afternoon		**Start of working group sessions**	Each group is supported by a facilitator
	Group	**Introduction of participants**	Participants mention name, institution and connection to dam issues
	Group	**Brainstorming** Vision 2020: Our country is the winner of a UNEP prize for dealing with dam issues in the best way. Why have we been awarded the prize?	Every input is accepted Participants formulate an achievable vision
	Group	**Focussing on challenges** What is needed to achieve this vision?	Facilitator collects ideas in a mind map

	Group	**Collection of ideas for themes** Clustering of single points into overarching topics	Facilitator finds headlines to summarise the inputs, but always reflects these back to the group
	Group	**Prioritisation of themes** Every participants compiles a list of preferences	Participants assess themes Facilitator counts the votes
	Break		
Late Afternoon	Plenary	**Presentation and sharing of results** Short overview for participants of other groups' work and results	Volunteer from each group presents the outcomes to the others
	Plenary	**Adjustment of the outcomes**	Participants add their comments to the presented outcomes
	Plenary	**Confidence voting** Disagreement has to be marked with appropriate symbols, e.g. lightning	Participants vote to express whether they are satisfied or feel comfortable with these results
	Plenary	**Feedback** Facilitator obtains feedback from participants on the workshop and their role	Facilitator decides which elements to take on and which not to
	Plenary	**Closing ceremony**	

Material Box 13 A Sample Questionnaire

Feel free to add or omit questions as appropriate.

----QUESTIONNAIRE ----

A) DEMOGRAPHIC DATA

Purpose: To get to know the participant and to try to identify correlations between some of the data and their answers.

Gender

I am…

- male ¨
- female ¨

Age

I am between the ages of

- 15-25 ¨
- 26-35 ¨
- …
- > 65

Origin

I live…

- 5-10km ¨
- 11-50km ¨
- 51-100km ¨ etc.

away from the capital / from the venue / a dam etc.

Other: occupation, income, languages etc.

B) GOALS AND EXPECTATIONS

Purpose: To see whether the goals and expectations have been well communicated to the participant or whether the participant has their own agenda. Here one or multiple answers or even open-ended questions can be used.

What is your primary motivation for participating in the project (select only 1 answer)

a. ¨ The issue (dams and development, etc.)
b. ¨ The process (participatory debate, etc.)
c. ¨ Participating in a project together with others
d. ¨ Have fun, travel
e. ¨ Other, please name: _______________

What do you think are the key objectives of the project (select 1 / multiple answers)

a. ¨ Encourage public debate
b. ¨ Contribute to solving problems surrounding dams
c. ¨ Encourage the debate between affected people and other stakeholders
d. ¨ Empower dam-affected people to influence decision-making
e. ¨ Other, please name: _______________

Other questions:

Were the objectives clear to you from the outset?

C) PROCESS

Purpose: *To see whether participants have been satisfied with the process. Participants can be asked to indicate whether they agree or disagree with statements. Alternatively participants could be asked to rate their agreement/disagreement on a scale, e.g. from 1 to 5 – the questions listed below would need to be rephrased for this. Using figures will enable the measuring of trends given that the same question is repeated for each event, activity, etc.*

During the event, I was able to communicate effectively and with ease with other stakeholders

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

Alternative: Please rate how effectively you were able to communicate with other stakeholders

(1 = very effectively -> 5 = not effectively at all, n/a = not applicable or do not know)

1	2	3	4	5	n/a
¨	¨	¨	¨	¨	¨

If you were not able to communicate effectively, please explain the reason/s for that (multiple answers possible)

a. ¨ Time problems (not enough time for the discussions, etc.)
b. ¨ Facilitators did not succeed in proving equal speaking opportunities for all participants (including myself)
c. ¨ Uncomfortable atmosphere (too loud, too cold/warm, etc.)
d. ¨ Inappropriate setting (split up in groups, change of groups, etc.)
e. ¨ Not enough knowledge about the topic
f. ¨ Insufficient information provided
g. ¨ High complexity of the process
h. ¨ Discussion and process were too much structured by rules (strict time limits for speaking or discussing, etc.)
i. ¨ Others, namely: ______________________

I found the process design (table groups, facilitation boards, use of cards, role plays, etc.) of the event hard to manage and not appropriate for developing a productive dialogue.

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

The process of the event appeared fair to me (another question could be about its transparency)

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

The issues that were discussed at the event were well selected and useful to address the problem of [the subject of your project]

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

The facilitators of the event did a great job!

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

The results achieved in the event demonstrate that ordinary people have sufficient competence and background knowledge to judge complex issues and topics

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

D) OUTCOMES

I am very satisfied with the outcomes of the event.

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

The results achieved in the event were not worth the effort invested in this project.

a. ¨ Strongly agree
b. ¨ Agree
c. ¨ Neither agree nor disagree
d. ¨ Disagree
e. ¨ Strongly disagree

E) INFLUENCE / RELEVANCE

Do you expect that the project will have significant repercussions in politics and society?

¨ Yes

¨ No

If you think it will have repercussions, please indicate which areas are likely to be affected (Multiple answers are possible)

It will have significant impact on …

a. ¨ the media

b. ¨ society

c. ¨ private actors

d. ¨ political decisions and decision-makers

e. ¨ political decisions and decision-makers on the European level

F) ADDITIONAL QUESTIONS

Which aspects do you consider relevant or not relevant when evaluating an event such as the project? (What distinguishes a "good event" from a "bad event"?)

		Very relevant	Quite relevant	Neither relevant nor irrelevant	Quite irrelevant	Totally irrel-evant
1	Assuring a fair representation of all countries, age classes and income classes and regarding gender	☐	☐	☐	☐	☐
2	Assuring high quality of facilitators and moderators	☐	☐	☐	☐	☐
3	Placing more emphasis on discussion than on reaching results	☐	☐	☐	☐	☐
4	Making sure that the outcomes are in line with the state of art in science	☐	☐	☐	☐	☐
5	Showing high sensitivity for minority opinions	☐	☐	☐	☐	☐
6	Making the process transparent and open for all participants	☐	☐	☐	☐	☐
7	Assuring effective procedures for reaching clear results	☐	☐	☐	☐	☐
8	Giving each participant the same rights to voice opinions	☐	☐	☐	☐	☐

	and to judge alternatives					
9	Assuring that the outcomes are factually correct/of high quality	☐	☐	☐	☐	☐
10	Providing access to information and knowledge to all participants	☐	☐	☐	☐	☐
11	Making sure that the outcomes are articulated in a way that the message is attractive for politicians and other decision-makers	☐	☐	☐	☐	☐
12	Making sure that every citizen understands the Outcomes	☐	☐	☐	☐	☐
13	Provide an engaged plan for communication/ impact of the results	☐	☐	☐	☐	☐
14	Assuring that a high rate of participants is satisfied with the results	☐	☐	☐	☐	☐
15	Keeping costs as low as possible	☐	☐	☐	☐	☐
16	Others: ______________________________	☐	☐	☐	☐	☐
17	Others: ______________________________	☐	☐	☐	☐	☐

G) ORGANISATION OF THE EVENT / PROCESS

How did you perceive the organisation of the event/process?

a. ¨ The organisation was very good

b. ¨ Some aspects of the organisation were good

c. ¨ The organisation was not good

(You can go more in detail by asking what aspects they particularly liked / disliked and/or asked for suggestions for improvements)

Would you take part in a similar event/process again?

a. ¨ yes

b. ¨ no

c. ¨ perhaps

THANK YOU !!!

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