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Deutsches Institut für  
Entwicklungspolitik

German Development  
Institute

## Sixth Dialogue on Water

Our research design for the country studies

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# How international (WCD) norms for SSD reach decision-makers?

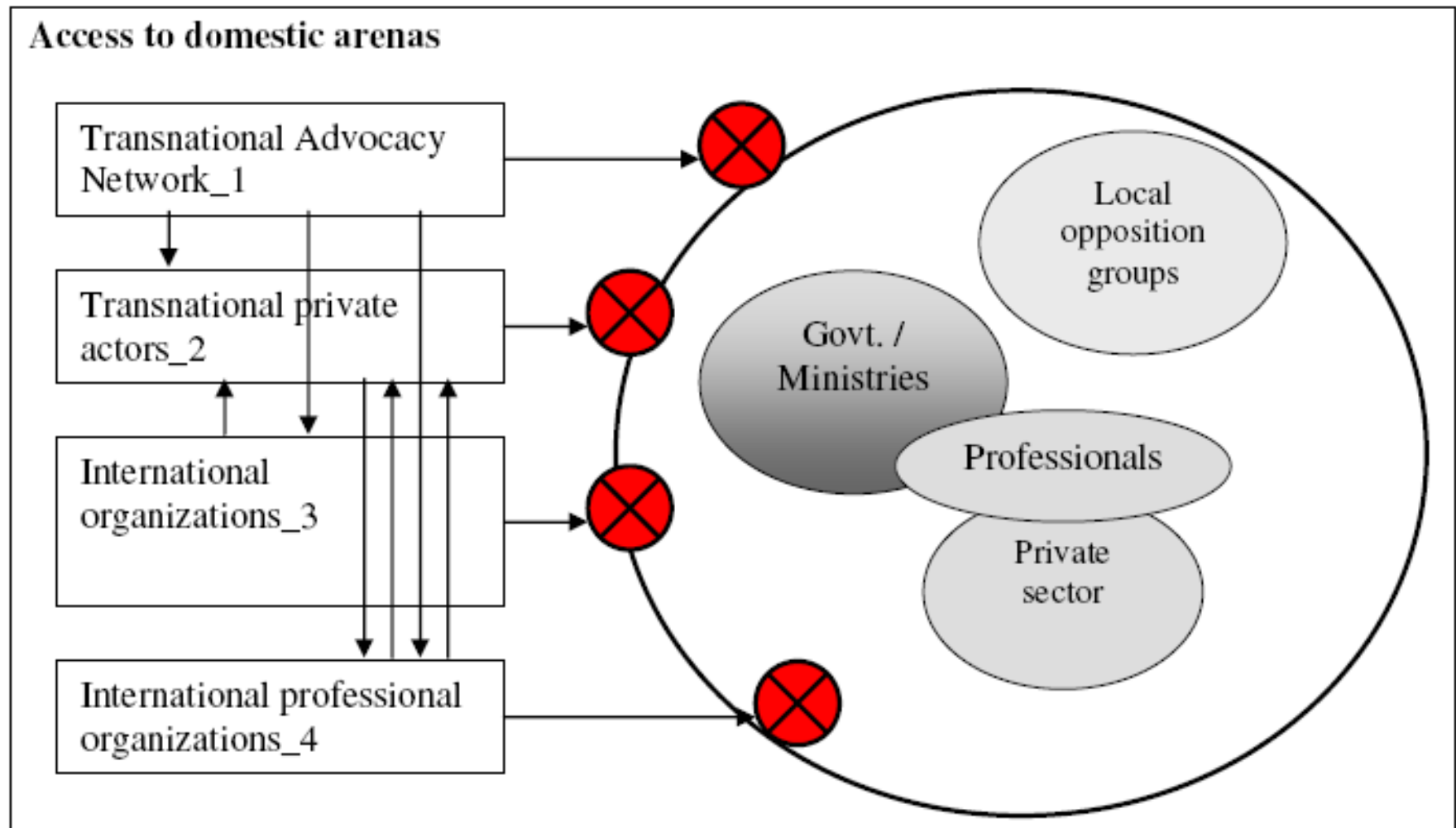


Norms do not float freely, but rely on norm carriers and on triggering events  
=> strong opposition towards WCD from China, India, Turkey, and  
moderate from Brazil.

Which factors and actors enhance the internalization of international\* norms for  
sustainable dam development in policies (laws) and individual projects, and  
how is their implementation facilitated or hampered by domestic politics?

[\* international norms and standards, acknowledging the very importance of WCD]

# Non-domestic and domestic actors as norm carriers





## Hypothesis 1

„A government’s embeddedness in international institutions / regimes and its reference to international norms increases the likelihood that global norms for sustainable dam development are internalized and implemented.“

Self-commitment // reputation //  
pressure // access to financial  
means

Figure 1: International norms as incorporated in WCD guidelines

Fundamental norms	Procedural norms	Norms related to specific issue-areas
Convention Concerning Indigenous and Tribal Peoples in Independent Countries (1989); Indigenous and Tribal Populations Convention (1957)	Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (UNECE 1998)	Convention concerning the Protection of the World Cultural and Natural Heritage (1972)
Universal Declaration of Human Rights (1948); International Covenant on Economic, Social and Cultural Rights (1966); International Covenant on Civil and Political Rights (1966)	ESPOO Convention on Environmental Impact Assessment in a Transboundary Context (UNECE 1991)	Ramsar Convention on Wetlands (1971), ... on International Trade in Endangered Species (CITES, 1973); ... on Biological Diversity (1992)
		UN Law on Non-navigational Uses of International Watercourses (1997); UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (1992); SADC Revised Protocol on Shared Watercourses (2001)



## Hypothesis 2

„Social mobilization within a society influences the internalization and implementation of international standards.“

Opponents are voters, linked with political parties / influentials;  
social unrest



Activists opposing the proposed Ilisu dam in south-east Turkey launch a new report into the social and environmental impacts of the project outside the head office of Balfour Beatty, the UK firm involved in the dam's construction. Balfour Beatty staff refused to meet with protestors and would not even accept a copy of the report. Press were also barred from taking photos on the company premises. For more info, contact Kate Greary on 01865 200550 or visit [www.ilisu.org.uk](http://www.ilisu.org.uk)  
Photo (c) Richie Andrew (14/3/2001) / Mob: 07939 331 665 / Fax: 0870 132 1630 / Email: [richie@woodworm.fsnet.co.uk](mailto:richie@woodworm.fsnet.co.uk)



## Hypothesis 3

„The reliance of domestic\* dam developers on foreign financial service providers and expertise influences decision-makers to implement international standards if they demand the application of international standards.“

\* public and private

Qualify for financial support;  
self-commitment to global compact;  
close ties with public decision-makers;  
cost reduction concerns

Multilateral development banks

**Balfour Beatty**

**HSBC** 

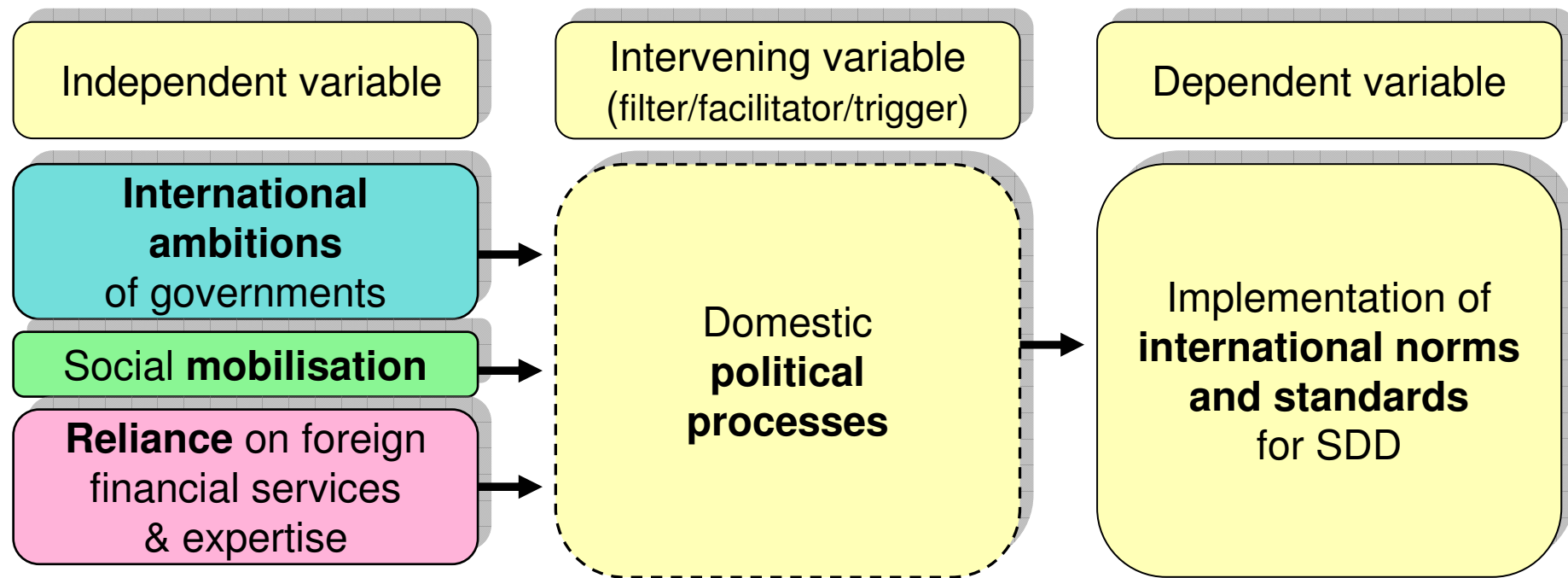
**ZÜBLIN**

Leistungen 



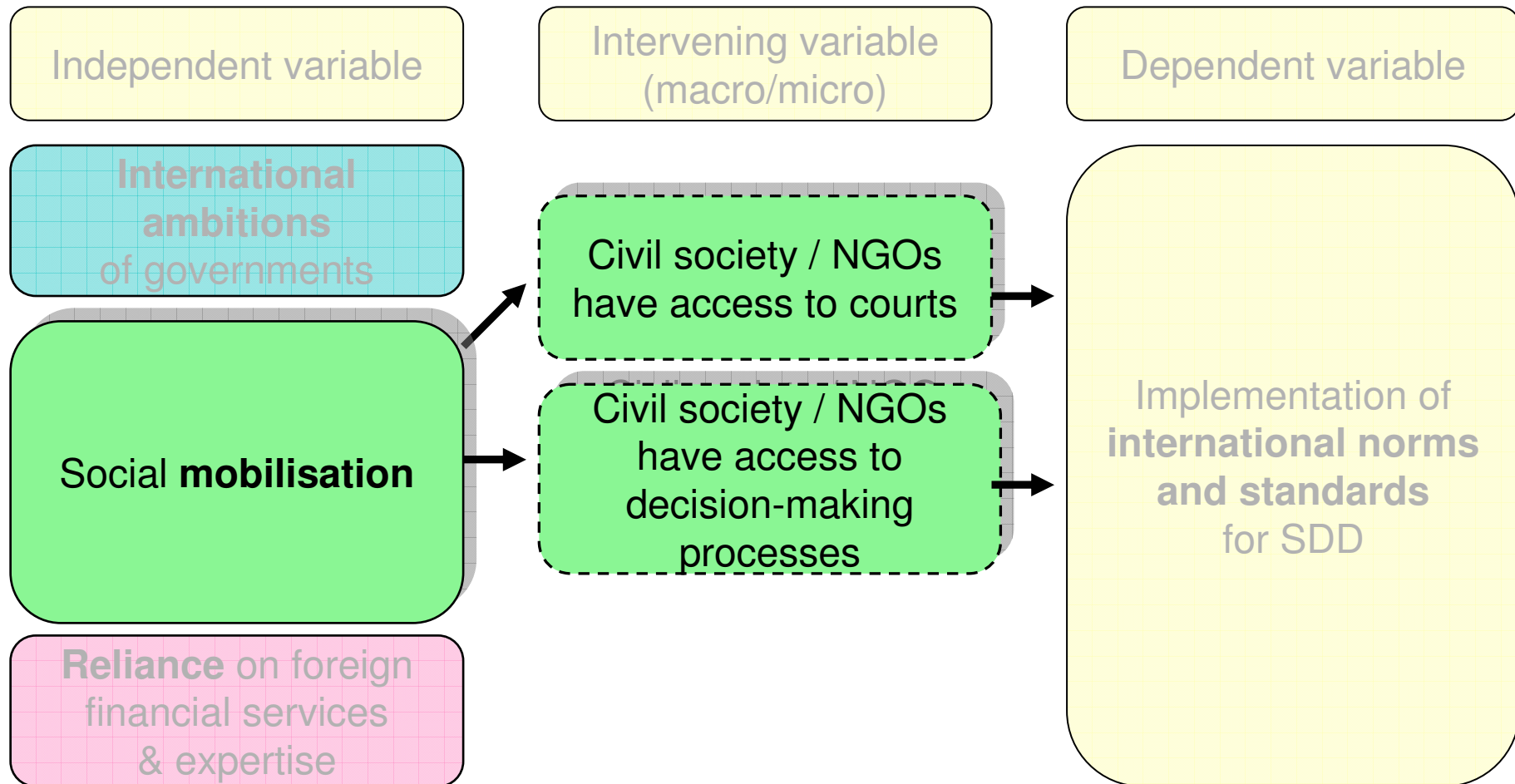
Which factors and actors enhance the internalization of international norms for sustainable dam development in policies (laws) and individual projects?

How is their implementation facilitated or hampered by domestic politics?



[Source: Turkey report]

# Domestic political processes



[Source: Turkey report]





## Analyzing change (towards international norm implementation)

### *National level*

Kind of change, and how to explain  
[(1), (2) and (3), or others],

### *Dam project level*

Role of non-domestic and domestic actors in implementing  
international norms in project planning / implementation

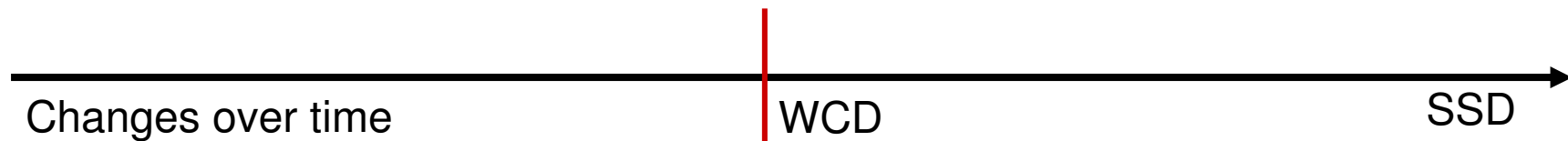
...objective is to identify **change agents / coalitions, triggers**

... differential impact within a particular group of countries

# Changes in three sub-policy field



- (1) Overall decision-making processes on water resources development:  
changes in degree of transparency and means of public participation
- (2) Environmental planning:  
application and quality of Environmental Impact Assessment to minimize adverse impacts (minimum instream flow, fish pass, alteration of design if protected sites are affected) [->Strategic Environmental Assessment]
- (3) Expropriation and resettlement planning:  
degree and kind of compensation (cash/land -> income generation -> restoration of livelihoods); RAP - prior to construction



# Selection of countries and dam projects



**Brazil, China, India and Turkey** = major dam-building nations with reservations towards the WCD guidelines

Research programme of DIE focussing on regional powers:

economic strength, developed hydro industry, mature electricity markets, less dependent on aid but private credit market [**LCDs in session 4**]

## Dam projects in countries

- Environmental and / or resettlement issues
- With / without international actors / financiers
- Pre- / Post WCD

Pre-WCD				Post-WCD			
Dam projects							
Internal financial services		External financial services		Internal financial services		External financial services	



What triggers change and who engages in ... (actors, emerging coalitions)?

Pathways of influencing change

Influence of multilateral banks and donors (how effective are conditionalities?)

Influence of transnational NGO-networks ...

Is impact on practices profound or selective?

Influence of social mobilisation and democratization

# The country studies



Agnes M. da Costa

Preliminary results after first field research  
(first draft)



Oliver Hensengerth



Nirmalya Choudhury



**Vera Baumann  
Sylvia Steiner  
Dennis Mutschler  
Anna-Lena Müller  
Thomas Walenta**



Your comments are welcome.