

## IHA PROTOCOL SECTION III – HYDROPOWER PROJECT IMPLEMENTATION

**Assesses the implementation stage of a hydropower project during which construction, resettlement and other management plans and commitments are implemented. This section of the Protocol can be used to inform the timing and conditions of project commissioning.**

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7	Indigenous Peoples	18	Communications	29	Biodiversity, Habitats and Protected Areas
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**Aspect: INTEGRATED PROJECT MANAGEMENT**

**Description:** This aspect addresses management of the hydropower project development.

**Policy Objective:** Management of all aspects of the hydropower project implementation are integrated.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Processes							
Integration							
Accountability							
Communication							
Reporting							
Management capacity							
Communications capacity							
Governance							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Project management plan implementation							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Project management plan</li> <li>- Project risk analysis</li> <li>- Evidence of resource availability</li> <li>- Evidence of resource suitability and/or competency</li> <li>- Assessment of likely asset performance</li> </ul>	<ul style="list-style-type: none"> <li>- Proposed power station asset management strategies</li> <li>- Emergency/unusual events plans</li> <li>- Analysis of long-term resource availability</li> <li>- Contingencies to cope with future changes to resource reliability</li> </ul>	<p><b>Comments for Consideration for Integrated Project Management Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspect B4 (planned operational efficiency and reliability) and B5 (project management plan).</p>
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**Aspect: GOVERNANCE**

**Description:** This aspect addresses governance of the hydropower project development.

**Policy Objective:** Measures are being implemented for comprehensive governance of project implementation, including risk assessment and management and anti-corruption measures.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Understanding of governance issues							
Risk assessment							
Anti-corruption measures							
Evaluation and reporting							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Risk management							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Identification of appropriate government policies</li> <li>- Compatibility of proponent policies on employee health, well-being and equality, with government policies</li> <li>- Compensation for gaps in government policies</li> </ul>		<p><b>Comments for Consideration for Governance Aspect:</b>                  The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspect A2 (government and proponent policies).</p>
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**Aspect: TRANSBOUNDARY ISSUES**

**Description:** This aspect addresses management of transboundary issues associated with the hydropower project development.

**Policy Objective:** A framework is being implemented to address any transboundary issues associated with the project.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i><b>Process Attributes</b></i>	<i><b>Guidance Notes</b></i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Consultation on transboundary issues							
Negotiation on transboundary issues							
Institutional capacity to manage transboundary issues							
Governance of transboundary issues							
Monitoring, evaluation and review of transboundary issues							
<i><b>Performance Attributes</b></i>	<i><b>Guidance Notes</b></i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Agreements in place to manage transboundary issues							
Management plan implementation							

**Examples of Objective Evidence to Support Scoring:**

- Regulatory agreements		<p style="color: red; margin: 0;"><b>Comments for Consideration for Transboundary Issues Aspect:</b></p> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. The example of objective evidence was taken from the existing Protocol aspect B1 (political risk and regulatory approval).
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**Aspect: SOCIAL MANAGEMENT PLAN**

**Description:** This aspect assesses the comprehensiveness of the social management program and performance in relation to original social commitments (both regulatory and voluntary) made when the scheme was approved AND to current social commitments.

**Policy Objective:** A social management plan should be developed and implemented to ensure targets and commitments to address social issues are clearly stated, publicly available, delivered, regularly reviewed and publicly reported.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:** (need to distinguish original versus current social commitments, and clarify if there were social commitments made prior to the present owner/operator’s involvement)

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Scope of the Social Management Plan	Catchment, reservoir and downstream; social infrastructure (e.g. hospitals, schools); includes original and current social commitments, both voluntary and regulatory						
Expertise / capacity to implement the Social Management Plan							
Linkages / alignment with the Social Impact Assessment (SIA)	Should have same scope and also demonstrate use of SIA data						
Disclosure / availability of the Social Management Plan document							
Targets and commitments							
Governance, accountability and responsibilities							
Integration of the Social Management Plan /with overall project plan*	Integration into other project management plans, and also project / construction scheduling						
Monitoring, review and independent evaluation /Continuous improvement*							
Updating of Social Management Plan information							
Grievance and complaints mechanisms							
Resources and responsibilities*							
Communications planning*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Understanding of original versus current social commitments							
Meeting of Social Management Plan targets and commitments*							
Stakeholder and regulator support for the Social Management Plan*							
Responsiveness of Social Management Plan to changing circumstances							
Well-being of social groups directly and indirectly affected by the project							
Plan quality*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Original SIAs and SMPs;</li> <li>- Current social management plans / commitments;</li> <li>- Records on performance of original and current social commitments</li> </ul>	<ul style="list-style-type: none"> <li>- Independent review of implementation of social management commitments;</li> <li>- Independent audit of compensation programs.</li> </ul>	<p><b>Comments for Consideration for Social Management Plan Aspect:</b>                  Attributes were identified in Forum Mtg 4. Additional guidance was taken from the existing Protocol aspects A13 and B8 (social impact assessment and management planning) and C13 (social commitments). A proposal arising from small group work at Forum Mtg 4 was that this aspect is in Protocol sections II, III and IV, and it should emphasise social impact assessment data. Group 1 at Forum Meeting 4 recommended that Integrated Project Management Planning remain as its own aspect, but not receive a high score if the Construction Management Plan, Environmental Management Plan and Social Management Plan aspects do not also score highly.                  AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: CULTURAL HERITAGE**

**Description:** This aspect addresses the level of impact and planning for protection and conservation of histories and indigenous heritage.

**Policy Objective:** Level of impact and planning for protection and conservation of histories and indigenous heritage

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Assessment process							
Management plans							
Consistency with legislation and standards							
Local/indigenous knowledge							
Consultation /communications and engagement planning*							
Issues identification and process*							
Implementation planning*							
Integration with social management plan*							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation plan quality*							
Degree of protection and conservation of historic and cultural heritage values*							
Meeting management plan targets*							
Impact minimisation/mitigation							
Meeting legislation and standards requirements							
Agreement with regulators*							
Stakeholder agreement*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Conservation plans</li> <li>- Heritage impact statements</li> <li>- Heritage plans and agreements</li> </ul>	<ul style="list-style-type: none"> <li>- Interviews with regulators and other stakeholders</li> <li>- Physical inspection of sites</li> <li>- Independent assessment of plans and proposals</li> </ul>	<p><b>Comments for Consideration for Cultural Heritage Aspect:</b>                      The description, policy objective and attributes were guided by HSAF Mtg4.                      Some examples of objective evidence were taken from the existing Protocol aspects A16 (Cultural Heritage), B12 (Cultural Heritage) and C12 (Cultural Heritage).                      AS comments: Recommended to remain as an aspect; <b>AS recommended attributes shown by *</b>.</p>
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**Aspect: INDIGENOUS PEOPLES**

**Description:** This aspect addresses the particular issues, risks and opportunities of the project with respect to indigenous or ethnic communities affected by the project.

**Policy Objective:** Indigenous and ethnic communities affected either directly or indirectly by the project should be specifically identified, adequately represented in any consultation process, and not adversely affected by the project.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Identification of ethnic and indigenous community							
Quantification of needs of indigenous peoples as compared with rest of community							
Identification of special requirements for indigenous peoples							
Engagement strategy and special resourcing needs /communications planning*							
Ethnic minority development plan							
Performance monitoring of the plan							
Issues identification and prioritisation*							
Implementation planning*							
Integration with social management plan*							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation plan quality*							
Meeting plan targets and commitments*							
Level of indigenous development							
Level of support by indigenous / ethnic groups*							
Level of opposition by indigenous / ethnic groups*							

**Examples of Objective Evidence to Support Scoring:**

- xxx	- xxx	<p><b>Comments for Consideration for Indigenous Peoples Aspect:</b>                  Attributes were identified in Forum Mtg 4. No directly comparable aspects in the existing Protocol. Guidance on policy objective taken from the IHA Sustainability Guidelines section 6.3 (p.19). A proposal arising from small group work at Forum Mtg 4 was that this aspect should be titled Indigenous Peoples &amp; Ethnic Minorities, and it should be in Protocol sections II, III and IV. AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: PUBLIC HEALTH**

**Description:** This aspect assesses the development, implementation and effectiveness of a public health program that considers areas of risk, measures to manage risk, and opportunities to improve public health benefits (e.g. improved supplies of electricity and water, increased employment, flood mitigation, provision of health facilities).

**Policy Objective:** Public health risks and opportunities should be carefully assessed, with the objectives of avoiding and managing risks and improving public health conditions for impacted communities.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Assessment of public health risks and opportunities	Issues prioritisation*						
Collection of public health baseline data							
Development of public health management plan							
Scope of public health plan							
Monitoring of and reporting on public health							
Review of public health management plan							
Identification of relevant public health standards							
Mainstreaming of public health plan into public health system							
Communications/engagement planning*							
Implementation planning*							
Integration with social management plan*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Public health impact and risk minimisation and mitigation	Levels of public health risks*						
Public health benefits realised*							
Stakeholder support for public health management plan*							
Implementation plan quality*							
Meeting public health legislation and standards requirements	These will need to be defined for each project						
Meeting public health management plan targets							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Public health risk assessment;</li> <li>- Assessment of public health enhancement opportunities;</li> <li>- Agreements with regulators and stakeholders;</li> <li>- Interviews with regulators and stakeholders;</li> </ul>	<ul style="list-style-type: none"> <li>- Public health management plans;</li> <li>- Planned monitoring program.</li> </ul>	<p><b>Comments for Consideration for Public Health Aspect:</b> Attributes were identified in Forum Mtg 4. Additional guidance was taken from the existing Protocol aspect B10 (Enhancement of Public Health and Minimisation of Public Health Risks). Guidance on the policy objective was taken from the IHA Sustainability Guidelines sections 6.1 and 6.2 (p.17). Group 2 at Forum Meeting 4 recommended that Public Health aspect remain as its own aspect. AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: RESETTLEMENT**

**Description:** This aspect assesses any resettlement issues associated with the project.

**Policy Objective:** When developing hydropower projects, displacement should be dealt with in a fair and equitable manner, including investigating all alternative to avoid/minimise displacement; thorough and transparent assessment and planning, and meaningful consultation and participation of affected communities. Displaced groups should have sufficient assistance to ensure that their livelihoods are improved or at a minimum re-established at no disadvantage, and that standards of living for both displaced and host communities are improved.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Resettlement baseline survey							
Stakeholder identification							
Disclosure of information relating to resettlement							
Informed participation of affected peoples							
Consultation and negotiation /communications & engagement planning*							
Site selection takes into account resettlement impacts and risks							
Monitoring, evaluation and review							
Resettlement management plan	Includes targets and commitments						
Consistency with legislation and standards							
Use of local and indigenous knowledge	in both assessing and managing resettlement						
Issues identification and prioritisation*							
Implementation planning*							
Integration with social management plan*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation plan quality							
Resettlement impact avoidance, minimisation, mitigation							
Stakeholder / regulator support for resettlement management plan*							
Compensation provided							
Timing of resettlement							
Change in living standard of directly affected stakeholders*							
Cohesiveness of resettled communities*							
Meeting resettlement legislation and standards requirements	These will need to be defined for each project						
Meeting resettlement management plan targets and commitments*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Social impact assessment report</li> <li>- Resettlement management plan</li> <li>- Monitoring reports</li> <li>- Documented compensation agreements</li> </ul>	<ul style="list-style-type: none"> <li>- Minutes from meetings</li> <li>- Independent reviews</li> </ul>	<p><b>Comments for Consideration for Resettlement Aspect:</b> Attributes were identified in Forum Mtg 4. No directly comparable aspects in the existing Protocol. Guidance on policy objective taken from the IHA Sustainability Guidelines section 6.2 (p.18). Group 2 at Forum Meeting 4, recommended that Resettlement remains its own aspect. AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: CONFLICT ANALYSIS**

**Description:** xxx.

**Policy Objective:** xxx.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

Process Attributes	Guidance Notes	5	4	3	2	1	0
Performance Attributes	Guidance Notes	5	4	3	2	1	0

**Examples of Objective Evidence to Support Scoring:**

- xxx	- xxx	<p><b>Comments for Consideration for Conflict Analysis Aspect:</b></p> <p>No attributes were identified in Forum Mtg 4. No directly comparable aspects in the existing Protocol, nor any guidance in the IHA Sustainability Guidelines. An examination of this aspect during small group work at Forum Mtg 4 did not reach a resolution, but noted that this should be strongly emphasised under the Transboundary Issues aspect. It also recognised that this is a cross-cutting aspect with relevance to Grievance, Complaints and Dispute Resolution Mechanisms as well as Suppliers &amp; Partners.</p> <p>DOL comments: Communications could perhaps subsume Consultation and Support; Stakeholder Identification/Mapping; Grievances, Complaints, Dispute Resolution Mechanisms and Conflict Analysis.</p> <p>DOL comments: What is the rationale for separate Conflict Analysis and Dispute Resolution aspects; both are the same?</p> <p>AS comments: Not recommended as a social aspect; recommended as a process attribute and should be incorporated into a communications guideline.</p>
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**Aspect: AFFECTED COMMUNITIES**

**Description:** This aspect assesses the success of avoidance, mitigation, compensation and enhancement programs addressing project impacts on directly affected communities, and assesses community support for these programs.

**Policy Objective:** Communities who may be affected by a project are provided with the opportunity to be represented in a fair, open and inclusive process; participate in the development of mitigation and management measures. Affected communities are compensated for impacts, are the first to benefit from the project; and participate in the identification, planning and distribution of benefits.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Identification of directly and indirectly affected communities							
Analysis of social and cultural effects on affected communities							
Social and cultural compensation and/or enhancement programs							
Involvement of affected communities							
Issues identification and prioritisation*							
Communications/engagement planning*							
Integration with social management plan*							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Stakeholder/community support*							
Meeting objectives and targets*							
Degree of disadvantage to affected communities*							
Degree of social and cultural enhancement to affected communities*							
Degree of opposition to compensation and enhancement programs							
Degree of support for compensation and enhancement programs							

**Examples of Objective Evidence to Support Scoring:**

- xxx	- xxx	<p><b>Comments for Consideration for Affected Communities Aspect:</b>                  No attributes were identified in Forum Mtg 4. Guidance was taken from the existing Protocol aspects A14 and B9 (extent and severity of social, economic and cultural impacts on directly affected stakeholders) and also C14 (directly affected stakeholders). Guidance on the policy objective was taken from the IHA Sustainability Guidelines section 6.3 (p.18 and 19).                  AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: CONSULTATION AND SUPPORT**

**Description:** This aspect assesses the consultation undertaken in relation to the hydropower project, and the degree of community and regulator support.

**Policy Objective:** Adequate, regular and ongoing consultation should be undertaken with potentially, directly and indirectly affected stakeholders. Stakeholders should have the opportunity for informed input into the decision making process. A negotiated and agreed outcome is achieved wherever possible.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Stakeholder identification							
Stakeholder consultation program							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Level of community support							
Level of community opposition							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Stakeholder and issue identification;</li> <li>- Minutes of meetings with stakeholder groups;</li> <li>- Written agreements with stakeholders or plans for agreements;</li> <li>- Records of interviews;</li> <li>- Results of surveys or polls;</li> </ul>	<p>- xxx</p>	<p><b>Comments for Consideration for Consultation and Support Aspect:</b>                  No attributes were identified in Forum Mtg 4. Guidance was taken from the existing Protocol aspect B7 (Community and Stakeholder Consultation and Support). Guidance on the policy objective was taken from the IHA Sustainability Guidelines sections 6.2 and 6.3 (p.18). A proposal arising from small group work at Forum Mtg 4 was that this could be removed as a stand-alone aspect, but ensure it is picked up as an attribute across a number of other relevant aspects.                  AS comments: Not recommended as a social aspect; should be incorporated into a communications guideline.</p>
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**Aspect: SOCIAL AND ECONOMIC DEVELOPMENT**

**Description:** xxx.

**Policy Objective:** xxx.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0

**Examples of Objective Evidence to Support Scoring:**

xxx	xxx	<p><b>Comments for Consideration for Social and Economic Development Aspect:</b>                  No attributes were identified in Forum Mtg 4. No directly comparable aspects in the existing Protocol, nor any direct guidance in the IHA Sustainability Guidelines.                  AS comments: Not recommended as a social aspect; aspect included in others, particularly Benefit Sharing and Affected Communities.</p>
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**Aspect: COMMUNITY ACCEPTANCE**

**Description:** This aspect assesses the degree of community acceptance for the project and all associated assessments, programs and plans, and the processes used to maintain that acceptance.

**Policy Objective:** Negotiated and agreed outcomes with affected communities are achieved wherever possible.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Stakeholder / community identification*							
Disclosure of information							
Public involvement							
Community participation and consultation plan							
Communication strategies /engagement planning*							
Monitoring and evaluation of plan							
Grievance process /dispute resolution planning*							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Community / stakeholder confirmation / agreements							
Level of community / stakeholder support*							
Level of community / stakeholder opposition*							
Meeting targets of consultation plan*							
Resolution of grievances /dispute resolution plan quality*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Records of meetings</li> <li>- Stakeholder identification</li> <li>- Documentation of agreements</li> <li>- Surveys and polls</li> </ul>	xxx	<p><b>Comments for Consideration for Community Acceptance Aspect:</b>                  Attributes were identified in Forum Mtg 4. Guidance was taken from the existing Protocol aspects A12 and C7 (community acceptance), and aspect B7 (community and stakeholder consultation and support). Guidance on the policy objective was taken from the IHA Sustainability Guidelines section 6.3 (p.18). Group 2 at Forum Meeting 4 recommended that Community Acceptance remain its own aspect.                  AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: LABOUR AND WORKING CONDITIONS**

**Description:** Labour and working conditions are assessed relative to appropriate national and international standards and comparable industry practice. Specifically, reference is made to IFC Performance Standard 2, which itself is guided by a series of ILO and UN conventions. Key issues to be considered include employee opportunity, equity, diversity, employee safety, and employee health.

**Policy Objective:** xxx.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Labour management system	Comprehensiveness, includes grievance management, retrenchment policy, affirmative action against gender / minority discrimination, support for local or vulnerable groups						
Reference to national law and international standards	Exclusion of child labour and forced labour, lack of minority or gender discrimination						
Engagement with workers representatives	Occurs regularly						
Negotiation process	Documented, monitored						
Issues identification and prioritisation*							
Communications/engagement planning*							
Workforce planning*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Compliance*	National law, international standards						
Risk of labour conflicts or interruptions							
Risk of staff safety incidents							
Employee safety, occupation health and wellbeing performance*							
Employee opportunity, equity and diversity*							
Engagement / relationship with labour representatives	Constructive, respectful, efficient, stable, consistent and reliable results						
Workforce plan quality*							
Employee feedback /satisfaction levels, levels of conflicts and disputes*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- occupational health and safety programs</li> <li>- training and competency records</li> <li>- incident investigation and follow up records</li> <li>- employee feedback</li> <li>- staff satisfaction surveys</li> <li>- corporate policies on equity</li> </ul>	<ul style="list-style-type: none"> <li>- employee competency levels</li> <li>- workforce and succession planning</li> <li>- employee profile</li> <li>- management profile</li> <li>- labour meeting records</li> <li>- staff safety records</li> </ul>	<p><b>Comments for Consideration for Labour and Working Conditions Aspect:</b></p> <p>Attributes were identified in Forum Mtg 4. Guidance was taken from the existing Protocol aspect C9 (employee safety, occupational health, and well-being) and C10 (employee opportunity, equity, and diversity). There was no direct guidance from the IHA Sustainability Guidelines on the policy objective. A comment arising from small group work at Forum Mtg 4 was that this aspect should cover employee opportunity, equity, diversity and safety, and that Labour &amp; Working Conditions may not be the best aspect name.</p> <p>DOL comments: Aspect should also assure that adequate training/employment opportunities are provided to local (affected) communities under the Project.</p> <p>AS comments: Recommended to remain as an aspect; <span style="color: #e67e22;">AS recommended attributes shown by *</span>.</p>
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**Aspect: SUPPLIERS AND SERVICE PROVIDERS**

**Description:** This aspect measures the organisation’s consideration of sustainability issues when purchasing goods and services. Also assesses the organisation’s relationships with major suppliers and service providers (e.g. network service provider). Note: sustainability performance of a supplier or service provider should be assessed on the basis of the potential risk of associating with that business, for example reputational risk or likelihood of non-compliance with sustainability objectives. Considerations should include things such as environmental performance, the adoption of internationally recognised labour practices, human rights, and support for local employment.

**Policy Objective:** Procurement should be based on consideration of sustainability criteria for selection of suppliers and service providers, and be undertaken with full transparency.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Understanding of sustainability issues in purchasing goods and services*							
Goods and service provider assessment and selection process*	Assessment of sustainability issues in choosing partners and investments*						
Suppliers, service providers, partners and investment planning*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Sustainability performance of suppliers and service providers*							
Organisational relationships with major suppliers and service providers*							
Meeting relevant objectives and targets*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Supplier/service provider pre-qualification process;</li> <li>- Tender requirements / specifications;</li> <li>- Evaluation of supplier performance;</li> <li>- Purchasing policy / procedures;</li> <li>- Contracts / agreements with suppliers.</li> </ul>	<ul style="list-style-type: none"> <li>- Tender evaluation;</li> <li>- Procurement staff understanding of sustainability issues;</li> <li>- Measurement and reporting of supply chain impacts.</li> </ul>	<p><b>Comments for Consideration for Suppliers and Service Providers Aspect:</b> No attributes were identified in Forum Mtg 4. Guidance was taken from the existing Protocol aspect C11 (Suppliers and Service Providers). Some indirect guidance on the policy objective was taken from the IHA Sustainability Guidelines section 7.3 (p.22). A proposal arising from small group work at Forum Mtg 4 was that the name should be changed; it should also address partners and investors, and should have an emphasis on corporate social responsibility. DOL comments: Example of evidence should include a “no bribery” policy, such as TI’s “Business s for Countering Bribery (BPCB).” AS comments: Recommended to remain as an aspect; <b>AS recommended attributes shown by *</b>.</p>
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**Aspect: GRIEVANCES, COMPLAINTS, DISPUTE RESOLUTION MECHANISMS**

Description: xxx.

Policy Objective: xxx.

Auditor’s Comment on Relevance of this Aspect to Project being Assessed:

Process Attributes	Guidance Notes	5	4	3	2	1	0
Performance Attributes	Guidance Notes	5	4	3	2	1	0

Examples of Objective Evidence to Support Scoring:

xxx	xxx	<p><b>Comments for Consideration for Grievance, Complaints and Dispute Resolution Mechanisms Aspect:</b></p> <p>No attributes were identified in Forum Mtg 4. No guidance is provided on this aspect from the existing Protocol or Sustainability Guidelines.</p> <p>DOL comments: Communications could perhaps subsume Consultation and Support; Stakeholder Identification/Mapping; Grievances, Complaints, Dispute Resolution Mechanisms and Conflict Analysis.</p> <p>DOL comments: What is the rationale for separate Conflict Analysis and Dispute Resolution aspects; both are the same?</p> <p>AS comments: Not recommended as a social aspect – should be a process attribute and incorporated into a communications guideline.</p>
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**Aspect: COMMUNICATIONS**

**Description:** This aspect addresses the effectiveness of communications in enabling the identification, preparation, implementation and operation of sustainable hydropower projects. It is recognised that communication is a necessary but not sufficient condition for project success.

**Policy Objective:** Communications in the identification, preparation, implementation and operation stages of hydropower projects meet objective standards of transparency, integrity and accountability.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Development of communications plan / strategy	Development includes a Communications-Based Assessment covering all stakeholders (including contractors) for all aspects and all stages of the hydropower project cycle						
Scope of communications plan / strategy	Covers four types of communications (development, advocacy, corporate, internal); includes consultation, participation, disclosure of information, governance, grievance management						
Accountabilities within communications plan / strategy	Communications responsibilities of different stakeholders spelled out						
Monitoring of communications plan / strategy	Independent targeted surveys, discussions with key informants						
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation of communications plan / strategy	Active implementation						
Performance indicators in communications plan / strategy met							
Effectiveness of communications with affected communities	Affected communities views on understanding of scope and impact of project; degree to which their views have been taken into account, effectiveness of communications liaison with the developer						

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Communications plan / strategy</li> <li>- Independent surveys</li> <li>- Minutes of meetings with stakeholder groups</li> <li>- Other records of stakeholder input and feedback</li> <li>- Records of interviews</li> </ul>	xxx	<p><b>Comments for Consideration for Communications Aspect:</b></p> <p>The description, policy objective and attributes were identified in Forum Mtg 4. Some guidance on examples of evidence was taken from the existing Protocol aspect B7 (Community and Stakeholder Consultation and Support).</p> <p>DOL comments: Communications could perhaps subsume Consultation and Support; Stakeholder Identification/Mapping; Grievances; Complaints; Dispute Resolution Mechanisms and Conflict Analysis.</p> <p>AS comments: Not recommended as a social aspect – process attribute in a number of aspects and deserving of its own guideline.</p>
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**Aspect: BENEFIT SHARING**

**Description:** This aspect considers three specific areas: 1. Revenue sharing; 2. Entitlements and access to resources for all project affected peoples; 3. Equitable access to electricity for those in resettlement zones and in the immediate project area.

**Policy Objective:** Project affected people will access and share in revenues generated by the project. Project affected peoples will have a role in decision making on the sharing of benefits from a project throughout the life of the project.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Project affected peoples	Includes all upstream and downstream stakeholders and affected peoples; comprehensiveness; consideration of rights						
Participation and role of project affected peoples in prioritising use and management of funds and access to entitlements							
Management of benefit sharing process	Representatives of all stakeholders involved						
Institutional capacity	Considered and resourced						
Local skills, training and job creation	Optimised through contractual arrangements						
Opportunity identification and selection*							
Communications/engagement planning*							
Implementation planning*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Finance secured for revenue sharing							
Access to electricity by project affected peoples							
Range of project affected people reached /stakeholder & community support*							
Extent to which opportunities and priorities as identified by project affected peoples have been realised							
Extent to which benefit sharing plan is linked to poverty reduction priorities as identified by communities in development plans							
Extent of livelihood restitution and food security attained	i.e. level of avoidance of impoverishment in resettled households						
Meeting objectives and targets*							
Implementation plan quality*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Benefit sharing plan</li> <li>- Electricity distribution mapping</li> <li>- Revenue sharing financial records</li> <li>- Independent assessments of poverty, livelihoods and food security</li> <li>- Evidence of entitlements and access to resources</li> </ul>	xxx	<p><b>Comments for Consideration for Benefit Sharing Aspect:</b> Description, policy objective, and attributes were identified in Forum Mtg 4. There is no comparable aspect in the existing IHA Protocol; indirectly related are aspect A9 (additional benefits and capacity building); aspect B3 (additional benefits); and aspect C3 (additional economic benefits). Group discussions at Forum Meeting 4 recommended that Benefit Sharing be retained as an aspect. AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: ADDITIONAL BENEFITS**

**Description:** This aspect addresses additional benefits which will arise from the hydropower project development beyond generation of energy.

**Policy Objective:** The full potential for additional benefits of the project development are being pursued.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Recognition and opportunities							
Benefit sharing							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Pursuit of opportunities							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Identification of types and range of additional benefits</li> <li>- Plans to measure effectiveness of additional benefits</li> <li>- Evidence of stakeholder support</li> </ul>	<ul style="list-style-type: none"> <li>- Identification of stakeholders</li> <li>- Assessment of opportunity</li> <li>- Independent assessment of plans and proposals</li> </ul>	<p><b>Comments for Consideration for Additional Benefits Aspect:</b></p> <p>The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects A9 (additional benefits and capacity building) and B3 (additional economic benefits). Group 1 at Forum Meeting 4 recommended that Additional Benefits remain as its own aspect.</p>
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**Aspect: ASSOCIATED INFRASTRUCTURE IMPACTS**

**Description:** This aspect addresses impacts from development of infrastructure associated with the hydropower project development.

**Policy Objective:** Impacts of infrastructure associated with project development are well managed and monitored.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Avoidance, minimisation, management, mitigation strategies							
Consultation on associated infrastructure impacts							
Management capacity							
Monitoring, evaluation and independent review							
EIA/SIA for associated infrastructure?							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Construction management plan</li> <li>- Emergency response program or plans</li> <li>- Land rehabilitation and restoration plans</li> <li>- Chemical management plans</li> </ul>	<ul style="list-style-type: none"> <li>- Protocols and agreements with local community</li> <li>- Protocols and agreements regarding construction workforce</li> <li>- Social and environmental plans relating to associated infrastructure, e.g. roads.</li> </ul>	<p><b>Comments for Consideration for Associated Infrastructure Impacts Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B15 (construction and associated infrastructure impacts).</p>
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**Aspect: ASSET AND COMMUNITY SAFETY**

**Description:** This aspect assesses community and asset safety.

**Policy Objective:** The first priority for dam designers, builders, owners and operators is dam safety and the protection of life, property and the environment from the consequences of dam failure. Communities should not be exposed to unacceptable safety risks.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Safety management and monitoring plan	Regular monitoring and reporting						
Emergency Preparedness Plan (EPP) /asset safety planning*	Accessible/known to all downstream and riparian/reservoir communities						
Staff consultations	occur regularly						
Auditing and reporting on safety performance	against safety management plan and safety requirements, occurs regularly						
Community consultations and training for safety and EPP	occur regularly, minutes and agreements recorded, action reported against						
Training	staff / community representatives and responsible people						
Resourcing	Appropriate resourcing for staff / community representatives and responsible people						
Log of complaints and suggestions	regularly updated and widely disseminated						
Communications/engagement planning*							
Issues identification and prioritisation*							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Involvement of regulators and safety oriented stakeholders in monitoring, testing, reporting	Stakeholders could include locals councils, Environmental Protection Agency						
Complaints mechanism	In place, working, information disseminated of its existence to staff and other stakeholders						
Community participation /support*	Actively part of the planning and monitoring processes of safety assessments and reporting						
Asset safety plan quality*							
Emergency preparedness plan quality*							
Safety performance statistics*							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Safety management plans</li> <li>- Emergency preparedness plans</li> <li>- Safety monitoring reports and records</li> <li>- Safety training records</li> <li>- Complaints logs/records</li> <li>- Safety compliance reports</li> </ul>	<ul style="list-style-type: none"> <li>- Safety issue identification / risk assessment reports</li> <li>- Independent verifications</li> <li>- Incident investigations and corrective action records</li> <li>- Agreements with emergency authorities</li> </ul>	<p><b>Comments for Consideration for Safety Aspect:</b> Attributes were identified in Forum Mtg 4. Guidance was taken from the existing Protocol aspects A15 (safety issues and hazards), B11 (safety), and C8 (dam, power station and associated infrastructure safety). Guidance on the policy objective was taken from the IHA Sustainability Guidelines section 4.4 on Safety. A recommendation from the group work at Forum Mtg 4 was to retain Safety as an aspect, but change the aspect name to Asset &amp; Community Safety. DOL comments: Independent advice and verification from a Panel of Experts should be a part of SOP throughout the project cycle. AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</p>
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**Aspect: ENVIRONMENTAL IMPACT ASSESSMENT**

**Description:** This aspect addresses the environmental impacts associated with the hydropower project development and operation.

**Policy Objective:** Environmental impacts associated with project development and operation are well managed and monitored.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i><b>Process Attributes</b></i>	<i><b>Guidance Notes</b></i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Avoidance, minimisation, management, mitigation strategies							
Consultation on environmental impact assessment							
Adaptive management							
Monitoring and evaluation							
Transparency of environmental impact process							
<i><b>Performance Attributes</b></i>	<i><b>Guidance Notes</b></i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Plans for environmental impact assessment or the actual assessment</li> <li>- Identification and risk assessment of environmental issues</li> <li>- Interviews with regulators and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>- Agreements with stakeholders and/or regulators</li> <li>- Stakeholder and regulator consultation plans</li> <li>- Independent expert testimony on EIA plans or content</li> <li>- Options assessment (for projects proposed for an unregulated river system)</li> </ul>	<p><b>Comments for Consideration for Environmental Impact Assessment Aspect:</b></p> <p>The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support), B13 (environmental impact assessment and management system) and B14 (threshold and cumulative environmental or social impacts).</p>
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**Aspect: ENVIRONMENTAL MANAGEMENT PLAN/SYSTEM**

**Description:** This aspect addresses the environmental management plan for construction and operation of the hydropower project.

**Policy Objective:** An environmental management plan is being implemented within an independently certified environmental management system.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<b>Process Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Environmental management plan							
Environmental management system							
Accountability							
Management capacity							
Governance							
Integration with project management planning							
Tranparency?							
Certification?							
<b>Performance Attributes</b>	<b>Guidance Notes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Commitment delivery							
Stakeholder and regulatory support							
certification							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Plans for environmental impact assessment or the actual assessment</li> <li>- Identification and risk assessment of environmental issues</li> <li>- Interviews with regulators and stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>- Agreements with stakeholders and/or regulators</li> <li>- Stakeholder and regulator consultation plans</li> <li>- Independent expert testimony on EIA plans or content</li> </ul>	<p><b>Comments for Consideration for Environmental Managment Plan/System Aspect:</b></p> <p>The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B13 (environmental impact assessment and management system).</p>
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**Aspect: CONSTRUCTION MANAGEMENT PLAN**

**Description:** This aspect addresses the construction management plan for the hydropower project development.

**Policy Objective:** A construction management plan is being implemented and is integrated into the broader management planning framework.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Construction management plan							
Accountability							
Management capacity							
Governance							
Integration with project management planning							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation commitment delivery							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Construction management plan</li> <li>- Emergency response program or plans</li> <li>- Land rehabilitation and restoration plans</li> <li>- Chemical management plans</li> </ul>	<ul style="list-style-type: none"> <li>- Protocols and agreements with local community</li> <li>- Protocols and agreements regarding construction workforce</li> <li>- Social and environmental plans relating to associated infrastructure, e.g. roads.</li> </ul>	<p><b>Comments for Consideration for Construction Management Plan Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspect B15 (construction and associated infrastructure impacts).</p>
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**Aspect: CATCHMENT MANAGEMENT**

**Description:** This aspect addresses the catchment management plan for the hydropower project development.

**Policy Objective:** A catchment management plan is being implemented.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Catchment management plan							
Consultation							
Recognition of rights							
Accountability							
Management capacity							
Governance							
Integration with project management planning							
Transparency?							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Design plans for land restoration and rehabilitation</li> <li>- Construction management plans</li> <li>- Revegetation program or planning</li> <li>- Weed control program</li> <li>- Site sediment controls or planning</li> <li>- Catchment management agreements or planning</li> </ul>	<ul style="list-style-type: none"> <li>- Land use agreements of planning</li> <li>- Vegetation retention or protection programs, e.g., riparian vegetation</li> <li>- High-value terrestrial habitat retention or protection programs</li> <li>- Written agreements with stakeholders</li> </ul>	<p><b>Comments for Consideration for Catchment Management Plan Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B16 (land management and rehabilitation).</p>
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**Aspect: RESERVOIR MANAGEMENT**

**Description:** This aspect addresses the reservoir management plan for the hydropower project development.

**Policy Objective:** A reservoir management plan is being implemented.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Reservoir management plan							
Consultation							
Recognition of rights							
Accountability							
Management capacity							
Governance							
Integration with project management planning							
Transparency?							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Regulatory agreements</li> <li>- Documented environmental, social, and economic objectives</li> <li>- Surveys or other measures of stakeholder opinion</li> </ul>	<ul style="list-style-type: none"> <li>- Investigations and scientific reports</li> <li>- Monitoring plans</li> <li>- Interviews with stakeholders and regulators</li> </ul>	<p><b>Comments for Consideration for Reservoir Management Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B18 (environmental flows and reservoir management).</p>
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**Aspect: ENVIRONMENTAL FLOWS**

**Description:** This aspect addresses environmental flows associated with the hydropower project development.

**Policy Objective:** Provisions in place to ensure delivery and monitoring of agreed environmental flows.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Monitoring, evaluation and review							
Understanding of relationship between hydrology, ecosystem needs and ecosystem services							
Use of indigenous knowledge							
Consultation							
Links to design optimization							
Management capacity							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Commitment delivery							
Downstream flow objectives being met							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Regulatory agreements</li> <li>- Documented environmental, social, and economic objectives</li> <li>- Surveys or other measures of stakeholder opinion</li> </ul>	<ul style="list-style-type: none"> <li>- Investigations and scientific reports</li> <li>- Monitoring plans</li> <li>- Interviews with stakeholders and regulators</li> </ul>	<p><b>Comments for Consideration for Environmental Flows Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B18 (environmental flows and reservoir management).</p>
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**Aspect: BIODIVERSITY, HABITATS AND PROTECTED AREAS**

**Description:** This aspect addresses biodiversity, habitats and protected areas issues associated with hydropower project development.

**Policy Objective:** Potential biodiversity, habitats and protected areas issues are well managed and monitored.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Avoidance, minimisation, management, mitigation strategies							
Scope							
Management capacity							
Use of indigenous knowledge							
Consultation							
Link to site selection and design							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Research and database on threatened species</li> <li>- Documented agreements in relation to ecosystem values</li> <li>- Research on fish passage and pest barriers</li> <li>- Plans for physical infrastructure, e.g. fish lifts</li> </ul>	<ul style="list-style-type: none"> <li>- Biological monitoring plans</li> <li>- Interviews with regulators</li> <li>- Independent assessment by appropriately qualified individuals or groups</li> </ul>	<p><b>Comments for Consideration for Biodiversity, Habitats and Protected Areas Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B17 (biodiversity and pest species).</p>
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**Aspect: PEST AND INVASIVE SPECIES**

**Description:** This aspect addresses pest and invasive species issues associated with hydropower project development.

**Policy Objective:** Potential pest and invasive species issues are well managed and monitored.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Avoidance, minimisation, management, mitigation strategies							
Scope							
Management capacity							
Use of indigenous knowledge							
Consultation							
Link to site selection and design							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Research and database on threatened species</li> <li>- Documented agreements in relation to ecosystem values</li> <li>- Research on fish passage and pest barriers</li> <li>- Plans for physical infrastructure, e.g. fish lifts</li> </ul>	<ul style="list-style-type: none"> <li>- Biological monitoring plans</li> <li>- Interviews with regulators</li> <li>- Independent assessment by appropriately qualified individuals or groups</li> </ul>	<p><b>Comments for Consideration for Pest and Invasive Species Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B17 (biodiversity and pest species).</p>
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**Aspect: SEDIMENTATION AND EROSION**

**Description:** This aspect addresses sedimentation and erosion issues associated with hydropower project development.

**Policy Objective:** Potential sedimentation and erosion issues are well managed and monitored.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Avoidance, minimisation, management, mitigation strategies							
Scope							
Management capacity							
Use of indigenous knowledge							
Consultation							
Link to site selection and design							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Sedimentation and erosion risk management planning</li> <li>- Investigations into sedimentation and erosion issues in the reservoir and downstream</li> <li>- Stakeholder surveys and agreements</li> </ul>	<ul style="list-style-type: none"> <li>- Regulatory license requirements</li> <li>- Interviews with stakeholders and regulators</li> </ul>	<p><b>Comments for Consideration for Sedimentation and Erosion Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B19 (sedimentation and erosion).</p>
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**Aspect: WATER QUALITY**

**Description:** This aspect addresses water quality issues associated with hydropower project development.

**Policy Objective:** Potential water quality issues are well managed and monitored.

**Auditor’s Comment on Relevance of this Aspect to Project being Assessed:**

<i>Process Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Avoidance, minimisation, management, mitigation strategies							
Scope							
Management capacity							
Use of indigenous knowledge							
Consultation							
Link to site selection and design							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

**Examples of Objective Evidence to Support Scoring:**

<ul style="list-style-type: none"> <li>- Water quality management planning</li> <li>- Water license and water quality commitments</li> <li>- Water quality investigations</li> </ul>	<ul style="list-style-type: none"> <li>- Records of negotiations with other water users</li> <li>- Water quality management agreements with other users</li> <li>- Interviews with regulators</li> </ul>	<p><b>Comments for Consideration for Water Quality Aspect:</b> The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Some examples of objective evidence were taken from the existing Protocol aspects B7 (community and stakeholder consultation and support) and B20 (water quality).</p>
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