

IHA PROTOCOL SECTION IV – HYDROPOWER OPERATING FACILITIES

Assesses the operation of a hydropower facility. This section of the Protocol can be used to inform the view that the facility is operating on a sustainable basis with active measures in place towards continuous improvement.

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Aspect: REGIONAL AND NATIONAL POLICIES AND PLANS

Description: This aspect addresses regional and national policies and plans as they relate to ongoing operation of the hydropower facility, including energy, water, climate change, conservation and development.

Policy Objective: Regional and national policies and plans are understood and align with hydropower operations.

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
Understanding of regional and national policies and plans							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Linkages with hydropower operations							

Examples of Objective Evidence to Support Scoring:

		<p>Comments for Consideration for Regional and National Policies and Plans Aspect: The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. No examples of objective evidence available in either the IHA Sustainability Guidelines or the IHA Sustainability Assessment Protocol. Group 3 at Forum Meeting 4 recommended that the Regional and National Policies and Plans and Transboundary Issues aspects be merged.</p>
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Aspect: TRANSBOUNDARY ISSUES

Description: This aspect addresses management of transboundary issues associated with the ongoing operation of the hydropower facility.

Policy Objective: Transboundary issues associated with the facility are effectively managed.

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
Consultation							
Management plan							
Institutional capacity							
Governance							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Negotiation and agreements							
Implementation							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Stakeholder/shareholder feedback - Documentation of business strategy 		<p>Comments for Consideration for Transboundary Issues Aspect: 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 C1 (governance). Group 3 at Forum Meeting 4 recommended that the Transboundary Issues and Regional and National Policies and Plans aspects be merged.</p>
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Aspect: GOVERNANCE

Description: This aspect addresses governance of the operating hydropower facility.

Policy Objective: Measures are in place for comprehensive governance of project development, 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>	5	4	3	2	1	0
Understanding of governance							
Understanding of operational risks							
Risk assessment							
Anti-corruption measures							
Evaluation and reporting							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Risk management							
Anti-corruption performance							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Documentation of vision, values, strategy, or business s - Sustainability policy or policies on economic, social, and environmental performance - Codes of conduct - Stakeholder/shareholder feedback 	<ul style="list-style-type: none"> - Awards and independent testimony (e.g. information on Sustainable Hydropower website) - Management systems audits and certifications - Sustainability performance reporting (internal and external) - Independent assessment of business structure effectiveness 	<p>Comments for Consideration for Governance Aspect: 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 C1 (governance). Group 3 at Forum Meeting 4 recommended that Governance and Political Risk remain as separate aspects, but need to be better distinguished by their language.</p>
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Aspect: POLITICAL RISK

Description: This aspect addresses the ongoing political risks associated with the operating hydropower facility.

Policy Objective: The ongoing political risks of hydropower operation are understood and being managed.

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
Understanding of political risks							
Transparency							
Reporting							
Management and mitigation responses							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							

Examples of Objective Evidence to Support Scoring:

		<p>Comments for Consideration for Political Risk Aspect: The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. No examples of objective evidence available in either the IHA Sustainability Guidelines or the IHA Sustainability Assessment Protocol. Group 3 at Forum Meeting 4 recommended that Governance and Political Risk remain as separate aspects, but need to be better distinguished by their language.</p>
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Aspect: ECONOMIC VIABILITY

Description: This aspect addresses the ongoing economic viability of the operation hydropower facility.

Policy Objective: Operational decision-making is subject to cost-benefit analyses and factor in social and environmental considerations.

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
Cost-benefit analysis							
Review and updates							
Consideration of environmental and social costs and benefits							
Benefit sharing							
Transparency?							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Business plan - Business charter - Other documentation detailing agreed benchmarks and targets - Annual reports and balance sheet 	<ul style="list-style-type: none"> - Shareholder feedback - Audit reports - Independent assessment of economic performance - Credit rating 	<p style="color: red; margin: 0;">Comments for Consideration for Economic Viability Aspect:</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 aspect C2 (economic viability). Group 3 at Forum Meeting 4 recommended that the aspect’s title be changed from “Economic Viability” to Economic Risks and Opportunities.” It was also recommended that the Additional Benefits aspect be merged into Economic Viability.</p>
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Aspect: FINANCIAL VIABILITY

Description: This aspect addresses ongoing financial viability of the operating hydropower facility.

Policy Objective: The facility is financially viable and all financial commitment can be met.

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
Financial planning							
Financial risk assessment							
Management capacity							
Anti-corruption measures							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Ability to meet financial obligations							
Risk management							

Examples of Objective Evidence to Support Scoring:

		<p>Comments for Consideration for Financial Viability Aspect: The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. No examples of objective evidence available in either the IHA Sustainability Guidelines or the IHA Sustainability Assessment Protocol. Group 3 at Forum Meeting 4 recommended that Financial Viability be merged into the Markets, Innovation and Research aspect, which should then emphasise a need to be forward looking, and to consider financial opportunities and risks.</p>
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Aspect: MARKETS, INNOVATION AND RESEARCH

Description: This aspect addresses the understanding of short- and long-term market conditions, and ability to respond to potential changes.

Policy Objective: Short- and long-term conditions are monitored and linked to forward planning.

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
Understanding							
Monitoring							
Prediction and forecasting							
Risk assessment							
Opportunity assessment							
Research and development							
Business development strategies							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Opportunities realised							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Market research - Research and development program - Evidence of application of new solutions - Awards and external recognition for innovation and/or research and development program 	<ul style="list-style-type: none"> - Examples of new products - Examples of expansion into new markets - Examples of response to market demands 	<p>Comments for Consideration for Markets, Innovation and Research Aspect:</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 aspect C4 (markets and innovation). Group 3 at Forum Meeting 4 recommended that the Financial Viability aspect be merged into Markets, Innovation and Research, which should then emphasise a need to be forward looking, and to consider financial opportunities and risks.</p>
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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)

Process Attributes	Guidance Notes	5	4	3	2	1	0
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*							
Performance Attributes	Guidance Notes	5	4	3	2	1	0
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"> - Original SIAs and SMPs; - Current social management plans / commitments; - Records on performance of original and current social commitments 	<ul style="list-style-type: none"> - Independent review of implementation of social management commitments; - Independent audit of compensation programs. 	<p>Comments for Consideration for Social Management Plan Aspect:</p> <p>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>	5	4	3	2	1	0
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>	5	4	3	2	1	0
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"> - Conservation plans - Heritage impact statements - Heritage plans and agreements 	<ul style="list-style-type: none"> - Interviews with regulators and other stakeholders - Physical inspection of sites - Independent assessment of plans and proposals 	<p>Comments for Consideration for Cultural Heritage Aspect: 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; AS recommended attributes shown by *.</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>	5	4	3	2	1	0
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>	5	4	3	2	1	0
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>Comments for Consideration for Indigenous Peoples Aspect: 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 & 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:

Process Attributes	Guidance Notes	5	4	3	2	1	0
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*							
Performance Attributes	Guidance Notes	5	4	3	2	1	0
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"> - Public health risk assessment; - Assessment of public health enhancement opportunities; - Agreements with regulators and stakeholders; - Interviews with regulators and stakeholders; 	<ul style="list-style-type: none"> - Public health management plans; - Planned monitoring program. 	<p>Comments for Consideration for Public Health Aspect: 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 discussions at Forum Meeting 4 recommended that, as proposed in Attachment 1 of Forum Mtg4 Paper 14, the Public Health aspect remain as it is. AS comments: Recommended to remain as an aspect; AS recommended attributes shown by *.</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>	5	4	3	2	1	0
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>	5	4	3	2	1	0
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:

-	-	<p>Comments for Consideration for Affected Communities Aspect: 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: 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:

		<p>Comments for Consideration for Social and Economic Development Aspect: 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: 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:

Process Attributes	Guidance Notes	5	4	3	2	1	0
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*							
Performance Attributes	Guidance Notes	5	4	3	2	1	0
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"> - occupational health and safety programs - training and competency records - incident investigation and follow up records - employee feedback - staff satisfaction surveys - corporate policies on equity 	<ul style="list-style-type: none"> - employee competency levels - workforce and succession planning - employee profile - management profile - labour meeting records - staff safety records 	<p style="color: #e74c3c; margin: 0;">Comments for Consideration for Labour and Working Conditions Aspect:</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 & 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; AS recommended attributes shown by *.</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:

<i>Process Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
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*							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
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"> - Supplier/service provider pre-qualification process; - Tender requirements / specifications; - Evaluation of supplier performance; - Purchasing policy / procedures; - Contracts / agreements with suppliers. 	<ul style="list-style-type: none"> - Tender evaluation; - Procurement staff understanding of sustainability issues; - Measurement and reporting of supply chain impacts. 	<p>Comments for Consideration for Suppliers and Service Providers Aspect: 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; AS recommended attributes shown by *.</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>Comments for Consideration for Grievance, Complaints and Dispute Resolution Mechanisms Aspect:</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>	5	4	3	2	1	0
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>	5	4	3	2	1	0
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"> - Communications plan / strategy - Independent surveys - Minutes of meetings with stakeholder groups - Other records of stakeholder input and feedback - Records of interviews 	xxx	<p>Comments for Consideration for Communications Aspect:</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:

Process Attributes	Guidance Notes	5	4	3	2	1	0
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*							
Performance Attributes	Guidance Notes	5	4	3	2	1	0
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"> - Benefit sharing plan - Electricity distribution mapping - Revenue sharing financial records - Independent assessments of poverty, livelihoods and food security - Evidence of entitlements and access to resources 	xxx	<p>Comments for Consideration for Benefit Sharing Aspect: 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 its own 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 beyond generation of energy associated with the operating hydropower facility.

Policy Objective: The full potential for additional benefits of the project development has been pursued.

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
Recognition of opportunities							
Benefit sharing							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Pursuit of opportunities for additional benefits							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Types and range of additional benefits - Independent assessment of performance - Identification of stakeholders - Surveys of stakeholder support 	<ul style="list-style-type: none"> - Interviews and discussions with stakeholders - Assessment of opportunity - Plans to measure effectiveness of additional benefits 	<p>Comments for Consideration for Additional Benefits Aspect: 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: ASSET RELIABILITY AND EFFICIENCY

Description: This aspect addresses the reliability and efficiency of the assets of the operating hydropower facility.

Policy Objective: Reliability and efficiency of assets ensured.

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
Reliability and efficiency monitoring							
Demonstrated capacity							
Risk assessment							
Anti-corruption							
Testing of asset reliability and efficiency							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Risk management (this is a process in S.II?)							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Periodic reviews - Independent assessment of hydrological management system - Program of asset upgrades - Information on system efficiency - Information on comparative equipment and system performance - Information on practicability of constraint removal - Information on the operational efficiency of individual power station, or groups of power stations, in the context of the broader system and relevant market arrangements. - Operational efficiency identification, measurement, and assessment process - Hydrological monitoring and analysis program - Energy production management system 	<ul style="list-style-type: none"> - Record of asset performance - Power station asset management strategies and programs - Asset performance guarantees - Emergency/unusual events plan/exercises - Analysis of long-term hydrological records - Research (and research program) into future hydrological reliability - Contingencies to cope with future changes to hydrological reliability - Asset reliability assessment and monitoring program - Hydrological assessment and monitoring program 	<p>Comments for Consideration for Asset Reliability and Efficiency Aspect:</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 C5 (operational efficiency) and C6 (operational short-term and long-term reliability). Group 3 at Forum Meeting 4 recommended that Asset Reliability & Efficiency, Benefit Sharing and Safety of Dams remain as separate aspects.</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:

Process Attributes	Guidance Notes	5	4	3	2	1	0
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*							
Performance Attributes	Guidance Notes	5	4	3	2	1	0
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"> - Safety management plans - Emergency preparedness plans - Safety monitoring reports and records - Safety training records - Complaints logs/records - Safety compliance reports 	<ul style="list-style-type: none"> - Safety issue identification / risk assessment reports - Independent verifications - Incident investigations and corrective action records - Agreements with emergency authorities 	<p>Comments for Consideration for Safety Aspect: 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 & 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: MANAGEMENT OF THE HYDROLOGICAL RESOURCE

Description: This aspect addresses the management of the hydrological resource by the operating hydropower facility.

Policy Objective: The hydrological resource is well understood and managed.

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
Modelling and forecasting							
Understanding of risks							
Climate change modelling and forecasting							
Monitoring program							
Model review and updates							
Institutional capacity							
Linkages with other water users							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Periodic reviews - Independent assessment of hydrological management system - Program of asset upgrades - Information on system efficiency - Information on comparative equipment and system performance - Information on practicability of constraint removal 	<ul style="list-style-type: none"> - Information on the operational efficiency of individual power station, or groups of power stations, in the context of the broader system and relevant market arrangements. - Operational efficiency identification, measurement, and assessment process - Hydrological monitoring and analysis program - Energy production management system 	<p>Comments for Consideration for Management of the Hydrological Resource Aspect:</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 aspect C5 (operational efficiency). Group 3 at Forum Meeting 4 recommended that the title of Management of the Hydrological Resource be improved to emphasise forward thinking and planning.</p>
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Aspect: ENVIRONMENTAL MANAGEMENT

Description: This aspect addresses environmental management of the operating hydropower facility.

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:

Process Attributes	Guidance Notes	5	4	3	2	1	0
Environmental management plan							
Environmental management system							
Accountability							
Management capacity							
Governance							
Certification – (a performance in S.III)							
Monitoring, evaluation and review							
Adaptive management							
Performance Attributes	Guidance Notes	5	4	3	2	1	0
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Audit records on closure of original and current EIA/EMP commitments - Compliance records - Incidents and prosecutions - Audit records on performance of environmental management system 	<ul style="list-style-type: none"> - Independent review of environmental management system - Environmental license conditions - Environmental management system elements, including environmental management plans - Present policy - Written agreements with stakeholders 	<p>Comments for Consideration for Environmental Management Aspect: 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 C7 (community acceptance) and C15 (environmental commitments and management).</p>
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Aspect: CATCHMENT MANAGEMENT

Description: This aspect addresses ongoing management of catchment issues associated with the operating hydropower facility.

Policy Objective: A catchment management plan is being implemented and measures are in place for continuous improvement.

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
Catchment management plan							
Consultation							
Recognition of rights							
Accountability							
Management capacity							
Governance							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Stakeholder input and feedback - Written agreements with stakeholders 		<p>Comments for Consideration for Catchment Management Aspect: The description, policy objective and attributes were guided by HSAF Mtg4 Paper 14. Example of objective evidence taken from the existing Protocol aspect C7 (community acceptance). No examples of objective evidence concerning Catchment Management Aspect available in either the IHA Sustainability Guidelines or the IHA Sustainability Assessment Protocol.</p>
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Aspect: RESERVOIR MANGEMENT

Description: This aspect addresses ongoing management of reservoir issues associated with the operating hydropower facility.

Policy Objective: A reservoir management plan is being implemented and measures are in place for continuous improvement.

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
Reservoir management plan							
Consultation							
Recognition of rights							
Accountability							
Management capacity							
Governance							
Monitoring, evaluation and review							
Transparency?							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Regulatory agreements - Documented environmental, social, and economic objectives - Surveys or other measures of stakeholder opinion 	<ul style="list-style-type: none"> - Documented research program - Monitoring and review 	<p>Comments for Consideration for Reservoir Management Aspect: 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 C7 (community acceptance) and C16 (reservoir management).</p>
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Aspect: ENVIRONMENTAL FLOWS

Description: This aspect addresses environmental flows associated with the operating hydropower facility.

Policy Objective: Delivery and monitoring of agreed environmental flows is in place.

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
Monitoring, evaluation and review							
Understanding of relationship between hydrology, ecosystem needs and ecosystem services							
Consultation							
Management capacity							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Environmental flow commitment delivery							
Downstream flow objectives being met							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Regulatory agreements - Documented environmental, social and economic objectives - Surveys or other measures of stakeholder opinion 	<ul style="list-style-type: none"> - Documented research program - Monitoring and review 	<p>Comments for Consideration for Environmental Flows Aspect: 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 C7 (community acceptance) and C17 (environmental flows).</p>
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Aspect: BIODIVERSITY, HABITATS AND PROTECTED AREAS

Description: This aspect addresses management of biodiversity, habitats and protected areas issues associated with the operating hydropower facility.

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>	5	4	3	2	1	0
Avoidance, minimisation, management, mitigation strategies							
Scope							
Management capacity							
Consultation							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Research and databases on threatened species - Documented agreements in relation to ecosystem values - Research on fish passage and pest barriers 	<ul style="list-style-type: none"> - Physical infrastructure, e.g., fish lifts - Biological monitoring data - Stakeholder input and feedback 	<p>Comments for Consideration for Biodiversity, Habitats and Protected Areas Aspect: 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 C7 (community acceptance) and C18 (biodiversity and pest species).</p>
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Aspect: PEST AND INVASIVE SPECIES

Description: This aspect addresses management of pest and invasive species issues associated with the operating hydropower facility.

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>	5	4	3	2	1	0
Avoidance, minimisation, management , mitigation strategies							
Scope							
Management capacity							
Consultation							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Research and databases on threatened species - Documented agreements in relation to ecosystem values - Research on fish passage and pest barriers 	<ul style="list-style-type: none"> - Physical infrastructure, e.g., fish lifts - Biological monitoring data - Stakeholder input and feedback 	<p>Comments for Consideration for Pest and Invasive Species Aspect:</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 C7 (community acceptance) and C18 (biodiversity and pest species).</p>
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Aspect: SEDIMENTATION AND EROSION

Description: This aspect addresses management of sedimentation and erosion issues associated with the operating hydropower facility.

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>	5	4	3	2	1	0
Avoidance, minimisation, management mitigation strategies							
Scope							
Management capacity							
Consultation							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Sedimentation and erosion risk management program - Investigations into sedimentation and erosion issues in the reservoir and downstream - Specific operational rules, capital works, or catchment management programs to manage sedimentation and erosion risks 	<ul style="list-style-type: none"> - Performance reports on various risk management strategies - Stakeholder surveys and agreements - Interviews with regulators and stakeholders - Regulatory licence requirements 	<p>Comments for Consideration for Sedimentation and Erosion Aspect: 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 C7 (community acceptance) and C20 (sedimentation and erosion).</p>
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Aspect: WATER QUALITY

Description: This aspect addresses management of water quality issues associated with the operating hydropower facility.

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>	5	4	3	2	1	0
Avoidance, minimisation, management mitigation strategies							
Scope							
Management capacity							
Consultation							
Monitoring, evaluation and review							
<i>Performance Attributes</i>	<i>Guidance Notes</i>	5	4	3	2	1	0
Implementation							
Commitment delivery							
Stakeholder and regulatory support							

Examples of Objective Evidence to Support Scoring:

<ul style="list-style-type: none"> - Water management program - Water management monitoring records - Water license and water quality commitments - Water quality investigations 	<ul style="list-style-type: none"> - Prosecutions - Records of negotiations or agreements with other water users - Water quality management agreements with other users - Stakeholder input and feedback 	<p>Comments for Consideration for Water Quality Aspect:</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 C7 (community acceptance) and C19 (water quality).</p>
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