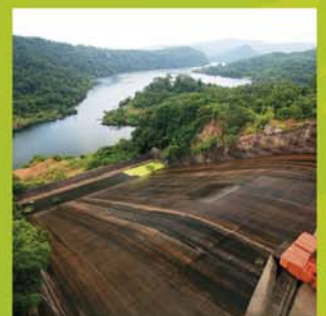
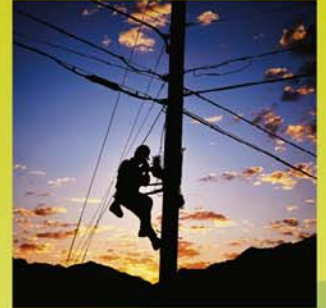


Draft issued after review and modification by the  
Hydropower Sustainability Assessment Forum

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Draft  
Hydropower Sustainability  
Assessment Protocol

August 2009

**INFORMATION DOCUMENT  
AND EXAMPLES OF CONTENT**

## BACKGROUND

There is a resurgence of interest in hydropower as a result of the needs for a low carbon economy, energy security and improved water management.

There have been considerable contributions towards understanding and guiding sustainability performance in the dams sector generally and hydropower particularly. Despite prior efforts, there is presently an absence of a broadly agreed hydropower sustainability assessment tool and standard. The International Hydropower Association (IHA) in close collaboration with a range of partners launched the Hydropower Sustainability Assessment Forum (the “Forum”) in March 2008 to address this gap. The Forum is a cross-sectoral group that aims to establish a broadly endorsed sustainability assessment tool to measure and guide performance in the hydropower sector, based on the existing IHA Sustainability Assessment Protocol (2006). Forum members include governments of developed and developing countries, commercial and development banks, social and environmental NGOs, and the hydropower sector.

The Forum is operating over a two year period. Following the Forum launch in March 2008 in Washington DC, Forum meetings have been held in July 2008 (USA), September 2008 (Zambia), October 2008 (China), December 2008 (Brazil), March 2009 (Turkey), and June 2009 (Iceland), with a further two meetings planned in early 2010 (locations to be confirmed). The Forum has been determining the relevant issues to be included in the assessment protocol and the measurement approach for each of these issues. The work plan has involved input from experts on key hydropower sustainability themes, on-ground assessments of hydropower projects, workshop sessions, input from key stakeholder reference groups, and input from an open consultation period around the proposed key components of the assessment tool (January-February 2009).

This document provides excerpts from the first full draft of the Hydropower Sustainability Assessment Protocol (the “Protocol”), dated August 2009. The Draft Protocol will be subject to a period of trialling and a second phase of consultation during September-November 2009. The intent is that the Draft Protocol will be finalized, incorporating the outcomes of the consultation and trialling, by mid 2010. A subsequent work phase intends to focus on potential Protocol applications potentially including pathways towards a sector standard and certification scheme. Into the future, it is intended that the Protocol will be regularly reviewed and updated based on continuous learning from widespread global application.

Full background on the Hydropower Sustainability Assessment Forum and the process leading to development of the Draft Protocol can be found at [www.hydropower.org/sustainable\\_hydropower/hsaf.html](http://www.hydropower.org/sustainable_hydropower/hsaf.html)

### ***Purposes and Uses of the Protocol***

The Hydropower Sustainability Assessment Protocol outlines the important sustainability considerations for a hydropower project, and sets out a framework to measure that particular project on a graded spectrum of practice. Four different sections of the protocol are dedicated to different life cycle stages of a hydropower project, as the critical issues and criteria to evaluate performance differ in these different stages. An assessment relies on objective evidence to support a score.

The Hydropower Sustainability Assessment Protocol has not been developed for a single purpose, but for a broad range of potential applications. The aim is to lift sustainability performance for hydropower developments and operations. Potential users and uses include, but are not limited to:

- All sectors, including project affected communities, providing a common basis for dialogue on sustainability issues;
- Governments, potential financiers and other decision-makers to ensure that new hydropower developments are an appropriate solution for the context in which they are proposed;
- Companies, governments, financial institutions and NGOs to guide development of new hydropower facilities;

- Companies, governments and development agencies to assess the sustainability of existing operations and develop programs for improvement;
- NGOs and civil society to evaluate the sustainability of hydropower projects at different life cycle stages, to form their own views on the sustainability performance of operators and financiers with respect to hydropower projects, and to form a basis for dialogue on these projects;
- Developers, financial institutions and other investors in assessing the risks of potential investments and as part of due diligence;
- The hydropower sector in seeking external qualification for financing from banks, carbon credits (e.g. CDM/JI), renewable energy credits (e.g. RECs), recognition in voluntary markets (e.g. green certificates); and the administrators of these schemes in judging admission;
- Verification agencies certifying a level of sustainability; and
- Hydropower owners/operators for corporate sustainability management and training.

Potential pathways forward will be considered by a second phase in 2010, once the Hydropower Sustainability Assessment Protocol has been finalised. These potential pathways include sector guidelines, sustainability and performance standards, awards and recognition schemes, industry benchmarking, capacity building through training programs, admission criteria for specific markets, sustainability certification schemes, informational websites, reflection in national and regional legislation and policies, and reflection in bank safeguards policies.

## The Protocol Structure

The Protocol is built around Sections, Aspects and Attributes.

### Protocol Sections

The four sections – Strategic Assessments, Project Preparation, Project Implementation, and Project Operation – are designed to be stand-alone assessment tools applied at particular stages of the project life cycle and have the potential to assist in the formulation of views on key decision points, as shown in Figure 1.

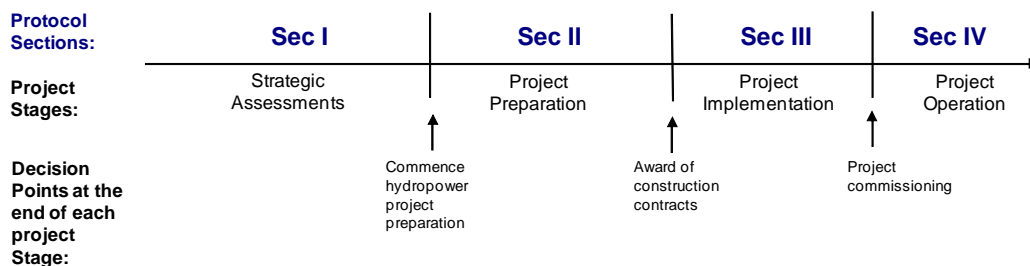


Figure 1. Protocol Sections and Major Decision Points

### Protocol Aspects

Within each Protocol section is a set of aspects important to forming a view on the overall sustainability of that project at that point in its life cycle. Aspects, when taken together, provide the list of issues that must be considered to confidently form a view on the overall sustainability of a hydropower project.

Table 1 presents the aspects included in the Protocol. These are grouped so that the relationships amongst the aspects can be better seen.

Perspective	Aspect Name	Sections
Development Perspective	- Demonstrated Need & Strategic Fit	I, II
	- Options Assessment	I
	- Regional & National Policies & Plans	I
Governance Perspective	- Political Risk	I
	- Institutional Capacity	I
	- Public Sector Governance	II, III
	- Regulatory Approvals	II, III
	- Corporate Governance	II, III, IV
	- Integrated Programme Management & Communications	II, III
Technical Issues Perspective	- Construction Management	II, III
	- Technical Issues & Risks	I
	- Hydrological Resource Availability & Management	II, III, IV
	- Project Siting & Design Optimisation	II
	- Asset & Community Safety	II, III, IV
Financial & Economic Issues Perspective	- Asset Reliability & Efficiency	IV
	- Economic & Financial Issues & Risks	I
	- Economic Viability incl. Additional Benefits	II, III, IV
	- Financial Viability	II, III, IV
Social Issues Perspective	- Procurement	II, III, IV
	- Markets, Innovation & Research	IV
	- Social Issues & Risks	I
	- Social Impact Assessment & Management	II, III, IV
	- Project Affected Communities	II, III, IV
	- Indigenous Peoples	II, III, IV
	- Resettlement & Land Acquisition	II, III
	- Benefit Sharing	II, III, IV
	- Labour & Working Conditions	II, III, IV
- Cultural Heritage	II, III, IV	
Environmental Issues Perspective	- Public Health	II, III, IV
	- Environmental Issues & Risks	I
	- Environmental Impact Assessment & Management	II, III, IV
	- Biodiversity & Invasive Species	II, III, IV
	- Erosion & Sedimentation	II, III, IV
Geographic / Spatial Perspective	- Water Quality	II, III, IV
	- Waste, Noise & Air Quality	III
	- River Basin & Transboundary Issues	II, III, IV
	- Catchment Management	II, III, IV
	- Reservoir Management	II, III, IV
	- Environmental Flows & Downstream Sustainability	II, III, IV

Table 1. Hydropower Sustainability Assessment Protocol Aspects

### Protocol Attributes

Each aspect in the section being applied is assessed on up to seven attributes, as relevant to that aspect. These attributes are divided into process and performance as shown in Table 2.

Process Attributes	Focal Area
Quality of the Assessment Process	Addresses assessment requirements for a particular aspect, including identification of the baseline condition; legal and other requirements; impact, risk and opportunity assessment.
Quality of the Management Process	Addresses management planning and implementation for a particular aspect, including objectives and targets, resource allocation, roles and responsibilities, implementation strategies, checking and evaluation, and continuous improvement.
Quality of the Consultation Process	Addresses the consultation process undertaken for a particular aspect, including stakeholder mapping, engagement processes, support for stakeholders in the consultation process, transparency, grievance and dispute mechanisms.
Performance Attributes	Focal Area
Level of Stakeholder Support	Addresses the level of stakeholder support for the process and performance for a particular aspect, with respect to those stakeholders identified in the consultation process.
Level of Compliance	Addresses the level of compliance with legal requirements and other public commitments that have been made for a particular aspect.
Level of Conformance with Plans	Addresses the level of conformance of implementation measures with most up-to-date project-related plans, with a particular emphasis on the quality of internal business systems and processes.
Level of Effectiveness	Addresses the effectiveness of implementation activities for that aspect, in terms of on-ground outcomes, desired outcomes and/or agreed performance measures

Table 2. Process and Performance Attributes Scored for Each Aspect



## Guidance Note – Quality of the Management Process

The quality of management planning and implementation are a key measure of present and likely future sustainability performance. Considerations relevant to this attribute include:

<b>Assess</b>	1. Integration of the assessment process as the basis for development of planned arrangements.
<b>Plan</b>	2. Formulation of plans or planned arrangements <sup>1</sup> . Plans outline measures to manage (avoid, minimise, mitigate, compensate) risks and enhance opportunities, including the establishment of achievable objectives and targets.
<b>Do</b>	3. Implementation of the planned arrangements. This includes utilising appropriate and effective methodologies. 4. Allocation of resources. This includes qualifications/expertise of those involved; utilization of local capacity as appropriate; scale of resource commitment; continuity of resources through project preparation, implementation and operation; and contingency planning. 5. Clarity of roles, responsibilities and accountabilities.
<b>Check</b>	6. Effective strategies for identifying and managing change. 7. Checking and evaluation, including monitoring, auditing, and management review.
<b>Act</b>	8. Continual improvement and adaptive management, including management of nonconformities, corrective and preventive actions, and any necessary plan revision.

Score	Requirements
5	<ul style="list-style-type: none"> <li>• Suitable, adequate, and effective management process with no gaps, described in a management system<sup>2</sup> that meets relevant and recognised standards.</li> <li>• Planned arrangements are closely monitored and promptly improved as issues arise.</li> </ul>
4	<ul style="list-style-type: none"> <li>• Suitable, adequate, and effective management process with very few non-critical gaps, integrated into a management system that meets relevant and recognised standards.</li> <li>• Planned arrangements are regularly and frequently reviewed, and improved as necessary.</li> </ul>
3	<ul style="list-style-type: none"> <li>• Suitable, adequate, and effective management process with a number of non-critical gaps in components.</li> <li>• Planned arrangements are periodically reviewed and improved.</li> </ul>
2	<ul style="list-style-type: none"> <li>• A number of critical gaps in management process results in management plans that are significantly less than suitable, adequate, and effective.</li> <li>• Critical gaps in the review and improvement of planned arrangements.</li> </ul>
1	<ul style="list-style-type: none"> <li>• A large number of critical gaps in management process.</li> <li>• Planned arrangements are not reviewed or improved.</li> </ul>

**EXAMPLES OF EVIDENCE:** - Management plans, - Change management process, - Monitoring and management reviews, - Audit reports.

The Draft Protocol provides definitions in a glossary for all of the key terms used in the scoring process (e.g. stakeholders, project affected area, livelihoods, maximised, optimised, practicable, comprehensive, critical, suitable, adequate, effective). The Draft Protocol also provides definitions to guide the five scores (5 – excellent; 4 – very good; 3 – good; 2 – poor; 1 – very poor) and examples of characteristics that may be evident. These are definitions for scores are shown in Table 3 on page 7. Pages 8 and 9 provide examples of two aspects from Section II – Project Preparation:

- II-18 Labour & Working Conditions
- II-22 Environmental Assessment & Management

<sup>1</sup> Management measures to address an issue may not always be formalised into management plans, but may be documented planned arrangements, for example based on agreements for forward actions made at meetings

<sup>2</sup> A management system is the framework of processes and procedures used to ensure that an organisation can fulfill all tasks required to achieve its objectives. In the case of some aspects, management of that aspect may be incorporated into a higher level management system (e.g. management of Water Quality within the Environmental Management System).

*Draft Hydropower Sustainability Assessment Protocol – August 2009*

SCORE	DEFINITIONS	CHARACTERISTICS THAT MAY BE EVIDENT
<p align="center"><b>5</b> Excellent</p>	<ul style="list-style-type: none"> <li>• Suitable, adequate, and effective assessment, management and consultation processes with no gaps.</li> <li>• Processes are closely monitored, frequently reviewed, and promptly improved as issues arise, and where necessary includes an iterative process.</li> <li>• Frequent and two-way engagement with stakeholders, and stakeholder involvement in decision-making.</li> <li>• Support of nearly all directly affected stakeholder groups.</li> <li>• No non-compliances or non-conformances.</li> <li>• Avoidance or comprehensive mitigation of negative impacts, and enhanced outcomes.</li> <li>• Contribution to addressing issues beyond those impacts caused by the developer / owner / operator.</li> </ul>	<ul style="list-style-type: none"> <li>• Pro-active and adaptive management,</li> <li>• Regional view / perspective,</li> <li>• Contributes to internal and external capacity building,</li> <li>• Long term funding for managing all key aspects,</li> <li>• Very high level of integration,</li> <li>• Leverages opportunities,</li> <li>• Meaningful stakeholder engagement and involvement in decision making process,</li> <li>• Independent or third-party verification or review,</li> <li>• Comprehensive disclosure of information.</li> </ul>
<p align="center"><b>4</b> Very Good</p>	<ul style="list-style-type: none"> <li>• Suitable, adequate, and effective assessment, management and consultation processes with very few non-critical gaps.</li> <li>• Processes are regularly reviewed, and improved as necessary.</li> <li>• Regular and two-way engagement with stakeholders.</li> <li>• Support of a large majority of directly affected stakeholder groups, and/or only very low opposition.</li> <li>• Very few minor non-compliances and non-conformances that can be readily remedied.</li> <li>• Avoidance or mitigation of negative impacts.</li> </ul>	<ul style="list-style-type: none"> <li>• Somewhat pro-active and adaptive management,</li> <li>• Capacity building but limited to project,</li> <li>• Long-term funding for managing most key aspects,</li> <li>• High level of integration,</li> <li>• Meaningful stakeholder engagement,</li> <li>• Use of external expertise where needed,</li> <li>• Only minor gaps in disclosure of information.</li> </ul>
<p align="center"><b>3</b> Good</p>	<ul style="list-style-type: none"> <li>• Suitable, adequate, and effective assessment, management and consultation processes with a number of non-critical gaps in components.</li> <li>• Processes are periodically reviewed and improved.</li> <li>• Regular engagement with stakeholders, often two-way.</li> <li>• Support of a majority of directly affected stakeholder groups, and/or low opposition.</li> <li>• A number of minor non-compliances and non-conformances that can be readily remedied.</li> <li>• Minimisation and management of negative impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Reactive, but appropriate management with presence of corrective action process</li> <li>• Project-focused view / perspective,</li> <li>• Relies on project to manage all aspects,</li> <li>• Sufficient funding for the year,</li> <li>• Includes key components required of an assessment,</li> <li>• Manages key risks,</li> <li>• Some stakeholder engagement,</li> <li>• Some use of external expertise,</li> <li>• Meets key recommended instances needed for disclosure of information.</li> </ul>
<p align="center"><b>2</b> Poor</p>	<ul style="list-style-type: none"> <li>• A number of critical gaps in assessment, management and consultation processes resulting in these processes being less than suitable, adequate and effective.</li> <li>• Critical gaps in the review and improvement of processes.</li> <li>• Some engagement with stakeholders</li> <li>• Low support amongst directly affected stakeholder groups, and/or a majority oppose.</li> <li>• Major non-compliances and non-conformances.</li> <li>• Deterioration in baseline condition with some delay or difficulties in addressing negative impacts.</li> </ul>	<ul style="list-style-type: none"> <li>• Reactive, corrective action sometimes insufficient,</li> <li>• Project-focused perspective with gaps on social and environmental issues,</li> <li>• Limited funding,</li> <li>• Gaps in assessments,</li> <li>• Gaps in risk management,</li> <li>• Poor stakeholder engagement,</li> <li>• Limited use of external expertise,</li> <li>• Limited disclosure of information.</li> </ul>
<p align="center"><b>1</b> Very Poor</p>	<ul style="list-style-type: none"> <li>• A large number of critical gaps in assessment, management and consultation processes.</li> <li>• No review or improvement of processes.</li> <li>• No engagement with stakeholders.</li> <li>• Very low support amongst directly affected stakeholder groups, and/or a large majority oppose.</li> <li>• Major and persistent non-compliances and non-conformances.</li> <li>• Significant and potentially long-term deterioration in baseline condition.</li> </ul>	<ul style="list-style-type: none"> <li>• Poor management not reacting to problems / concerning developments,</li> <li>• Narrow perspective on technical aspects and physical infrastructure,</li> <li>• Insufficient funding,</li> <li>• Incomplete, superficial assessments,</li> <li>• Key risks insufficiently managed,</li> <li>• Absence of stakeholder engagement,</li> <li>• No use of external expertise,</li> <li>• No disclosure of information.</li> </ul>

Table 3. Definitions of Scores 1-5

## II-18 LABOUR & WORKING CONDITIONS - SECTION II PROJECT PREPARATION

This aspect addresses labour and working conditions, including employee opportunity, equity, diversity, health and safety. The intent is that workers are treated fairly and protected, and equal opportunities provided, in accordance with national and international standards and expectations on labour and working conditions.

**CRITERIA FOR ASPECT TO BE CONSIDERED NOT RELEVANT:** This aspect is always relevant.

**CONSIDERATIONS RELEVANT TO PROJECT CONTEXT OR SCALE:** In cases where the labour workforce is imported, there may be elevated risk of labour conflicts and workforce safety incidents, particularly if there are language issues. Employee diversity will be influenced by the labour available for employment.

Process Attributes	5	4	3	2	1
Assessment	<ul style="list-style-type: none"> <li>Quality of the process leading to an understanding of labour and working conditions needs, issues and risk identification relevant to the hydropower project, including occupational health and safety risks and mitigation/management measures</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Assessment	<ul style="list-style-type: none"> <li>Quality of the process leading to an understanding of policies, laws and standards relevant to labour and working conditions<sup>1</sup></li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Management	<ul style="list-style-type: none"> <li>Quality of the labour management planning process<sup>2</sup> [see Management guidance note]</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Consultation Process	<ul style="list-style-type: none"> <li>Quality of the consultation process [see Consultation guidance note]</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Performance Attributes	5	4	3	2	1
Stakeholder Support	<ul style="list-style-type: none"> <li>Engagement and relationships with labour representatives</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Stakeholder Support	<ul style="list-style-type: none"> <li>Staff / workforce satisfaction levels</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Conformance with Plans	<ul style="list-style-type: none"> <li>Level of conformance with plans [see Conformance with Plans guidance note]</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Compliance	<ul style="list-style-type: none"> <li>Level of compliance [see Compliance guidance note]</li> </ul>				
	Excellent	Very Good	Good	Poor	Very Poor
Effectiveness	<ul style="list-style-type: none"> <li>Risk of labour conflicts</li> </ul>				
	Fully minimised with no gaps	Close to minimised with very few non-critical gaps	Significantly minimised with a number of non-critical gaps	Somewhat minimised with critical gaps	Not minimised
	<ul style="list-style-type: none"> <li>Risk of employee and workforce safety incidents</li> </ul>				
	Fully minimised with no gaps	Close to minimised with very few non-critical gaps	Significantly minimised with a number of non-critical gaps	Somewhat minimised with critical gaps	Not minimised
	<ul style="list-style-type: none"> <li>Employee and workforce occupational health and safety performance</li> </ul>				
	Very high	High	Good	Low	Very Low
<ul style="list-style-type: none"> <li>Employee and workforce equity, opportunity and diversity</li> </ul>					
Very high	High	Good	Low	Very Low	

### AUDITING GUIDANCE NOTES:

- e.g. International Labour Organisation (ILO) conventions<sup>a</sup>, International Finance Corporation Performance Standard 2 Labour and Working Conditions (30 April 2006)<sup>b</sup>.
- Key components of a labour management system would include human resources policies, staff and workforce planning, occupational health and safety, equal opportunity, staff development and training, grievance and dispute mechanisms, and (where appropriate) collective bargaining mechanisms.

**EXAMPLES OF EVIDENCE:** - Staff satisfaction surveys; - Corporate policies and programs e.g. on equity, occupational health and safety, workforce planning; - Employee and management policies

<sup>a</sup> [http://www.ilo.org/global/What\\_we\\_do/InternationalLabourStandards/lang-en/index.htm](http://www.ilo.org/global/What_we_do/InternationalLabourStandards/lang-en/index.htm), link accessed 1 July 2009

<sup>b</sup> <http://www.ifc.org/ifcext/sustainability.nsf/Content/PerformanceStandards>, link accessed 1 July 2009

## II-22 ENVIRONMENTAL IMPACT ASSESSMENT & MANAGEMENT - SECTION II PROJECT PREPARATION

This aspect addresses the assessment and planning for management of environmental impacts associated with the planned hydropower project implementation and operation. The intent is that environmental impacts are identified and assessed such that avoidance, minimisation, mitigation, compensation and enhancement measures can be designed and implemented for the various stages of the project.

**CRITERIA FOR ASPECT TO BE CONSIDERED NOT RELEVANT:** This aspect is always relevant.

**CONSIDERATIONS RELEVANT TO PROJECT CONTEXT OR SCALE:** Requirements for an environmental impact assessment may be stipulated in national legislation, or project assessment requirements as set out by government.

<b>Process Attributes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>Assessment</b>	• Quality of the environmental impact assessment (EIA) process <sup>1</sup> [see Assessment guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Assessment</b>	• Consideration of cumulative impacts <sup>2</sup> and legacy issues <sup>3</sup>				
	Thorough consideration of both components	Good consideration of both components	Some consideration of both components	Minimal consideration of either component	No consideration of either component
<b>Management</b>	• Quality of the environmental management planning (EMP) process [see Management guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Consultation</b>	• Quality of the environmental impact assessment and management planning consultation process [see Consultation guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Performance Attributes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>Stakeholder Support</b>	• Level of stakeholder support the environmental impact assessment and management planning [see Stakeholder Support guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Compliance</b>	• Level of compliance of the environmental impact assessment and management planning [see Compliance guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Conformance with Plans</b>	Generally not relevant at project preparation stage				
<b>Effectiveness</b>	• Degree to which negative project environmental impacts are identified, and likelihood of avoidance, mitigation and/or compensation				
	All major and minor negative impacts with no gaps	All major and minor negative impacts with very few non-critical gaps	Major negative impacts with a number of non-critical gaps	Major negative impacts with some critical gaps	Major negative impacts with many critical gaps
	• Degree to which opportunities for positive environmental impacts are identified and are likely to be achieved				
	Thoroughly identified, and maximized as far as practicable	Very good identification, and most practicable opportunities are likely to be achieved	Good identification, and some practicable opportunities likely to be achieved	Minimal identification, and few practicable opportunities likely to be achieved	None identified

### AUDITING GUIDANCE NOTES:

- Relevant environmental issues include biodiversity, weeds, pest species, migration of aquatic species, landscapes, wetlands of significance, threatened species, critical habitats, erosion, sedimentation, water quality, environmental flows, air quality, noise and dust. Important assessment considerations include:
  - assessment of issues for both project implementation and operation;
  - use of local and indigenous knowledge;
  - data collected early in the project preparation stage; and
  - data collected for the project catchment, all construction sites, downstream areas and project associated infrastructure (e.g. roads, transmissions lines, housing).
- Cumulative impacts refers to the phenomenon of changes that result from numerous human-induced alterations, either through persistent additions or losses of the same materials or resource, or through the compounding effects as a result of the coming together of two or more effects.
- Legacy issues are unmitigated impacts of previous projects.

**EXAMPLES OF EVIDENCE:** - Regulatory requirements for EIA, - EIA and associated reports, - Environmental management plan, - Records of consultation in association with the EIA/EMP, - Independent reviews

## **CONSULTATION AND TRIALLING ON THE DRAFT PROTOCOL**

Through review of the sixth edition of the IHA Sustainability Assessment Protocol (2006), which began in March 2008, including seven formal meetings of the Hydropower Sustainability Assessment Forum (the “Forum”), the Draft Hydropower Sustainability Assessment Protocol has been prepared for a formal consultation and trialling period. It is recognised that the consultation and trialling may lead to revision before a final document is prepared, with a focus on it being a succinct, practical tool for the assessment of sustainability in a hydropower context.

The Draft Hydropower Sustainability Assessment Protocol (“Draft Protocol”) consists of a set of four documents, each a stand-alone assessment tool addressing a different stage of the project life cycle. The Draft Protocol reflects the sustainability issues which have been identified and discussed by the Forum, representing a diversity of sectoral views, and are presented in a structured manner intended to suit a sustainability assessment process. The Forum believes that it is an appropriate time to make this Draft Protocol available to the wider group of stakeholders, and seeks views and input which will assist its forward process.

During September, October and November 2009, the Draft Protocol will be subject to a period of trialling and public consultation. Trialling will assess a range of considerations including scope, comprehensiveness, ease of use, effectiveness, applicability to a range of scale and regions, adequacy of implementation guidance, and methods for presentation of results. For the public consultation, an online questionnaire will be set up, with the major questions for feedback on this Draft Protocol being:

1. **Practicability.** Does the Draft Protocol seem like a practical assessment tool, and if not, how could it be improved to increase practicability?
2. **Content.** What do you think about the Draft Protocol content in terms of its appropriateness, quality and applicability for a range of projects of different types, scale and geographic settings? What improvements would you propose to the Draft Protocol content?
3. **Implementation Guidance.** Do you find the Draft Protocol introduction and auditing guidance notes helpful, and how might they be improved?
4. **Scoring.** What suggestions could you make on approaches to aggregating bullet points within an attribute? Comments are particularly sought on experiences obtained through trialling.
5. **Presentation of Results.** What suggestions could you make for effective and practical mechanisms for presentation of assessment results?
6. **Ease of Use.** Can you make recommendations on how to make the documents easy to use?
7. **Basic Good Practice.** The score of 3 is intended to be basic good practice, with a particular consciousness of what is achievable in countries with minimal resources or capacities or projects of smaller scales and complexities. Do you have any comments on these scores? Do you have any information that would assist in understanding of what is good practice for individual attributes in the Draft Protocol?
8. **Proven Best Practice.** The score of 5 is intended to be proven best practice, but conscious of the global applicability of this tool, so that it is not only attainable by the largest projects with the most resources at their disposal. Do you have any comments on these scores? Do you have any information that would assist in understanding of what is proven best practice for individual attributes in the Draft Protocol?

Both Instructions for Trialling and the On-line Questionnaire can be accessed through [www.hydropower.org/sustainable\\_hydropower/hsaf.html](http://www.hydropower.org/sustainable_hydropower/hsaf.html).