



Hydropower Sustainability  
Assessment Forum

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**Phase 2 Consultation Final  
Outcomes Report**

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Final Report

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Hydropower Sustainability  
Assessment Forum

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**Phase 2 Consultation Final  
Outcomes Report**

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Client: GTZ

January 2010

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Job number

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# 1 Introduction

This report provides a summary of Phase 2 Consultation for the Hydropower Sustainability Assessment Forum (HSAF). Its purpose is to present the broad range of consultation activities conducted during Phase 2 and provide a summary of the feedback received on the draft Hydropower Sustainability Assessment Protocol (the Draft Protocol).

The report is structured as follows:

- Section 1 introduces the objectives, background and process for the Hydropower Sustainability Assessment Forum (HSAF)
- Section 2 presents the objectives, approach and tools for the HSAF's Phase 2 consultation
- Section 3 highlights the Phase 2 consultation outcomes achieved, including regional engagement activities, online surveys, interviews, and details of the targeted outreach
- Section 4 summarises the feedback obtained during the Phase 2 consultation process
- Section 5 discusses next steps for the HSAF

## 1.1 Consultation Approaches for the Hydropower Sustainability Assessment Forum

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The Hydropower Sustainability Assessment Forum (HSAF or the Forum) is a collaboration of representatives from different sectors who aim to develop a broadly endorsed sustainability assessment tool to measure and guide performance in the hydropower sector. Its work is focused on the review and revision of the International Hydropower Association's (IHA) existing Sustainability Assessment Protocol (2006).

Appendix A provides an overview of the Forum's work programme. The stakeholder review of the August 2009 Draft Hydropower Sustainability Assessment Protocol ("the Draft Protocol") is the focus of this report.

There are two main mechanisms for wider stakeholder input into the HSAF process. The first is the HSAF members' individual reference groups and networks with whom they discuss the HSAF work on an on-going basis. In addition, two open consultation periods have been built into the HSAF process.

The first public consultation on HSAF's work ran from January 19<sup>th</sup> until February 27<sup>th</sup> 2009.

The second public consultation phase is the subject of this report. It was carried out between September 1<sup>st</sup> and December 11<sup>th</sup> 2009. During this fifteen week period, the Draft Protocol was also trialled in a number of different locations around the world.

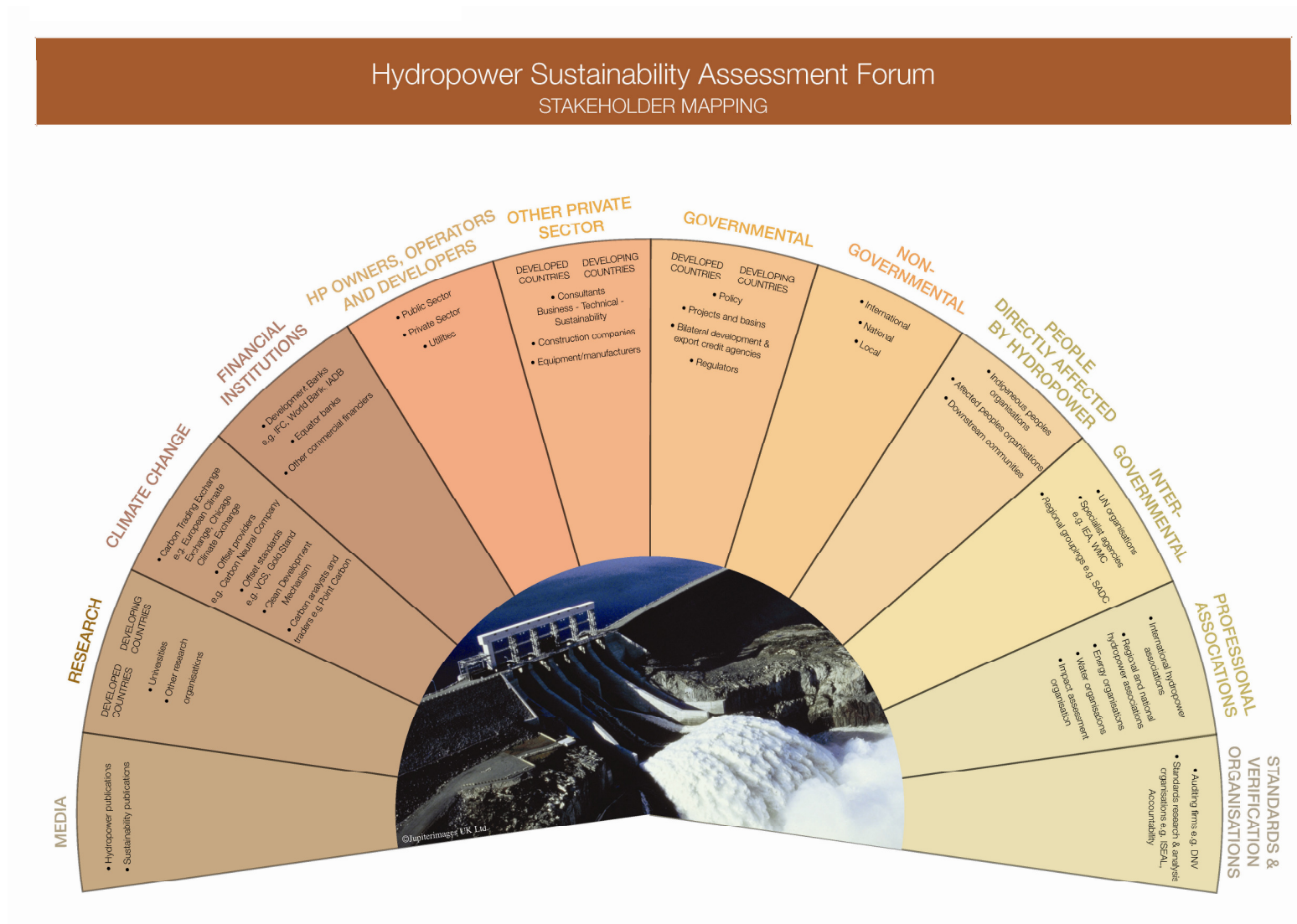
## 1.2 HSAF Stakeholders

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There are a range of stakeholders for the HSAF process (see Figure 1 below), including:

- Hydropower owners, operators and developers
- Other private sector, such as consultants and equipment manufacturers
- Governmental organisations
- Inter-governmental organisations
- Non-governmental organisations
- People directly affected by hydropower and civil society organisations

Figure 1: HSAF Stakeholder Map



- Finance organisations, including both commercial and development banks and “Equator” banks (banks that have signed onto the Equator Principles)
- Professional associations
- Climate change organisations
- Research
- Standards and verification organisations
- Media

### **1.3 Overview of Phase 1 Consultation**

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Phase I Consultation was focused on awareness-raising about the HSAF, as well as presentation of the structure and components of the Draft Protocol. The Forum released a Key Components Document for the Draft Protocol in January 2009. This skeletal document was reviewed as part of Phase I Consultation.

The objectives for the Phase I Consultation were to:

- Establish relationships with stakeholders;
- Assist stakeholders to understand the Forum process and progress; and
- Provide opportunity for feedback.

A report summarising the outcomes of Phase I Consultation was developed and can be accessed through the [IHA website](#)<sup>1</sup>.

### **1.4 Development of the Draft Hydropower Sustainability Assessment Protocol**

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Following review of feedback obtained during Phase I, particularly with respect to comments on the Key Components Document January 2009, the HSAF developed the Draft Protocol and issued it for public review in August 2009. The 2009 Draft Hydropower Sustainability Assessment Protocol contains four stand-alone assessment tools, one for each key stage of the project life cycle. Projects are assessed using the section relevant to their stage:

- Section I: Strategic Assessments
- Section II: Project Preparation
- Section III: Project Implementation
- Section IV: Project Operation

The Phase 2 consultation was focused on review of this Draft Protocol, and is the major focus of this report.

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<sup>1</sup> [http://www.hydropower.org/sustainable\\_hydropower/HSAF-Phase\\_1\\_Consultation/HSAF-Phase\\_1\\_Consultation\\_Outcomes\\_Report\\_FINAL.pdf](http://www.hydropower.org/sustainable_hydropower/HSAF-Phase_1_Consultation/HSAF-Phase_1_Consultation_Outcomes_Report_FINAL.pdf)

The HSAF response to this document can be found at: [http://www.hydropower.org/sustainable\\_hydropower/HSAF-Phase\\_1\\_Consultation/HSAF-Phase\\_1\\_Consultation\\_Issues-HSAF\\_Response\\_23\\_Mar\\_2009.pdf](http://www.hydropower.org/sustainable_hydropower/HSAF-Phase_1_Consultation/HSAF-Phase_1_Consultation_Issues-HSAF_Response_23_Mar_2009.pdf)

## 2 HSAF Phase 2 Consultation Process

### 2.1 Objectives

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The objectives of the HSAF Phase 2 Consultation were:

- To build on the awareness raising and stakeholder relations developed during Phase 1;
- To obtain detailed feedback from a diversity of views on the content and applicability of the Draft Hydropower Sustainability Assessment Protocol; and
- To ensure that the final Hydropower Sustainability Assessment Protocol is a tool which is credible and useful to stakeholders with an interest in hydropower and sustainability.

### 2.2 Principles

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Key principles proposed behind the Phase 2 consultation are:

- To provide a transparent and inclusive process which endeavours to enable any interested party to be involved;
- To ensure that stakeholders understand how they can get involved, feel that their involvement is meaningful and has the potential to make a difference, and are informed as to how their feedback has been used;
- To seek good feedback from stakeholders in all groups and global regions, recognising that this requires particular effort in developing effective mechanisms to consult with civil society and dam-affected peoples;
- To ensure flexibility with regard to methods for involving stakeholders so that, as far as practicable, appropriate methods are used for particular stakeholders;
- To ensure that individuals and organisations who could have a significant impact on the credibility and acceptance of the Protocol, including those who are, or potentially could be, opposed to aspects of the HSAF process and content are proactively engaged with; and
- To ensure that the limited resources available for consultation are allocated in a way that is balanced, strategic and as efficient as possible.

### 2.3 Consultation Questions

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At the outset of Phase 2 consultation, a series of targeted questions were developed to solicit stakeholder feedback. The 8 questions were:

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 basic 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?

## 2.4 Approach

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The approach to consultation was broad, encompassing a variety of different means and tools. Establishing an appropriate approach from the start is critical to ensuring as successful consultation as possible. The Forum was operating with a highly restricted budget, which made the approaches quite opportunistic, and highly dependent on the ability of Forum members themselves to get out and consult under their own organisational funding. The program of activity evolved during the consultation period itself as opportunities arose, or could be arranged in association with travel for Draft Protocol trials. The vast majority of the activities undertaken were funded either in-kind or by dedicated grants.

Trialling of the Draft Protocol was also conducted alongside consultation and many of the trialling reports will be able to be accessed along with the Trialling Outcomes Report on the IHA website<sup>2</sup> in 2010.

The next paragraphs provide details on the different approaches undertaken for the consultation, while Section 3 discusses specific achievements resulting from the approach.

### 2.4.1 Centralised Approaches

These centralised approaches were carried out directly by the HSAF:

#### On-Line Questionnaire

As with the Phase 1 consultation, regular email updates providing links to consultation documents and an on-line questionnaire was sent to as wide a distribution list as possible. An on-line questionnaire was set up as per the Phase 1 consultation, and was one of the main vehicles for compiling quantitative and qualitative feedback on views on the Draft Protocol.

The email distribution list comprised of approximately 3800 stakeholders and included the following: HSAF and IHA stakeholder databases, various African ministerial water and energy departments, a list of United Nations Industrial Development Organisation (UNIDO) stakeholders and members from the Global Forum for Sustainable Energy.

#### Email, Telephone and Direct Stakeholder Outreach

As with the Phase 1 consultation, follow up emails, telephone and other forms of direct stakeholder outreach were undertaken to ensure as wide a cross-section of views as possible were brought out through the consultation process.

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<sup>2</sup> [http://www.hydropower.org/sustainable\\_hydropower/HSAF.html](http://www.hydropower.org/sustainable_hydropower/HSAF.html)

## 2.4.2 Regional Approaches

A variety of approaches were used to obtain feedback at a global level.

### Workshops

In addition to the consultation approaches identified above, workshops were held during the Phase 2 consultation. A particular objective of these workshops was to ensure meaningful consultation on the work of the Forum with civil society organisations, social movements and, in particular, dam affected people.

### Forum Member Meetings

Forum members met with organisations with particular concerns, experience, insight and/or expertise to gain a close review of the content and the practicability/applicability of the components of the Draft Protocol.

The list of target organisations was developed in consultation with the Forum members and those who expressed an interest.

### Consultation in Association with Trialling

Trialling was undertaken during the same time period and this provided an opportunity to obtain first-hand experience of the Draft Protocol. In many cases, consultation meetings occurred after trialling activities.

### Forum Member Visits to Civil Society and Dam-Affected Peoples

As part of the effort to find effective mechanisms to consult with civil society and dam-affected peoples in the regions, Forum members undertook regional tours during the consultation period to personally visit identified organisations. The Phase 1 consultation experience identified some of the organisations that the Forum should approach, and the Forum sought further expressions of interest and recommendations.

### Forum Member Briefing Sessions

Briefings on the Forum work were provided by Forum members to their networks where possible. Forum members took responsibility to summarise outcomes of these briefing sessions according to a common template so that they could be compiled into the consultation outcomes report.

### Consultation Sessions at Externally Organised Conferences and Events

As with the Phase 1 consultation, consultation sessions on the Forum work were provided by Forum members at externally organised conferences and events during the consultation period where possible. Again, Forum members took responsibility to summarise outcomes of these briefing sessions according to a common template so that they could be compiled into the consultation outcomes report.

## 2.5 Tools

Given the above approaches to consultation, considerable effort was put into developing consultation materials for the Phase 2 consultation that concisely explained the HSAF aims, objectives and process, and provided insight into the Draft Protocol content. These can be summarised as follows:

- A four page summary document;
- A 10 page Draft Protocol excerpts document with samples of content;
- Presentation material for HSAF Members so a consistent message and information were presented to stakeholders;
- A consultation guidance and feedback template for HSAF Member consultation activities;

- An interview guidance and feedback template for targeted outreach; and
- Translated Draft Protocol and associated information. These were all provided as in-kind contributions from different stakeholder organisations, and are listed in Table 1 in Section 4.4.

### 3 HSAF Phase 2 Consultation Activities

This section presents a summary of the HSAF Phase 2 Consultation engagement activities undertaken between September 1<sup>st</sup> and December 11<sup>th</sup>. A list of all events, including information on participation at these events, can be found in Appendix B. Figure 2 below shows a summary of stakeholder engagement activities.

**Figure 2:** Summary of Stakeholder Engagement Activities

#### Summary of Stakeholder Engagement Activities

- Number of countries in which stakeholder engagement activities took place:- **24**
- Total number of stakeholders in attendance at engagement activities:- **1308**
- Total number of stakeholders receiving regular email updates during consultation period:- **3800**
- Approximate number of web hits during 15 week consultation period :- **3000 \***
- Government departments contacted by HSAF:- **222 in 97 countries**
- Total number of people from Civil Society Organisations participating in HSAF engagement activities, includes meetings, workshops and on-line survey :- **118**
- Total number of people from Dam Affected Communities participating in HSAF engagement activities, includes meetings, workshops and on-line survey :- **81**
- Total number of respondents to on-line survey :- **90**

\* HSAF Draft Protocol webpage ([www.hydropower.org/sustainable\\_hydropower/hsaf.html](http://www.hydropower.org/sustainable_hydropower/hsaf.html).)

#### 3.1 Summary of HSAF Member Engagement Activities

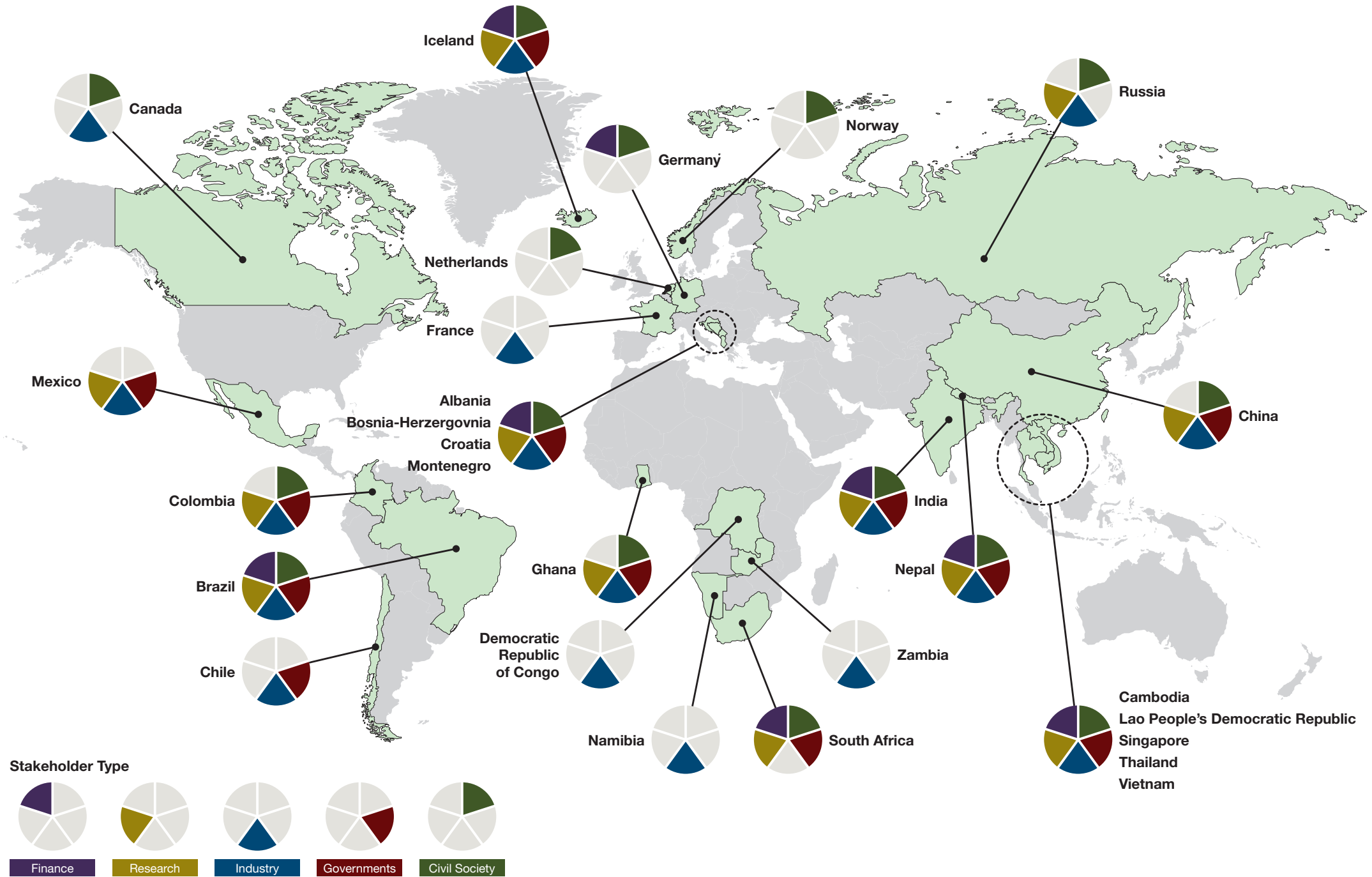
During the fifteen week consultation period, members of the HSAF engaged in 46 individual stakeholder engagement activities spanning 4 continents and 21 different countries. HSAF member engagement events ranged from multi-stakeholder workshops, conference side-events, and formal presentations to group meetings and one-to-one discussions. Figure 3 overleaf illustrates the global spread of engagement events and the range of different stakeholder types at these events. Appendix B provides a full list of HSAF engagement activities.

A number of the meetings provided the opportunity for formal consultation; others served as awareness raising exercises, especially where there was limited prior knowledge of HSAF and the Draft Protocol. Each event was attended by one or two HSAF members and in some cases alternate members attended. On a couple of occasions more than two HSAF members/alternates were present.

The type of stakeholders participating varied depending on the nature of the event but typically events were attended by one or more of the following: hydropower industry, government, finance (commercial and development bank), civil society and academic/research. There was also media presence at a small number of the events.

Feedback from the meetings were written up by one of the attending HSAF member's and circulated amongst the other HSAF member's in attendance. Once agreed, the feedback was subsequently submitted to Arup, the independent consultation consultant, to be incorporated into the consultation analysis. In some cases, the non-HSAF meeting

# HSAF Engagement Activities during Consultation Phase 2



participants submitted their own feedback at a later stage, either directly via email or through the consultation on-line questionnaire.

The following sections provide more information on the different type of HSAF engagement activities by region.

### **3.1.1 Africa**

In total, there were eight HSAF member engagement events in Africa during the consultation period.

- Three separate meetings were held in Ghana during October, sponsored and coordinated by GTZ with the intention of consulting with Ghanaian dam affected communities, government representatives and the hydropower sector. The three meetings are as follows:
  - A specific HSAF consultation meeting of dam affected communities in Ghana and 199 participants attended. This event was organised by the Ghana Dams Dialogue and involved presentations, group work and plenary discussions. Due to limited prior knowledge of the HSAF process, this workshop was more of an awareness raising exercise.
  - A meeting was organised by Ghana Dams Dialogue and facilitated through the International Water Management Institute IWMI and the Volta Basin Development Foundation VBDF. The meeting involved presentations, a feedback session for participants and an auditing exercise. This event was attended by 27 participants, mostly from Ghanaian government departments and the hydropower sector.
  - A meeting was organised at the Ghana Dams Forum attended by 88 participants, representing a multi-stakeholder cross-section of all hydropower stakeholders in Ghana. This was also organised by the Ghana Dams Dialogue and GTZ, and facilitated through the International Water Management Institute IWMI and the Volta Basin Development Foundation VBDF.
- In South Africa, the HSAF held a workshop at the 2<sup>nd</sup> Africa Water Week conference in Johannesburg. This event was attended by a range of civil society, government, industry and research stakeholders predominantly from Lesotho, Rwanda and South Africa.
- A presentation at the 33<sup>rd</sup> Southern Africa Power Pool Meeting in the Democratic Republic of Congo.
- A presentation at the 21<sup>st</sup> African Hydro Symposium in Namibia.
- A presentation was given to a number of Africa based power and water utility companies at a postgraduate environmental course in Zambia.

### **3.1.2 Asia**

In total, there were ten HSAF member engagement events held in Asia during the consultation period.

- The Mekong River Commission Secretariat (MRCS) organised a consultation workshop in Vientiane (Laos) in tandem with a three day trialling exercise. The target of the consultation event and the vast majority of representatives were from a diversity of government agency from Laos, Vietnam, Cambodia and Thailand. These agencies included fisheries, natural resources, environment, social development, water, planning and electricity. Also in attendance were MRCS staff, consultants working on sustainable hydropower related programs, WWF Greater Mekong Program, M-Power associates and two HSAF Members. The four day consultation / trialling session provided a unique opportunity in the consultation process to gain very in-depth feedback on the Draft Protocol and included written feedback from the MRCS and HSAF Members.

- In China, two presentations were given by a Forum member at the National Research Centre for Sustainable Hydropower (Beijing) during the consultation period. Both events served as awareness raising exercises but also provided the opportunity for participant feedback following the presentations. At both events, there were representatives from various water and energy related government departments and participants from the hydropower and Chinese academic community.
- A consultation workshop was organised in Kathmandu by WWF Himalayas Programme for a range of Nepal and Bhutan government departments, civil society organisations and hydropower stakeholders. The workshop was jointly hosted by the Ministry of Energy, Government of Nepal; International Hydropower Association and WWF-Nepal. In total, there were 50 participants in attendance.
- M-POWER and the Vietnam Water Partnership organised a workshop in Hanoi, Vietnam for a range of hydropower stakeholders including governmental departments, civil society, research and industry. The workshop was supported by the Australian Government (AusAid), the Blue Moon Fund and hosted by the Vietnam Water Partnership. Whilst primarily serving as an awareness raising exercise, there was lively discussion on the merits of the Draft Protocol and wider debate about Vietnamese hydropower issues more generally.
- M-POWER and the Rivers Coalition of Cambodia organised a workshop in Phnom Penh, Cambodia for a range of NGO and civil society stakeholders. The workshop was organised by the Rivers Coalition in Cambodia, M-POWER Governance network and the Challenge Program on Water and Food. The event was also supported by the Australian Government and the Blue Moon Fund. It must be noted that these people were not consulted as part of the consultation process but participated to share information and discuss the consultation questions.
- M-POWER organised a workshop in Bangkok, Thailand called 'Making Hydropower more sustainable? A sustainability measurement approach led by the Hydropower Sustainability Assessment Forum'. This workshop was attended by a number of academic and civil society stakeholders, the majority from Thailand, China and the Mekong Region, and provided an opportunity for information sharing and group discussions.
- IHA hosted a consultation workshop in Delhi, India for a range of stakeholders including representatives from the Indian hydropower sector, Indian government agencies, civil society and donor/lending agencies.
- A presentation was given at the 8th Clean Development Mechanisms (CDM) Designated National Authorities (DNAs) Forum Meeting in Singapore.

### **3.1.3 Europe**

In total, there were seven HSAF member engagement events held in Europe during the consultation period

- The HSAF held a workshop for participants at a Sustainable Hydropower conference in Dubrovnik, Croatia, organised by the WWF Mediterranean Programme. There were 49 participants from government, industry and civil society organisations from numerous countries across South-East Europe. There were governmental representatives from the following countries: Albania, Croatia, Bosnia and Herzegovina, and Montenegro.
- At a World Energy Council meeting in Iceland, a presentation was given by one of the HSAF members to a cross-section of industry, government and research stakeholder groups.
- In Norway, a consultation meeting was organised with two Norwegian non-governmental organisations (NGOs), both with an interest in environmental issues.

- A teleconference was organised between HSAF Members and four North American and European based Export Credit Agencies (ECA). The meeting provided an opportunity for the ECA to give feedback and make comment on the Draft Protocol.
- A consultation meeting was held in The Hague, The Netherlands with two environmental NGOs interested in the Brazilian Amazon.
- Meetings were held at the Hydro 2009 Conference in Lyon and with a development bank based in Germany.

### **3.1.4 North America**

In total, there were five activities in North America during the consultation period.

- Three meetings were organised in Canada with separate hydropower companies and dam affected community representatives. All three were small group meetings which provided an opportunity for awareness raising and in-depth feedback.
- There was also a two-day workshop in Mexico with a good representation of mid- and high-ranking people from the hydropower sector and a number of representatives of universities and institutes. There was an initial introductory presentation followed by a discussion of the applicability of the Draft Protocol in Mexico.
- A teleconference with North American and European based Export Credit Agencies (ECA) as referred to in 3.1.3.

### **3.1.5 South America**

In total, there were twenty HSAF engagement events in South America during the consultation period. These ranged from one-to-one meetings with individual stakeholders to large group presentations.

- Eleven meetings were organised with Brazilian government agencies, representatives of the hydropower industry and civil society organisations. In many cases, the main aim of the meetings was to raise awareness of the Draft Protocol and invite comment from participants. The majority of these events were small group meetings with attendance typically less than five people.
- In Colombia, there were eight meetings held predominantly with representatives from Colombian government agencies and also included academics and representatives from the hydropower sector. Participation at these meetings ranged from four small group meetings with less than 5 stakeholders in attendance, two medium sized meetings with between 10 and 15 stakeholders, to two large group meetings with approximately 60 and 30 stakeholders respectively. These meetings were useful in discussing the Draft Protocol's potential role in Colombia.
- There was one meeting in Chile which took place following a trial exercise. This meeting was targeted at representatives from government departments and the Chilean hydropower sector. It was estimated that approximately 40 government and industry stakeholders attended this meeting.

## **3.2 Other Consultations Events**

During the consultation period, a number of organisations interested in sustainable hydropower took the initiative to organise their own stakeholder consultation events. These organisations were encouraged to fill out the feedback template for each individual consultation event so written feedback could be captured and incorporated into the consultation analysis. These events were as follows:

- WWF Russia initiated discussions on the Draft Protocol with a Russian hydropower company as well as a number of Russian civil society organisations and academic stakeholders. These stakeholders provided written feedback on the Draft Protocol.

- M-POWER organised a series of workshops for a range of civil society and academic stakeholder in Laos. The workshops took place after the end of the consultation period in January 2010 and therefore could not be included in the Consultation Outcomes Report.
- The River Commission Cambodia<sup>3</sup> (RCC) organised a workshop for civil society stakeholders based in Cambodia. The meeting provided an opportunity for awareness raising and discussion of the Draft Protocol based around the consultation questions

### **3.3 On-line Survey**

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The aim of the online questionnaire was to ensure that anyone with internet access who wished to provide comment could do so in an efficient way.

The survey was designed to allow users to consider the detailed questions covered in the consultation whilst allowing users to provide more general comments. The survey also aided analysis and enabled HSAF members to view comments as they were submitted.

Section one of the questionnaire asked for stakeholder information in order to aid understanding of how much the perspectives of different types of stakeholders varied. None of the questions were compulsory to allow respondents the freedom to choose which questions they wished to answer. Stakeholders had a choice over whether or not to fill in their names and the questionnaire made it clear that all comments would be confidential, unless the box allowing attribution was checked.

The format for the on-line survey mirrored the other forms of consultation by covering the main questions for Phase 2 Consultation. See section 2.3 for a list of the consultation questions.

Over the course of the fifteen weeks of consultation there were 97 survey responses in total; of these, 48 were completed in full and a further 49 were partially completed. Of the 97 survey responses, the largest stakeholder type was the hydropower industry (24.7%) followed by government (21.6%), civil society stakeholders (13.4%) and hydropower consultants (11.3%). Other stakeholder types included inter-governmental organisations (3.1%), development banks (3.1%), commercial banks (3.1%), research (3.1%), media (1%) and other (11.3%).

Similar to the outcome of Phase 1, there were a number of issues that characterised this form of consultation; respondents tended to focus on the high-level issues; there was not the same level of detail as compared with the outcomes of other methods of consultation; and a high proportion started but did not complete the survey. It is likely that the relatively low level of engagement with the survey and low numbers of detailed feedback reflects difficulties with using this style of relatively rapid on-line survey relying on prior review of the very detailed Draft Protocol documents.

### **3.4 Visits to the IHA website**

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The HSAF web pages are located within the Sustainable Hydropower section of the main IHA website at [www.hydropower.org/sustainable\\_hydropower/hsaf.html](http://www.hydropower.org/sustainable_hydropower/hsaf.html). During the 15 week long consultation and trialing process, following the public release of the Draft Hydropower Sustainability Assessment Protocol, the HSAF web pages saw considerable user activity, which comprised a combination of organic 'hits' and referrals from the nine e-shots that were sent out as part of the consultation communication campaign.

The combined number of 'hits' on the HSAF homepage during the consultation period was 3482, with an average of 232 'hits' per week, which reflected the increased activity expected during the consultation. Positively, the Hydropower Sustainability Assessment Protocol

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<sup>3</sup> The Rivers Coalition in Cambodia (RCC) is a coalition of local and international civil society organizations working on environmental and human rights issues related to hydropower development in Cambodia.

page, where the documents relating to the Hydropower Sustainability Assessment Protocol documents were located, also saw heavy user traffic, receiving 2949 'hits' within the period; which equates to an average of 197 'hits' per week.

In addition, the 'HSAF Trialling of the Draft Hydropower Sustainability Assessment Protocol' webpage, where the Hydropower Sustainability Assessment Protocol trialling documents were located, received 812 'hits' during the consultation period, with an average of 54 'hits' per weeks. 'Hits' on the 'HSAF Consultation Phase 2' webpage, where documents supporting the HSAF Consultation Phase 2 documents were located, totalled 960, which was an average of 64 'hits' per week.

The HSAF related website activity during the Consultation process illustrates that the process achieved significant engagement with target stakeholder groups and that the communication campaign was successful at drawing potentially interested stakeholders to the HSAF web pages, to view the Consultation documents.

### **3.5 Targeted Outreach**

A special effort was made during Phase 2 to reach out to government stakeholders and civil society and dam-affected stakeholders, as discussed below. In addition a priority list of stakeholders was also contacted by telephone.

#### **3.5.1 Governments**

An observation from the Phase 1 consultation was that it was not as successful in getting the views and involvement of governments as was hoped. A special effort was made during the Phase 2 consultation to reach governments.

On 15<sup>th</sup> September, 222 government departments in 97 countries were invited by letter to comment on the Draft Protocol. A four page summary sheet of the HSAF and information on the on-line questionnaire was also enclosed with the letter of invitation.

In total, there were 30 official responses from 16 different countries, mostly via official letters from the respective departments. In addition, some departments chose to respond via email.

The responses were generally positive, indicating a responsible contact within the department and offering general statements of willingness to review and give feedback.

Follow up was undertaken with specific individuals where further clarification was required. This included directing individuals to consultation documents in their native language and directing to the on-line questionnaire.

Some of the government contacts (i.e. Colombia, USA, Brazil) have also been contacted and visited in one-on-one meetings. Further governments (i.e. Norway, Brazil, Germany, Laos, etc) were already closely enough involved in the process or may have been engaged by other pathways and so may have chosen not to reply to the letter.

Overall, this served to raise awareness among governments for the existence and purpose of this process, which has been achieved with some governments.

#### **3.5.2 Civil Society and Dam-affected Stakeholders**

A particular effort in Phase 2 was also made to reach civil society and dam-affected organisations, communities and people. This was more successful than it had been in Phase 1, assisted by the high level of regional outreach enabled by the Forum member travels.

In total, 118 people from civil society organisations were engaged in the process and 81 organisations or individuals who considered themselves dam-affected. These numbers include those who participated in meetings and workshops plus those who responded to the on-line survey.

The Ghana event was very specifically aimed at getting the views of dam-affected peoples, and showed what a high level of effort, funding and organisation is required to do this. In other cases, some of the respondents to the on-line survey and some of the attendees at engagement activities were from dam-affected communities.

### **3.5.3 Telephone interviews**

It was recognised that some stakeholders would need to be prompted to offer their feedback and that some may be unlikely to fill in the online survey but might provide their views in a phone interview. The HSAF coordinator provided Arup with a list of priority stakeholders the majority of which were civil society organisation, independent research organisations and inter-governmental organisations. The list included the chairman for the World Commission for Dams, Professor Kadar Asmal.

In total, this process involved efforts for telephone engagement with forty stakeholders, prompting the submission of a number of on-line questionnaires and in-depth phone interviews.

## **3.6 Challenges and Constraints**

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Some of the challenges and constraints in carrying out the consultation process for Phase 2 include:

- Limited budget for the HSAF to organise its own consultation events, but rather having to be reliant on opportunities as they arose or on in-kind contributions.
- The substantial volume and detail of the Draft Protocol itself, on which the consultation was based.
- In practice many events were awareness-raising and not truly consultation, because it takes some time for stakeholders to understand the Protocol sufficiently to provide informed comment and feedback, and in many cases the engagement activities were a first introduction to what the Forum and the Protocol were about.
- Progressively throughout the consultation process, a growing network of stakeholders became aware of the Forum and the Protocol. At late stages some stakeholders wanted to do full translations of the Draft Protocol, have further consultation sessions, and other activities, the time for which was constrained by the deadline of the consultation process.

## 4 Stakeholder feedback

This section provides a summary of the feedback received from stakeholders. It is a concise version of the input received from stakeholders via the online survey, stakeholder meetings and events, telephone interviews and submission of written feedback. The feedback covers both general comments and more specific comments regarding the eight questions posed to stakeholders at the start of the Phase 2 consultation process (see Section 2.3).

### 4.1 High Level Feedback

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One of the main messages from the consultation is the wide ranging support for the Protocol's aims and objectives. Other than a relatively small number of less supportive voices, there appears to be support from a wide range of stakeholders for a mechanism that allows a user-friendly but comprehensive approach to the assessment of hydropower sustainability. A number of stakeholders felt that the Protocol was a timely document; others commented that rather than creating barriers or hurdles, the Protocol would add value to a scheme. One stakeholder noted that the Protocol may offer the most value to the non-developer stakeholders as a means to understand issue areas that are not naturally part of their own core competencies or knowledge base.

The negative views that were received came from stakeholders from both civil society and the hydropower industry sectors. Negative views from civil society stakeholders focussed around watering down of guidelines, difficulties in being able to comprehend and apply the assessment tool, and around how some specific aspects of the Protocol are dealt with (e.g. re-settlement and consent). Negative views from within the hydropower sector were concerned about the detail and complexity of the Draft Protocol making it difficult to apply in practice, and that the Protocol was asking for many things beyond what an industry would normally deal with.

### 4.2 Perceived Strength

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The consultation exercise served to highlight a range and number of perceived strengths of the Draft Protocol. These have been briefly summarised for each of the consultation questions below, including some general comments.

#### 4.2.1 General Comments

A number of stakeholders supported the view that a single assessment process is a major strength of the Draft Protocol and enables a common assessment for projects in different parts of the world. One stakeholder argued that because the Protocol is based on common factors, it avoids the need for six or seven different assessments by different parties based on different approaches.

One stakeholder made the point that the Draft Protocol allows assessment of the outcomes or performance of a project in terms of quality, or how well the relevant sustainability considerations are really addressed, or not. In this sense is both a planning and post-action/post-planning/auditing tool. A small minority felt that no major improvement is required and that a period of testing should be undertaken before future revisions.

Other perceived general strengths are as follows:

- Could become an important tool in advancing hydropower sustainability;
- Goes beyond the World Commission for Dams report;
- Is coordinated and initiated by industry;
- Could allow for an objective assessment;
- Could be a tool for evaluation of a project for lenders, governments, investors;

- The potential usefulness of the protocol as a checklist of items of good practice.

#### **4.2.2 Practicability and Ease of Use**

The Draft Protocol is perceived to be practical and easy to use by a number of stakeholders. It is argued to be well conceived, comprehensive and systematic in its approach to the assessment.

One stakeholder stated the Draft Protocol is flexible enough for a variety of users to apply to any of the four phases of project development and at any time during a project development process, including during operation. The same stakeholder stated that it provides a library of best practices for planning, implementing or operating a project, or to audit the process.

#### **4.2.3 Content**

A number of stakeholders supported the view that the content of the Draft Protocol covers a wide range of projects of different types and is of a high quality and relevance. One stakeholder felt that the Draft Protocol's greatest strength is the comprehensiveness of its content. The overall logic of the content was perceived to be clear. It covers a very wide range of projects, so for some projects, certain aspects may not fully apply which, as one stakeholder pointed out, is not necessarily a weakness.

Other content specific strengths are as follows:

- The draft protocol content is applicable, of good quality and useful in decision making at any stage of development
- The assessment covers the whole hydropower development circle, with all important factors under social, economical and environmental aspects being included.
- The content of the Draft Protocol is well written.

#### **4.2.4 Guidance**

A number of stakeholders supported the view that the guidance notes are very helpful and the examples of evidence are useful. The guidance notes provide a good overview of what a developer can expect and what a developer should be asking for.

#### **4.2.5 Scoring**

There was support for the current arrangement of a disaggregated approach to scoring. There was also support for the five levels of scoring.

#### **4.2.6 Presentation**

On more than one occasion, stakeholders praised the current presentation of results. The results summary table and figure seemed to appropriate to a number of stakeholders. It was felt that the summary graph could be used as an educational/decision tool to assess with the project developer the actions required to fill the gaps.

### **4.3 Key Issues for Forum Response**

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This table presents a summary of the key issues raised by stakeholders to which the Forum will respond on how it has addressed these in moving forwards towards a final Protocol. All key issues are further discussed in greater detail in the following section of the report.

Three submissions contained tabular or graphical pictures of proposed aspect deletions or groupings across the Protocol as a whole. These are provided in Appendix C.

No.	General Comments
a	<b>Should be linked to a set of core sustainability requirements</b>
b	<b>Major condensation and simplification is required</b>
c	<b>Project proponent's cannot be measured on issues outside their sphere of influence</b>
d	<p><b>Conflicts with/duplicates other standards, regulation and evaluation processes</b></p> <ul style="list-style-type: none"> <li>• Duplicates the Environmental Impact Assessment and therefore seen as a waste of time and resources</li> <li>• May duplicate requirements of lending IFIs.</li> <li>• Duplication with national laws and regulation</li> </ul>
e	<b>Not all aspects relevant to all projects</b>
f	<b>Need industry consensus/commitment to use protocol</b>
g	<b>Purpose and use of the Protocol not clearly identified</b>
h	<b>Need to mention non-hydro benefits</b>
i	<b>Capacity building is needed</b>
j	<b>Consider a section on dam decommissioning</b>
k	<p><b>Documents to be included in national demand and requirements for energy and multi use dam development:</b></p> <ul style="list-style-type: none"> <li>- National Biodiversity Strategies and Action Plans,</li> <li>- Poverty Reduction Strategies and Plans,</li> <li>- National Integrated Water Resource Management Plans,</li> <li>- and other national commitments and frameworks</li> </ul>
No.	Comments on Practicability and Ease of Use
1a	<p><b>Overwhelming and complex</b></p> <ul style="list-style-type: none"> <li>• Overwhelming</li> <li>• Too complex – may limit public participation</li> <li>• It has lost much of the simplicity that were strong merits of the 2006 IHA Protocol.</li> </ul>
1b	<b>Difficulty of conducting a robust audit in a realistic timeframe</b>
1c	<b>Need to reduce number of aspects/attributes/sub-attributes</b>
1d	<b>Protocol is too focused on large hydropower projects</b>
1e	<p><b>Confusing language and terminology</b></p> <ul style="list-style-type: none"> <li>• Simplify the wording in the draft to facilitate translation and understanding</li> </ul>
1f	<b>Too much redundancy and repetitiveness</b>
1g	<b>Inconsistency with industry practice and reality of a project lifecycle</b>
1h	<p><b>Protocol should be goal and outcome oriented</b></p> <ul style="list-style-type: none"> <li>• Too prescriptive</li> </ul>

	<ul style="list-style-type: none"> <li>Need aspect-specific and performance oriented indicators</li> </ul>
1i	<b>Stakeholder and consultation requirements too onerous</b> <ul style="list-style-type: none"> <li>Should be applied only where necessary</li> <li>Stakeholder support should be separated and on its own</li> </ul>
1j	<b>Introduce a test period during which modification to the Protocol may be carried out as a result of ongoing development of the Protocol</b>
1k	<b>Concern about expertise &amp; training of auditors</b> <ul style="list-style-type: none"> <li>Auditors should be independent and certified</li> <li>Auditors need to be knowledgeable and trained</li> </ul>
<b>No.</b>	<b>Feedback on Content</b>
2a	<b>Mixed response on the Content</b> <ul style="list-style-type: none"> <li>Broad and comprehensive – maybe too much so</li> </ul>
2b	<b>Concern about approach and definition of requirements for environmental flows</b> <ul style="list-style-type: none"> <li>Lack of clarity about performance levels</li> <li>Environmental flow setting may not be applicable to all settings</li> <li>Highly subjective</li> <li>Prioritizing different water uses is complex</li> </ul>
2c	<b>Free, Prior and Informed Consent (FPIC)</b>
2d	<b>Concern about requirements for consent</b>
2e	<b>Criticism of weak requirements for resettlement</b>
2f	<b>Relevance of legal compliance for strategic assessment stage questioned</b>
2g	<b>Need for greater ecological emphasis</b> <ul style="list-style-type: none"> <li>Protocol excludes the possibility of finding balance between ecological, social and economic interests in the context of sustainable development</li> <li>Need to consider social/environmental planning ahead of technical planning</li> </ul>
2h	<b>Demonstrated need should be further elaborated</b>
2i	<b>Approach to assessing greenhouse gas (GHG) emissions is not meaningful</b> <ul style="list-style-type: none"> <li>Lack of context</li> <li>Unclear definition and baseline</li> </ul>
2j	<b>Re-think the benefits sharing aspect</b> <ul style="list-style-type: none"> <li>May attract attention to revenue sharing</li> <li>Needs further promotion</li> </ul>
2k	<b>Further attention needed for River Basin and Transboundary Issues</b>
2l	<b>Food security and livelihoods underrepresented</b>
2m	<b>Institutional capacity assessment of project stakeholders is difficult</b> <ul style="list-style-type: none"> <li>Focus instead on capacity of central institutions involved (governments, developers and contractors as well as financial institutions)</li> </ul>
2n	<b>Communications should not be a stand-alone aspect</b>
2o	<b>Issues not addressed in content</b> <ul style="list-style-type: none"> <li>Gender issues</li> <li>Traditional governance systems</li> </ul>
2p	<b>Unclear if national legislative documents can be used as examples of supporting evidence</b>

2q	<b>Include more specific examples of evidence</b>
2r	<b>Provide references to international recognised websites on technical issues</b>
2s	<b>Protocol should be able to interface with / into existing management systems.</b>
2t	<b>Section I specific comments</b> <ul style="list-style-type: none"> <li>• <b>Aspect 1-8</b> evaluates if a project delivers environmental benefits but this is not the purpose of a hydropower project</li> </ul>
2u	<ul style="list-style-type: none"> <li>• Difficult to evaluate existence of a management system in Section I</li> </ul>
2v	<ul style="list-style-type: none"> <li>• Need to further emphasize which parts are to be completed by government vs developers.</li> </ul>
2w	<ul style="list-style-type: none"> <li>• Aspects labelled “for Developers” should still be addressed even when there are no specific projects on the table.</li> </ul>
2x	<ul style="list-style-type: none"> <li>• Section I needs to be restructured in order to reflect present business practice</li> </ul>
2y	<ul style="list-style-type: none"> <li>• Reduce/limit scoring range for Section 1</li> </ul>
2z	<ul style="list-style-type: none"> <li>• Section I should only be a simple YES/NO checklist with considerations about management options for identified risks, as at this very early stage information regarding specific projects are not yet available and these type of investigations are often of confidential commercial nature (see scoring section).</li> </ul>
2aa	<ul style="list-style-type: none"> <li>• Section I should be split into two parts A and B, with one focused on government responsibilities and the other on industry.</li> </ul>
2ab	<ul style="list-style-type: none"> <li>• Include a strategic assessment of business risks and opportunities related to a potential project region/country</li> </ul>
2ac	<ul style="list-style-type: none"> <li>• Political risk should address issue of corruption and transparency, and ability to mitigate political risk; institutional capacity should emphasize public sector governance capabilities; and technical issues and risks should include capacity to mitigate risks.</li> </ul>
2ad	<b>Section II specific comments</b> <ul style="list-style-type: none"> <li>• <b>Aspect II-4 – Project Siting and Design Optimisation:</b> Projects in more remote or less populated areas should be exempted from the multi-criteria analysis; another option would be to do a comparative analysis of applicable alternatives.</li> </ul>
2ae	<ul style="list-style-type: none"> <li>• <b>Aspect II-12 Procurement:</b> Focus on procurement process, corruption too subjective.</li> </ul>
2af	<ul style="list-style-type: none"> <li>• <b>Aspect II -14 - Project affected communities:</b> In the evaluation of a project, the attributes regarding Affected communities have to be referred to effects that a project may generate on the land use, and not through human rights which are related to political matter.</li> </ul>
2ag	<ul style="list-style-type: none"> <li>• <b>Aspect II-16 Resettlement and land acquisition:</b> Grievance mechanisms are excessive.</li> </ul>

2ah	<ul style="list-style-type: none"> <li>• Include Stakeholder support only for 3 crucial social aspects (resettlement, affected communities, indigenous people)</li> </ul>
2ai	<ul style="list-style-type: none"> <li>• Financial records beyond legal requirements should not be disclosed</li> </ul>
2aj	<p><b>Section III specific comments</b></p> <ul style="list-style-type: none"> <li>• <b>III-10 and III-19</b> should both require an assessment of the degree to which negative project environmental/social impacts (including legacy issues) are identified in order to achieve a score of 5 in effectiveness</li> </ul>
2ak	<ul style="list-style-type: none"> <li>• Reduce the number of aspects for instance by deleting / merging: <ul style="list-style-type: none"> <li>○ Regulatory approval III-6</li> <li>○ Catchment management III-20</li> <li>○ Financial Viability III-3</li> <li>○ III-2 and III-14 “Additional Project benefits and benefit sharing”</li> <li>○ III-4 + 5 “Governance”</li> </ul> </li> </ul> <p>Further mergers might easily be achieved due to overlapping social and environmental aspects.</p>
2al	<ul style="list-style-type: none"> <li>• Require stakeholder support only for three crucial social aspects (i.e. resettlement, affected communities and indigenous people)</li> </ul>
2am	<ul style="list-style-type: none"> <li>• <b>III-24 GHG emissions</b> should be assessed compared to alternative electricity sources; protocol expects existence of data which do not exist (e.g. preimpoundment data are not everywhere available) and should specify that <u>net</u> emissions are important; also the usage of “risk” in this context seems inappropriate, since it is the probability or likelihood of significant net GHG emission that should be anticipated; a more detailed suggestion on how to improve the treatment of this.</li> </ul>
2an	<ul style="list-style-type: none"> <li>• <b>III-22</b> highly subjective formulation of e-flow requirements; the title should be changed to flow regimes or downstream flows as there may be other flow needs than ecological ones such as flood protection, water-based transport, coverage of municipal/industrial water intakes, etc.; a more detailed suggestion on how to improve the treatment of this issue will be proposed by a specific IHA task force.</li> </ul>
2ao	<ul style="list-style-type: none"> <li>• Requirements for consultation are less intensive than in the precedent project phase</li> </ul>
2ap	<ul style="list-style-type: none"> <li>• Aspect specific indicators should be worded in such a way that the scoring focuses on effective / adaptive management and monitoring compliance with laws and authorisations</li> </ul>
2aq	<ul style="list-style-type: none"> <li>• Abandon systematic attributes for process and performance, by trying to find for each aspect between two or maximal four quality indicators</li> </ul>
2ar	<p><b>Section IV specific comments</b></p> <ul style="list-style-type: none"> <li>• Focus in this section should be on conformance and compliance with laws, regulation and license.</li> </ul>
2as	<ul style="list-style-type: none"> <li>• Resettlement is omitted from Section IV (Project Operation). The criticism is made that the Draft Protocol ignores the fact that re-settlement extends beyond project commissioning</li> </ul>
2at	<ul style="list-style-type: none"> <li>• Section IV needs to be restructured in order to reflect present business</li> </ul>

	practice
2au	<ul style="list-style-type: none"> <li>Section IV is not reflecting the reality of operating a hydropower project within a legally binding governmental authorization (concession/license). An international standard should not challenge existing regulation, which is reflecting a nation's social consensus on how to address various issues.</li> </ul>
2av	<ul style="list-style-type: none"> <li>Section IV need to distinguish between old / existing plants and new plants developed recently and in accordance with this protocol, as base line conditions and records from pre-project situation will not necessarily be available.</li> </ul>
2aw	<ul style="list-style-type: none"> <li>Section IV is carrying through so many of the Section II and III things, and this was felt to be unnecessary</li> </ul>
2ax	<ul style="list-style-type: none"> <li>Financial viability should from an operational viewpoint reflect the situation that the investment costs are sunk. Financial records beyond legal requirements should not need to be disclosed.</li> </ul>
2ay	<ul style="list-style-type: none"> <li>The section should better reflect the reality of operating a hydropower project within a legally binding governmental authorization (concession/license). An international standard should not challenge existing regulation, which is reflecting a nation's social consensus on how to address various issues.</li> </ul>
2bz	<ul style="list-style-type: none"> <li>The evaluation of existing assets can not be done the same way than recently commissioned ones. Existing hydropower plants developed under an other legislation and with limited availability of baseline information cannot be measured in the same way as newly commissioned plants.</li> </ul>
2ba	<ul style="list-style-type: none"> <li><b>IV-19 GHG emissions</b> should be assessed compared to alternative electricity sources; protocol expects existence of data which do not exist (e.g. preimpoundment data are not everywhere available) and should specify that net emissions are important; also the usage of "risk" in this context seems inappropriate, since it is the probability or likelihood of significant net GHG emission that should be anticipated; a more detailed suggestion on how to improve the treatment of this issue will be proposed by a specific IHA task force</li> </ul>
2bb	<ul style="list-style-type: none"> <li><b>IV-20</b> highly subjective formulation of e-flow requirements; the title should be changed to <b>flow regimes or downstream flows</b> as there may be other flow needs than ecological ones such as flood protection, water-based transport, coverage of municipal/industrial water intakes, etc.; a more detailed suggestion on how to improve the treatment of this issue will be proposed by a specific IHA task force.</li> </ul>
2dc	<ul style="list-style-type: none"> <li>The aspect specific indicators should be worded in such a way that the scoring focuses on monitoring of outcomes compared to planned targets including adaptive management to ensure that the project is delivering according to planed outcomes by respecting all legal frameworks, catches changes and responds with appropriate/responsible measures.</li> </ul>
2dd	<ul style="list-style-type: none"> <li>Abandon systematic attributes for process and performance, by trying to find for each aspect between two or maximal four quality indicators</li> </ul>
<b>No.</b>	<b>Feedback on Guidance</b>
3a	<p><b>Guidance is generally helpful, but desire for it to be more clear, consistent and concise</b></p> <ul style="list-style-type: none"> <li>Not enough guidance</li> </ul>

	<ul style="list-style-type: none"> <li>• Inconsistent in level of detail</li> <li>• Too lengthy</li> <li>• Not focused enough on goals/outcomes</li> </ul>
3b	<b>Repetition of introduction not necessary</b>
3c	<b>Need to strengthen guidance in relation to:</b> <ul style="list-style-type: none"> <li>• Managing conflicting views</li> <li>• Obtaining input from local communities</li> <li>• Undertaking assessment if regulatory/legal framework is weak</li> <li>• Review of data quality</li> </ul>
3d	<b>Unclear how risks are considered</b>
3e	<b>Guidance needed on how developers should best engage with stakeholders</b>
3f	<b>Need further guidance on measuring consent, stakeholder support and human rights issues, and defining stakeholders</b>
3g	<b>Need for a simplified Auditing Guide with checklists</b>
3h	<b>Need for practical examples of application</b>
3i	<b>Need to clarify purpose of guidance notes (educational or auditing tool)</b>
3j	<b>Exclude issues outside proponent's responsibilities</b>
3k	<b>Lack of guidance with regards to the necessary level of detail and confidentiality</b>
3l	<b>Recommendation to base on an international auditing standard (ISO 19011)</b>
<b>No.</b>	<b>Feedback on Scoring</b>
4a	<b>Scoring seen as highly subjective and qualitative</b>
4b	<b>Definitions under scoring for current practice are in many cases not adequate</b>
4c	<b>Scoring system is not uniform or systematic</b>
4d	<b>Change the number of scoring levels</b>
4e	<b>Large leap in criteria between scores seen as problematic</b>
4f	<b>Scoring masking low performance</b>
4g	<b>Change Section I scoring to a Yes/No format</b>
4h	<b>Problem of replicability of results from different auditors</b>
4i	<b>Make scoring meaningful for financial institutions</b>
4j	<b>Unclear how to score non-relevant aspects</b>
4k	<b>No numeric incentive for high performance</b>
4l	<b>Scoring for stakeholder engagement needs revising</b>
4m	<b>Consensus on scoring established before undertaking assessment</b>
<b>No.</b>	<b>Feedback on Presentation of Results</b>
5a	<b>Auditor's report should include recommendations for improvement.</b>
5b	<b>Suggestions for improving the presentation of results</b> <ul style="list-style-type: none"> <li>• All scores of 1 should be clearly mentioned.</li> <li>• Table summarising results, key issues and recommendations for improvement should be included.</li> </ul>

	<ul style="list-style-type: none"> <li>• Various means of disseminating results should be employed (eg, conference).</li> <li>• Add a “recommendations for improvement” section in the Auditor` s working paper</li> <li>• Be able to compare the results to some sort of benchmark that represents a minimally acceptable level for sustainability.</li> <li>• One stakeholder suggested a designer or excel specialist could be employed to improve the presentation</li> </ul>
5c	<b>Mixed view about determining a final grade</b> <ul style="list-style-type: none"> <li>• Some asking for methodology and weighting system</li> <li>• Others disagree with aggregation of results</li> </ul>
5d	<b>Need consistent methodology for reporting results</b>
<b>No.</b>	<b>Feedback on Basic Good Practice</b>
6a	<b>Clear definitions and examples of basic good practice required</b>
6b	<b>Confusion about how basic good practice corresponds to national laws and regulations</b>
6c	<b>Concern about consistency of good practice standard between countries</b>
6d	<b>Concern about good practice not being good enough</b>
6e	<b>Suggestions for basic good practice</b> <ul style="list-style-type: none"> <li>• Positive economic impact for development</li> <li>• Positive social development</li> <li>• Environmental impacts should be mitigated at least</li> </ul>
<b>No.</b>	<b>Feedback on Proven Best Practice</b>
7a	<b>Clear definitions and examples of proven best practice are required</b>
7b	<b>Suggestion to evaluate proven best practice from a process and product standpoint.</b>
7c	<b>Difficulty of achieving best practice</b> <ul style="list-style-type: none"> <li>• Score of 5 may not be achievable</li> <li>• Best practice should reflect how difficult it is to score 5 on all aspects</li> </ul>
7d	<b>Scores of 4 &amp; 5 don’t represent international best practice</b>
7e	<b>Suggestions provided for criteria for proven best practice</b> <ul style="list-style-type: none"> <li>• Corresponds to internationally recognised practices and standards</li> <li>• No non-conformances or non-compliances</li> <li>• No opportunities for improvement at time of audit</li> </ul>

## 4.4 Summary of Consultation Feedback

### General Comments

This section summarises the consultation feedback including general comments and feedback on the specific responses to the 8 consultation questions. It should be noted question 1 on practicability has been combined with question 6 on ease of the use, as the feedback on these questions was highly interrelated.

No.	Issue	General Comments
a	<b>Should be linked to a set of core sustainability requirements</b>	The absence of a basic set of guidelines or performance expectations was noted by many as a significant gap. It was noted that the HSAP has potential to inform public policy decisions, but to do this, it would need to explicitly link the criteria (aspects) to a set of core sustainability requirements to give various stakeholders confidence that the HSAP builds on a strong intellectual foundation. Stakeholders might learn more from working with fewer, but more absolute criteria and indicators. Other stakeholders noted that with so many criteria, the real sustainability issues get lost.
b	<b>Major condensation and simplification is required</b>	Major condensation and simplification is required before the protocol will become an acceptable tool for the industry.
c	<b>Project proponent's cannot be measured on issues outside their sphere of influence</b>	Several stakeholders raised the issue of sphere of influence, noting that proponents should not be measured on issues which go far beyond their responsibilities (e.g. catchment management). The protocol should be formulated in order to measure the performance of a project proponent and not the one of a government.
d	<b>Conflicts with/duplicates other standards, regulation and evaluation processes</b> <ul style="list-style-type: none"> <li>• Duplicates the Environmental Impact Assessment and therefore seen as a waste of time and resources</li> <li>• May duplicate requirements of lending IFIs.</li> <li>• Duplication with national laws and regulation</li> </ul>	<p>A number of stakeholders from more than one consultation method supported the view that the Protocol may mirror existing management and evaluation processes.</p> <p>One stakeholder expressed concern that local/regional project assessment processes should not be replaced by the Protocol. Several stakeholders felt that the Protocol should link to and not replace or replicate other processes such as EIA and development planning processes.</p> <p>Protocol may duplicate some or most of requirements of lending institutions such as the World Bank's 'Operational Policy 4.01', Inter-American Development Bank ('Fundamentals of Environmental Impact Assessment, 2002'), Asian Development Bank ('Environmental Impact Assessment for Developing Countries in Asia, 1997') etc. It was suggested a cross-references of the Protocol's checklists and requirements be developed with respect, as a minimum, of the World Bank's Operations Policy 4.01. This would be intended to facilitate use of the Protocol in submissions to lending institutions and regulatory authorities.</p> <p>There is concern that there is overlap with national laws and regulation- standard should not challenge or conflict with regulation. In some countries, extensive legal requirements exist covering the full project lifecycle. Some stakeholders are concerned this creates extra work when they already have to do much to meet existing regulatory requirements.</p>

		Some felt that the Protocol should clearly demonstrate how it complements or is differentiated from existing standards, regulation and processes, and where it can add value as a development planning tool (particularly in countries with stronger regulatory environment).
e	<b>Not all aspects relevant to all projects</b>	A few stakeholders noted that not all aspects apply to all projects, given the type/nature of the project, the local context, etc. A suggestion was made that auditors conduct a project specific and host-nation specific assessment of the relevance of aspects or attributes. The host-nation specific assessment should consider the national context, including existing policies and regulation and energy planning.
f	<b>Need industry consensus/commitment to use protocol</b>	A number of stakeholders held the view that there has to be a consensus among the hydropower community to use the HSAP and abide by its goals to make projects more sustainable.
g	<b>Purpose and use of the Protocol not clearly identified</b>	<p>There was seen to be a lack of clarity about how the Protocol should and could be used. This includes who will use the tool and whether regulators and international lending agencies could “endorse” the protocol, making the assessment mandatory or tie funding support for projects based on outcome of process.</p> <p>One stakeholder suggested that the HSAF should be clearer about whether the purpose of the protocol is to be an auditing tool or whether it should be a tool for information and awareness raising.</p> <p>Some stakeholders indicated financial support would be needed to undertake assessments. Others questioned the outcomes of an unsatisfactory assessment and indicated there need to be “consequences”.</p> <p>Need to describe pros and cons as well as possible future potential for countries and companies joining the Protocol.</p>
h	<b>Need to mention non-hydro benefits</b>	<p>Some felt that it would be beneficial for the Protocol to make more mention of the non-hydro benefits of schemes i.e. water supply, flood control, irrigation, recreation benefits of reservoirs. These benefits should be recognised in the Introduction and it made clear that the Protocol is only focusing on the hydro components of projects.</p> <p>A number of stakeholders supported the view that the Protocol could be very useful in improving the coordination of water and energy planning in early stages and on a basin level, taking a regional perspective.</p>
i	<b>Capacity building is needed</b>	A large number of stakeholders, particularly those from developing countries suggested training and capacity-building activities in understanding and using the Protocol.
j	<b>Consider a section on dam decommissioning</b>	To make more sustainable in the long term, one stakeholder suggested including a new section on dam decommissioning
k	<b>Documents to be included in national demand and</b>	It was suggested that National Biodiversity Strategies and Action Plans, Poverty Reduction Strategies and Plans,

	<b>requirements for energy and multi use dam development</b>	National Integrated Water Resource Management Plans and other national commitments and frameworks should be included as national demand and requirements for energy and multi use dams development.
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**1) Practicality and Ease of Use:** Does the Draft Protocol seem like a practical assessment tool, and if not, how could it be improved to increase practicability? Can you make recommendations on how to make the documents easy to use?

No.	Issue	Comments on Practicability and Ease of Use
1a	<b>Overwhelming and complex</b> <ul style="list-style-type: none"> <li>• Overwhelming</li> <li>• Too complex – may limit public participation</li> <li>• It has lost much of the simplicity that were strong merits of the 2006 IHA Protocol.</li> </ul>	<p>A large number of stakeholders across almost all methods of consultation questioned the practicability and ease of use of the Protocol. This issue is one of the most important for the HSAF to address.</p> <p>One stakeholder described the Protocol as ‘daunting’ and the complexity of the assessment method may put certain stakeholders off from using it, especially for small and medium sized hydro scheme where a less comprehensive assessment might be required. It also makes the auditing process more difficult.</p> <p>One stakeholder felt that the length and complexity of the Draft Protocol may limit informed public participation. Furthermore, there is a risk that when answering dozens of indicators, some key sustainability criteria get lost.</p> <p>The message was that there was so much content and complicated structure that the key issues were just lost. One stakeholder noted for each aspect it should be assessing: Do you understand the issues? What are you doing about them? Is it working? And only for the big ticket issues, not for everything. It was suggested that an executive summary be included.</p> <p>Several suggested redrafting the protocol into a checklist or a series of questions for auditors would facilitate assessment.</p>
1b	<b>Difficulty of conducting a robust audit in a realistic timeframe</b>	<p>The complexity of Protocol makes it difficult to audit projects in a timely, efficient manner.</p>
1c	<b>Need to reduce number of aspects/attributes/sub-attributes</b>	<p>Reducing the number of aspects/attributes to make the Protocol more stream-lined and less overwhelming was a point raised by a number of stakeholders. It was suggested that the Protocol should reduce the number of aspects, either by eliminations or merging. For each aspect, there are too many attributes and sub-attributes, which is confusing and overwhelming and results in the loss of focus on the most important points. Specific recommendations on reducing the number of aspects were provided by the IHA Reference Group.</p> <ul style="list-style-type: none"> <li>• Develop aspect specific indicators instead of systematic process; and</li> <li>• Develop performance attributes focusing on assessment and understanding of the aspect and the proposed plan to meet the challenges</li> <li>• Develop ‘attributes’ (or assessment criteria) that are meaningful to discern the aspect intent and don’t worry about how they are</li> </ul>

		classified i.e. get to the point much more quickly and directly, and don't get so fixated on the consistent structural break-down
1d	<b>Protocol is too focused on large hydropower projects</b>	Several stakeholders noted that the Protocol appears focused or biased on larger hydro schemes and needs to be adapted for small and medium sized hydro schemes.
1e	<b>Confusing language and terminology</b> <ul style="list-style-type: none"> <li>Simplify the wording in the draft to facilitate translation and understanding</li> </ul>	<p>Related to the above criticism that the Protocol is impractical and not easy to use, some stakeholders criticised the language and terminology. This was of particular concern to those where English was not the mother tongue. This brought into question the issue of translation and the potential for incorrect translation of confusing and complicated terminology. Indeed, one stakeholder commented that an inaccurate translation could lead to barriers in understanding. To address this issue, it was suggested that translation should be undertaken by in-country representatives of the HSAF and other professionals focus on the accurate translation of specialised vocabulary.</p> <p>Various stakeholders emphasised the need for clear and simple language.</p> <p>One stakeholder commented on the ambiguity in some of the wording. They suggested a clear, logical and accurate specification of criteria (Aspects) and indicators (Attributes). Another commented that the term 'accountability' has been used in a 'loose' way.</p> <p>Various stakeholders noted definitions for each score are not always clear.</p>
1f	<b>Too much redundancy and repetitiveness</b>	Several stakeholders said there is much repetitiveness in the document and that material is being carried through between sections. It was felt that redundancy in aspects and attributes should be avoided, and that sub-attributes or sub-indicators should be avoided. Specific aspects that could be merged or deleted are noted where specific comments on sections are provided.
1g	<b>Inconsistency with industry practice and reality of a project lifecycle</b>	A couple stakeholders noted the protocol (particularly Section III and IV) is inconsistent with the way hydropower companies typically operate and should better reflect the reality of a hydropower project life-cycle. During these phases, industry activities are based on requirements from licenses, regulations, agreements and commitments.
1h	<b>Protocol should be goal and outcome oriented</b> <ul style="list-style-type: none"> <li>Too prescriptive</li> <li>Need aspect-specific and performance oriented indicators</li> </ul>	It was noted that the protocol should not be prescriptive with respect to means and methods but be goal and outcome orientated. Being too prescriptive will create frequent non-fit circumstances, e.g., small hydro projects, different countries. On a similar note, it was suggested that both aspect-specific and performance-oriented indicators be implemented.
1i	<b>Stakeholder and consultation requirements too onerous</b>	<p>A large number of stakeholders questioned whether stakeholder consultation requirements have gone too far, have become too onerous and are really required for all aspects and sections.</p> <p>It was suggested that consultation requirements and stakeholder</p>

	<ul style="list-style-type: none"> <li>Should be applied only where necessary</li> <li>Stakeholder support should be separated and on its own</li> </ul>	<p>support be applied to only those aspects that are relevant, which are mostly in Section II.</p> <p>It was also suggested that stakeholder support should be on its own, not aspect by aspect.</p>
1j	<p><b>Introduce a test period during which modification to the Protocol may be carried out as a result of ongoing development of the Protocol</b></p>	<p>One stakeholder suggested that a test period (approximately 3 years) be introduced, during which time, participants could come up with new aspects for various stages of the project which were omitted from the original Protocol, but nevertheless would prove themselves to be crucial for the sustainable development of hydropower projects' during practical implementation. These additional aspects would have to be subsequently analysed before inclusion in later versions of the Protocol.</p>
1k	<p><b>Concern about expertise &amp; training of auditors</b></p> <ul style="list-style-type: none"> <li>Auditors should be independent and certified</li> <li>Auditors need to be knowledgeable and trained</li> </ul>	<p>A number of stakeholders have expressed concern over the level of expertise required for Protocol auditors. Some have stated that auditors need to be: independent; have a broad range of knowledge and skills; be very familiar with national policies, planning processes and institutions; and be trained as assessors. One stakeholder noted the assessment is only as good as the quality of the assessor, while another called for auditors to be certified</p> <p>Considerable expertise required for auditors to cover the brevity of attributes and aspects. Countries, such as India, are already experiencing a capacity bottleneck for auditors with regards to the CDM framework, and there is concern that only very exclusive auditors would be able to offer services around the Protocol.</p> <p>Participants at one workshop voiced an expectation that auditors would need to be knowledgeable on hydropower, and able to judge the specific project against broad experience for results to be useful in comparing different projects. The participants also felt that the practicality and usefulness of the tool depends very strongly on the quality of the assessor. They felt it would be necessary for it to be applied by appropriate experts, and so capacity building for assessors was essential.</p> <p>One stakeholder noted the subjective nature of audit enables results to reflect auditors own personal opinions to hydropower.</p>

**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?

No.	Issue	Feedback on Content
2a	<p><b>Mixed response on the Content</b></p> <ul style="list-style-type: none"> <li>Broad and comprehensive – maybe too much so</li> </ul>	<p>A number of stakeholders felt the range of aspects covered the important content quite well, particularly at the aspect level. It was noted that there were a number of over-lapping aspects and areas that could be combined.</p> <p>Other stakeholders felt the content was extremely broad, particularly at the attribute level, and may be regarded as too comprehensive as it tries to be as general as possible.</p>
2b	<p><b>Concern about approach and definition of requirements for environmental flows</b></p> <ul style="list-style-type: none"> <li>Lack of clarity about performance levels</li> <li>Environmental flow setting may not be applicable to all settings</li> <li>Highly subjective</li> <li>Prioritizing different water uses is complex</li> </ul>	<p>A number of stakeholders expressed reservations with the environmental flows aspect. See individual criticisms below:</p> <p>Some concern that references to environmental flows imply that ecosystem needs must be met, and that it is encouraging preservation of the pre-project ecosystems (which will inherently change by the very fact of the development so preservation is impossible).</p> <p>The concern with the environmental flows aspect was that it was unclear what excellent, very good, good etc all meant. One suggestion for a better title was “Environmental Flow Objective Setting” to be clear what is the major point of emphasis. A major concern was that it could be implied that mimicking natural flow regimes was desired for all hydro projects, and that ‘excellent’ would reflect those power stations that did this. It was clear that having information in the guidance notes up front (e.g. Quality of the Assessment Process, Quality of the Management Process) was too far removed from the aspect for them to understand what the ratings reflected.</p> <p>Another stakeholder noted that there is industry debate about how to assess flows and the protocol leads to the use of a particular approach, the natural flow or environmental flow setting. The stakeholder notes this approach may not be applicable in all settings given the policy/regulatory environment, and a more appropriate approach could be to ask if the developer considers maintaining an environmental flow regime, require an explanation of the process and assess its consistency.</p> <p>The environmental flow requirements were seen by others as highly subjective. It was also suggested that the title should be changed to flow regimes or downstream flows, as there may be other flow needs than ecological ones such as flood protection, water-based transport, coverage of municipal/industrial water intakes, etc.</p> <p>In terms of environmental flows as related to water issues, one stakeholder commented that the competitive requirements of many different types of water use (communal water use and supply, agriculture, fishery, water transport, hydropower) toward the water regime of water resources are often mutually exclusive in terms of satisfying them. As a result, the process of solving these problems is often fraught with conflict. In order to optimise this situation, it is</p>

		necessary to apply ranking of priorities and patterns of complex water use development management. This task also cannot be solved by means of grades by interested parties.
2c	<b>Free, Prior and Informed Consent (FPIC)</b>	<p>A number of issues were raised with regard to FPIC. A point that was supported by a number of stakeholders was the view that it is not appropriate for an industry protocol to decide if some social groups have more rights than others. It was noted by more than one stakeholder that it is inappropriate because FPIC involves anti-democratic dimensions of giving minorities the right to rule over majorities. Other points included:</p> <ul style="list-style-type: none"> <li>- Setting FPIC as a benchmark for any project worldwide is not a pertinent measurement of project sustainability.</li> <li>- While isolated examples exist of the use of FPIC, these are not proven best practice, but approaches that were only attainable in specific cases of large projects with significant resources at their disposal.</li> <li>- In the case of indigenous communities and resettlement of communities, consent could perhaps be considered as a best practice if it is clearly defined in relation to the arrangements associated with impacts and benefits.</li> </ul> <p>-In sections II-14, III-11 and IV-10, Project affected communities: the point was made the rights are ignored e.g. there is no FPIC, and no rights of affected people who are not displaced or lose land, such as downstream affected people to compensation.</p>
2d	<b>Concern about requirements for consent</b>	A number of governmental and industry stakeholders are concerned about the issue of full consent and free prior informed consent going too far; they feel it is unrealistic to ever achieve this. Conversely, other stakeholders from civil society felt that the consent issue should over-ride all other criteria.
2e	<b>Criticism of weak requirements for resettlement</b>	<p>A number of stakeholder groups raised issues with resettlement. Some of the key issues are as follows:</p> <ul style="list-style-type: none"> <li>• Need to align Draft Protocol with World Bank resettlement policy OP 4.12 and consider additional elements. This would mean scoring resettlement in the same way as OP 4.12.</li> <li>• No financial cost for resettlement included in the assessment</li> <li>• Resettlement needs to be culturally-appropriate</li> <li>• Resettlement is omitted from Section IV (Project Operation). The criticism is made that the Draft Protocol ignores the fact that re-settlement extends beyond project commissioning</li> <li>• Omission of forced displacement and resettlement in Section I.</li> <li>• The Resettlement Action Plan (RAP) needs further development</li> </ul> <p>Conversely, at one consultation event, stakeholders liked the Draft Protocol's emphasis on these issues.</p>
2f	<b>Relevance of legal compliance for</b>	In the table "Process Attributes" (page 28 of the proposed Document blueprint), on the line "Legal and Other Compliance" there is a note:

	<b>strategic assessment stage questioned</b>	“usually irrelevant at the strategic assessment stage”. One stakeholder argued it was unacceptable to refer to the requirements of the water legislation and environmental legislation as “irrelevant at the strategic assessment stage”. It was suggested this aspect be elaborated for clarification.
2g	<b>Need for greater ecological emphasis</b> <ul style="list-style-type: none"> <li>Protocol excludes the possibility of finding balance between ecological, social and economic interests in the context of sustainable development</li> <li>Need to consider social/environmental planning ahead of technical planning</li> </ul>	<p>One stakeholder asserted that the draft protocol does not address the principle of "finding balance between economic, social and ecological values". The same stakeholder notes that the questions regarding water are separated into different Aspects; the ecological questions are moved to one of the last places (8th position); questions of limiting factors for identification of ecologically acceptable limits of water environment transformation are not referenced at all. Such an approach would not allow objective assessment of the anthropogenic impact on the hydropower station's location, the water reservoir and the lower pool, and excludes the possibility of finding balance between ecological, social and economic interests in the context of sustainable development.</p> <p>Another stakeholder noted that social management planning and planning for reservoir filling with respect to environmental, social and resettlement issues, should both always be two steps ahead of technical planning for excellent projects.</p>
2h	<b>Demonstrated need should be further elaborated</b>	Several stakeholders indicated Demonstrated Need concept in Sec I requires further elaboration. They commented that there is no consideration for reducing energy consumption through demand side management; and need should be considered from local-national-international perspective, with priority on local. Also, if need is limited to consideration of only the need for water and energy resources, then equally important needs such as needs for ecosystem services, fish migration corridors, food security, poverty eradication are not equally being considered as needs to be met.
2i	<b>Approach to assessing greenhouse gas (GHG) emissions</b> <ul style="list-style-type: none"> <li>Lack of context</li> <li>Unclear definition and baseline</li> </ul>	<p>Stakeholders had a number of comments on GHG emissions. Some noted they should be assessed against relative significance and broader context: they should be compared against other alternative electricity sources (Sec II-24), net emissions should be emphasised as being important; usage of risk is seen as inappropriate by one stakeholder.</p> <p>Definition of minor or significant GHG emissions was found to be too arbitrary and strict. Baseline for comparison was deemed unclear.</p>
2j	<b>Re-think the benefits sharing aspect</b> <ul style="list-style-type: none"> <li>May attract attention to revenue sharing</li> <li>Needs further promotion</li> </ul>	There were several different comments raised on benefits sharing. One stakeholder was concerned that attention would be attracted to revenue sharing as opposed to other benefits (capacity building, training etc). Another said benefit sharing or payment for ecological services needs to be promoted. Otherwise, the resource-providers are easily blamed for destroying the environment while the benefits actually go to other regions.
2k	<b>Further attention needed for River Basin and Transboundary Issues</b>	Several stakeholders, particularly those in SE Asia noted that river basin and transboundary issues need further attention in the Protocol; they are considered too broad in scope at present. A specific aspect on this was considered necessary for Section I.

		One stakeholder supported the view that a strategic assessment at a river-basin scale was needed to assess the impact of various projects on the integrity and the health of the whole river system rather than certain sections of the river.
2l	<b>Food security and livelihoods underrepresented</b>	Several stakeholders from South East Asia supported the view that food security, especially with regard to fisheries, and livelihoods were underrepresented in Section I. In the Mekong Delta, dams present key concerns with regard to migratory fisheries and nutrition, economic and livelihood loss, sediment loss and delta viability, as well as numerous ecosystem. The sustainability of the Mekong Delta requires that these issues are appropriately considered in assessing the feasibility of a hydropower scheme. The point made by the stakeholders at the workshop in South East Asia could have relevance to hydropower schemes in other parts of the world.
2m	<b>Institutional capacity assessment of project stakeholders is difficult</b> <ul style="list-style-type: none"> <li>Focus instead on capacity of central institutions involved (governments, developers and contractors as well as financial institutions)</li> </ul>	It was noted that assessing institutional capacity of project stakeholders is difficult, and perhaps should focus instead on capacity of central institutions involved (governments, developers and contractors as well as financial institutions). The way the institutional capacity of affected people could be assessed is also challenging since they do not have any prior experience in induced resettlement/with compensation etc.
2n	<b>Communications should not be a stand-alone aspect</b>	One stakeholder noted communications is usually reflected in other aspects (eg, resettlement, social impact assessment) and does not need to be on its own.
2o	<b>Issues not addressed in content</b> <ul style="list-style-type: none"> <li>Gender issues</li> <li>Traditional governance systems</li> </ul>	Stakeholders noted two issues that have not been addressed adequately: <ul style="list-style-type: none"> <li>Gender issues</li> <li>Traditional governance systems – no ability to consider how hydropower projects fit in with or create conflicts for traditional systems of land tenure and chieftainship</li> </ul>
2p	<b>Unclear if national legislative documents can be used as examples of supporting evidence</b>	One stakeholder argued that it was important for the Protocol to accept documents used in a national legislative framework as examples of supporting evidence. Aspects and assessment tools should be universally applicable for all countries (one of the aims of the Protocol); however, documents that are specific for national legislative space should be used as examples of evidence.
2q	<b>Include more specific examples of evidence</b>	One stakeholder made various suggestions for specific examples of evidence that could be required, including: <ul style="list-style-type: none"> <li>Support of stakeholders for other projects</li> <li>IUCN Red Data List</li> <li>Regional Development Report</li> <li>National policies/plans</li> </ul>

		<ul style="list-style-type: none"> <li>• ECA risk insurance</li> <li>• Corruption Perception Index</li> <li>• Tender Documents</li> <li>• Monitoring reports during preparation phase</li> <li>• Consultation reports/interviews</li> <li>• CDM application documents</li> <li>• Independent cross check of river basin plan</li> <li>• Subcontractor contracts</li> <li>• Project specific HSE policy signed by suppliers</li> <li>• Suppliers code of conduct</li> <li>• Supplier's certifications, contracts containing sustainability criteria/commitments</li> <li>• Signing of UN/ILO Conventions</li> <li>• Income Restoration Plan</li> <li>• Organisation Chart/Responsibilities</li> <li>• GHG Monitoring reports</li> </ul>
2r	<b>Provide references to international recognised websites on technical issues</b>	The Draft Protocol would benefit from more references to international recognized websites on technical issues (that can be located in the Auditing Guidance notes). The advantage would be that the key information would be present in the Protocol but if the auditor would like more technical information, he could go back to the sources.
2s	<b>Should interface with / into existing management systems</b>	Protocol should be able to interface with / into existing management systems.
2t	<b>Section I specific comments</b>	Comments on specific aspects/attributes of Section I include the following: Aspect 1-8 evaluates if a project delivers environmental benefits but this is not the purpose of a hydropower project
2u		Difficult to evaluate existence of a management system in Section I
2v		Need to further emphasize which parts are to be completed by government vs developers.
2w		Aspects labelled "for Developers" should still be addressed even when there are no specific projects on the table.
2x		Section I needs to be restructured in order to reflect present business practice
2y		Reduce/limit scoring range for Section 1
2z		Section I should only be a simple YES/NO checklist with considerations about management options for identified risks, as at this very early stage information regarding specific projects are not yet available and these type of investigations are often of confidential commercial nature (see scoring section).

2aa		Section I should be split into two parts A and B, with one focused on government responsibilities and the other on industry.
2ab		Include a strategic assessment of business risks and opportunities related to a potential project region/country
2ac		Political risk should address issue of corruption and transparency, and ability to mitigate political risk; institutional capacity should emphasize public sector governance capabilities; and technical issues and risks should include capacity to mitigate risks.
2ad	<b>Section II specific comments</b>	Comments on specific aspects of Section II include the following: <b>Aspect II-4 – Project Siting and Design Optimisation:</b> Projects in more remote or less populated areas should be exempted from the multi-criteria analysis; another option would be to do a comparative analysis of applicable alternatives.
2ae		<b>Aspect II-12 Procurement:</b> Focus on procurement process, corruption too subjective.
2af		<b>Aspect II -14 - Project affected communities:</b> In the evaluation of a project, the attributes regarding Affected communities have to be referred to effects that a project may generate on the land use, and not through human rights which are related to political matter.
2ag		<b>Aspect II-16 Resettlement and land acquisition:</b> Grievance mechanisms are excessive.
2ah		Include Stakeholder support only for 3 crucial social aspects (resettlement, affected communities, indigenous people)
2ai		Financial records beyond legal requirements should not be disclosed
2aj	<b>Section III specific comments</b>	Comments on specific aspects of Section II include the following: <b>III-10 and III-19</b> should both require an assessment of the degree to which negative project environmental/social impacts (including legacy issues) are identified in order to achieve a score of 5 in effectiveness
2ak		Reduce the number of aspects for instance by deleting / merging: <ul style="list-style-type: none"> <li>○ Regulatory approval III-6</li> <li>○ Catchment management III-20</li> <li>○ Financial Viability III-3</li> <li>○ III-2 and III-14 “Additional Project benefits and benefit sharing”</li> <li>○ III-4 + 5 “Governance”</li> </ul> Further mergers might easily be achieved due to overlapping social and environmental aspects.
2al		Require stakeholder support only for three crucial social aspects (i.e. resettlement, affected communities and indigenous people)
2am		<b>III-24 GHG emissions</b> should be assessed compared to alternative electricity sources; protocol expects existence of data which do not

		exist (e.g. preimpoundment data are not everywhere available) and should specify that <u>net</u> emissions are important; also the usage of “risk” in this context seems inappropriate, since it is the probability or likelihood of significant net GHG emission that should be anticipated; a more detailed suggestion on how to improve the treatment of this
2an		<b>III-22</b> highly subjective formulation of e-flow requirements; the title should be changed to flow regimes or downstream flows as there may be other flow needs than ecological ones such as flood protection, water-based transport, coverage of municipal/industrial water intakes, etc.; a more detailed suggestion on how to improve the treatment of this issue will be proposed by a specific IHA task force;
2ao		Requirements for consultation are less intensive than in the precedent project phase (4/22)
2ap		Aspect specific indicators should be worded in such a way that the scoring focuses on effective / adaptive management and monitoring compliance with laws and authorisations
2aq		<b>Abandon</b> systematic attributes for process and performance, by trying to find for each aspect between two or maximal four quality indicators
2ar	<b>Section IV specific comments</b>	Focus in this section should be on conformance and compliance with laws, regulation and license.
2as		Resettlement is omitted from Section IV (Project Operation). The criticism is made that the Draft Protocol ignores the fact that re-settlement extends beyond project commissioning
2at		Section IV needs to be restructured in order to reflect present business practice
2au		Section IV is not reflecting the reality of operating a hydropower project within a legally binding governmental authorization (concession/license). An international standard should not challenge existing regulation, which is reflecting a nation’s social consensus on how to address various issues.
2av		Section IV need to distinguish between old / existing plants and new plants developed recently and in accordance with this protocol, as base line conditions and records from pre-project situation will not necessarily be available.
2aw		Section IV is carrying through so many of the Section II and III things, and this was felt to be unnecessary.
2ax		Financial viability should from an operational viewpoint reflect the situation that the investment costs are sunk. Financial records beyond legal requirements should not need to be disclosed.
2ay		The section should better reflect the reality of operating a hydropower project within a legally binding governmental authorization (concession/license). An international standard should not challenge existing regulation, which is reflecting a nation’s social consensus on

		how to address various issues
2bz		The evaluation of existing assets can not be done the same way than recently commissioned ones. Existing hydropower plants developed under an other legislation and with limited availability of baseline information cannot be measured in the same way as newly commissioned plants.
2ba		<b>IV-19 GHG emissions</b> should be assessed compared to alternative electricity sources; protocol expects existence of data which do not exist (e.g. preimpoundment data are not everywhere available) and should specify that <u>net</u> emissions are important; also the usage of “risk” in this context seems inappropriate, since it is the probability or likelihood of significant net GHG emission that should be anticipated; a more detailed suggestion on how to improve the treatment of this issue will be proposed by a specific IHA task force;
2bb		<b>IV-20</b> highly subjective formulation of e-flow requirements; the title should be changed to flow regimes or downstream flows as there may be other flow needs than ecological ones such as flood protection, water-based transport, coverage of municipal/industrial water intakes, etc.; a more detailed suggestion on how to improve the treatment of this issue will be proposed by a specific IHA task force.
2bc		The aspect specific indicators should be worded in such a way that the scoring focuses on monitoring of outcomes compared to planned targets including adaptive management to ensure that the project is delivering according to planed outcomes by respecting all legal frameworks, catches changes and responds with appropriate/responsible measures.
2bd		Abandon systematic attributes for process and performance, by trying to find for each aspect between two or maximal four quality indicators

**3) Guidance:** Do you find the Draft Protocol introduction and auditing guidance notes helpful, and how might they be improved?

No.	Issue	Feedback on Guidance
3a	<p><b>Guidance is generally helpful, but desire for it to be more clear, consistent and concise</b></p> <ul style="list-style-type: none"> <li>• Not enough guidance</li> <li>• Inconsistent in level of detail</li> <li>• Too lengthy</li> <li>• Not focused enough on goals/outcomes</li> </ul>	<p>The question of guidance has raised a contrast of opinions. A considerable number of stakeholders are satisfied with the amount and level of detail; others are suggesting significant improvements to the existing suite of guidance material. In particular, there was an interest in having better explanation in the documents about how the guidance might be used, by whom, and how it relates to existing tools (e.g. SEA, EIA, due diligence, etc.). One stakeholder argued for improved guidance implementation to assist Civil Society Organisations and indigenous group.</p> <p>Some stakeholder noted the Draft Protocol does not yet provide enough guidance. They noted since hydropower sustainability assessment covers a wide range of criteria, expertise in multiple disciplines is important. A multi-disciplinary team of experts, following the HSAP, could produce a credible assessment. In order to do so, they would need a methodology to incorporate the knowledge of marginalised and vulnerable people. Assessments could also make other key sources of knowledge (e.g., hydrologic simulations, economic and financial models) accessible for public review.</p> <p>Guidance was criticised as being inconsistent - very specific and detailed on what is required to meet a standard for some issues (eg, environmental flows and downstream sustainability Aspect II-25) and too light for other issues (such as Options Assessment).</p> <p>Stakeholders noted guidance and scoring should be more goal and outcome-oriented, not so prescriptive.</p> <p>The introduction and auditing guidance were described as being helpful but lengthy. One stakeholder noted that if the guidance notes are meant to only support the auditing tool, they can be substantially shortened and limited to really relevant information (e.g. background information and table 1 may not really be necessary).</p>
3b	<p><b>Repetition of introduction not necessary</b></p>	<p>On more than one occasion, it was suggested the introduction to the guidance notes do not need repeating for each section. One stakeholder felt that it doesn't make sense to repeat this part four times; it only makes the Protocol longer. Instead, it was recommended that pages 1-20 of each section should be in a separate guidance document.</p>
3c	<p><b>Need to strengthen guidance in relation to:</b></p> <ul style="list-style-type: none"> <li>• Managing conflicting views</li> <li>• Obtaining input from local communities</li> <li>• Undertaking assessment if regulatory/legal framework is weak</li> <li>• Review of data</li> </ul>	<p>Various stakeholders noted the guidance needs to be strengthened in various areas:</p> <ul style="list-style-type: none"> <li>• Need for clearer guidance on how to manage conflicting views and perspectives when the factual basis for assessments is being established</li> <li>• Need for guidance on how the auditor may secure representative input from local communities</li> <li>• No guidance provided on how to assess a project if regulatory/legal framework is insufficient or non-existent.</li> <li>• Several stakeholders raised the issue that the quality of data needs to be carefully reviewed by auditors, particularly as it</li> </ul>

	quality	relates to community consultation and support. It was recommended that civil society be allowed to participate in auditing process and facilitate interviews with communities.
3d	<b>Unclear how risks are considered</b>	Unclear how risks and uncertainties are being assessed. Links to risk management standard manuals should be included.
3 e	<b>Guidance needed on how developers should best to engage with stakeholders</b>	<p>A number of stakeholders raised concerns with how best to engage with stakeholders in the process of Protocol Assessment.</p> <p>It was suggested that additional guidance might be useful for hydropower developers, especially for dealing with stakeholders involved in a project. For example, hydropower developers may have limited experience in engaging with stakeholders.</p> <p>Related to the above point, the same person wondered whether developing a Dispute Resolution Strategy before a project commences would be useful. This would be preferable to developing a resolution strategy once a project has started which may cause it to be rushed and ultimately less effective.</p>
3f	<b>Need further guidance on measuring consent, stakeholder support and human rights issues, and defining stakeholders</b>	It was felt that guidance needed to be more specific about how to measure consent, stakeholder support and human right issues, and better explain how to define who are stakeholders.
3g	<b>Need for simplified auditing guidance</b>	One stakeholder suggested that following the final version of the Protocol, a simplified Auditing Guide should be created with checklists. The Protocol would be used as detailed guidelines and the Auditing Guide as a more practical tool.
3h	<b>Need for practical examples on application</b>	<p>To help users of the protocol, it was recommended that examples be developed that (i) detail the step-by-step implementation of the protocol and (ii) present a final report detailing an auditor's findings. This would help to show what the "end game" is for those who have never considered such a process before.</p> <p>A number of stakeholders also argued for more case studies/practical examples to guide assessors when scoring.</p>
3i	<b>Need to clarify purpose of guidance notes (educational or auditing tool)</b>	One stakeholder noted clarify is needed on whether the guidance notes are having an educational purpose or are meant to be an auditing tool.
3j	<b>Exclude issues outside proponent's responsibilities</b>	It was felt that guidance notes should not include issues that are beyond the responsibility of the proponent.
3k	<b>Lack of guidance with regards to the necessary level of detail and confidentiality</b>	Stakeholder noted the level of detail required for the information provided should be explicitly outlined; confidentiality issues should also be addressed.
3l	<b>Recommendation to use international auditing standard (ISO 19011)</b>	As the Protocol is going to cover the global scale, it was recommended that it be based upon the internationally approved standard ISO 19011 (the standard for Quality and Environmental Management Systems Auditing) which reflects all aspects of auditing

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		procedure and is extensively used worldwide.
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**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.

No.	Issue	Feedback on Scoring
4a	<b>Scoring seen as highly subjective and qualitative</b>	<p>Whilst there was some agreement with the current scoring system, a considerable number of stakeholders raised specific problems, in particular, the confusing and highly subjective nature of the scoring system.</p> <p>One stakeholder felt that the definitions of the scores are currently too qualitative and lacked quantitative data and detailed descriptions. When applied in practice, it was argued that developers would have their own standards and the results of the assessment would be inconsistent.</p>
4b	<b>Definitions under scoring for current practice are in many cases not adequate</b>	<p>One respondent suggested that in general the definitions under scoring for current practice are in many cases not adequate. The point was made that it is recognized that different countries and projects have different levels of resources, but the impact of not providing adequate definitions and goals for current practice could have longer term environmental, social and economic impacts given the lifetime of dams. This could far extend beyond solid current practice approaches applied in the present day.</p>
4c	<b>Scoring system is not uniform or systematic</b>	<p>Stakeholders felt the scoring needs to be more systematic and uniformly applied across different aspects / issues.</p>
4d	<b>Change the number of scoring levels</b>	<p>While some argued for less scoring levels, others suggested reverting to the 6 point scoring system.</p> <p>A different stakeholder felt that the scoring system should be widened to 1 to 7 to make characteristics clearer between scores and avoid a lot of 3 scores making the assessment less practical as a tool. It was argued that 1 to 7 has a much better statistical spread in terms of final analysis showing more definite support or not for dam development.</p>
4e	<b>Large leap in criteria between scores seen as problematic</b>	<p>The gap or leap in criteria between scores was seen as problematic. In particular, the gap between 3 and 2 or between 3 and 4 compared to the other steps was perceived as large by a number of stakeholders</p>
4f	<b>Scoring masking low performance</b>	<p>There was a fundamental objection from some stakeholders to a scoring approach that builds averages of results which could mask areas of low performance.</p>
4g	<b>Change Section I scoring to a Yes/No format</b>	<p>It was observed by more than one industry stakeholders that Section I could take a different format to current arrangement. Rather than score each aspect, this could be changed to a Yes/No checklist. It was suggested this would help to identify where there are information gaps and whether there is a strategic need for hydropower.</p>
4h	<b>Problem of replicability of results from different auditors</b>	<p>There were concerns that auditors from different backgrounds and perspectives would arrive at quite different scores, not achieving the target of replicability.</p>
4i	<b>Make scoring</b>	<p>One stakeholder group proposed a different scoring scale for</p>

	<b>meaningful to financial institutions</b>	<p>financing institutions: a single integrated score for three groups of aspects: economic, environmental and social. The overall result could then be shown in a three-letter format (“AAA” vs. “BCB” rating).</p> <p>It was also recommended that input be solicited from the World Bank and other IFIs to make sure the scoring is useful and interpretable.</p>
4j	<b>Unclear how to score non-relevant aspects</b>	<p>One stakeholder noted it was unclear how grading should be done for attributes that are deemed not relevant: whether a grade of 1 should be assigned, or no grading should be done at all.</p>
4k	<b>No numeric incentive for high performance</b>	<p>One stakeholder noted that 60% of the score is a pass (3 - 5 out of 5, basic good practice to good practice) whereas in the real world many dam-related topics (from economics to environmental flows, not to mention resettlement) are often failures. Overall, it was perceived that this scoring system gives no numerical incentive for high performance.</p>
4l	<b>Scoring for stakeholder engagement needs revising</b>	<p>The definition of ‘regular engagement, often two-way’ is felt to be inadequate to classify as good, and is really just adequate. Consideration should be made to adjust the scoring for stakeholder consultation and a few others definitions throughout all sections of the protocol.</p> <p>The definition of ‘Regular and two way engagement with stakeholders currently classified as 4 (possibly even the definition under 5), should be basic best practice (i.e.: 3). This needs adjusting.</p>
4m	<b>Consensus on scoring established before undertaking assessment</b>	<p>It was noted that it would be useful to get consensus or common understanding on the scores and scoring before the start of assessment. When the assessment is done within a common socio-economic and cultural context, the results would be objective and meaningful. When carried out in a transboundary context there will be some differences as a result of variances in all aspects across the boundary. This aspect needs to be carefully considered in interpreting assessment results for transboundary projects.</p>

**5) Presentation of Results:** What suggestions could you make for effective and practical mechanisms for presentation of assessment results?

No.	Issue	Feedback on Presentation of Results
5a	<b>Auditor's report should include recommendations for improvement.</b>	It was suggested that the Auditor's working paper should include recommendations for improvement. It should also include presentation of auditor's qualifications and methodology.
5b	<b>Suggestions for improving the presentation of results</b>	<p>Although feedback on this question received less detail than other questions there seemed to be a general level of support for the existing presentation of results. Comments from stakeholder included the following:</p> <ul style="list-style-type: none"> <li>• All scores of 1 should be clearly mentioned.</li> <li>• Table summarising results, key issues and recommendations for improvement should be included.</li> <li>• Various means of disseminating results should be employed (eg, conference). presentation of results is good, though it would be better to add a "recommendations for improvement" section in the Auditor's working paper, in case an auditor would like to add recommendations for improvement to raise the score.</li> <li>• It would be useful to be able to compare the results to some sort of benchmark that represents a minimally acceptable level for sustainability. One stakeholder suggested a designer or excel specialist could improve the presentation.</li> </ul>
5c	<p><b>Mixed view about determining a final grade</b></p> <ul style="list-style-type: none"> <li>• Some asking for methodology and weighting system</li> <li>• Others disagree with aggregation of results</li> </ul>	<p>One stakeholder noted that a unified methodology should be developed for deriving a final grade which should also include the weightings of individual aspects for the final grade calculation.</p> <p>Another stated that although the emphasis is not on the allocation of an overall score, it would be useful in benchmarking processes. In other words, the results could be presented with the strengths and weaknesses in each perspective and with an overall score of the project.</p> <p>However, other stakeholders disagreed with aggregating results.</p>
5d	<b>Need consistent methodology for reporting results</b>	Stakeholders emphasized the Protocol should set out a consistent methodology for reporting results

**6) 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 basic good practice for individual attributes in the Draft Protocol?

No.	Issue	Feedback on Basic Good Practice
6a	<b>Clear definitions and examples of basic good practice required</b>	<p>A common response from stakeholders was the need for clear definitions and examples for each aspect to understand what is meant by basic good practice. One stakeholder asked: how do you measure what “basic good practice” is? What do you base it off of? The same stakeholder strongly recommend providing examples or benchmarks for the user of the document.</p> <p>It was suggested that consensus or common understanding on the scores should be agreed before the start of assessment. When the assessment is done within a common socio-economic and cultural context, the results would be objective and meaningful.</p>
6b	<b>Confusion about how basic good practice corresponds to national laws and regulations</b>	<p>A common question raised was about where national laws and regulations fit: How would the assessment fit with processes required by national Governments? Would it be in addition to these, and therefore is 3 national laws and regulations?</p> <p>One stakeholder supported the view that 3 should represent "Good Practice" meaning that all legal and regulatory requirements are met as well as the quality and management standards of the project owner.</p> <p>Alternatively, stakeholders at one consultation event took the view that complying with National Laws and Regulations for ‘Basic Good Practice’ could be to the detriment of the project. National Laws and Regulations may be unreliable in some developing countries where hydropower is poorly implemented.</p>
6c	<b>Concern about consistency of good practice standard between countries</b>	<p>Various stakeholders raised a concern that basic good practice in one country is not the same as in another country. One stakeholder noted that scores for Basic Good Practice and Proven Best Practice may lead to complacency regarding motivation for continuous improvement. For example, basic good practice (i.e. a score of 3) in one country/place may not be basic good practice in another country/place. Too much emphasis may be placed on gaining a particular score as opposed to concentrating on what the scores really mean in a specific context.</p>
6d	<b>Concern about good practice not being good enough</b>	<p>One stakeholders raised the concern that a “good practice” dam (i.e. one scoring 3) could go forward, despite there being clear problems and issues.</p>
6e	<b>Suggestions for basic good practice</b>	<p>One stakeholder suggested that basic good practice should include:</p> <ul style="list-style-type: none"> <li>• Positive economic impact for development (local and central)</li> <li>• Positive social development (better off)</li> <li>• Environmental (impacts should be mitigated at least)</li> </ul>

**7) 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?

No.	Issue	Feedback on Proven Best Practice
7a	<b>Clear definitions and examples required</b>	As with the responses to the question of defining basic good practice, numerous stakeholders asked for clear definitions and examples for each aspect to understand what is meant by proven best practice. Furthermore, several stakeholders suggested this score should be differentiated between different regions in the world. One stakeholder argued that it is important to stress the fact that so far there has been no consensus on what is 'good practice' and what is 'proven best practice' on an overall project performance. More website references to the sources of the Proven Best Practice would be of great help for the assessor.
7b	<b>Suggestion to evaluate proven best practice from a process and product standpoint.</b>	One stakeholder raised the point that proven best practice needs to be assessed from both a process standpoint (internationally accepted best practice process is defined in ISO 9001 and ISO 14001), and from a product/outcome perspective. The product/outcome perspective needs to be captured so that it describes the kinds of products / outcomes that have been judged as "best practice". These then need to form the basis for and be applied to a particular set of circumstances. This may also be revised as knowledge and technology advance. The further challenge would be the process to keep abreast of new developments, and to disseminate this knowledge.
7c	<b>Difficulty of achieving best practice</b> <ul style="list-style-type: none"> <li>• Score of 5 may not be achievable</li> <li>• Best practice should reflect how difficult it is to score 5 on all aspects</li> </ul>	Various stakeholders questioned whether a score of 5 was really achievable. One noted that a score of 5 on all aspects would be impossible to obtain. Best practice if measured as an aggregate score should reflect that.
7d	<b>Scores of 4 &amp; 5 don't represent international best practice</b>	One stakeholder felt that many scores of 4 and 5 are not representing international best practice.
7e	<b>Suggestions for criteria for proven best practice</b> <ul style="list-style-type: none"> <li>• Corresponds to internationally recognised practices and standards</li> <li>• No non-conformances or non-compliances</li> <li>• No opportunities for improvement at time of audit</li> </ul>	It was suggested that proven best practice could be granted if the project corresponds to internationally recognised practices and standards. Criteria of best proven practice and basic good practice should equally refer to projects of various scales. Proven best practice would have no non-conformances, no non-compliances, and no opportunities for improvement discovered at the time of the audit. In addition, proven best practice should be demonstrably achievable in multiple country contexts.  More website references to the sources of the Proven Best Practice would be of great help for the assessor.



## 4.5 Translation of the Draft Protocol

### 4.5.1 General Discussion of Translation

Translations were provided as in-kind support to the Forum as outlined in Table 1. These proved to be substantial contributions, especially for the Draft Protocol documents and enabled the Forum to greatly expand its reach to different stakeholders. In no case did a full Draft Protocol translation take less than one month. However, there was no opportunity for translators to share experiences or compare how they treated different concepts, and this is something that should be allowed for when thinking about translation of the Final Protocol.

**Table 1: Translated Draft Protocol and associated information**

Language	Document(s) translated	Translating organisation
French	5 page Forum Handout 10 page Protocol content excerpts	Hydro Quebec
Spanish	4 page Forum handout	Isagen
Spanish	Draft Protocol Sections I, II, III & IV	HidroAysen
Portuguese	Draft Protocol Sections I, II, III & IV	Itaipu Binacional
Serb/Croat	4 page Forum Handout 10 page Protocol content excerpts	WWF
Russian	Draft Protocol Sections I, II, III & IV	RusHydro
Mandarin	Draft Protocol Sections I, II, III & IV, 10 page Protocol content excerpts	CTGPC ADB
Lao	10 page Protocol content excerpts	ADB, M-Power
Vietnamese	10 page Protocol content excerpts	ADB, M-Power
Khmer	10 page Protocol content excerpts	ADB, M-Power
Thai	10 page Protocol content excerpts	ADB, M-Power

While the provision of translated hand-out documents and Draft Protocols facilitated the consultation and trialling events in many regions, it also revealed that not all content is easily translated into foreign languages and regional contexts. This calls for more precision in the wording of the Draft Protocol.

Below is some more specific feedback provided to the Forum regarding translation.

#### **4.5.2 Russian translation**

A number of points were raised with regards to the Russian version of the Draft Protocol. Words that did not translate directly into Russian or caused some concern to Russian speakers are as follows: Catchment Management, Catchment, Reservoir Management, Environmental Flows, Downstream Sustainability, Biodiversity, Invasive Species, Communities, for the project affected community, Asset, ecosystem services, Sedimentation, Public Health.

#### **4.5.3 Chinese translation**

The Chinese version of the Draft Protocol was completed by translation companies with some specialised vocabulary and expressions translated literally. According to one Chinese stakeholder, the mis-translation of certain words in the Draft Protocol may cause certain barriers in understanding.

#### **4.5.4 Portuguese translation**

The following concepts were identified as difficult to use and to translate into Portuguese: accountability, to inform, project, project stream. Some words were used loosely such as 'accountability',

#### **4.5.5 French translation**

It was highlighted that the names of the different sections and aspects might have translated the terms literally but was not conform with the French terminology, which is normally used and recommended by the *Fédération Internationale des Ingénieurs Conseils* (FIDIC). For example, the section I "Évaluation des fondement stratégiques" would correspond in FIDIC French to "Phase d'enquête préliminaire et de préféabilité".

#### **4.5.6 M-Power/ADB translations in the Mekong countries**

It was highlighted to the Forum members that the words « aspect » and « attribute » have no equivalent and meaningful translation in Khmer, Vietnamese, Lao or Thai that aligned with the Draft Protocol usage. Better words were recommended to be « topics », « criteria » and/or « indicators ».

## 5 Next steps

The following recommendations have been made in the consultation with regard to the proposed next steps:

- Active consultation requested in the upcoming discussions on the possible continuation of the HSAF work in a new phase
- A number of stakeholders are looking forward to seeing a revised version with changes made following the consultation
- A period of testing should be undertaken widely and then further revisions in 3-4 years' time. Another stakeholder felt a 2 year trial period was appropriate.
- Once a new version of the Protocol has been produced following second phase of consultation, it is recommended that the Draft Final Protocol is mapped against International Financial Corporation (IFC) standards by a third party consultant.

Following the conclusion of Phase 2 Consultation, the Hydropower Sustainability Assessment Forum will re-draft the Protocol towards a final version. A report will be developed to outline how the issues summarised in this report have been taken into account in the re-writing of the Draft Protocol. As shown in Figure 1, the Forum has two more meetings before the Protocol will be finalised. The final Protocol is targeted for mid-2010.

Interested stakeholders can be put on the Forum's stakeholder database, and can receive regular emails about Forum progress. Please contact the Forum Coordinator, Dr. Helen Locher, on [hl@hydropower.org](mailto:hl@hydropower.org) if you wish to be included on this database.

## Appendix A

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### HSAF Work Programme

Year	2008												2009												2010														
Quarter	Q1			Q2			Q3			Q4			Q1			Q2			Q3			Q4			Q1														
Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar												
Forum Launch			M	WASHINGTON DC (United States of America)																																			
Review Existing IHA Sustainability Assessment Protocol (2006)							M	SANTA ROSA (United States of America)																															
								M	KAFUE (Zambia)																														
									M	YICHANG (China)																													
														M	IGUASSU (Brazil)																								
Consultation Phase 1																																							
Develop Draft Hydropower Sustainability Assessment Protocol																																							
Consultation Phase 2 & Trialling																																							
Develop Final Protocol																																							
Endorsement & Way Forward																																							
Reports																																							
Status Report																																							
Protocol Key Components Document																																							
Consultation Outcomes Reports																																							
Status Reports																																							
Draft Protocol																																							
Consultation & Trialling Outcome Reports																																							
Final Protocol																																							

KEY:

Meeting



Consultation



Report



Appendix B  
**[List of HSAF Member  
Engagement Events]**

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## B1 List of HSAF Consultation Activities

Event Title	HSAF Member (s) in attendance	Location	Date	Event type	Country (s) of origin of event participants/stakeholders	Stakeholder type	Total Number of Participants
<b>Africa</b>							
2nd Africa Water Week - HSAF Side Event	Israel Phiri	South Africa	12th November	Meeting	Lesotho, Rwanda, South Africa	Civil Society, Government, Industry, Research, Media	11
Hydropower and the Environment in Africa Meeting	Israel Phiri	Zambia	16th November	Meeting	Ethiopia/Nigeria/Zambia/Tanzania/Uganda	Industry, Government	15
Ghana Dam Affected Communities Workshop	Kirsten Nyman, Israel Phiri	Ghana	27th October	Workshop	Ghana	Civil Society	199
Multi-stakeholder Ghana Dams Dialogue	Kirsten Nyman, Israel Phiri	Ghana	30th October	Workshop	Ghana	Governmental, Research, Industry, Civil Society,	88
Ghana Dams workshop - Ghanaian government agencies, hydropower developers and operators, and universities	Kirsten Nyman, Israel Phiri	Ghana	28th October	Workshop	Ghana	Governmental, Industry, Research	27
33rd Southern Africa Power Pool Meetings	Israel Phiri	Democratic Republic of Congo	16th September	Presentation	A cross section of African countries	Industry	70
21st African Hydro Symposium	Israel Phiri	Nambia	21st September	Presentation	A cross section of African countries	Industry	50
Itezhihitezi Power Project Consultation	Israel Phiri	Zambia	17th - 18th November	Meeting	Zambia	Industry	2
<b>Asia</b>							

National Research Center for Sustainable Hydropower Development and High-level Forum Presentation	Yu Xuezhong, Refaat Abdel-Malek	China	14th September	Presentation	China	Governmental, Industry, Research	11
Mekong River Commission for Sustainable Development Workshop	Helen Locher, Michael Simon	Laos	11th - 13th November	Workshop	Cambodia, Laos, Thailand, Vietnam	Governmental, Civil Society and Research	35
Cambodia Information Sharing Meeting	Helen Locher, Michael Simon	Cambodia	19th November	Workshop	Cambodia	Civil Society, Research	28
Stakeholder Discussions on Improving Hydropower Governance in the Mekong Region	Helen Locher, Michael Simon	Vietnam	14th November	Workshop	Vietnam	Research, Civil Society, Industry, Media	60
Making hydropower more sustainable event, Bangkok	Helen Locher, Michael Simon	Thailand	17th November	Workshop	Thailand, China, Sweden plus Mekong Region and a global view	Civil Society, Academia	41
National Research Center for Sustainable Hydropower Development, Beijing	Yu Xuezhong	China	16th November	Meeting	China	Industry, Government, Civil Society, Research	27
Kathmandu Consultation Workshop	Donal O'Leary	Nepal	2nd December	Meeting	Nepal/Bhutan	Government, Industry, Research, Civil Society, Lending Agencies	50
WWF China workshop, Kunming	Yu Xuezhong	China	4th December	Meeting	China	Government, Industry, Research, Civil Society	37
Rivers Commission Cambodia (RCC) Informal workshop		Cambodia	20th November	Workshop	Cambodia	Civil Society	9
India consultation Workshop	Helen Locher, Michael Simon, Micheal Fink	India	30th November	Workshop	India	Government, Finance, Civil Society, Industry	35
<b>Europe</b>							

World Energy Council Presentation	Gudni Johannesson	Iceland	14th September	Presentation	A global cross section of countries	Governmental, Research, Industry, Civil Society,	166
Balkans Sustainable Hydro conference HSAF Side Event, Dubrovnik	Helen Locher, Joerg Hartmann	Croatia	8th October	Workshop	A wide cross section of European countries	Research, Civil Society, Industry, Governmental	50
Financial stakeholder consultation, Germany	Joerg Haartman	Germany	2nd October	Meeting	Germany	Financial	8
Environmental NGOs meeting, The Hague	Helen Locher, Donal O'Leary, Kirsten Nyman	The Netherlands	8th October	Meeting	Brazil, The Netherlands, Germany, Italy, UK, US	Civil Society	8
Hydro 2009 conference, Lyon	Joerg Hartmann	France	26 - 28th October	Workshop	A global cross section of countries	Industry	15
Norway NGO Consultation Meeting	Geir Hermansen	Norway	28th October	Meeting	Norway	Civil Society	2
<b>North America</b>							
Canadian hydropower company consultation (1)	Helen Locher	Canada	24th September	Meeting	Canada	Industry	10
Canadian hydropower company consultation (2)	Helen Locher	Canada	22nd September	Meeting	Canada	Industry	5
Canadian hydropower civil society organisation consultation	Helen Locher	Canada	24th September	Meeting	Canada	Civil Society	3
Industry and university consultation	Joerg Haartman	Mexico	22nd November	Meeting	Mexico	Industry, Research	35
<b>South America</b>							
Instituto Acende Brasil	David Harrison	Brazil	14th October	Meeting	Brazil	Research	7
Brazilian government agencies in planning consultation	David Harrison, Refaat Abdel-Malek	Brazil	15th October	Meeting	Brazil	Government	5
Brazilian Equator Principles Banks consultation	David Harrison, Refaat Abdel-Malek	Brazil	14th October	Meeting	Brazil	Development Banks	6

Brazilian government water resources management and planning agency consultation	David Harrison	Brazil	22nd October	Meeting	Brazil	Government	3
Odebrecht	David Harrison	Brazil	19th October	Meeting	Global	Industry	2
ISA, Instituto Socioambiental	David Harrison	Brazil	19th October	Meeting	Brazil	Civil Society	2
Secretariat of Water Resources and Urban Environment/ Ministry of Environment (SRHU/MMA)	David Harrison	Brazil	20th - 21st October	Meeting	Brazil	Government, Industry, Research	5
Brazilian government sponsored electrical planning institute consultation	David Harrison	Brazil	13th October	Meeting	Brazil	Government	3
Government and Brazilian national development bank	David Harrison	Brazil	13th October	Meeting	Brazil	Government, Development Bank	3
INESC, Instituto de Estudo Socioeconômicos	David Harrison	Brazil	19th October	Meeting	Brazil	Civil Society	1
Representatives of Brazilian electrical generating companies	David Harrison	Brazil	14th October	Meeting	Brazil	Industry	17
Hydropower companies consultation, Chile	Joerg Haartman	Chile	14th November	Meeting	Chile	Industry	40
Governmental department and civil society meeting, Colombia	Joerg Haartman	Colombia	9th November	Meeting	Colombia	Government, Civil Society	9
Governmental department meeting, Colombia	Joerg Haartman	Colombia	9th November	Meeting	Colombia	Government	2
Governmental department meeting, Colombia	Joerg Haartman	Colombia	10th November	Meeting	Colombia	Government	1

Governmental department meeting, Colombia	Joerg Haartman	Colombia	10th November	Meeting	Colombia	Government	2
Governmental department meeting, Colombia	Joerg Haartman	Colombia	11th November	Meeting	Colombia	Government	2
Hydropower industry meeting, Colombia	Joerg Haartman	Colombia	11th November	Meeting	Colombia	Government	11
Hydropower and academic stakeholder meeting, Colombia	Joerg Haartman	Colombia	12th November	Meeting	Colombia	Industry, academic	30
Mixed stakeholder consultation, Colombia	Joerg Haartman	Colombia	13th November	Meeting	Colombia	Government, Industry, Research, Civil Society	60
<b>Total</b>							<b>1308</b>

Appendix C

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**Suggestions for  
changes to Aspects**

**C1**

Existing Aspects	SAP II	SAP III	SAP IV	Proposed List	Proposed List of Aspects
Demonstrated Need & Strategic Fit	1			1	1. External Risk and Strategic Fit
River Basin & Transboundary Issues	2	1	1	1, 15, 18	2. Risk Assessment and Planning
Hydrological Resource Availability & Management	3		2	6	3. Governance
Project Siting & Design Optimisation	4			2	4. Financial Viability
Economic Viability incl. Additional Benefits	5	2	3	10	5. Procurement
Financial Viability	6	3	4	4	6. Efficiency and Reliability – Hydrological Resource and Assets
Public Sector Governance	7	4		2, 3	7. Asset Safety
Corporate Governance	8	5	5	3	8. Labour and Working Conditions
Regulatory Approvals	9	6		1	9. Public Health and Safety
Integrated Project Management & Communications	10	7		2	10. Additional Benefits
Construction Management	11	8		2, 11, 20	11. Project Affected Communities
Procurement	12	9	6	5	12. Resettlement and Land Acquisition
Social Impact Assessment & Management	13			2	13. Indigenous Peoples
Project Affected Communities	14	11	10	11	14. Cultural Heritage
Indigenous Peoples	15	12	11	13	15. Catchment Management
Resettlement & Land Acquisition	16	13		12	16. Project Affected Land Management
Benefit Sharing	17	14	12	10	17. Reservoir Management
Labour & Working Conditions	18	15	13	8	18. Downstream Flows
Cultural Heritage	19	16	14	14	19. Water Quality
Public Health	20	17	15	9	20. Waste, Noise, and Air Quality
Asset & Community Safety	21	18	16	7, 9	
Environmental Impact Assessment & Management	22			2	
Catchment Management	23	20	18	15	
Reservoir Management	24	21	19	17	
Environmental Flows & Downstream Sustainability	25	22	20	18	
Biodiversity & Invasive Species	26	23	21	15, 17, 18	
Erosion & Sedimentation	27	24	22	15, 17, 18, 19	
Water Quality	28	25	23	19	
Social Management Plan		10	9	2	
Environmental Management Plan		19	17	2	
Waste, Noise, and Air Quality		26		20	
Markets, Innovation & Research			7	4	
Asset Reliability & Efficiency			8	6	

**C2**

**SECTION IV PROJECT OPERATION  
 A S P E C T S**

ATTRIBUTES	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
	River Basin & Transboundary Issues	Hydrological Resource Avail. & Managt.	Add. Project Benefits & Benefit Sharing	Financial Viability *	Governance	Asset Reliability & Efficiency	Asset & Community Safety	Social Management Plan	Project Affected Communities & Livelihoods	Indigenous People	Resettlement	Cultural Heritage	Public Health	Environmental Management Plan.	Reservoir Management	Flow Regime	Biodiversity & Invasive Species	Erosion & Sedimentation	Water Quality
Assessment	<i>Monitoring of outcomes compared to planned targets including adaptive management; ensure project delivers according planed outcome respecting all legal frameworks, catches changes and responds with appropriate/responsible measures</i>																		
Management																			
Consultation									■	■	■								
Stakeholder Support									■	■	■								
Compliance	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■

**Proposed changes**

Delete Markets, Innovation &amp; Research

- “ Economic viability
- “ Catchment Management
- “ Procurement
- “ Labour & Working Conditions

New wording for Financial Viability \*

Merge additional project benefits with benefit sharing

**Explanation**

Not an essential criteria for sustainability, part of usual strategic business management

Difficult to audit

Beyond responsibility of developer, related impacts to be managed via sedimentation and water quality

Not any more relevant to keep as aspect in the operation stage (part of governance)

At this stage the amount of employees required is significant lower than for project implementation. This issue is of corporate governance and HR policy at that point.

Will require new description compared to section II focusing on the water value, energy price and marginal costs. However, this aspect shall not show any disclosure of investment decisions, internal calculations of net present value or rate of return

Part of the same type of appraisal process

**C3****Section 1 Part B: Strategic Assessment of Business Risks and Opportunities for a Developer**

For the situation where the suitability of a given region or country is assessed to decide whether further resources should be spent to make a more detailed feasibility study – WITHOUT ANY SPECIFIC PROJECT TYPE OR SITE

Sustainability Issue	Assessed		Main risks/opportunities R: / O:	Degree of remaining uncertainty			Management Options	Reference
	YES	NO		High	Medium	Low		
<b>1. Political stability</b>								
<i>1.1 International/transboundary issues</i>								
1.1.1 water usage conflicts								
1.1.2 resource management conflicts								
1.1.3 access conflicts								
1.1.4 war between neighboring nations								
<i>1.2 National issues</i>								
1.2.1 Interference of military								
1.2.2 political interference in institutional and regulatory functions								
1.2.3 likelihood of disrespect for private property law (nationalization, expropriation)								
<b>2. Legal and regulatory framework</b>								
2.1 reliability of judiciary system								
2.2. status of enforcement of law								
2.3 import/export restrictions or barriers								
2.4 treatment of foreign investors								
2.5 reliability of investment climate								
2.6 time bound licensing process								
2.7 clear rules for EIA process including public participation								
2.8 Reliability of river classification system								
<b>3. Institutional capacity</b>								
3.1 proven capacity to handle complex projects in a timely manner								
3.2 enough human resources/competences								
3.3 interagency coordination								
3.4 harmonization of various authorization processes								
<b>4. Governance</b>								
4.1 accountability of public administration								
4.2 transparency of public processes								
4.3 existence/application of public sector								

governance rules								
4.4 extent of corruption in public and private sector								
4.5 transparency/reliability of business ethic								
<b>5. Policy Framework</b>								
5.1 National/regional energy policy								
5.1.1 based on options assessment?								
5.1.2 including public participation?								
5.2 National/regional water policy								
5.2.1 based on options assessment?								
5.2.2 including public participation?								
5.3 National/regional economic dev. policy								
5.3.1 based on options assessment?								
5.3.2 including public participation?								
5.4 National/regional flood protection plan								
5.5 National/reg. drought protection plan								
5.6 National/reg. nature conservation plan								
<b>6. Market situation</b>								
6.1 political interference /barriers								
6.2 openness and transparency								
6.3 purchase power								
6.4 interconnections / bottlenecks								
6.5 regional pricing								
6.6 frequency of system breakdown								
6.7 need for balancing/ancillary services								
6.8 incentives for renewables								
<b>7. Likelihood of natural disasters</b>								
7.1 seismic activity								
7.2 extreme weather events								
7.3 floods/flush floods / tsunamis								
7.4 landslides								
<b>8. Hydrology</b>								
8.1 quality of available data to assess resource availability (past/future)								
8.2 frequency/severity of floods/droughts								
8.3 ice constraints								
8.4 evaporation								
8.5 anticipated regional changes due to climate change								
<b>9. Social stability</b>								
9.1 civil war, social unrest, ethnic or religious conflicts								
9.2 respect of human rights								
9.3 Outstanding unsolved issues from prior								

developments (i.e. polluted sediments from mining, old hydro project, failed compensation, etc.) which risk to come up								
<b>10. Financial context</b>								
10.1 currency inconvertibility or other valuta restrictions								
10.2 transfer restrictions and depreciation								
10.3 inflation								
10.4 reliability of bank system								
10.5 national trade balance								
10.6 valuta reserves								

For slightly more advanced cases of analyzing the possibility of potential projects which might not yet have a specific design, but which might already consider SPECIFIC LOCATIONS a few more environmental and social issues should be taken into account

<b>Accessibility</b> of site for related infrastructure (transmission lines, roads)								
Existence of <b>endangered species</b> /habitat								
Existence of <b>migratory species</b>								
Existence of extraordinary <b>human heritage</b>								
<b>Biodiversity/invasive species</b>								
<b>Flow restrictions</b> due to special sites/usages (scenic water falls, tourism, navigation, special species, etc)								
Likelihood of <b>sedimentation / erosion</b>								
<b>Water quality</b> (likelihood of net GHG increase)								
<b>Public health</b> issues to anticipate (climate zone for water-born diseases and mercury)								
<b>Indigenous people</b> or other vulnerable social groups requiring special assistance								
Approx. number of <b>affected communities/people</b>								
Approx. number of <b>households to resettle</b>								
<b>Special infrastructure</b> to relocate or take care of (dikes, bridges, drainage systems, railways, roads..)								
<b>Water usage conflicts</b> to anticipate (e.g. irrigation vs. power generation vs. flood reserve vs navigation, tourism/fish migration vs power generation)								
Possibilities to contribute to <b>regional development</b> by facilitating <ul style="list-style-type: none"> <li>- local capacity building</li> <li>- multiple other water uses</li> </ul>								