

About this Document

This document has been developed as a discussion document for IHA Board Meeting 52 and HSAF Meeting 9. Any IHA commitments implied in this document are subject to ratification by the IHA Board.

Overview

The following principles have been drafted in recognition of the fact that considerable external consultation and input has been achieved through the review of the 2006 version of the IHA Hydropower Sustainability Assessment Protocol. This activity has been conducted through the Hydropower Sustainability Assessment Forum, which was convened exclusively for this purpose. The conclusion of this process calls for a final revised draft to be put forward for IHA to consider adopting it to replace its 2006 version, and organizations represented in the Forum will be invited to endorse the revised draft. This is expected to be completed within a 12 week period, following conclusion of the work of the Forum and associated reference groups.

Further expressions of support will be sought from a wider group of organizations, following the adoption/endorsement process. Such support will be derived through an outreach activity by IHA in partnership with the endorsing organizations. This will include a series of media launches and awareness-building activities. IHA will continue to protect the protocol in terms of intellectual property; the new Protocol will be covered by copyright and licensing. This will minimize inappropriate use of the protocol and protect the liability and reputation of IHA and the endorsing partners.

It is proposed that two entities will be established to oversee the process moving forward, one to govern the substantive content of the protocol, and one to manage the legal, commercial, financial and monitoring aspects. The governance entity will also act as a consultative body to the management entity. The governance entity will work on a voluntary basis, and will comprise representatives of IHA and the endorsing partners, if they so wish. The management entity will be based within the IHA Central Office initially; however, an independent management entity is foreseen once there is greater clarity on the specific applications of the protocol that need to be managed. This entity may be owned by IHA, IHA and partners, or may be independent. Notwithstanding this, the statutes of this entity will be to support the continued improvement of the protocol and its applications, and to support IHA and its partners in the advancement of sustainable hydropower on a not-for-profit basis.

Next Steps and Decision Points

The identified steps and decision points are:

1. Conclusion of protocol drafting
2. Legal status, terms of use and future modification
3. Forum member endorsement and IHA adoption
4. Publication if adopted/endorsed (with contingency strategy)
5. Launch, communications and outreach, including identification of supporting organizations
6. Creation of entities for governance and management/coordination
7. Progression of applications, including training/capacity-building

1. Conclusion of protocol drafting

Through final webinars and/or its tenth meeting, the Forum will need to issue a statement of conclusion of its drafting process, recognizing the balance of continued refinement of drafts, the depletion of resources and jeopardizing the appetite for the process. This may include a formal list of unresolved issues, identifying the Forum member and the concern. The product at this stage will be a final revised draft of the protocol.

2. Legal status, terms of use and future modification

The following is a proposal on the terms of use of the protocol.

Legal status: The protocol, with its previous drafts, will be protected by IHA through international intellectual property law, including copyright. The use of the protocol, and language translations thereof, will be controlled by license.

Governance: A governance entity will consider issues regarding future review and possible change to the substance of the protocol. It will review training material and guidance documents associated with the protocol. It will also review the terms of the protocol license and make recommendations for future amendment.

Management: A management entity will administer legal, commercial, financial and monitoring aspects of the use of the protocol. The management entity will also organize periodic meetings of the governance entity, and coordinate fundraising for work relating to the Protocol.

Distribution: The electronic version of the protocol will be free of charge. It will be available to download from the IHA website (and other sources, through prior agreement by the management entity). Printed copies will carry a charge to cover publication and postage costs, and distribution will be administered by the management entity.

Use of the Protocol: Users will be free to use the protocol for study, training and self-assessment purposes. The publication of official protocol assessment results will require verification by an accredited independent assessor and prior approval by the management entity (which will require consent and a fee from the legal entity responsible for the project being assessed). Official assessment results will be time limited. Assessor accreditation will be proposed by the management entity and guided by the governance entity. Assessors (any individual or organization conducting a third-party assessment) may not charge a fee for assessments unless they have been accredited by the management entity. A condition of publishing assessment results will be that the management entity may require a follow-up assessment for quality checking purposes. Revenues derived from the process will be utilised for self-financing purposes to fund the management and governance entities, manage the protocol, build capacity for assessments, and associated activities to advance knowledge on sustainable hydropower, on a non-profit basis.

3. Forum member endorsement and IHA adoption

Over a period of up to 12 weeks, and on the basis of the following definitions, the Forum members will confer with their reference groups and governance structures, with a view to deciding on adoption/endorsement.

Endorsement will be open to all members of the Forum. Members achieving a mandate from their governance structure will announce the outcome according to the 12 week deadline. Endorsement, indicated by formal notice to IHA, will confirm the organization's belief that *the protocol makes a significant contribution to the advancement of sustainable hydropower*. Endorsing organizations will commit to promoting the protocol to build wider support and encourage its application. The logo of the endorsing organizations will be published on the

cover of the protocol. Endorsing organizations will retain the right to retract their logo and commitment, should they not support a future modification to the protocol.

[Adoption](#) is an option only open to IHA. It will be initiated by the IHA Board issuing a resolution calling on its members to vote on the Association adopting the protocol in place of its existing version. The voting process will take a minimum of eight weeks. The results of this process will be shared with all Forum members, without delay. Adoption will commit IHA to publishing the protocol and promoting its use in collaboration with endorsing Forum members, other supporting organizations and IHA members. IHA members will be expected to participate in training and utilization of the protocol. Each corporate member will be expected to have been involved in at least one training workshop and one application of the protocol within a given period. Periodic reviews of the protocol will be conducted by the governance entity, which will respond to feedback on issues with the protocol.

4. Publication if adopted / endorsed (with contingency strategy)

If IHA members support the adoption of the protocol and there is a good response from those considering endorsement, the protocol will be published. If not, the Forum may be invited by IHA to re-convene to address the issues identified.

5. Launch, communications and outreach, including identification of supporting organizations

Assuming a good outcome in terms of adoption and endorsement, a communications initiative will be conducted through collaboration between IHA and the endorsing organizations. The initiative will coordinate a media campaign to announce the achievement and to launch the protocol. In addition, parties will work to encourage other organizations to make statements of support, confirming the organization's belief that *the protocol makes a significant contribution to the advancement of sustainable hydropower*. It is proposed that supporters of the Protocol will be listed in a directory on IHA's website.

6. Creation of entities for governance and management/coordination

The governance entity will comprise representatives of IHA and the endorsing partners, if they so wish. This should be confirmed at the time of endorsement. The governance entity will become active at the same time as the publication of the protocol. The management entity will be based within the IHA Central Office, becoming active as soon as the Forum has concluded the final revised draft of the protocol. As mentioned in the overview, an independent management entity is foreseen once there is greater clarity on the specific applications of the protocol that need to be managed.

7. Progression of applications, including training/capacity-building

Both the governance and management entities will be involved in the progression of applications, including training/capacity-building. Awareness building and training will be the first priorities. The development of training courses and material may involve additional partners. The substance of the training material will be reviewed by the governance entity. The management entity will ensure that the appropriate systems and frameworks are in place to facilitate communications, training, applications and monitoring.