

WCD SP1 - Gaining Public Acceptance	Relevant Protocol Attributes or Aspects
- Public acceptance essential for equitable and sustainable water and energy resource development	- Standard Performance Attribute Level of Stakeholder Support addresses level of support, but does not stipulate essential.
- Stakeholder identification and inclusion process based on recognition of rights and assessment of risks	- Standard process attribute Quality of the Consultation Process specifically addresses this.
- Access to information and legal and other support to all stakeholders	- Standard process attribute Quality of the Consultation Process specifically addresses this.
- Informed participation of all stakeholders in decision-making processes	- The Project Affected Community, Indigenous Peoples, and Resettlement aspects all specify for a score of 5, frequent and two-way engagement with stakeholders, stakeholder involvement in decision-making. The Resettlement aspect, for a score of 5, specifies “transparent and fully informed negotiation process through all stages with recognized representatives of all affected community groups”. Informed participation is a consideration of the Quality of the Consultation Process standard attribute, and given added emphasis in Project Affected Community, Indigenous Peoples, and Resettlement.
- Particular attention to identification, support and informed participation of indigenous and tribal peoples, women and other vulnerable groups	- Standard process attribute Quality of the Consultation Process specifically addresses this. - Aspects Social Impact Assessment & Management (Sec. II, III, IV), Project Affected Community (Sec. II, III, IV), Indigenous Peoples (Sec. II, III, IV), Public Health (Sec. II, III, IV) all address this. Mention is also made in Social Issues & Risks (Sec.I).
- Agreements negotiated in open and transparent process	- The Resettlement aspect, for a score of 5, specifies “transparent and fully informed negotiation process through all stages with recognized representatives of all affected community groups”.
- Free, prior and informed consent of indigenous and tribal peoples affected by large dam projects guides decisions	- Free, prior and informed are all considerations in the Quality of the Consultation Process, and are given added emphasis in Project Affected Community, Indigenous Peoples, and Resettlement. For Indigenous Peoples to get a score of 5 requires frequent and two-way engagement with communities, and community involvement in decision-making.
WCD SP2 – Comprehensive Options Assessment	Relevant Protocol Standard Attributes or Aspects
- Clearly formulate development objectives and needs before identification of options	- Aspect Demonstrated Need (Sec. I) specifically addresses this.
- Open and participatory process for needs assessment	- Consultation by governments in the identification of needs for water and energy services is addressed in aspect Demonstrated Need (Sec.I). Aspect Demonstrated Need & Strategic Fit (Sec.II) is focused on the need for the project; it stipulates the need for transparency in the assessment of need, and stakeholder support for the analysis undertaken.
- Options assessment undertaken before decision to proceed with project or program	- Aspects in Section I are relevant for an assessment before any significant investment is made into project preparation, and include Options Assessment.
- Options assessment covers full range of planning approaches to meet development objectives (policy, institutional, management, technical...)	- Aspect Options Assessment (Sec.I) specifically addresses this.
- Social and environmental considerations given equal significance as technical, economic or financial factors in options assessment	- Aspect Options Assessment (Sec. I) outlines considerations for an assessment before any significant investment is made into project preparation, and includes technical, economic, financial, social and environmental. Aspect Project Siting & Design Optimisation (Sec. II), require an optimization of all considerations across technical, economic, financial, social and environmental.
- Priority given to increasing effectiveness of existing infrastructure for water, irrigation and energy	- Aspect Options Assessment (Sec. I) specifically addresses this.
- Options assessment for dams also apply social and environmental principles throughout life cycle	- Aspects Options Assessment (Sec. I), Project Siting & Design Optimisation (Sec. II), Social Impact Assessment & Management (Sec. II, III, IV), and Environmental Impact Assessment & Management (Sec. II, III, IV) all address options assessment and are relevant at all stages of the project life cycle. The standard process attribute Quality of the Management Process also addresses options assessment.
WCD SP3 – Addressing Existing Dams	Relevant Protocol Standard Attributes or Aspects
- Project monitoring and evaluation process and periodic review process (ex-post evaluation considering the project as implementation phase)	- Standard process attribute Quality of the Management Process emphasizes monitoring, evaluation, review and continuous improvement.
- Programmes to restore, improve and optimise benefits	- Aspects Project Siting & Design Optimisation (Sec.II), Economic Viability & Additional Benefits (Sec .II), Benefit Sharing (II, III, IV), Reservoir Management (II, III, IV) all refer to optimizing or maximizing benefits.
- Include Identification, assessment, evaluation and mitigation measures for social and environmental issues when technical rehabilitation and upgrading are undertaken	- Aspects Social Impact Assessment & Management (Sec. II, III, IV) and Environmental Impact Assessment & Management (Sec. II, III, IV) are relevant here. Technical rehabilitation and upgrading would typically require an assessment using Section II of the Protocol.
- Formalized operating agreements with time-bound licensing	The Protocol makes no specific requirement, as this determined by governments and not the project.

WCD SP4 – Sustaining Rivers & Livelihoods	Relevant Protocol Standard Attributes or Aspects
- Understanding, protecting and restoring ecosystems at river basin level, including understanding of communities and livelihoods which depend on and influence them	- Aspects River Basin & Transboundary Issues (Sec. II, III, IV), Catchment & Management (Sec.II, III, IV), Downstream Flows & Environmental Sustainability (Sec. II, III, IV) are all relevant to this.
- Ecosystem, social and health issues are considered integral parts of the project and decision-making about it	- Aspects Options Assessment, Social Issues & Risks, and Environmental Issues & Risks in Sec.I are all relevant. Many aspects in Sections II, III and IV require ecosystem, social and health issues to be considered. There are aspects dedicated to environmental, social and health issues. Aspect Integrated Programme Management & Communications (II, III, IV) and Project Siting and Design Optimisation require considering all project streams including environmental and social in decision-making.
- Avoidance of impact is prioritised with a precautionary approach, followed by minimisation and mitigation of impact	- Aspect Options Assessment (Sec.I) specifically addresses this. The standard performance attribute Level of Effectiveness prioritises avoidance, and where avoidance is not possible, minimization, mitigation and compensation of negative impacts.
- National policy is developed for leaving high ecosystem value rivers undisturbed	- Aspects Options Assessment (Sec.I), Regional & National Policies & Plans (Sec. I), River Basin & Transboundary Issues (Sec. II, III, IV), Project Siting & Design Optimisation (Sec. II), Biodiversity & Invasive Species (Sec. II, III, IV) make references to avoiding high value ecosystems. The Protocol makes no specific requirement for national policy, as this determined by governments and not the project.
- Good site selection and project design, with priority given to locations on tributaries	- Aspect Options Assessment (Sec.I) prioritizes projects on tributaries. Aspect Site Selection & Design Optimization (Sec. II) requires good site selection and design optimization, and specifies that locations on tributaries may have lower social and environmental impacts.
- Avoidance of significant impacts on threatened and endangered species; where impacted ensure measures for net gain to species.	- Aspect Options Assessment (Sec.I) prioritizes avoiding high value biodiversity areas. Aspect Biodiversity & Invasive Species (Sec. II, III, IV) assesses measures for enhancement to biodiversity, no specific mention of net gain.
- Release of tailor-made environmental flows	- Aspect Environmental Flows & Downstream Sustainability (Sec. II, III, IV) is dedicated to this.
WCD SP5 – Recognizing Entitlements & Sharing Benefits	Relevant Protocol Standard Attributes or Aspects
- Identification of adversely affected stakeholders through recognition of rights and assessment of risks	- Standard process attribute Quality of the Consultation Process specifies identification of stakeholders based on rights, risks and responsibilities.
- Joint negotiations with adversely affected stakeholders on decisions relating to mitigation, resettlement and development	- The Project Affected Community, Indigenous Peoples, and Resettlement aspects all specify for a score of 5, frequent and two-way engagement with stakeholders, stakeholder involvement in decision-making. The Resettlement aspect, for a score of 5, specifies "transparent and fully informed negotiation process through all stages with recognized representatives of all affected community groups".
- Adversely affected stakeholders are beneficiaries of the project	- Aspect Benefit Sharing (Sec. II, III, IV) directly addresses this.
- All adversely affected stakeholders will improve their livelihoods	- Improvement to livelihoods is a measure of effectiveness for the Resettlement aspect.
- Negotiated entitlements are mutually agreed, formal and legally enforceable	- Entitlements for resettled persons are addressed in the Resettlement aspect. A score of 5 requires formal, publicly committed and legally enforceable.
WCD SP6 – Ensuring Compliance	Relevant Protocol Standard Attributes or Aspects
- All commitments must be met	- Standard Performance Attribute Level of Compliance assesses level of compliance on an aspect-by-aspect basis.
- Clear criteria and guidelines to ensure compliance	- Standard Performance Attribute Level of Compliance assesses level of compliance on an aspect-by-aspect basis.
- Compliance subject to independent and transparent review	- Directly addressed in Corporate Governance aspect (Sec.II, III, IV)
- Compliance Plan prepared prior to project commencement	- Directly addressed in Regional & National Policies & Plans (Sec.I) and Corporate Governance (Sec.II)
- Binding agreements are specified for project-specific technical, social and environmental commitments	- A score of 5 for both the Resettlement aspect and the Environmental Flows & Downstream Sustainability aspect requires public, formal and legally enforceable commitments
- Corrupt practices are avoided	- Aspects Institutional Capacity (Sec.I), Public Sector Governance (II, III), Regulatory Approval (Sec. II, III), Corporate Governance (Sec. II, III, IV), and Procurement (Sec. II, III, IV) all specifically address avoidance of corrupt practices.
- Incentives for compliance are developed	These are not specifically mentioned in the Protocol, as it was not clear how it fits.
WCD SP7 – Sharing Rivers for Peace, Development and Security	Relevant Protocol Standard Attributes or Aspects
- Basin agreements in shared river basins are provided for in national water policies	- Aspects Regional & National Policies & Plans (Sec. I), River Basin & Transboundary Issues (Sec. II, III, IV) are relevant. The Protocol makes no specific requirement, as this determined by governments and not the project.
- Agreements are based on good faith among riparian States	- Aspect River Basin & Transboundary Issues (Sec. II, III, IV)

WCD SP4 – Sustaining Rivers & Livelihoods	Relevant Protocol Standard Attributes or Aspects
- Negotiations and agreements for sharing of rivers and their associated benefits	- Aspect River Basin & Transboundary Issues (Sec. II, III, IV)
- No development where riparian States raise objections that are upheld by an independent panel or good faith negotiations are contravened	The Protocol makes no specific requirement, as this determined by governments and not the project.