

- Present:** Meeting Chair - André Abadie,
Forum Coordinator - Helen Locher
Forum Members - Refaat Abdel-Malek (IHA), Daryl Fields (World Bank), David Harrison (TNC), Joerg Hartmann (WWF), Gudni Johanneson (Iceland), Kirsten Nyman (Germany), Donal O'Leary (Transparency International), Israel Phiri (Zambia), Andrew Scanlon (Hydro Tasmania), Zhou Shichun (China), Michael Simon (Oxfam), Gwen Terras (Equator Banks), Yu Xhuezhong (China)
Additional Meeting Participants – Cate Brown (Southern Waters), Flaviour Chanda (Zesco), Mellon Chinjila (Zesco), Michael Fink (IHA), Dora Kamweneshe (WWF Zambia), Christopher Kaniki (Zesco), Clement Mukosa (Zambezi River Authority), Pheri Mwiinga (Zambezi River Authority), Ricardo Krauskopf Neto (Itaipu), Phera Ramoeli (Southern African Development Community), Brian Richter (TNC), Alex Weaver (CSIR)
- Apologies:** Forum Member – Hans Olav Ibrekk (Norway)
Additional Meeting Participant – Dione Ouseman (World Bank)

DAY 1 (4 September 08)

Agenda Item 1 – Opening and Agreement on Agenda

The Forum members agreed on the meeting agenda provided as Mtg3 Paper 1.

Agenda Item 2 – Minutes from Previous Meeting

The minutes of meeting 2 were provided as Mtg3 Paper 2. The format and the process of distribution, comment and finalisation of meeting minutes were discussed.

Mtg3 Agreement 1: *The Forum members seek to provide meeting minutes to the general public as soon as possible following a meeting. Meeting minutes are considered final if there are no substantive comments received by meeting attendees on a draft of the minutes by the due date.*

Mtg3 Agreement 2: *To improve the meeting minutes format, a summary of issues that are left unresolved will be provided in the meeting minutes summary section.*

Mtg3 Agreement 3: *A note will be provided in the meeting minutes stating that agreements reached at a previous meeting may be revisited and updated at later meetings based on further information, analysis and discussion.*

Agenda Item 3 – Actions from Previous Meeting

The Forum Coordinator spoke to Mtg3 Paper 3, the actions from Forum Meeting 2. A number of the actions were Meeting 3 agenda items, or were self-explanatory from the status report in Mtg3 Paper 3, and so were not discussed at this point.

Action SR4 received some discussion. Helen Locher reported that she had been reviewing and updating her previous analysis of the IHA Protocol against the World Commission on Dams (WCD)

Strategic Priorities, and this is still in progress. Gwen Terras reported that the Equator Principles Banks' Working Group had commenced a review of the International Finance Corporation (IFC) Performance Standards against the IHA Protocol but that this was in progress and subject to internal review. Michael Simon reported that an analysis of the Asian Development Bank (ADB) Safeguards policies against the World Bank safeguards and the IFC Performance Standards is in progress and may provide some useful information and an example of a comparative format. The value of commissioning a consultant to put this information in a consistent comparative format was discussed. It was agreed that such an exercise would require a very clear scope of work, as well as clarity on the purpose and intended use of the outcomes.

Mtg 3 Action 1: *The Coordinator will draft a scope of work for a consultant to review and collate the different comparative analyses of the IHA Protocol against World Commission on Dams Strategic Priorities, the Equator Principles / IFC Performance Standards, and multi-lateral development bank safeguard policies in a form that can guide the Forum's progress. This scope will be reviewed by Forum members and will be progressed if it can be done for £5000 or less and provided as a draft to the December Forum meeting.*

Actions SR5 and SR6, relating to re-drafting of Protocol aspects, were also discussed. Helen Locher confirmed that voluntary contributions towards drafting of aspects would continue to be welcome in future. The procedure for drafting aspects was discussed under agenda items 14 and 15 on Day 4.

Agenda Item 4 – Communications and Operating Procedures

Mtg3 Paper 4 provides an update to the Forum's Communications and Operating Procedures document. This had been tabled as an earlier draft at Forum meeting 2, and was revised based on discussions at that meeting. Changes to the document were to make it more unified; to bridge it more clearly with the Memorandum of Understanding signed by the Forum members as well as the Forum's Principles for Consensus Building agreed at Forum meeting 2; to improve references to external communications and engagement; and to provide diagrams for ease of understanding.

Section 5 of this document, Revisions to Protocol Content, was left blank in the meeting paper. This was on the meeting agenda to be discussed on Day 4, agenda items 14 and 15. Outcomes from the discussion on Day 4 would be used as a basis for completing this section of the document.

Mtg3 Agreement 4: *The redrafted Communications and Operating Procedures (Mtg3 Paper4) is supported, pending some minor edits and review of Section 5.*

Mtg 3 Action 2: *The Forum Coordinator will re-draft the Communications and Operating Procedures document and provide as a meeting paper at Meeting 4.*

Agenda Item 5 – Proposals

Mtg3 Paper 5a is a proposal to develop a trial strategy for the Draft Revised Protocol, outlining some proposed principles for the strategy and recommending a number of actions towards development of the strategy.

Mtg 3 Action 3: *The Coordinator will progress development of a Trial Strategy for the Draft Revised Protocol in line with Mtg3 Paper 5a, commencing with development of criteria for selection of candidate hydropower projects to be considered at the next meeting.*

Mtg3 Paper 5b is an outline of procedures that would be applied by the Forum with respect to commissioning any external consulting work.

Mtg3 Agreement 5: *The Procedures for Commissioning Consulting Work (Mtg3 Paper5b) were agreed to be adopted by the Forum.*

Mtg3 Paper 5c is an email received from Ted Downing and Ted Scudder raising a number of issues about the Forum process, and proposing two more Forum members with resettlement expertise. A number of points from this email were discussed, including the open versus closed nature of the Forum processes, the Forum membership composition, and getting the right information, views and expertise into the Forum process.

Mtg3 Agreement 6: *The Forum provides a diversity of expertise and cross-sectoral views relevant to consideration of sustainability issues for hydropower projects throughout their life cycle. Strategies will be developed to bring further expertise or sectoral or regional views into the Forum process as required, for example through invited participants in the Forum meetings and work plan activities, consultation processes, and commissioned work. Sectors and areas of expertise where additional advice and liaison will be sought include resettlement, indigenous peoples and project affected people.*

Mtg3 Agreement 7: *Some Forum meeting sessions will be open only to Forum members to facilitate discussions and reaching of agreements. These will be reported on transparently in the meeting minutes. Where theme-specific experts are participating in meetings they will be invited to sessions that are aimed at reaching agreements relating to their particular area of expertise. Consensus on an issue is reached by Forum members informed by other views.*

Mtg 3 Action 4: *The Coordinator will propose to Ted Downing and Ted Scudder that:*

- *they document their views on how well the Protocol addresses the issue of involuntary resettlement in its present form and how it can be improved;*
- *all invited meeting experts participate in Day 3 of the China meeting for the agenda items focussed on social content of the Protocol; and*
- *an agenda item at the Forum meeting in China will be on exploration of mechanisms to ensure adequate expertise and cross-sectoral views on social issues are brought into the Forum process.*

The matter of an additional member of the Forum focused on social issues was not resolved at this meeting, and will be further considered as one of a range of mechanisms to ensure adequate expertise and cross-sectoral views on social issues are brought into the Forum process.

Mtg3 Paper 5d is provided to raise the awareness of Forum members of the funding within the Forum budget to support proposals aimed at increasing engagement with NGOs and directly affected people throughout the Forum process. This information was noted.

Mtg3 Paper 5e proposes to invite a member of the EU working group that is developing a framework for assessing eligibility of hydropower projects for CDM credits in the European Emissions Trading System to attend the Forum's China meeting. The purpose of the invitation would be to discuss the potential to use the future enhanced Protocol as an assessment tool for CDM hydropower projects.

Mtg3 Agreement 8: *The Forum members agree that they want to encourage broad take-up of the Protocol, but that given the wide range of potential users it is not appropriate at this stage in the Forum process to be focussing on the specific assessment needs of one particular user group. Forum members can arrange to meet with potential future users to promote the Protocol as a preferred tool. This should be undertaken separately to the Forum process.*

Agenda Item 6 – Strategic Assessments

Alex Weaver from CSIR based in South Africa provided a presentation entitled “Introduction to Strategic Environmental Assessment (SEA)”. This covered the purpose and intent of SEA, some of the definitions of SEA and their common elements and divergences, the relationship of SEA to EIA, core principles, and examples of process. In the South Africa legislation, the purpose and intent of SEA is to integrate environmental considerations (defined to be social, economic, biophysical and governance) into strategic decision-making to facilitate the move towards sustainability. SEA looks at environmental implications above the project level and facilitates the search for the best alternative. It addresses cumulative impacts, identifies thresholds and utilizes screening criteria. Core principles were outlined to be that SEAs are integrated, sustainability-led, focused, accountable, participative and iterative.

Daryl Fields from World Bank based in Washington, DC, USA provided a presentation entitled “Current SEA Practice in Hydropower”. Examples reviewed included Senegal, Lower Kafue, Nile Basin, BC Hydro, Tennessee Valley Authority, Penobscot River, Alaknanda, Nepal, Bhutan, Vietnam and Lao PDR. The presentation covered the reasons for doing these different SEAs, who has done them; outcomes, common basics, some important divergences, innovations and challenges. A challenge that received some discussion was scope and scale with respect to water versus energy, broader sustainability planning, and cross-sectoral integration such as depicted in Figure 1.

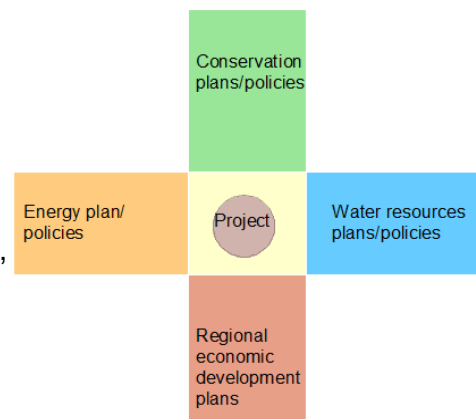


Figure 1: Planning Content for Hydropower Projects as Relevant to Strategic Environmental Assessments

Zhou Shichun from the Hydropower and Water Resources Planning and Design General Institute based in Beijing, China provided a presentation entitled “SEA of Hydropower Planning of Daduhe River”. This provided an outline of the China hydropower planning and EIA management processes, including approval requirements and responsibilities. The focus on the Daduhe River provided an introduction and overview of the 74,400 km² Daduhe River basin which has six natural preservation areas, three national cultural and relics preservation areas, a national geological park, a national scenic area and key spots of interest, and five important towns. The presentation covered the SEA procedures and early involvement; the scope of environmental and social impact assessment studies; the sustainability analysis; and SEA results and the planning decision.

Some of the discussion points on this agenda item included but were not limited to:

- How far an SEA needs to go both with respect to scope and level of detail;
- Information requirements;
- How to address what doesn't exist;
- Whose function it is to conduct SEAs;
- Capacity requirements to undertake SEAs;
- Phrasing of the key questions;
- SEA not to be seen as a panacea and not to expect too much;
- Transboundary considerations;

- Need to link SEA into existing processes seamlessly and avoid the SEA jargon, e.g. integrated water resource management planning can address one aspect of SEA; a combination of different studies can, collectively, address the primary intent of SEA.

Agenda Item 7 – Environmental Flows

Brian Richter from The Nature Conservancy based in Washington, DC, USA, provided a presentation entitled “Environmental Flows: State of the Science and Principles of Best Practice”. The presentation provided the key factors in river ecosystem ecological integrity and ecosystem services, with emphasis on the role of flow as the Master Variable. River flow patterns, the links between channel hydraulics and biophysical components, and the elements of the natural flow regime important to retain in an altered flow regime were examined. The question of how much flow alteration is too much was explored and some specific examples provided. Principles of best practice in environmental flow setting include fully engaging stakeholders; identification of opportunities for environmental flow integration at a regional scale; use of a holistic approach with best available knowledge and tools; assessment of environmental flow needs prior to dam design; opportunistic implementation of environmental flows for existing dams; the need for clarity on desired outcomes, the flow to achieve these and monitoring of effectiveness; and investment in local capacity building.

Cate Brown from Southern Waters, based in South Africa, provided a presentation entitled “Case Studies Illustrating Environmental Flows Principles”. These case studies included the Lesotho Highlands Water Development (Lesotho), Cahorra Bassa and the Zambezi Delta (Mozambique), Olifants-Doring catchment (South Africa) and Pangani Basin (Tanzania). It was noted that in the case of the Lesotho Highlands Water Development project that a lack of baseline data hampered monitoring and adaptive management. In the Zambezi Delta example existing hydrological data and hydropower modeling could be combined with stakeholder opinion to reach a combined stakeholder target, in this case reinstating the annual flood; conflicts and trade-offs were illustrated by relating the percent towards which this target could be achieved to the percent of GWH lost to generation. A key message from this presentation was that environmental flows-type work could provide an opportunity to approach shared water resources as an opportunity for cooperation rather than conflict.

Dora Kamweneshe from WWF Zambia, based in Lusaka, provided a presentation entitled “Development and Testing of Environmental Flow Prescriptions for the Kafue River”. Considerable information was provided about this case study, including an overview of the basin, the environmental flow objectives, the development of tools, the environmental flow established for the Kafue Flats, the results so far, the lessons learned, key challenges, and the way forward. Of particular interest with respect to lessons learned has been the experience of a tripartite partnership between an NGO (WWF), industry (the Zambian electricity authority, Zesco), and government (the Zambian Ministry of Energy and Water Development).

Helen Locher presented a joint presentation with Andrew Scanlon from Hydro Tasmania based in Australia entitled “Hydro Tasmania's Environmental Flows”, summarising work both had been involved in over the past ten years. Three case studies were examined with a focus on factors for success or non-success of the environmental flow developed for downstream of hydropower stations. The Mersey River example is considered highly successful, the Gordon River example partially successful, and the Cataract Gorge considered unsuccessful to date. Key messages from these experiences are that environmental flow setting is best undertaken as a collaboration of industry, government and key stakeholders; objectives must be clear and determined through a transparent and inclusive process; decision-making and trade-off processes should be set out at the start; pre- and post-monitoring and

adaptive management are essential; and criteria for judging success should be linked to parameters that are readily monitored.

Zhou Shichun from the Hydropower and Water Resources Planning and Design General Institute based in Beijing, China provided a presentation entitled “Feasibility Study of JinPing in YalongJiang River: Environmental Flow Research on Flow-Reduced Reach”. The presentation provided a description of the river characteristics, outlined the other uses of the river reach, described the environmental flow studies undertaken and the methodologies applied in environmental flow calculation. The presentation showed the analysis and recommendation for the environmental flow, the optimized operation of the project for guaranteeing its delivery, and the channel design for the environmental flow discharge.

Some of the discussion points on this agenda item included but were not limited to:

- Catalysts for undertaking environmental flow assessments on some of the case studies examined (e.g. legislative requirement, loan condition, NGO pressure...);
- Stakeholder engagement methodologies and experiences; and
- Determination of objectives and indicators.

Agenda Item 8 – Transboundary Issues

Phera Ramoeli from the Southern African Development Community (SADC) based in Gaborone, Botswana provided a presentation entitled “Transboundary Water Resources Management in SADC: Implications for Sustainable Hydropower Development”. This presentation provided background to the SADC water program and an outline of the SADC Protocol on Shared Watercourses including the various institutions and tools to implement the Protocol as relevant to hydropower developments. These include a Regional Strategic Action Plan on Integrated Water Resources Management and Development, the Regional Water Policy, the Regional Strategic Water Infrastructure Development Program, and negotiated River Basin Agreements. The Zamcom agreement for the Zambezi River basin was examined in some detail.

Pherry Mwiinga from the Zambezi River Authority based in Lusaka, Zambia provided a presentation entitled “Transboundary Issues on Sustainable Hydropower Development in the Zambezi River Basin in the Eyes of the Zambezi River Authority”. In this presentation was a description of the Zambezi River basin, the hydrology and key geographic features, and identification of the percentage “share” of the eight countries with boundaries on the river. An overview of the Zambezi River Authority, including its background, vision, mission, mandate and governance, were provided. Transboundary issues relating to hydropower development on the Zambezi River, and actions being taken, were identified in relation to staff equalization, water allocations for hydropower at Kariba Dam, the energy deficit, overlapping and sometimes conflicting legislation, and pollution and invasive weeds.

Discussion points on this agenda item included but were not limited to capacity building with respect to development and implementation of transboundary agreements, specific activities happening in the Zambezi, and differing models in different regions.

DAY 2 - 5 September 2008

Site Visit to Kafue Gorge Lower Dam Site and to the Resettlement Area

On this day the Forum members visited the Kafue Gorge Lower project site, saw the area of the river that would be flooded, met with some of the residents who would be relocated, and met with the residents at the relocation village. Based on this experience, Forum members were able to form views and questions which they could ask to the Panel on Day 3 of the meeting.

DAY 3 - 6 September 2008

Agenda Item 9 – Section A

The purpose of this agenda item was to resolve the purpose and intent of Section A.

Figure 2 was provided to the Forum members to show the project stages and key decision points outlined in the WCD report, and to indicate where the Protocol sections fit in with this framework.

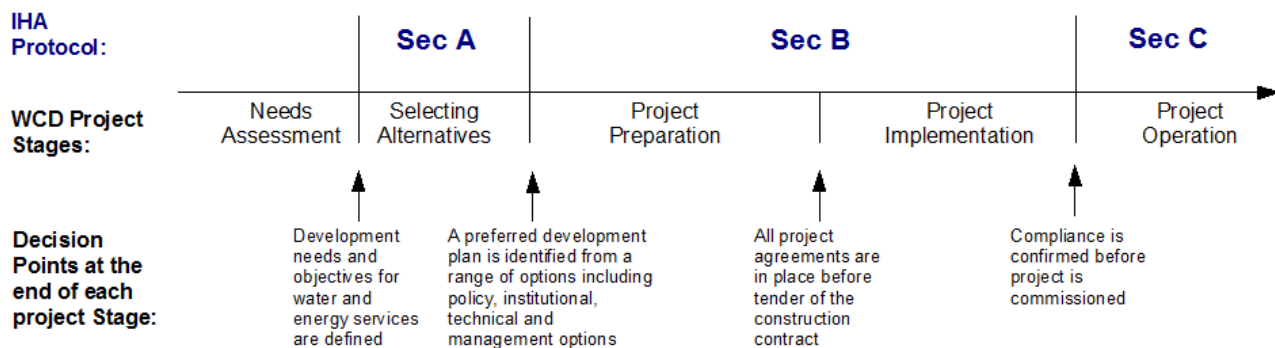


Figure 2: Key Project Stages from the WCD Report and the Sections of the Present IHA Protocol

The Forum members noted the benefit of outlining the critical decision points in the project development cycle. The utility of Section A with respect to the different users and sectors was explored. Some notable points included but were not limited to:

- The Equator Banks indicated that they work at the project level and so would be unlikely to use Section A, but would want to see some of the Section A considerations brought into Section B.
- Some NGOs advised that they are rarely involved in the stage at which Section A would apply, and so the process criteria for Section A relating to participation and engagement would be of particular interest to them.
- Section A is seen as critical to getting support from all stakeholders for a project. From a government perspective, it was noted that project criticisms often relate back to the strategic basis for the project.

** Note that agreements reached at a meeting may be revisited and updated at a later meeting based on further information, discussion and analysis.*

- Section A is considered valuable to demonstrate the strategic basis for the project, so that it is clear where a particular project fits within a strategic framework for development or sustainability. It identifies consistencies and conflicts with important contextual components such as energy, water, conservation and economic development plans for the relevant country/region.

Mtg3 Agreement 9: *Section A assesses the strategic basis for the project. This section of the Protocol can be used prior to and inform the decision that there is a strategic basis to move forward with project preparation.*

Mtg3 Agreement 10: *Section A aspects will be limited at this stage in the redrafting process to five: demonstrated need, options assessment, regional and national policies and plans, political risk and institutional capacity. Forum members will review these redrafts and determine if they adequately represent the key issues for Section A.*

With reference to Figure 2, the Forum members saw a revised Section A as including both needs assessment and analysis of a broader range of alternatives than the present energy options assessment, consistent with SEA approaches. The Forum members went on to discuss the idea of splitting the present Section B, assessing new hydropower projects, into two sections, the consequence of which would be to have a four section Protocol as shown in Figure 3.

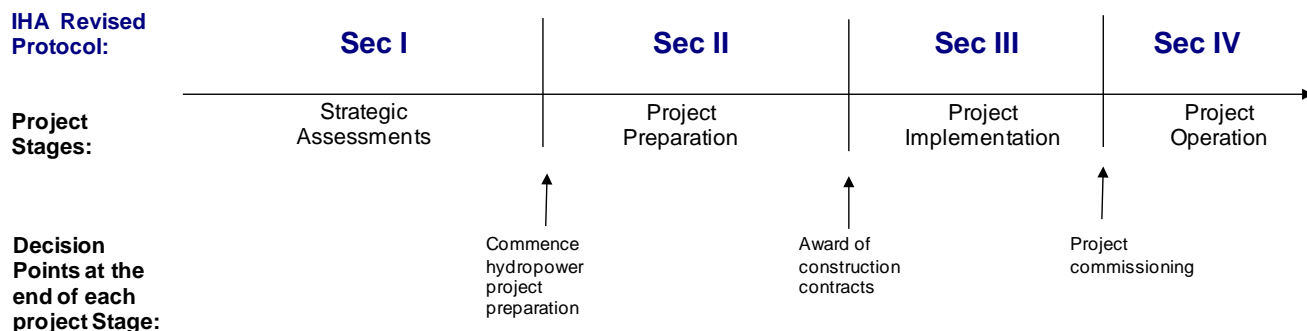


Figure 3: Proposed Sections for the Revised Sustainability Assessment Protocol

The merit in splitting Section B into the Project Preparation and Project Implementation stages, as shown in Figure 3, were identified as follows:

- The present Section B covers a very extensive stage of the project development cycle; the period between which the project is first identified as suitable for project preparation and when the hydropower project is commissioned can be in the order of a decade.
- The period between which the project contracts are awarded and the project is commissioned is considered to be a sensitive time period with high risks in the project life cycle.
- There is a critical decision point in the decision to award the construction contracts, at the end of the Project Preparation stage. An assessment conducted at this point in time would assess whether all preparatory requirements have been met, management plans are in place, and commitments are appropriate and binding. Following this point, not only does construction commence but also relevant elements of environmental, social and resettlement action plans.

* Note that agreements reached at a meeting may be revisited and updated at a later meeting based on further information, discussion and analysis.

- The transition point between project preparation and project implementation is captured by tender of the construction contract in the WCD report (Figure 2). However it was considered that this would be better captured by the award of the construction contract, and not the tender of the construction contract. It was noted that tendering can be a lengthy process, and sometimes the decision to go forward will only be made on the basis of actual tenders received.

A following critical decision point is the decision to commission the power station, at the end of the Project Implementation stage. During the Project Implementation stage the construction, resettlement and other management plans and commitments are implemented. At the point of commissioning the project earns money. An assessment made prior to the decision to commission would assess whether all commitments have been met.

The distinction between the sustainability assessment process within the Project Implementation Stage and ordinary compliance checks was discussed. The distinction is that the Protocol assessment provides an integrated rating of process and performance of the project against sustainability criteria appropriate to the Project Implementation stage.

Mtg3 Agreement 11: *Four sections are proposed for the Draft Revised Protocol, to be known as Sections I, II, III and IV to differentiate them from the existing version:*

- *Section I – Strategic Assessment. Assesses the strategic basis for a hydropower project. This section of the Protocol can be used prior to and inform the decision that there is a strategic basis to move forward with project preparation.*
- *Section II – Project Preparation. Assesses the preparation stage of a hydropower project during which investigations, planning and design are undertaken for all aspects of the project. This section of the Protocol can be used prior to and inform the decision to move forward with project implementation.*
- *Section III – Project Implementation. Assesses the implementation stage of a hydropower project during which construction, resettlement and other management plans and commitments are implemented. This section of the Protocol can be used prior to and inform the decision to move forward with project commissioning.*
- *Section IV – Hydropower Facility Operation. Assesses the operation of a hydropower facility. This section of the Protocol can be used to inform the view that the facility is operating on a sustainable basis with active measures in place towards continuous improvement.*

It was noted that for a major refurbishment / upgrade, one would go back to Section I and repeat the stages of Protocol application.

Agenda Item 10 – Desk-Top Assessment of the Kafue Gorge Lower Project, Zambia

The purpose of this agenda item was to provide a practical exercise for Forum members in application of the Protocol. It is to ensure all Forum members have experience in the role of auditor, using the Kafue Gorge Lower project as the focal point of the exercise. The exercise is aimed to stimulate and capture discussions on specific aspects that would assist in formulating Forum members' views on how aspects can be improved, and where are the gaps and duplication.

The Panel for this desk-top exercise included Israel Phiri from the Ministry of Energy and Water Development, Zambia, and Mellon Chinjila, Flaviour Chanda and Christopher Kaniki from Zesco. Forum members took it in turns to ask questions about the project relating to each of the following aspects, and to ascertain what evidence was available to support the assessment. The notes below only capture the focal areas of the discussion relevant to that aspect, not the details of the Kafue Gorge Lower project except where they help illustrate a point about the aspect discussion.

B6: Site Selection and Design Optimisation. Discussion focussed on how wide was the scope for consideration of siting and design options; the order of considerations guiding options assessment (e.g. were environmental considerations considered before or after siting options were identified); the fact that siting options for hydropower projects often have a very long gestation period (e.g. decades); and the consideration of options in relation to the determined objectives for the project.

B13: Environmental Impact Assessment and Management System. Discussion focussed around whether the aspect as presently written is trying to do too much. The main attributes were noted to be community and regulator support, the EIA and the Environmental Management System (EMS), and that perhaps these could be split. The potential for confusion in looking at the top descriptor to guide assessment questions versus looking at the attributes for each scoring option was noted, with the observation that they should be consistent. The scope of the EMS, on-site responsibilities, link between environmental and human relations coordinators during construction, monitoring of compliance and complaints mechanisms were all discussed.

B14: Threshold and Cumulative Environmental or Social Impacts. It was noted that the attributes guiding scoring options relate more to options assessment than they do to threshold or cumulative impacts. The score for the left hand column was thought to depend on what scope would be appropriate (e.g. Kafue Basin versus Zambezi). It was thought that much of the content of this aspect belongs in Section A, but that there are some cumulative and threshold considerations that are relevant to Section B.

B15: Construction and Associated Infrastructure Impacts. Assessment of this aspect was skipped in this exercise because the panel members were environmental specialists and do not have expertise in this area.

B16: Land Management and Rehabilitation. Discussion focussed around how broad or high up in the catchment area was relevant for consideration. It was noted that some Forum members were focussed on the rehabilitation, weed, vegetation and land management aspects of this aspect, whereas others were focussed on directly affected stakeholder use and access of the catchment area and reservoir during project development and implementation. It was noted that B15 also picks up land rehabilitation and restoration plans.

B17: Biodiversity and Pest Species. Questions focussed on the scope of the EIA assessments of biodiversity issues and rare and threatened species, who did the assessments, and what expertise and responsibilities reside within Zesco and the government for these issues. The geographic scope of the impact assessments (catchment, reservoir area, downstream) and the commitments to monitoring was discussed. It was noted that although pest species appears in the aspect title, the attributes associated with scoring do not mention pest species which could lead to this issue being neglected.

B18: Environmental Flows and Reservoir Management. Discussion was around the purpose and objectives that had been established for environmental flows not only associated with the project but also in the Kafue River system. Ecosystem objectives versus human uses were discussed. Regulator

and community support, and the requirements for approval were discussed. Components of the environmental flow (e.g. minimum flow, seasonal variation, mitigation of peaking operations) were considered. No particular discussion was undertaken on the reservoir management component of this aspect.

B19: Sedimentation and Erosion. Discussion was around the assessments that had been undertaken, the magnitude and nature of the issues, the measures that were identified for mitigation and management, the major stakeholders and method of consultation, the objective evidence, and how far downstream these issues should be considered.

B20: Water Quality. Water quality issues related to land use and industry in the Kafue River basin as a whole were explored. Point source versus diffuse source issues were identified. Infestation of the hyacinth weed due to excess nutrients was discussed as a major problem in southern Africa, and management/mitigation measures were discussed. Mitigation measures not associated with the hydropower developments but important to consideration of water quality issues were discussed, such as treatment of town sewage or industrial waste water in the catchment. Monitoring responsibilities, the monitoring program, relevant standards, and the extent of the database were addressed.

At the end of Day 3, the Forum members discussed the assessment exercise. The principle feedback from the members of the Panel was that the expectations from the Protocol are not in tandem with the local standards. This is recognised as a significant issue. Discussion points were around the challenges in developing an assessment tool that is internationally applicable, contributes meaningfully to sustainable development, has particular relevance in the developing world where most hydropower development is occurring, lifts sustainability performance of hydropower projects, reduces subjectivity and increases specification, is practicable in application and realistic in expectations.

The Forum members reflected on the value of conducting these within meeting project assessment exercises. The intent of these exercises is to ensure that each member has practical experience of trying to apply each Protocol aspect in an assessment process, and in doing so elicit views on how the Protocol aspects can be improved.

It is recognised that these are not representative of actual sustainability assessments because these within meeting exercises only apply a sub-set of the Protocol aspects, there is little opportunity for prior preparation, and there is an inability to examine the objective evidence. However, the value of these exercises is recognised in that they have clearly demonstrated that:

- auditors need to have prepared questions for each aspect that are clear; superfluous questions need to be avoided; questions need to be comprehensive with respect to the aspect attributes (the basis for scoring each aspect); and many questions are required to guide evaluation of each aspect;
- the parties being assessed should fully understand the process and to have prepared their own views on their sustainability performance on each aspect;
- the objective evidence available to support scores needs to be available and reviewed;
- efficiency is essential in the assessment process, given time constraints;
- use of leading questions needs to be avoided;
- the background of the assessor can influence their line of questions if the line of questions is not absolutely clear;

-
- guidance notes on each aspect are necessary;
 - audits would benefit from having different stakeholders involved to provide different viewpoints on the same aspects;
 - opportunities for subjectivity in interpretation should be removed as far as possible; and
 - ideally there would be the ability to replicate scoring amongst different assessors examining the same information.

Mtg3 Agreement 12: *The Forum members will undertake one more practical assessment exercise at the China Forum meeting in October 2008, applying the social aspects in the present Section B to assess a hydropower project. It is agreed that more time should be spent in this exercise reflecting as a group on improvements for each aspect. Whilst much has been learned from these exercises, for further Forum meetings it is agreed that the time within the meeting is now better spent on reaching agreement on improved Protocol content.*

DAY 4 - 7 September 2008

There was some re-ordering of the agenda to ensure time to confirm agreements from Days 1 and 3. The day commenced with Item 11 – Format of Protocol and Item 14 – Within Forum meeting process aspect evaluation process merged within the same discussions. Item 12 – Measurement – was dropped from the agenda to be put on the agenda for the China meeting. Following Item 14 was Item 13 – Sections II and III key environmental aspects. Items 15 – Within Forum work plan aspect revision process – was merged with Item 16 – Forward work plan. The meeting closed with Item 17 – Reflection on meeting. The meeting minutes use the item numbers above in the order in which they were discussed.

Agenda Item 11 and 14 – Aspect Evaluation Process and Format of Protocol

The focus of this agenda item was on what could realistically be agreed upon with respect to Protocol aspect revision within the time constraints of a Forum meeting. The Forum was reminded of the agreement at the Washington DC meeting (Meeting 1) that discussion of thresholds (what is considered adequate) will be the focus of the following phase of the Forum process. In this phase, the focus is on Protocol content and defining the gradation to good practice.

Mtg3 Agreement 13: *At this point in the Forum work plan, it is agreed to work with the present Protocol format which provides the aspect name, aspect definition, sustainability scoring methodology, and auditing guidance notes. These will be further reviewed and discussed at future Forum meetings.*

Mtg3 Agreement 14: *Within a Forum meeting, it is necessary to agree on the key aspects for each Protocol section, the definition of that aspect, and to define the attributes that will be used as a basis for rating each aspect.*

Mtg3 Agreement 15: *At this point in the Forum work plan, the number of aspects per Protocol section will not be limited. Once aspects and attributes are viewed collectively for each section, opportunities for merging will be explored.*

Agenda Item 13 – Sections II and III Key Aspects

Mtg3 Agreement 16: *The following changes were agreed to be necessary to the existing Section B environmental aspects:*

- *Aspect B13: Environmental Impact Assessment and Management System. It was agreed necessary to split environmental impact assessment from environmental management system.*
- *Aspect B14: Threshold and Cumulative Environmental or Social Impacts. Whilst recognising the importance of this consideration, it was agreed to remove this as its own aspect, and to enhance the definitions of other relevant aspects to ensure that they pick up threshold and cumulative impact issues.*
- *Aspect B15: Construction and Associated Infrastructure Impacts. It was agreed that construction management planning needed to be its own aspect, and under this would include but not be limited to air, waste water, ground emissions, waste management and noise impacts. It was further agreed that associated infrastructure impacts needs to be its own aspect, as does construction workforce issues. Other construction issues would be dealt with within other relevant aspects, for example water quality.*
- *Aspect B16: Land Management and Rehabilitation. It was agreed to change this to catchment management. The present content of this aspect relating to construction impacts would be picked up under the construction management planning aspect. The present content of this aspect relating to terrestrial biodiversity would be picked up under the biodiversity aspect. The issues of land and reservoir access and rights of use for directly affected stakeholders will be picked up under either this catchment management aspect or its own aspect.*
- *Aspect B17: Biodiversity and Pest Species. It was agreed necessary to split biodiversity from pest species. Biodiversity would be broadened to Biodiversity, Habitats and Protected Areas. Pest species would be broadened to Pest and Invasive Species.*
- *Aspect B18: Environmental Flows and Reservoir Management. It was agreed necessary to split environmental flows from reservoir management.*

No changes in Aspect B19, Sedimentation and Erosion, and Aspect B20, Water Quality, were identified at this time.

One issue that received some discussion was climate change. The different facets of climate change relevant to hydropower projects are recognized as being hydrological variability, greenhouse gas emissions from reservoirs, adaptation, and carbon finance. It is recognized that climate change is a cross-cutting issue and consequently it may be best picked up under several other aspects. This remains to be further discussed. Climate change will be the focus of expert presentations and discussions at the Brazil Forum meeting in December.

Other aspects which need to be included were discussed, and are summarized in the agreements below. These lists are to be considered working lists; they have not been critically reviewed as a whole, and do not provide key social aspects because these are the focus of the next meeting.

Mtg3 Agreement 17: *The following is a summary of key aspects that at this stage are considered important to include in Protocol Section II (Hydropower Project Preparation). These are likely to be merged / modified once they are clearly defined and once the attributes (criteria against which each are measured) for each aspect are identified. A full set of social aspects are yet to be discussed and added.*

<i>Political Risk</i>	<i>Transboundary Issues</i>
<i>Regulatory Approval</i>	<i>Environmental Impact Assessment</i>
<i>Governance</i>	<i>Environmental Management Plan / System</i>
<i>Demonstrated Need</i>	<i>Construction Management Plan</i>
<i>Economic Viability</i>	<i>Catchment Management Plan</i>
<i>Financial Viability</i>	<i>Biodiversity, Habitats, and Protected Areas</i>
<i>Additional Benefits</i>	<i>Pest and Invasive Species</i>
<i>Benefit Sharing</i>	<i>Environmental Flows</i>
<i>Asset Reliability and Efficiency</i>	<i>Reservoir Management</i>
<i>Management of the Hydrological Resource</i>	<i>Sedimentation and Erosion</i>
<i>Integrated Project Management Planning</i>	<i>Water Quality</i>
<i>Site Selection and Design Optimisation</i>	<i>Aesthetics</i>
<i>Strategic Fit</i>	<i>Construction Workforce Issues</i>
<i>Associated Infrastructure Impacts</i>	<i>Communications</i>
<i>Safety of Dams</i>	

Mtg3 Agreement 18: *The following is a summary of key aspects that at this stage are considered important to include in Protocol Section III (Hydropower Project Implementation). These are likely to be merged / modified once they are clearly defined and once the attributes (criteria against which each are measured) for each aspect are identified. A full set of social aspects are yet to be discussed and added.*

<i>Governance</i>	<i>Catchment Management Plan</i>
<i>Additional Benefits</i>	<i>Biodiversity, Habitats, and Protected Areas</i>
<i>Benefit Sharing</i>	<i>Pest and Invasive Species</i>
<i>Integrated Project Management</i>	<i>Environmental Flows</i>
<i>Design Optimisation</i>	<i>Reservoir Management</i>
<i>Associated Infrastructure Impacts</i>	<i>Sedimentation and Erosion</i>
<i>Safety of Dams</i>	<i>Water Quality</i>
<i>Transboundary Issues</i>	<i>Aesthetics</i>
<i>Environmental Impact Assessment</i>	<i>Construction Workforce Issues</i>
<i>Environmental Management Plan / System</i>	<i>Communications</i>
<i>Construction Management Plan</i>	

Mtg3 Agreement 19: *It was agreed that an upfront summary in the Protocol document of how cross-cutting issues are captured within the aspects will be required.*

The grouping or sequencing of the aspects into project analysis, impact analysis, impact mitigation, management planning and monitoring was briefly discussed. Whilst recognizing that these are

** Note that agreements reached at a meeting may be revisited and updated at a later meeting based on further information, discussion and analysis.*

Minutes of Meeting 3

meaningful groupings, the potential to do this with Protocol aspects will better be able to be evaluated once the complete list of aspects and attributes has been compiled.

Agenda Items 15 and 16 – Forum Work Plan

The need to ensure that future Forum meetings are strongly oriented around reaching agreements on Protocol content was discussed. A table summarising a logical progression of key discussion points and agreements to be reached at meetings, and points for formal consultation, was reviewed by the Forum members, with the outcome provided as Table 1. Important elements of this are captured in the following agreements.

Mtg3 Agreement 20: Key milestones in the Forum work plan with respect to development of the Draft Revised Protocol are:

- Forum Meeting 5 (Brazil, Dec 08) – Section I, II and III key aspects and attributes.
- Forum Meeting 6 (Turkey, Mar 09) – Section I, II and III Redraft 1.
- Forum Meeting 7 (Iceland, Jun 09) – Draft Revised Protocol Section I, II and III; Section IV key aspects and attributes.
- Forum Meeting 8 (India, Oct 09) - Section IV Redraft 1.
- Forum Meeting 9 (Vietnam, Dec 09) – Final Revised Protocol.

Mtg3 Agreement 21: Two formal periods will be provided in the Forum work plan for consultation:

- January-February 2009 on Sections I, II, III and IV intent, and on Sections I, II and III aspects and attributes.
- July-August 2009 on Sections I, II and III redrafts of the Protocol (in parallel with a trialling program) and on Section IV aspects and attributes.

ACTIVITY	Mar 09 USA MTG 1	Jul 08 USA MTG 2	'Sep 08 Zambia MTG 3	Oct 08 China MTG 4	Dec 08 Brazil MTG 5	Jan-Feb 09 CONSULT	Mar 09 Turkey MTG 6	Apr-May 09	Jun 09 Iceland MTG 7	Jul-Aug 09 CONSULT / TRIAL	Oct 09 India MTG 8	Nov 09	Dec 09 location? MTG 9
Intent of Protocol Sections	Preliminary discussions	Discuss intent for sections	Agree Sec I,II,III,IV intent			Consult on section intents and I,II,III aspects and attributes	Discuss consultation outcomes			Consult on & trial Draft Revised Protocol Sections I,II,III	Discuss consultation & trial outcomes Sec I,II,III	Develop Final Revised Protocol	Final Revised Protocol
Key aspects I,II,III	Preliminary discussions	Discuss I,II key aspects	Discuss II,III key aspects	Agree I,II,III key aspects									
Attributes for I,II,III aspects			Discuss I,II,III aspect attributes	Agree I,II,III aspect attributes									
Redraft Sec I,II,III					Develop I,II,III Redraft 1	Discuss I,II,III Redraft 1	Develop I,II,III Redraft 2	Discuss I,II,III Redraft 2					
Key aspects IV	Preliminary discussions					Discuss Sec IV key aspects		Agree Sec IV key aspects		Consult on Sec IV aspects and attributes	Discuss consultation outcomes Sec IV		
Attributes for IV aspects						Discuss Sec IV aspect attributes		Agree Sec IV aspect attributes					
Redraft Sec IV										Develop Sec IV Redraft 1	Discuss Sec IV Redraft 1		

Table 1: Summary of Forum meeting milestones and Formal Consultation Periods

* Note that agreements reached at a meeting may be revisited and updated at a later meeting based on further information, discussion and analysis.

Minutes of Meeting 3

Mtg3 Action 5: *The Forum Coordinator will compile a document of key aspects, definitions and attributes for Sections I, II and III to provide as a meeting paper at Forum meeting 4. Forum members may contribute their ideas for aspect attributes to the Forum Coordinator.*

Agenda Item 17 – Reflection

The discussion captured an overall favourable view of how the Forum is progressing. The Forum members unanimously complimented the coordinating team for their efforts and contributions to the substantial debates. Some observations and ideas for improvement arising from the discussions are noted below.

Within Meeting Processes:

- Need to recognise that there will be an evolution in group dynamics. At the early stages members will want to ensure that the agenda items most critical to them are raised, and so there may be digressions from the agenda that need to be somewhat tolerated. As the Forum progresses through its work plan it will experience increasing efficiency and focus.
- Need to ensure and retain clarity on the purpose of each agenda item. Forum members encouraged the Forum Chair to strongly enforce this focus. It was observed that reduced focus can be linked to meeting fatigue, the potential for which needs to be recognised in the meeting agenda design and how the meeting is paced.
- Need to use the “parking lot” approach more, so that when issues are raised that are not focal areas for that particular agenda item, they are recognised and time is allowed later in the meeting to address those deferred issues. Where appropriate, 2-3 people could be directed to discuss out of session a deferred item, and bring back to the meeting ideas on how to address it.
- Strategies to give adequate opportunity to hear from all Forum members in discussions were explored. More small group work could be brought into the session design where appropriate, as could more structured exercises aimed at canvassing all views. Individual styles and needs were explored, leading to a greater collective awareness of how to support this objective.

Meeting Agenda Design:

- Need to get into substantive work earlier in the meetings rather than leaving the bulk of it for the last day, as meeting attendees will be more fatigued later in the meeting and there is a higher risk of running out of time for certain critical items.
- Need a larger proportion of the meeting targeted towards reaching meeting agreements on Protocol improvement.
- Need to deal with administrative considerations quickly and efficiently, and be judicious about what needs to be brought into the Forum meeting for discussion. New proposals should be dealt with out of meeting if possible, although it was noted that the need to discuss aspects of a new proposal cannot always be predicted.

Use of Experts:

- Experts have been very useful in assisting Forum members from different backgrounds to develop a common understanding of some of the key issues, and it is important to retain this.
- Need to use experts more fully throughout the meeting to help consider how to improve Protocol content relevant to their areas of expertise.

** Note that agreements reached at a meeting may be revisited and updated at a later meeting based on further information, discussion and analysis.*

Mtg3 Action 6: *The Forum Coordinator and Forum Chair consider the points raised in the Forum meeting reflection and incorporate into the forward meeting processes where possible.*

Minutes of Meeting 3

HSAF Meeting 3 Summary of Agreements

- Mtg3 Agreement 1:** *The Forum members seek to provide meeting minutes to the general public as soon as possible following a meeting. Meeting minutes are considered final if there are no substantive comments received by meeting attendees on a draft of the minutes by the due date.*
- Mtg3 Agreement 2:** *To improve the meeting minutes format, a summary of issues that are left unresolved will be provided in the meeting minutes summary section.*
- Mtg3 Agreement 3:** *A note will be provided in the meeting minutes stating that agreements reached at a previous meeting may be revisited and updated at later meetings based on further information, analysis and discussion.*
- Mtg3 Agreement 4:** *The redrafted Communications and Operating Procedures (Mtg3 Paper4) is supported, pending some minor edits and review of Section 5.*
- Mtg3 Agreement 5:** *The Procedures for Commissioning Consulting Work (Mtg3 Paper5b) were agreed to be adopted by the Forum.*
- Mtg3 Agreement 6:** *The Forum provides a diversity of expertise and cross-sectoral views relevant to consideration of sustainability issues for hydropower projects throughout their life cycle. Strategies will be developed to bring further expertise or sectoral or regional views into the Forum process as required, for example through invited participants in the Forum meetings and work plan activities, consultation processes, and commissioned work. Sectors and areas of expertise where additional advice and liaison will be sought include resettlement, indigenous peoples and project affected people.*
- Mtg3 Agreement 7:** *Some Forum meeting sessions will be open only to Forum members to facilitate discussions and reaching of agreements. These will be reported on transparently in the meeting minutes. Where theme-specific experts are participating in meetings they will be invited to sessions that are aimed at reaching agreements relating to their particular area of expertise. Consensus on an issue is reached by Forum members informed by other views.*
- Mtg3 Agreement 8:** *The Forum members agree that they want to encourage broad take-up of the Protocol, but that given the wide range of potential users it is not appropriate at this stage in the Forum process to be focussing on the specific assessment needs of one particular user group. Forum members can arrange to meet with potential future users to promote the Protocol as a preferred tool. This should be undertaken separately to the Forum process.*
- Mtg3 Agreement 9:** *Section A assesses the strategic basis for the project. This section of the Protocol can be used prior to and inform the decision that there is a strategic basis to move forward with project preparation.*
- Mtg3 Agreement 10:** *Section A aspects will be limited at this stage in the redrafting process to five: demonstrated need, options assessment, regional and national policies and plans, political risk and institutional capacity. Forum members will review these redrafts and determine if they adequately represent the key issues for Section A.*
- Mtg3 Agreement 11:** *Four sections are proposed for the Draft Revised Protocol, to be known as Sections I, II, III and IV to differentiate them from the existing version:*

Minutes of Meeting 3

- *Section I – Strategic Assessment. Assesses the strategic basis for a hydropower project. This section of the Protocol can be used prior to and inform the decision that there is a strategic basis to move forward with project preparation.*
- *Section II – Project Preparation. Assesses the preparation stage of a hydropower project during which investigations, planning and design are undertaken for all aspects of the project. This section of the Protocol can be used prior to and inform the decision to move forward with project implementation.*
- *Section III – Project Implementation. Assesses the implementation stage of a hydropower project during which construction, resettlement and other management plans and commitments are implemented. This section of the Protocol can be used prior to and inform the decision to move forward with project commissioning.*
- *Section IV – Hydropower Facility Operation. Assesses the operation of a hydropower facility. This section of the Protocol can be used to inform the view that the facility is operating on a sustainable basis with active measures in place towards continuous improvement.*

Mtg3 Agreement 12: *The Forum members will undertake one more practical assessment exercise at the China Forum meeting in October 2008, applying the social aspects in the present Section B to assess a hydropower project. It is agreed that more time should be spent in this exercise reflecting as a group on improvements for each aspect. Whilst much has been learned from these exercises, for further Forum meetings it is agreed that the time within the meeting is now better spent on reaching agreement on improved Protocol content.*

Mtg3 Agreement 13: *At this point in the Forum work plan, it is agreed to work with the present Protocol format which provides the aspect name, aspect definition, sustainability scoring methodology, and auditing guidance notes. These will be further reviewed and discussed at future Forum meetings.*

Mtg3 Agreement 14: *Within a Forum meeting, it is necessary to agree on the key aspects for each Protocol section, the definition of that aspect, and to define the attributes that will be used as a basis for rating each aspect.*

Mtg3 Agreement 15: *At this point in the Forum work plan, the number of aspects per Protocol section will not be limited. Once aspects and attributes are viewed collectively for each section, opportunities for merging will be explored.*

Mtg3 Agreement 16: *The following changes were agreed to be necessary to the existing Section B environmental aspects:*

- *Aspect B13: Environmental Impact Assessment and Management System. It was agreed necessary to split environmental impact assessment from environmental management system.*
- *Aspect B14: Threshold and Cumulative Environmental or Social Impacts. Whilst recognizing the importance of this consideration, it was agreed to remove this as its own aspect, and to enhance the definitions of other relevant aspects to ensure that they pick up threshold and cumulative impact issues.*
- *Aspect B15: Construction and Associated Infrastructure Impacts. It was agreed that construction management planning needed to be its own aspect, and under this would include but not be limited to air, waste water, ground emissions, waste management and noise impacts. It was further agreed that associated infrastructure impacts needs to be its own*

Minutes of Meeting 3

aspect, as does construction workforce issues. Other construction issues would be dealt with within other relevant aspects, for example water quality.

- *Aspect B16: Land Management and Rehabilitation. It was agreed to change this to catchment management. The present content of this aspect relating to construction impacts would be picked up under the construction management planning aspect. The present content of this aspect relating to terrestrial biodiversity would be picked up under the biodiversity aspect. The issues of land and reservoir access and rights of use for directly affected stakeholders will be picked up under either this catchment management aspect or its own aspect.*
- *Aspect B17: Biodiversity and Pest Species. It was agreed necessary to split biodiversity from pest species. Biodiversity would be broadened to Biodiversity, Habitats and Protected Areas. Pest species would be broadened to Pest and Invasive Species.*
- *Aspect B18: Environmental Flows and Reservoir Management. It was agreed necessary to split environmental flows from reservoir management.*

Mtg3 Agreement 17: *The following is a summary of key aspects that at this stage are considered important to include in Protocol Section II (Hydropower Project Preparation). These are likely to be merged / modified once they are clearly defined and once the attributes (criteria against which each are measured) for each aspect are identified. A full set of social aspects are yet to be discussed and added.*

<i>Political Risk</i>	<i>Transboundary Issues</i>
<i>Regulatory Approval</i>	<i>Environmental Impact Assessment</i>
<i>Governance</i>	<i>Environmental Management Plan / System</i>
<i>Demonstrated Need</i>	<i>Construction Management Plan</i>
<i>Economic Viability</i>	<i>Catchment Management Plan</i>
<i>Financial Viability</i>	<i>Biodiversity, Habitats, and Protected Areas</i>
<i>Additional Benefits</i>	<i>Pest and Invasive Species</i>
<i>Benefit Sharing</i>	<i>Environmental Flows</i>
<i>Asset Reliability and Efficiency</i>	<i>Reservoir Management</i>
<i>Management of the Hydrological Resource</i>	<i>Sedimentation and Erosion</i>
<i>Integrated Project Management Planning</i>	<i>Water Quality</i>
<i>Site Selection and Design Optimisation</i>	<i>Aesthetics</i>
<i>Strategic Fit</i>	<i>Construction Workforce Issues</i>
<i>Associated Infrastructure Impacts</i>	<i>Communications</i>
<i>Safety of Dams</i>	

Mtg3 Agreement 18: *The following is a summary of key aspects that at this stage are considered important to include in Protocol Section III (Hydropower Project Implementation). These are likely to be merged / modified once they are clearly defined and once the attributes (criteria against which each are measured) for each aspect are identified. A full set of social aspects are yet to be discussed and added.*

** Note that agreements reached at a meeting may be revisited and updated at a later meeting based on further information, discussion and analysis.*

Minutes of Meeting 3

<i>Governance</i>	<i>Catchment Management Plan</i>
<i>Additional Benefits</i>	<i>Biodiversity, Habitats, and Protected Areas</i>
<i>Benefit Sharing</i>	<i>Pest and Invasive Species</i>
<i>Integrated Project Management</i>	<i>Environmental Flows</i>
<i>Design Optimisation</i>	<i>Reservoir Management</i>
<i>Associated Infrastructure Impacts</i>	<i>Sedimentation and Erosion</i>
<i>Safety of Dams</i>	<i>Water Quality</i>
<i>Transboundary Issues</i>	<i>Aesthetics</i>
<i>Environmental Impact Assessment</i>	<i>Construction Workforce Issues</i>
<i>Environmental Management Plan / System</i>	<i>Communications</i>
<i>Construction Management Plan</i>	

Mtg3 Agreement 19: *It was agreed that an upfront summary in the Protocol document of how cross-cutting issues are captured within the aspects will be required.*

Mtg3 Agreement 20: *Key milestones in the Forum work plan with respect to development of the Draft Revised Protocol are:*

- *Forum Meeting 5 (Brazil, Dec 08) – Section I, II and III key aspects and attributes.*
- *Forum Meeting 6 (Turkey, Mar 09) – Section I, II and III Redraft 1.*
- *Forum Meeting 7 (Iceland, Jun 09) – Draft Revised Protocol Section I, II and III; Section IV key aspects and attributes.*
- *Forum Meeting 8 (India, Oct 09) - Section IV Redraft 1.*
- *Forum Meeting 9 (Vietnam, Dec 09) – Final Revised Protocol.*

Mtg3 Agreement 21: *Two formal periods will be provided in the Forum work plan for consultation:*

- *January-February 2009 on Sections I, II, III and IV intent, and on Sections I, II and III aspects and attributes.*
- *July-August 2009 on Sections I, II and III redrafts of the Protocol (in parallel with a trialling program) and on Section IV aspects and attributes.*

HSAF Meeting 3 Summary of Actions

Mtg 3 Action 1: *The Coordinator will draft a scope of work for a consultant to review and collate the different comparative analyses of the IHA Protocol against World Commission on Dams Strategic Priorities, the Equator Principles / IFC Performance Standards, and multi-lateral development bank safeguard policies in a form that can guide the Forum’s progress. This scope will be reviewed by Forum members and will be progressed if it can be done for £5000 or less and provided as a draft to the December Forum meeting.*

Mtg 3 Action 2: *The Forum Coordinator will re-draft the Communications and Operating Procedures document and provide as a meeting paper at Meeting 4.*

Mtg 3 Action 3: *The Coordinator will progress development of a Trial Strategy for the Draft Revised Protocol in line with Mtg3 Paper 5a, commencing with development of criteria for selection of candidate hydropower projects to be considered at the next meeting.*

Minutes of Meeting 3

Mtg 3 Action 4: *The Coordinator will propose to Ted Downing and Ted Scudder that:*

- *they document their views on how well the Protocol addresses the issue of involuntary resettlement in its present form and how it can be improved;*
- *all invited meeting experts participate in Day 3 of the China meeting for the agenda items focussed on social content of the Protocol; and*
- *an agenda item at the Forum meeting in China will be on exploration of mechanisms to ensure adequate expertise and cross-sectoral views on social issues are brought into the Forum process.*

Mtg3 Action 5: *The Forum Coordinator will compile a document of key aspects, definitions and attributes for Sections I, II and III to provide as a meeting paper at Forum meeting 4. Forum members may contribute their ideas for aspect attributes to the Forum Coordinator.*

Mtg3 Action 6: *The Forum Coordinator and Forum Chair consider the points raised in the Forum meeting reflection and incorporate into the forward meeting processes where possible.*

HSAF Meeting 3 Issues Open for Further Discussion

Issues arising from these meeting discussions that are recognized as requiring dedicated discussion at a future Forum meeting include but are not limited to:

- An additional Forum member focused on social issues;
- Protocol format, including the number of aspects per Protocol section; the potential for grouping or sequencing of aspects within each section; approaches to measurement of each aspect; and guidance notes/other support on scoring;
- Incorporation of climate change into the Protocol; and
- Key social aspects to include in the Protocol sections.