

HSAF Briefing Note

**Cross-Comparison of the
IHA Sustainability Guidelines (2004) and Protocol (2006)
with the current
World Bank Safeguard Policies**

**Input for discussions of the
IHA Hydropower Sustainability Assessment Forum (HSAF)**

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1. Purpose

This Briefing Note provides a rapid scan of the World Bank Safeguard Policies as a basis for a cross-comparison with the IHA Sustainability Assessment Guidelines and Protocol.

It focuses on the ten environment and social safeguards policies that can be triggered by hydropower projects supported by the World Bank. The information and analysis presented here is the result of a one-day exercise. More in-depth analysis can be prepared at a later stage later, if warranted.

Annexes in tabular format for quick reference include:

Annex A:	Word Bank Safeguard Policies – Objectives
Annex B	Alignment of IHA Guidelines / Protocol with operational principles of the World Bank Safeguards (Annex B1 to B 10)
Annex C:	Framework of World Bank Operational and Safeguard Policies - Web Page
Annex D:	IHA Protocol Aspects – List of 60 Aspects in Parts A to C of the Protocol

2. Context

The broader policies and procedures that govern World Bank operations are reflected in the Bank's Operational Directives (ODs). These are compiled in an on-line manual.¹ The ODs are gradually being reformatted into a three-tiered structure:

1. Policy (Operational Policy- OPs) listing core requirements for Bank Operations
2. Procedures (Bank Procedures - BPs) that Bank staff must follow, and
3. Good practice (Good Practice- GPs)

Annex C is an extract from World Bank Website that identifies the broader range of operational and safeguard policies that govern Bank projects and programmes, including lending operations concerned with dam planning and management and hydropower.

Safeguard Policies: Within the overall OD framework, ten key environmental and social policies to identify, avoid, and mitigate the potential negative environmental impacts of Bank lending operations (defined by relevant OPs, BPs and GPs) are known as the environmental and social safeguard policies. It is mandatory to screen each proposed project to determine which safeguard policies may be triggered. The Borrower is then responsible for undertaking the assessments required by the Safeguards, with general advice provided by Bank staff.

The safeguard policies are also promoted as a platform for participation of stakeholders in the project design not only for hydropower projects but more generally, and also as an instrument for building ownership and mutually beneficial partnerships with local communities for design and implementation of the various environmental and social management components. Specific safeguard policies today address: environment assessment, natural habitats, pest management, cultural property, involuntary resettlement, indigenous peoples, safety of dams, projects on international waterways and projects in disputed areas.

Two further aspects that deserve mention are the World Bank Information Disclosure Policies and the World Bank Project Cycle. In this regard:

Disclosure Policies: Among other aspects, these policies detail (i) principles of information disclosure and transparency (ii) exceptions to disclosure, and (iii) routine disclosure and request-driven disclosure. Disclosure is also linked to the World Bank's Accountability policies, which from the perspective of communities impacted by Bank projects and programs, establish minimum "do no harm" protections and provide the means for holding institutions accountable for actions at different stages of the project cycle.

Project Cycle: World Bank-financed projects are identified, implemented and evaluated during specific phases in a well-documented project cycle. The OPs generally cover each step of the cycle (i.e. country strategy and project identification, project preparation, project appraisal and Board approval, implementation, completion and evaluation phases).ⁱⁱ

The project cycle is relevant because Parts A to C of the IHA Sustainability Assessment Protocol, reflect the infrastructure Project Cycle and there are cross-relationships. For example, Part A of the IHA Protocol that deals with the identification and selection of new energy projects would be applied in the earlier stages of the Bank Project Cycle.

For quick reference, Annex D lists the 60 aspects in the three Parts of the Protocol, as noted Box 1. In addition the Protocol offers support in terms of (i) a Systematic Management Approach to Sustainability – where the assessing process relies on the presence of a systematic approach to managing economic, social and environmental issues, and (ii) Obtaining Objective Evidence – elaborating the process to score each 20 aspect in Part A to C.

Box 1: IHA 2006 Protocol

- Part A** New Energy Projects
- 20 sustainability aspects related to selecting dam and non-dam options
 - Key considerations and assessment requirements for each aspect
- Part B** New Hydro Projects
- 20 different sustainability aspects related to project design and implementation
 - Assessment has score from 0-5 both process and performance against each aspect or criteria.
- Part C** Operating Hydropower Facilities
- 20 sustainability aspects - related to project operation (O&M) as well as rehabilitation and uprating (U&R)
 - Objective evidence to support a sustainability score against each 20 aspects.

3. Comparison Methodology

This rapid scan employs the tabular format used previously to compare the Guidelines (2004) /Protocol (2006) with the seven strategic priorities offered by the World Commission on Dams (WCD, 2000).

The scan thus considers two overall questions:

1. How are they complementary ?
2. What are the significant gaps or differences

The operational principles for each of the 10 safeguard policies extracted from the World Bank Operational Manual noted previously are used for the scan.

4. Key Observations

Detailed comparisons based the operational principles of the 10 Safeguards are provided in Annexure B1 to B10. Two overarching observations are:

Firstly, there is a philosophical difference between the Safeguards and the Guidelines / Protocol package. Safeguards are by definition a protective stipulation or precautionary measure to ensure that minimum standards are met. On the other hand, the IHA guidelines, the Protocol in particular by virtue of the point scoring system for each aspect, intrinsically aims to promote, advance - and in fact reward good practice.

Secondly, it is important to keep in mind the Safeguards must supported by (or call for) in-depth studies conducted by the Borrower, or project proponent, in context specific ways using participatory processes. Some studies that support the safeguards, for example undertaken during project preparation may require two or more years to complete. The Protocol is a tool prepared in a very short timeframe of a few weeks to a month by a skilled assessment team consulting with government and interested and affected parties.

How are they complementary?

- Overall similarities are defined by a commitment to sustainability in dam planning and management, emphasizing the three pillars of sustainability - economic, social and environmental
- There is a common emphasis on poverty reduction linkages and multi-stakeholder engagement to involve people in decisions that affect them, and
- Both look at decisions at all stages of the planning and project cycle and both draw from the emerging pool of good practice.

What are the significant gaps or significant differences?

- **Interpretation:** both the Safeguards and the Guidelines/Protocol offer operational principles and some guidance on implementation. However, much depends on how they are interpreted. They both require good-faith interpretation in the application. Clearly the Safeguards (OP, BPs, GPs) are elaborated more in-depth.
- **Disclosure:** the guidelines have less emphasis on information disclosure procedures and instead emphasize consultation, negotiated approaches (where feasible) and agreements, which would embody disclosure in context specific ways.
- **Indigenous People:** the Safeguards place more emphasis on the addressing the legal status, culture, rights and entitlements of indigenous people, whereas the guidelines and protocol treat indigenous people largely as part of interested and affected people who's cultural identities need to be respected – partly a matter of emphasis.

- **Raising the bar?** One key aspect of interest to observers such as multilateral development Banks is whether revisions to the guidelines/protocol would be construed as “raising the bar” in terms of any current standards. This touches on the first overarching point mentioned previously.

Perhaps the most important aspects in this regard is involuntary resettlement. At present in both the Safeguards and Guidelines / Protocol promote improved standards of living for displaced and resettlement host communities. While the standard in both cases is restoring living conditions and livelihoods of displace people to at minimal pre-project conditions, the Protocol rewards adoption of good practice that extends the local development opportunities created by the project. To illustrate:

World Bank OP 4.2 on Involuntary Resettlement	IHA Guideline and Protocol
<ul style="list-style-type: none"> ▪ Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs. ▪ Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher. 	<p>Guideline (2004)</p> <ul style="list-style-type: none"> ▪ Providing affected communities with improved living conditions (Section 6.2) ▪ To provide displaced groups with sufficient assistance to ensure that their livelihoods are improved or, as a minimum, to ensure they are re-established at no disadvantage (6.2) <p>Protocol (2006)</p> <ul style="list-style-type: none"> ▪ Project delivers large range of high value benefits to directly affected stakeholders and the broader community – maximum points – (B3)

Generally the Safeguards are more in-depth than the Protocol on most aspects, while the Protocol covers a broader range of issues. Among aspects where the Guidelines/Protocol offers more detail include financing sustainability measures during operation phases of projects. Key in this regard is promoting local benefit sharing. The environment management systems (EMS) for the operation phase also offers a practical orientation encompassing ethics, responsibilities and roles of the operator and staff.

5. Conclusion

This rapid scan suggests the IHA Guidelines/Protocol are substantially comparable to the operational principles of the World Bank’s environment and social Safeguards. Differences are largely in terms of emphasis and outcomes ultimately depend on how each is interpreted. There is also the intrinsic difference in the objectives of providing Safeguards versus providing a tool to advance or reward good practice.

Going forward with reformulation of the Guidelines / Protocol package:

- It will be helpful to crosscheck proposed revisions against the operational principles in the Safeguards identified in Annex 2.
- Additionally it would be prudent to cross-check revisions with the wider group of relevant World Bank OPs/BPs/GPs noted in Annex C, such as those covering
 - Financial and economic evaluation aspects of projects
 - Project supervision
 - Disclosure and accountability)

The Forum can decide whether further in-depth comparison is necessary at this stage, but certainly the raw information is readily available.

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Annex A: Word Bank Safeguard Policies – The objectives

Safeguard	Objective
Environment Assessment (over arching)	<p>An “umbrella policy” through which potential social and environmental impacts are identified and mitigation measures proposed:</p> <ul style="list-style-type: none"> ▪ To help ensure the environmental and social soundness and sustainability of investment projects. ▪ To support integration of environmental and social aspects of projects into the decision making process.
Natural Habitats	<ul style="list-style-type: none"> ▪ To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions.
Pest Management	<ul style="list-style-type: none"> ▪ To minimize and manage the environmental and health risks associated with pesticide use and promote and support safe, effective, and environmentally sound pest management.
Involuntary Resettlement	<ul style="list-style-type: none"> ▪ To avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
Indigenous Peoples	<ul style="list-style-type: none"> ▪ To design and implement projects in a way that fosters full respect for Indigenous Peoples’ dignity, human rights, and cultural uniqueness and so that they: (a) receive culturally compatible social and economic benefits; and (b) do not suffer adverse effects during the development process.
Forests	<ul style="list-style-type: none"> ▪ To realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests.
Physical Cultural Resources (PCR)	<ul style="list-style-type: none"> ▪ To assist in preserving physical cultural resources and avoiding their destruction or damage. PCR includes resources of archaeological, paleontological, historical, architectural, religious (including graveyards and burial sites), aesthetic, or other cultural significance.
Safety of Dams	<ul style="list-style-type: none"> ▪ To assure quality and safety in the design and construction of new dams and the rehabilitation of existing dams, and in carrying out activities that may be affected by an existing dam.
Projects on International Waterways	<ul style="list-style-type: none"> ▪ To reduce potential conflict between states that border an international waterway (or a bay, gulf, etc.) over projects that may affect the use or pollute the waterway.
Projects in Disputed Areas	<ul style="list-style-type: none"> ▪ To avoid conflict this policy establishes minimal rules for Bank financing of projects in areas disputed by two or more states.

Source: World Bank OP 4.00 -- Table A1: ⁱⁱⁱ

[://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/tocall/2E19E5907AAA40E785257031005F083E?](http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/tocall/2E19E5907AAA40E785257031005F083E?)

Annex B1: Alignment of IHA Guidelines / Protocol with World Bank Safeguards - Environmental Assessment

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Environmental Assessment				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Broadly reflected in Section 4 under decision-making processes and in particular Environment Assessment (EA) Principles (Section 4.3)		Reflected in different environmental aspects of Parts A, B and C of the Protocol	
1. Use a screening process as early as possible to determine the appropriate extent and type of environmental assessment (EA) so that appropriate studies are undertaken proportional to potential risks and to direct, and, as relevant, indirect, cumulative, and associated impacts. Use sectoral or regional environmental assessment when appropriate.	<ul style="list-style-type: none"> ▪ Initial Screening: Assess EA requirements based on regulatory framework. (Section 4.3) ▪ Initial screening should be conducted to determine if a project has significant effects on the environment but virtue of its nature size and location (Section 4.3) ▪ Strategic Assessments provide the identification of high-level environment, social and economic concerns (Section 4.3) 	<ul style="list-style-type: none"> ▪ Guidelines state all hydropower projects with potential for significant impacts require an environment assessment 	<ul style="list-style-type: none"> ▪ Comprehensive environment impact assessment process and plans are in place (B13) ▪ Evaluation of a range of alternative options to meet requirements and assessments of the comprehensiveness of government policies in relation to accepted sustained standards (A1, A2) 	<ul style="list-style-type: none"> ▪ Safeguard has three categories for EA assessment
2. Assess potential impacts of the proposed project on physical, biological, socio-economic and physical cultural resources, including transboundary and global concerns, and potential impacts on human health and safety.	<ul style="list-style-type: none"> ▪ Comprehensiveness reflected in key criteria in decision-making processes and Environment Assessment Principles (Section 4.3) ▪ Policies should include a strategic environment assessment process that includes cumulative impact determination of land use and environmental priorities (Section 3.2, 4.3) 	<ul style="list-style-type: none"> ▪ None significant 	<ul style="list-style-type: none"> ▪ Covered by various Part B aspects (B8, B10, B12, B13, B17, and B18) that as a group define the scope of EIAs 	<ul style="list-style-type: none"> ▪ None significant
3. Assess the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that they provide that the cooperating	<ul style="list-style-type: none"> ▪ Ensure compliance with all relevant laws, policies, permits, agreements and codes of practice for the jurisdiction in which they 	<ul style="list-style-type: none"> ▪ Emphasis in guideline is on conforming to national 	<ul style="list-style-type: none"> ▪ Conformance to national EIA legislation and strong commitment of regulator (B1, B13) 	<ul style="list-style-type: none"> ▪ Same as guidelines

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Environmental Assessment				
Operational Principles	Commonalities	Departures	Commonalities	Departures
government does not finance project activities that would contravene such international obligations.	<p>operate (Section 4.5.1)</p> <ul style="list-style-type: none"> Guidelines encourage bilateral and multilateral support for capacity building for impact assessment (4.3) 	<p>regulation and international agreements, conventions adopted in the national legal system.</p>	<ul style="list-style-type: none"> Refers to conformance to International obligations of the government generally (A2) 	
4. Provide for assessment of feasible investment, technical, and siting alternatives, including the “no action” alternative, potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and their institutional, training and monitoring requirements associated with them.	<ul style="list-style-type: none"> Apply sustainability criteria when comparing project alternatives and conversely eliminate unacceptable alternatives early in the planning process (Section 4.3) Factors are reflected in the 11 key criteria to assess energy options (Section 4.1) 	None significant	<ul style="list-style-type: none"> Site Selection and design optimisation (A4, B6) Cost benefit analysis has been undertaken on the economic viability of the project (B2) Assessing the proponents ability to design and construct and operate project (A4) Analysing the short and long-term economic viability of the project and likelihood of it achieving its economic and service delivery objectives (A7) 	<ul style="list-style-type: none"> None significant No specific mention of with-in project alternatives (check), other than review of project design and plans both by stakeholders and independently.
5. Where applicable to the type of project being supported, normally apply the Pollution Prevention and Abatement Handbook (PPAH). Justify deviations when alternatives to measures set forth in the PPAH are selected.	<ul style="list-style-type: none"> Reflected in optimising environmental outcome for hydropower schemes (water quality, pollution and other dimensions (section 5.1) 	<ul style="list-style-type: none"> Guidelines developed to prescribe specific pollution abatement methodologies 	<ul style="list-style-type: none"> Broadly covered by aspects that deal with water quality pollution management (e.g. A19, B10, B 20, C19) B10 planning to manage potential water quality issues in the reservoir and downstream of the power station (and C19) 	<ul style="list-style-type: none"> Same comment as guidelines
6. Prevent and, where not possible to prevent, at least minimize, or compensate for adverse project	<ul style="list-style-type: none"> Reflected in EA principles (4.3) Monitoring and institutional capacity development reflected in 	<ul style="list-style-type: none"> Guidelines proposed environment 	<ul style="list-style-type: none"> Avoidance of exceptional environment and cultural heritage sites, practical 	<ul style="list-style-type: none"> None significant

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Environmental Assessment				
Operational Principles	Commonalities	Departures	Commonalities	Departures
impacts and enhance positive impacts through environmental management and planning that includes the proposed mitigation measures, monitoring, institutional capacity development and training measures, an implementation schedule, and cost estimates.	environment management systems (Section 4.5). ▪ Prioritise alternatives that minimize population displacement (Section 4.2)	management system involving operators	minimization of disturbance, practical maximization of economic and social environment (B6, B9),	
7. Involve stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address EA-related issues that affect them. known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address EA-related issues that affect them.	▪ Stakeholders should be given the opportunity to participate in decision-making processes (Section 4.3) ▪ There roles and rights to access to information should be documented in language accessible to them (Section 4.3)	▪ None significant	▪ Level of stakeholder consultation involvement in development of compensation mitigation or enhancement strategies (A12, A13) ▪ Community and stakeholder consultation and support - planning for and processes used to gain support (B7) ▪ Records of stakeholder involvement; agreements with stakeholders and/or regulators (B8)	▪ Protocol tends to emphasize community involvement to gain support
8. Use independent expertise in the preparation of EA where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns.	▪ All hydropower schemes implemented an independently audited environment management system (Section 5.1)	▪ Guidelines emphasize a key element of success is agreement between the local community on the nature and scope of collaboration for the EA (section 4.3)	▪ Independent expert testimony on EIA plan or content (B13) ▪ Independent assessment of exception environment and cultural heritage sites (B6) ▪ Interviews with regulators and stakeholders (B9, B10, B13)	Same comment as guidelines

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Environmental Assessment				
Operational Principles	Commonalities	Departures	Commonalities	Departures
9. Provide measures to link the environmental assessment process and findings with studies of economic, financial, institutional, social and technical analyses of a proposed project.	<ul style="list-style-type: none"> ▪ Broadly encompassed in the three pillar approach and philosophy (Sections 1 to 3) ▪ Captured in environment monitoring (Section 4.3) and environment management systems 4.5.2) ▪ 	All hydropower schemes implement an independently audited environmental management system. (Section 5.1, Item 9)	<ul style="list-style-type: none"> ▪ Part of environment impact and management planning (a17, B13, C15) 	<ul style="list-style-type: none"> ▪ None significant

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Annex B2: Alignment of IHA Guidelines / Protocol with World Bank Safeguards - Natural Habitats

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Natural Habitats				
Operational Principles	Commonalities	Departures	Commonalities	Departures
1. Use a precautionary approach to natural resources management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs.	<ul style="list-style-type: none"> A precautionary approach is one of the underlying values to achieve sustainable outcomes for new and existing projects (Section 2.2.2) 	<ul style="list-style-type: none"> None significant 	<ul style="list-style-type: none"> Not explicitly mentioned of precautionary principle but generally covered by risk (e.g. existing, residual, inherent, contingent or potential) – in Objective evidence for a broad range of risks. 	<ul style="list-style-type: none"> Risk tends to be defined in terms of sovereign, political various operational, sediment and health risk. Less explicitly in terms of environmental performance risk.
2. Avoid significant conversion or degradation of critical natural habitats, including those habitats that are (a) legally protected, (b) officially proposed for protection, (c) identified by authoritative sources for their high conservation value, or (d) recognized as protected by traditional local communities.	<ul style="list-style-type: none"> Prioritise alternatives that minimize exceptional natural or culture areas (Section 4.2) Prioritise alternatives that have low impacts on rare vulnerable or threatened species, and maximize habitat restoration and protect high-quality habitats. (Section 4.2) 	<ul style="list-style-type: none"> Guidelines do not define critical natural habitat Guidelines emphasize following regulations on habitat of the country, Variations possibly in defining “authoritative sources” or recognized as protected by traditional local communities 	<ul style="list-style-type: none"> avoidance exceptional environment culture heritage sites (A4) assess the environmental value of the area acted, particularly in regards to rarity and the existence of threatened or dangerous than sincere (A18) Implicit in two other aspects a. environment flows (B18,C17) and b. aquatic biodiversity (B17, c18) 	<ul style="list-style-type: none"> Same comment as guidelines
3. Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services	<ul style="list-style-type: none"> EIA principles probably applies (4.3) Prioritise alternatives that have lower impacts on rare, vulnerable or threatened 	<ul style="list-style-type: none"> Guidelines do not define non-critical natural habitat 	<ul style="list-style-type: none"> Various aspects call for protection of habitats (e.g. A4, B17) environment flows and reservoir management 	<ul style="list-style-type: none"> No definition of non-critical natural habitat

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Natural Habitats				
Operational Principles	Commonalities	Departures	Commonalities	Departures
they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.	species (4.2)		<ul style="list-style-type: none"> aquatic biodiversity 	
4. Whenever feasible, give preference to siting projects on lands already converted.	<ul style="list-style-type: none"> Prioritise alternatives that have lower impacts (broadly encompassed this factor) Sections 4.2 and 4.3). 	<ul style="list-style-type: none"> No specific provision on siting on lands already converted 	<ul style="list-style-type: none"> Broadly reflected in site selection and design optimisation (A4) Links site selection to minimization and avoidance 	<ul style="list-style-type: none"> But no specific provision on siting on lands already converted
5. Consult key stakeholders, including local nongovernmental organizations and local communities, and involve such people in design, implementation, monitoring, and evaluation of projects, including mitigation planning.	<p>Reflected in strategies to have positive outcomes (Section 6.3) e.g.</p> <ul style="list-style-type: none"> Adequate consultation is undertaken with relevant local and regional and national agencies consultant Stakeholders who may be affected by the project are provided with the opportunity to be represented at different phases of project development A negotiated and agreed outcome is achieved wherever possible 	<ul style="list-style-type: none"> A negotiated and agreed outcome is achieved wherever possible 	<ul style="list-style-type: none"> Reflected in community and stakeholder consultations support (B7) Determining the level of stakeholder consultation and involvement in both the development of plans and compensation litigation or announcement strategies. Assessing acceptance of plans (A13) 	<ul style="list-style-type: none"> Protocol emphasizes link between consultation and community acceptance
6. Provide for the use of appropriate expertise for the design and implementation of mitigation and monitoring plans.	<ul style="list-style-type: none"> Broadly reflected in 4.5.2 environment management systems 	<ul style="list-style-type: none"> No specific provision for critical and non-critical natural habitats 	<ul style="list-style-type: none"> Reflected in environment commitments and management (A17 ,B13 C15) 	<ul style="list-style-type: none"> No specific provision for critical and non-critical natural habitats

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Natural Habitats				
Operational Principles	Commonalities	Departures	Commonalities	Departures
7. Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.	<ul style="list-style-type: none"> EIAs principles stipulate roles and rights to access to information should be documented in language accessible to them (section 4.3) 	<ul style="list-style-type: none"> No specific disclosure provision for natural habitat, 	<ul style="list-style-type: none"> No specific aspect or provision on disclosure as regard to timing 	<ul style="list-style-type: none"> Protocol essentially stipulates that national laws on information access will be followed. Also agreements will be struck between the stakeholders and communities incorporating information exchange.

Annex B3: Alignment of IHA Guidelines / Protocol with World Bank Safeguards - Pest Management

World Bank Safeguard Policies	IHA Guidelines		IHA Protocol 2006	
Pest Management				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Broadly covered under Optimising Environment Outcomes. 5.1 and specifically Item 6) Pest species within the reservoir -Flora and Fauna. (Section 5.1)		Pest management is an implicit element of environment management, public health and social impact assessments and pest management.	
1. Promote use of demand driven, ecologically based biological or environmental pest management practices (Integrated Pest Management [IPM] in agricultural projects and Integrated Vector Management [IVM] in public health projects) and reduce reliance on synthetic chemical pesticides. Include assessment of pest management issues, impacts and risks in the EA process.	<ul style="list-style-type: none"> identification of risk of pest infection due to creation of the reservoir and transformation of (section 5.1) 	<ul style="list-style-type: none"> No specific pest management approach prescribed World Bank safeguard more generally applies to a broader range of item agriculture projects. 	<ul style="list-style-type: none"> Comprehensive understanding of relevant biodiversity issues- including pest species in the catchment reservoir and areas (C18) 	<ul style="list-style-type: none"> Same comment as under guidelines
2. Procure pesticides contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users. Do not procure formulated products that are in WHO Classes IA and IB, or formulations of products in Class II unless there are restrictions that are likely to deny use or access to lay personnel and others without training or proper equipment Reference: WHO's "Recommended Classification of Pesticides by Hazard and Guidelines to Classification" (IOMC, 2000-2002).	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> Comprehensive agreement with regulators and other stakeholders on ecosystem values - incorporating pest management (c18) 	<ul style="list-style-type: none"> Same comment as under guidelines
3. Follow the recommendations and minimum standards in the FAO International Code of Conduct on the Distribution and Use of Pesticides (Rome, 2003). Procure only pesticides that are manufactured, labeled, handled, stored, applied and disposed of according to acceptable standards as	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> Same comment as under guidelines

World Bank Safeguard Policies	IHA Guidelines		IHA Protocol 2006	
Pest Management				
Operational Principles	Commonalities	Departures	Commonalities	Departures
described in FAO Pesticide Guidelines on Storage, Labeling, and Disposal (Rome, 1985).				
4. Support policy reform and institutional capacity development to (a) enhance implementation of IPM- and IVM-based pest management, and (b) regulate and monitor the distribution and use of pesticides.	<ul style="list-style-type: none"> Nothing explicit on pest management capacity building 	<ul style="list-style-type: none"> Strategy is to include detailed aspects in general capacity building 	<ul style="list-style-type: none"> Assess planned investigations and likely agreements with regulators and stakeholders Less explicit on capacity building 	<ul style="list-style-type: none"> B17 and C18 on Biodiversity and Pest Management tends to focus on biodiversity aspects
5. Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders	<ul style="list-style-type: none"> No specific information disclosure approach prescribed 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> Nothing explicit on disclosure timing 	<ul style="list-style-type: none"> Links information more to stakeholder engagement in the preparation of management plans and agreements

Annex B4: Alignment of IHA Guidelines / Protocol with World Bank Safeguards – Involuntary Resettlement

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Involuntary Resettlement				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Emphasis on fair and equitable compensation and resettlement. Guidelines call to ensure that change introduced by the project that affects communities and individuals is effectively managed during planning, construction and operation (Section 6.1).		Elements of the safeguard are found in different social and environmental aspects in Parts A and B of the Protocol.	
1. Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.	<ul style="list-style-type: none"> Investigate all feasible alternatives to ensure population displacement is minimized, if feasible (Section 6.2) 		<ul style="list-style-type: none"> Plan to avoid or mitigate social impacts (B9, B15) 	<ul style="list-style-type: none"> Site selection and optimization is focused primarily on adverse environmental minimization and enhancement of positive social aspects or opportunities (B6)
<p>Core issue is displaced persons must be assisted at a minimum in restoring their former living standards. Specifically:^{iv}</p> <ul style="list-style-type: none"> Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher. 	<ul style="list-style-type: none"> To provide displaced groups with sufficient assistance to ensure that their livelihoods are improved or, as a minimum, to ensure they are re-established at no disadvantage (6.2) To improve standards of living of both the displaced community as well as the host community where applicable (6.2) 	<ul style="list-style-type: none"> Providing affected communities with improved living conditions (Section 6.2) implies a broader definition of those to improve living standards (i.e. indirectly as well as directly affected). 		
2. Through census and socio-economic surveys of the affected population, identify, assess, and address the potential economic and social impacts	<ul style="list-style-type: none"> Impacts the community stakeholders and environment are identified (6.3) 	<ul style="list-style-type: none"> Safeguard has greater specificity 	<ul style="list-style-type: none"> Examine the suitability, adequacy and effectiveness of 	<ul style="list-style-type: none"> Same comment as under guidelines

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Involuntary Resettlement				
Operational Principles	Commonalities	Departures	Commonalities	Departures
of the project that are caused by involuntary taking of land (e.g., relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas.	<ul style="list-style-type: none"> impacts on communities and individuals households identified including: physical loss of homes, transition to alternative means of earning a livelihood, disruption of established community networks and loss of cultural identity (Section 6.3) 		<ul style="list-style-type: none"> social impact assessments plans to carry out the assessments including the level of stakeholder involvement (a13) comprehensiveness of social impact assessment processes planned in place (b8) 	
3. Identify and address impacts also if they result from other activities that are (a) directly and significantly related to the proposed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project.	<ul style="list-style-type: none"> As above Communities are groups that are impacted by a project should be the first to benefit (Section 6.3) 	<ul style="list-style-type: none"> Guidelines also stress long-term benefit sharing to complement short-term compensation and ongoing mitigation 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> Same comment as under guidelines
4. Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly,	<ul style="list-style-type: none"> Affected stakeholders should participate in the development and implementation of mitigation measures including formulation of a resettlement programme or policy (Section 6.3) 	<ul style="list-style-type: none"> Approach is to ensure displaced people have a voice in project decisions 	<ul style="list-style-type: none"> Strong community and regulators support for actual or planned mitigation compensation or enhancement strategies (B13) 	<ul style="list-style-type: none"> Same comments as under guidelines

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Involuntary Resettlement				
Operational Principles	Commonalities	Departures	Commonalities	Departures
women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.				
5. Inform displaced persons of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and needed assistance, including (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation for land when the impact of land acquisition on livelihoods is minor; and (e) provision of civic infrastructure and community services as required.	<ul style="list-style-type: none"> ▪ Community acceptance of the project, particularly in the early stages, will greatly assist in the implementation of that project (6.3) ▪ A negotiated outcome is preferred if feasible (in matters relating to compensation and resettlement (Section 6.3) 			<ul style="list-style-type: none"> ▪ None significant
6. Give preference to land-based resettlement strategies for displaced persons whose livelihoods are land-based.	<ul style="list-style-type: none"> ▪ Affected stakeholders should participate in the development and implementation of mitigation measures including formulation of a resettlement programme or policy (Section 6.3) 	<ul style="list-style-type: none"> ▪ Approach is to ensure displaced people have a voice in the type of land they will receive 	<ul style="list-style-type: none"> ▪ Strong community and regulators support for actual or planned mitigation compensation or enhancement strategies (B13) 	<ul style="list-style-type: none"> ▪ No specific provision of land based resettlement strategies ▪ Same comment as under guidelines where resettlement is defined in engagement with potentially displaced people
7. For those without formal legal rights to lands or	<ul style="list-style-type: none"> ▪ Displaced persons should 	<ul style="list-style-type: none"> ▪ No explicit provision for 	<ul style="list-style-type: none"> ▪ No explicit 	<ul style="list-style-type: none"> ▪

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Involuntary Resettlement				
Operational Principles	Commonalities	Departures	Commonalities	Departures
claims to such land that could be recognized under the laws of the country, provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods.	<p>be informed about their rights and options in relation to resettlement (section 6.3)</p> <ul style="list-style-type: none"> Identify any minority and/or vulnerable groups and ensure they are adequately represented in any consultation process and are not adversely impacted by the project (Section 6.3) 	landless claims	provision for landless claims	
8. Disclose draft resettlement plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	<ul style="list-style-type: none"> No specific provision on disclosure regarding involuntary resettlement 	<ul style="list-style-type: none"> Safeguard is more explicit Guideline broadly calls for good practice based on information laws in the country and negotiated outcomes where feasible (section 3 .3) 	<ul style="list-style-type: none"> No specific provision 	<ul style="list-style-type: none">
9. Design, document, and disclose before appraisal of projects involving involuntary restriction of access to legally designated parks and protected areas, a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> No specific provision 	<ul style="list-style-type: none">
10. Implement all relevant resettlement plans before project completion and provide resettlement	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> No specific provision 	<ul style="list-style-type: none">

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Involuntary Resettlement				
Operational Principles	Commonalities	Departures	Commonalities	Departures
entitlements before displacement or restriction of access. For projects involving restrictions of access, impose the restrictions in accordance with the timetable in the plan of actions.				
11. Assess whether the objectives of the resettlement instrument have been achieved, upon completion of the project, taking account of the baseline conditions and the results of resettlement monitoring.	<ul style="list-style-type: none"> ▪ The community and or environmental resources are managed in a sustainable way and ongoing monitoring and liaison with the local community groups continues through the life of the project (6.2) 	<ul style="list-style-type: none"> ▪ Safeguard is more explicit 	<ul style="list-style-type: none"> ▪ Comprehensive social management program and performance in relation to original social commitments made with the scheme was approved and two current social commitments (C13) ▪ comprehensive social management planning that is independently endorsed 	<ul style="list-style-type: none"> ▪ None significant

Annex B5: Alignment of IHA Guidelines / Protocol with World Bank Safeguards – Indigenous Peoples

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Indigenous Peoples				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	<ul style="list-style-type: none"> No section dealing specifically with indigenous people 		<ul style="list-style-type: none"> No specific aspect dealing with indigenous people 	
1. Screen early to determine whether Indigenous Peoples are present in, or have collective attachment to, the project area. Indigenous Peoples are identified as possessing the following characteristics in varying degrees: self-identification and recognition of this identity by others; collective attachment to geographically distinct habitats or ancestral territories and to the natural resources in these habitats and territories; presence of distinct customary cultural, economic, social or political institutions; and indigenous language.	<ul style="list-style-type: none"> Identify any minority and/or vulnerable groups and ensure they are adequately represented in any consultation process and are not adversely impacted by the project (Section 6.3) More general - Identify stakeholders and impacted communities and provide them with the opportunity to have informed input into the decision making process. The community must view the process as being open, fair and inclusive (6.3) 	<ul style="list-style-type: none"> Primarily discusses affected and vulnerable people as one group 	<ul style="list-style-type: none"> Look at the protection and conservation of historic and indigenous heritage values (A16, B12, C12) Consistency with relevant legislation (A16) Comprehensive cultural heritage assessments, consistent with relevant legislation and international standards (B1” 	<ul style="list-style-type: none"> Does not specify screening procedures. Tends to focus on cultural heritage in respect to indigenous people. Indigenous people are broadly included with other affected and vulnerable people for social impact aspects
2. Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate	<ul style="list-style-type: none"> a negotiated and agreed outcome is achieved wherever possible (6.3) similar provisions to involve affected people in decision on the project design and implementation 	<ul style="list-style-type: none"> Use of the concept of negotiated outcome No requirement indicated for separate consultation for indigenous people Implicitly requires following national laws on consultation with indigenous people 	<ul style="list-style-type: none"> Same comment as under guidelines 	<ul style="list-style-type: none"> Same comment as under guidelines

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Indigenous Peoples				
Operational Principles	Commonalities	Departures	Commonalities	Departures
manner.				
3. Undertake social assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options preferred by the affected Indigenous Peoples in the provision of benefits and design of mitigation measures. Identify social and economic benefits for Indigenous Peoples that are culturally appropriate, and gender and inter-generationally inclusive and develop measures to avoid, minimize and/or mitigate adverse impacts on Indigenous Peoples.	<ul style="list-style-type: none"> ▪ As above. No requirement to separate indigenous people from other affected and vulnerable people is provided. 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above
4. Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that the affected Indigenous Peoples' communities participate in the design, implementation, monitoring and evaluation of management plans for such parks and protected areas and share equitably in benefits from the parks and protected areas.	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above
5. Put in place an action plan for the legal recognition of customary rights to lands and territories, when the project involves: (a) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples traditionally owned, or customarily used or occupied; or (b) the acquisition of such lands.	<ul style="list-style-type: none"> ▪ As above. No requirement to separate indigenous people from other affected and vulnerable people is provided. 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Indigenous Peoples				
Operational Principles	Commonalities	Departures	Commonalities	Departures
6. Do not undertake commercial development of cultural resources or knowledge of Indigenous Peoples without obtaining their prior agreement to such development.	<ul style="list-style-type: none"> ▪ As above. No requirement to separate indigenous people from other affected and vulnerable people is provided. 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above
7. Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples' communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.	<ul style="list-style-type: none"> ▪ As above. No requirement to separate indigenous people from other affected and vulnerable people is provided. 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above
8. Disclose the draft Indigenous Peoples Plan, including documentation of the consultation process, in a timely manner before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	<ul style="list-style-type: none"> ▪ No specific provisions upon disclosure 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above
9. Monitor implementation of the Indigenous Peoples Plan, using experienced social scientists.	<ul style="list-style-type: none"> ▪ No requirement to separate indigenous people from other affected and vulnerable people is provided. 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above 	<ul style="list-style-type: none"> ▪ As above

Annex B6: Alignment of IHA Guidelines / Protocol with World Bank Safeguards - Forests

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Forests				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Forests included in broader environmental assessment. Philosophy is communities upstream and downstream who experience loss of livelihood and depend on common resources such as forests altered by the project should be compensated for their loss (Section 6.3 Item 7)		Forests are considered as part of the natural environment, terrestrial ecosystem (functions and services) and habitat aspects.	
1. Screen as early as possible for potential impacts on forest health and quality and on the rights and welfare of the people who depend on them. As appropriate, evaluate the prospects for new markets and marketing arrangements.	<ul style="list-style-type: none"> ▪ Only in the context of strategic EAs ▪ Initial Screening: to established the types and scale of project risks and opportunities and to ensure consistency with the environment and other relevant policies (Section 4.3) ▪ Assess options in terms terrestrial ecological impacts (section 4.1) 	<ul style="list-style-type: none"> ▪ Forests is not explicitly singled out as unique among ecosystem impacts of dams 	<ul style="list-style-type: none"> ▪ Part of environment assessment aspects and biodiversity protection and watershed management (e.g. B16, A4, B6, B19, C19) 	<ul style="list-style-type: none"> ▪ No explicit forest provisions.
2. Do not finance projects that would involve significant conversion or degradation of critical forest areas or related critical natural habitats, or that would contravene applicable international environmental agreements.	<ul style="list-style-type: none"> ▪ No explicit provisions 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ No explicit provisions
3. Do not finance natural forest harvesting or plantation development that would involve any conversion or degradation of critical forest areas or related critical natural habitats.	<ul style="list-style-type: none"> ▪ No explicit provisions 	<ul style="list-style-type: none"> ▪ No definition of critical forest areas 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ No explicit provisions
4. Support projects that adversely impact non-critical natural forests or related natural habitats	<ul style="list-style-type: none"> ▪ No explicit provisions 	<ul style="list-style-type: none"> ▪ Consideration of viable alternatives use the 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ No explicit provisions ▪ No definition of critical

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Forests				
Operational Principles	Commonalities	Departures	Commonalities	Departures
only if viable alternatives to the project are not available and only if appropriate conservation and mitigation measures are in place.		general provision in the guidelines (Section 4.1)		natural forms
5. Support commercial, industrial-scale forest harvesting only when the operation is certified, under an independent forest certification system, as meeting, or having a time-bound action plan to meet, internationally recognized standards of responsible forest management and use.	▪ No explicit provisions	▪	▪	▪ No explicit provisions
6. Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.	▪ No explicit provisions	▪	▪	▪ No explicit provisions
7. Give preference to small-scale community-level management approaches where they best reduce poverty in a sustainable manner.	▪ No explicit provisions	▪	▪	▪ No explicit provisions
8. Support commercial harvesting by small-scale landholders, local communities or entities under joint forest management where monitoring with the meaningful participation of local communities demonstrates that these operations achieve a standard of forest management consistent with internationally recognized standards of responsible forest use or that they are adhering to an approved time-bound plan to meet these standards.	▪ No explicit provisions	▪	▪	▪ No explicit provisions

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Forests				
Operational Principles	Commonalities	Departures	Commonalities	Departures
<p>9. Use forest certification systems that require:</p> <p>(a) compliance with relevant laws; (b) recognition of, and respect for, legal or customary land tenure and use rights as well as the rights of Indigenous Peoples and workers; (c) measures to enhance sound community relations; (d) conservation of biological diversity and ecological functions; (e) measures to maintain or enhance environmentally sound multiple benefits from the forest; (f) prevention or minimization of environmental impacts; (g) effective forest management planning; (h) active monitoring and assessment of relevant forest management areas; and (i) independent, cost effective, third-party assessment of forest management performance against measurable performance standards defined at the national level and compatible with internationally accepted principles and criteria of sustainable forest management through decision making procedures that are fair, transparent, independent, designed to avoid conflict of interest and involve the meaningful participation of key stakeholders, including the private sector, Indigenous Peoples, and local communities.</p>	<ul style="list-style-type: none"> ▪ No explicit provisions 	<ul style="list-style-type: none"> ▪ Safeguards are much more specific ▪ Aspects are incorporated in other sections like sharing benefits and protection of biological diversity and ecosystem services 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ No explicit provisions

Annex B7: Alignment of IHA Guidelines / Protocol with World Bank Safeguards – Physical Cultural Resources (PCR)

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Physical Cultural Resources (PCR)				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Broadly incorporates PCR operational principles in environment and social management with limited specificity		Broadly Incorporates PCR operational principles among a number of social and environmental aspects. Explicit aspects for cultural heritage in B12 and C12	
1. Use an environmental assessment (EA) or equivalent process to identify PCR and prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR through site selection and design.	<ul style="list-style-type: none"> ▪ Provisions for management and disruption of established community networks and cultural identity (Section 6.1) 	<ul style="list-style-type: none"> ▪ Safeguard has more specificity 	<ul style="list-style-type: none"> ▪ Avoidance of exceptional environmental and cultural heritage sites (B6) and reflected broadly in site selection and design ▪ Comprehensive cultural heritage assessment understanding of values and issues (A16, B12, C12) 	<ul style="list-style-type: none"> ▪ Safeguard has more specificity
2. As part of the EA, as appropriate, conduct field based surveys, using qualified specialists.	<ul style="list-style-type: none"> ▪ No provisions specified unique to PCR only 	<ul style="list-style-type: none"> ▪ Safeguard has more specificity 	<ul style="list-style-type: none"> ▪ Comprehensive analysis of the social and cultural effects on directly affected stakeholders (C14) ▪ Physical inspection of sites or restoration projects (c12) 	<ul style="list-style-type: none"> ▪ Not significant
3. Consult concerned government authorities, relevant non-governmental organizations, relevant experts and local people in documenting the presence and significance of PCR, assessing the nature and extent of potential impacts on these resources, and designing and implementing mitigation plans.	<ul style="list-style-type: none"> ▪ Adequate consultation is undertaken, with relevant local, regional and national agencies consulted, and any legislation, regulations, codes of practice or guidelines of government 	<ul style="list-style-type: none"> ▪ The guidelines specify this for all social and environment management issues 	<ul style="list-style-type: none"> ▪ Comprehensive plans consistent with relevant legislation and international standards for protection incorporation of historic and in the genus heritage values (B12 C12) 	<ul style="list-style-type: none"> ▪ Not significant

World Bank Safeguard Policies	IHA Guidelines - 2004		IHA Protocol - 2006	
Physical Cultural Resources (PCR)				
Operational Principles	Commonalities	Departures	Commonalities	Departures
	agencies complied with (Section 6.3)		<ul style="list-style-type: none"> ▪ Level of stakeholder and regulatory agreement on cultural programs (A16) 	
4. For materials that may be discovered during project implementation, provide for the use of “chance find” procedures in the context of the PCR management plan or PCR component of the environmental management plan.	<ul style="list-style-type: none"> ▪ No explicit provision 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Conservation plans ▪ Heritage impact statements ▪ Heritage plants and agreements (B12 and C12) 	<ul style="list-style-type: none"> ▪ No explicit provisions on procedures
5. Disclose draft mitigation plans as part of the EA or equivalent process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	<ul style="list-style-type: none"> ▪ No explicit disclosure provisions for PCR 	<ul style="list-style-type: none"> ▪ Disclosure is implied rather than explicit 	<ul style="list-style-type: none"> ▪ Interviews with regulators and other stakeholders (C12) 	<ul style="list-style-type: none"> ▪ Disclosure is implied as part of consultation, negotiation and agreements

Annex B8: Alignment of IHA Guidelines / Protocol with World Bank Safeguards – Safety of Dams

World Bank Safeguard Policies	IHA Guidelines		IHA Protocol 2006	
Safety of Dams				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Encourage social and environment management throughout the project life including operation and rehabilitation		<ul style="list-style-type: none"> ▪ Different aspects that cover all operational efficiency and reliability linked to integrity of structures, emergency and unusual events. 	
1. Identify existing dams and dams under construction that can influence the performance of the project and implement necessary safety measures/remedial works.	<ul style="list-style-type: none"> ▪ Prioritise upgrading of existing facilities (Section 4.2) ▪ Prioritise alternatives on already developed river basins ▪ Lifecycle analysis approaches for operational planning 	<ul style="list-style-type: none"> ▪ Guidelines specify that operators of hydropower project should have procedures in place to ensure compliance with all relevant laws ▪ Hydropower operators should examine the legal risks 	<ul style="list-style-type: none"> ▪ Planned operational efficiency and reliability (A11, B4) Operational efficiency (C3) and Operation Reliability (C6) ▪ Assessing asset safety, public safety and employee safety (A15) ▪ Safety planning is assessed relative to appropriate national and international standards and comparable industry practice (B11) ▪ Dam, power station and associated infrastructure safety (C9) 	<ul style="list-style-type: none"> ▪ Protocol is in-depth and practitioner focused
2. Use experienced and competent professionals to design and supervise the construction, operation, and maintenance of dams and associated works.	<ul style="list-style-type: none"> ▪ Reflected in environment management system (EMS) 	<ul style="list-style-type: none"> ▪ Proposes comprehensive approach 	<ul style="list-style-type: none"> ▪ As above (B11) ▪ Determining objectives and targets for safety planning ▪ Issue identification and risk assessment ▪ Asset reliability assessment and monitoring program (C5 and C6) 	<ul style="list-style-type: none"> ▪ As above ▪ Incorporates also employee safety occupational health and well-being (C9)

World Bank Safeguard Policies	IHA Guidelines		IHA Protocol 2006	
Safety of Dams				
Operational Principles	Commonalities	Departures	Commonalities	Departures
3. Develop detailed plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above (B11 and B15) Standard safety program consistent with relevant international standards and leading edge relative to industry practice Emergency preparedness planning Protocols and agreements regarding construction workforce (B15) 	<ul style="list-style-type: none"> As above
4. Use independent advice on the verification of design, construction, and operational procedures and appoint independent panels of experts for large or high hazard dams.	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above (B11) Independent review of proposed asset safety plans for measures 	<ul style="list-style-type: none"> As above
5. Use contractors that are qualified and experienced to undertake construction activities.	<ul style="list-style-type: none"> Corporate commitment to continuously improve environmental management systems including training and monitoring (Section 4.5.2) 	<ul style="list-style-type: none"> Advanced procedures in the environment management system go beyond Safeguard stipulations E.g. corporate recognition of employees initiating environment management improvements (4.5.2) Guidelines less focused on contractors, more focused on qualified and experienced operators and 	<ul style="list-style-type: none"> As above 	<ul style="list-style-type: none"> As above Includes employee opportunity, but equity and diversity (C10) incorporating: <ul style="list-style-type: none"> Employee feedback program Employee satisfaction surveys Policy on equity Workforce and succession planning

World Bank Safeguard Policies	IHA Guidelines		IHA Protocol 2006	
Safety of Dams				
Operational Principles	Commonalities	Departures	Commonalities	Departures
		staff		· Etc.
6. Carry out periodic safety inspections of new/rehabilitated dams after completion of construction/rehabilitation, review/monitor implementation of detailed plans and take appropriate action as needed.	<ul style="list-style-type: none"> ▪ Continual improvement in operational practices through environment management system (EMS) 	<ul style="list-style-type: none"> ▪ Continual improvement through environment management system 	<ul style="list-style-type: none"> ▪ Asset safety is demonstrated as a first priority for dam and power station (C8) and also under C8 ▪ Incident investigations and corrective action records ▪ Independent verification ▪ Inspection program and inspection records ▪ Safety and legal compliance records ▪ Monitoring and measurement for sustainability adequacy and effectiveness 	<ul style="list-style-type: none"> ▪ As above

Annex B9: Alignment of IHA Guidelines / Protocol with World Bank Safeguards – Projects on International Waterways

World Bank Safeguard Policies	IHA Guidelines		IHA Protocol 2006	
Projects on International Waterways				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	Discusses regional cooperation under national and regional energy policies		No specific provisions on regional cooperation beyond discussion of environmental assessments encompassing the basin and catchment	
<p>1. Encourages borrowers to notify and to provide sufficient project details so other riparian states can determine if interests affected. If borrower refuses notification, Bank normally does so. If borrower objects, Bank discontinues processing.</p> <p>Applies to dams, irrigation, flood control, navigation, water, sewage and industrial projects.</p>	<ul style="list-style-type: none"> ▪ Supports the resolution of issues between nations where river basins across national borders (Section 3.2) elements: <ul style="list-style-type: none"> ▪ Collaborative decision-making ▪ Shared water management policy ▪ Facilitation by multilateral agencies ▪ Strategic assessment should be streamlined and participatory process focused on the major issues using common sense and readily available information and with a short defined time limit for its completion (Section 3.2) 	<ul style="list-style-type: none"> ▪ Planning and implementation must follow policy and regulations of the country 	<ul style="list-style-type: none"> ▪ Comprehensive assessment covering regulated and any unregulated river systems in the region (B14) ▪ Assessment of cumulative threshold impacts of options (B14) 	<ul style="list-style-type: none"> ▪ Does not specify notification requirements, instead relies on conformity to national or regional agreements
2. Bank encourages riparians to enter into agreements that cover concerned waterway.	<ul style="list-style-type: none"> ▪ No specific provision except honouring international and regional agreements 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ No specific provision
3. If riparians raise objections, Bank may appoint independent experts to review.	<ul style="list-style-type: none"> ▪ No specific provision on arbitration between states 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ No specific provision

Annex B10: Alignment of IHA Guidelines / Protocol with World Bank Safeguards – Projects In Disputed Areas

World Bank Safeguard Policies	IHA Guidelines 2004		IHA Protocol 2006	
Projects In Disputed Areas				
Operational Principles	Commonalities	Departures	Commonalities	Departures
General	▪ No specific provisions		▪ No specific provisions	
1. Bank may proceed if governments in dispute agree to go forward without prejudice to claims.	▪ No specific provisions	▪		▪ No specific provisions
2. Bank may finance project even if one government objects provided that the Bank determines that the project is not harmful to the interest of the claimants and that no conflicting claims have received international recognition.	▪ No specific provisions	▪		▪ No specific provisions
3. Requires early identification of territorial disputes and descriptions in all Bank documentation	▪ No specific provisions	▪		▪ No specific provisions

Annex C: Framework of World Bank Operational and Safeguard Policies

[://go.worldbank.org/](http://go.worldbank.org/)

Bank projects and activities are governed by Operational Policies, which are designed to ensure that they are economically, financially, socially and environmentally sound. The Bank's [Policy](#) spells them out, and provides guidance on how to comply with them ("Bank Procedures" and "Good Practices").

Among the key types of policies catalogued in the manual are:

- Policies on [products and](#) , which establish rules for lending instruments, country economic and sector work, technical assistance, grants, guarantees and other Bank products.
- [Policy](#) , which include Environmental Assessments and policies designed to prevent unintended adverse effects on third parties and the environment. Specific safeguard policies address natural habitats, pest management, cultural property, involuntary resettlement, indigenous peoples, safety of dams, projects on international waterways and projects in disputed areas.
- [Policy](#) policies, including rules governing financial management, procurement, and disbursement. There are also detailed guidelines for the [of](#) and the [of goods and](#) in projects financed by the World Bank.
- [Policy](#) policies covering such areas as project Monitoring and evaluation

The Bank has promulgated a [Policy](#) in order to make information about its activities widely available. The policy establishes the Bank's general approach to opening its records, and details the many Bank documents available to the public. As the policy demonstrates, the Bank believes that widespread sharing of information is essential for development. It stimulates public debate, broadens public understanding, and enhances transparency and accountability. It also strengthens public support for efforts to improve the lives of people in developing countries, facilitates coordination among the many parties involved in development, and improves the quality of assistance projects and programs. The [Policy](#) helps ensure compliance with Bank policies. An independent body to which individuals and communities can turn if they believe that their rights or interests have been or could be directly harmed by a Bank-financed project. The panel includes senior compliance experts who report directly to the Board of Executive Directors.

Additional Information

- The [Policy](#) outlines for staff the workflow arrangements for making operational information available to the public
- The Bank is conducting several [programs in information](#) , which are exploring ways to enhance information available in borrower countries

The environmental ODs/OPs/BPs relevant to power sector development are:

OD 4.01: Environmental Assessment (to be issued) ([outline](#))

/ 4.02: Environmental Action Plans

/ 4.04: Natural Habitats

[4.04 Annex A: Definitions](#)

[4.07: Water Resources Management](#)

[4.20: Indigenous Peoples](#)

[4.30: Involuntary Resettlement](#)

/ 8.10: Project Preparation Facility

/ 8.50: Emergency Recovery Assistance

Annex D: IHA 2006 Protocol Part A - New Energy Projects

No.	Aspect	No.	Aspect
A1	Demonstrated need for the project	A11	Planned operational efficiency
A2	Government and proponent policies	A12	Community acceptance
A3	Political risk and regulatory approval	A13	Social impact assessment and management planning
A4	Site selection and design optimisation	A14	Extent and severity of social, economic and cultural impacts on directly affected stakeholders
A5	Design, construction, and operational risks, and sustainability performance of partners and suppliers	A15	Safety issues and hazards
A6	Project finance risk	A16	Cultural heritage
A7	Economic viability and service delivery	A17	Environmental impact assessment and management planning
A8	Markets, innovation, and research	A18	Extent and severity of predicted environmental impacts
A9	Additional benefits and capacity building	A19	Air, water, and ground emissions, and waste management
A10	Short and long term reliability	A20	Greenhouse gases

IHA 2006 Protocol Part B - New Dam Projects

No.	Aspect	Score	No.	Aspect	Score
B1	Political risk and regulatory approval		B11	Safety	
B2	Economic viability		B12	Cultural heritage	
B3	Additional benefits		B13	Environmental impact assessment and management plan	
B4	Planned operational efficiency and reliability		B14	Threshold and cumulative environmental or social impacts	
B5	Project management plan		B15	Construction and associated infrastructure impacts	
B6	Site selection and design optimisation		B16	Land management and rehabilitation	
B7	Community and stakeholder consultation and support		B17	Aquatic biodiversity	
B8	Social impact assessment and management plan		B18	Environmental flows and reservoir management	
B9	Predicted extent and severity of economic and social impacts on directly affected stakeholders		B19	Reservoir and downstream sedimentation and erosion risks	
B10	Enhancement of public health and minimisation of public health risks		B20	Water quality	

IHA Protocol 2006 Part C Operating Hydropower Facilities

No.	Aspect	Score	No.	Aspect	Score
C1	Governance		C11	Suppliers and service providers	
C2	Economic viability		C12	Cultural heritage	
C3	Additional economic benefits		C13	Social commitments	
C4	Markets, innovation, and research		C14	Directly affected stakeholders (including the local community)	
C5	Operational efficiency		C15	Environmental commitments and management	
C6	Operational short-term and long-term reliability		C16	Reservoir management	
C7	Community acceptance		C17	Environmental flows	
C8	Dam, power station, and associated infrastructure safety		C18	Biodiversity and pest species	
C9	Employee safety, occupational health, and well-being		C19	Water quality	
C10	Employee opportunity, equity, and diversity		C20	Sedimentation and erosion	

Endnotes

ⁱ <http://go.worldbank.org/DZDZ9038D0>

ⁱⁱ

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/0,,contentMDK:20120731~menuPK:115635~pagePK:41367~piPK:279616~theSitePK:40941.00.html>

ⁱⁱⁱ Also at: http://72.30.186.56/search/cache?ei=UTF-8&p=Environmental+and+Social+Safeguard+Policies%E2%80%9494Policy+Objectives+and+Operational+Principles&rd=r1&fr=yfp-t-501&u=wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/tocall/2E19E5907AAA40E785257031005F083E%3FOpenDocument&w=environmental+social+safeguard+%22safe+guard%22+policies+policy+objectives+operational+principles&d=d15RY_ReRYpo&icp=1&.intl=uk

^{iv} Op 4.12

^{iv} Op 4.12

Involuntary resettlement may cause severe long-term hardship, impoverishment, and environmental damage unless appropriate measures are carefully planned and carried out.

For these reasons, the overall objectives of the Bank's policy on involuntary resettlement are the following:

- (a) Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.
- (b) Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.
- (c) Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.