

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

Context:

The goal of the Hydropower Sustainability Assessment Forum is to establish a broadly endorsed sustainability assessment tool to measure and guide performance in the hydropower sector, based on the Hydropower Sustainability Guidelines and Assessment Protocol, as developed by the International Hydropower Association (IHA).

The Forum will also investigate mechanisms and incentives that would encourage good sustainability performance and give recognition to better practice. Input for this work will include reference to experience from previous processes relating to hydropower and dams, and the development of standards in other industry sectors.

The activities will be conducted over an initial two-year period.

The Forum seeks to operate with transparency, goodwill and by consensus.

1 Forum Membership, Meeting Attendance and Principles of Engagement

- The Forum will comprise member organizations; each organization will nominate a senior representative to participate in the Forum meetings.
- Members will act in accordance with the Forum Memorandum of Understanding (Attachment 1) and the Principles for Consensus Building (Attachment 2).
- Meeting five times in 2008 and four times in 2009, members will carry out a detailed appraisal of the current IHA documents and propose enhancements, where necessary.
- Meetings will be chaired and facilitated by an independent Chairperson.
- Nominated representatives will attend all formal Forum meetings. At the discretion of the Forum Chair, members may request that an alternate participate in their place. For the sake of continuity, substitution of representatives will be discouraged.
- The Forum Coordinator will ensure delivery of the Forum work plan, respond to assigned actions arising from meeting minutes, and support the work program of the Forum as required.

2 The Forum Work Plan

- The Forum work plan sets out the program and focal areas for the Forum over both the two year Forum work program and at each meeting of the Forum.
- The Forum work plan is a live document that will be discussed at each Forum meeting and regularly updated by the Forum coordinator.
- The coordinator will actively seek comment and ideas on the work plan from amongst the Forum membership, and from Forum reference groups via the appropriate Forum members.
- Proposals of any nature (e.g. Forum activities, participants, meetings, workshops...) may be brought to the attention of the coordinator by a Forum

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

member at any stage in the process, and the coordinator will circulate to Forum members for views and comment.

3 External Engagement, Participation and Input into the Forum Process

- The Forum members recognize the importance of obtaining views of stakeholders beyond the Forum membership in consideration of Forum matters, mindful of the need to be transparent, inclusive, balanced and non-discriminatory.
- A variety of mechanisms will be employed throughout the Forum process to engage and obtain the input of a broader group of stakeholders.
- In addition to making publicly available all meeting papers, presentations and minutes, and providing publicly available interim status reports, two periods of formal consultation will be provided in the Forum work plan (Jan-Feb 2009 and Jul-Aug 2009). Additional mechanisms include but are not limited to newsletter and website updates, a mailing list for interested parties, presentations at various venues, and stakeholder outreach meetings.
- The formation of reference groups is encouraged for all Forum members, with the intent to provide a view from the relevant sector on inputs, outputs and process of the Forum. Formation and liaison with reference groups is the responsibility of the relevant Forum members.
- Where reference groups are not readily formed, the Forum encourages and supports the identification and implementation of alternative modes of reference.

4 Forum Meetings

4.1 Meeting Agenda

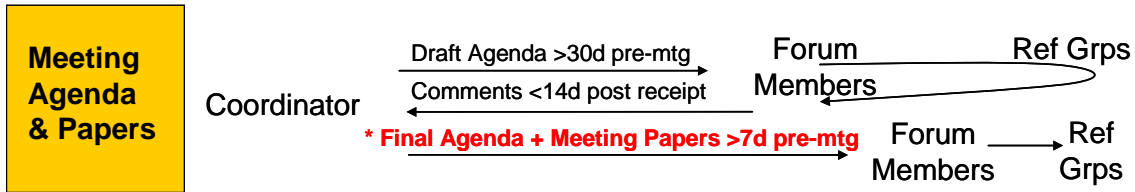
- The Forum coordinator will prepare a draft agenda, including potential experts and scheme assessments, based on the discussions from the previous meeting and communications following the meeting.
- The Forum coordinator will circulate the draft agenda to Forum members and alternates no later than 30 days prior to a meeting. Forum members may in turn pass these along to their relevant reference groups.
- Forum members will have 14 days to comment on the draft agenda.
- External experts may at times be invited to participate in meetings as per the meeting agenda. Any invited external participants may observe parts of the meeting that are not aimed at reaching formal agreements.

4.2 Meeting Papers

- The final agenda and meeting papers will be circulated by the Forum coordinator to Forum members no later than 7 days prior to the relevant meeting. Forum members may in turn pass these along to their relevant reference groups.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

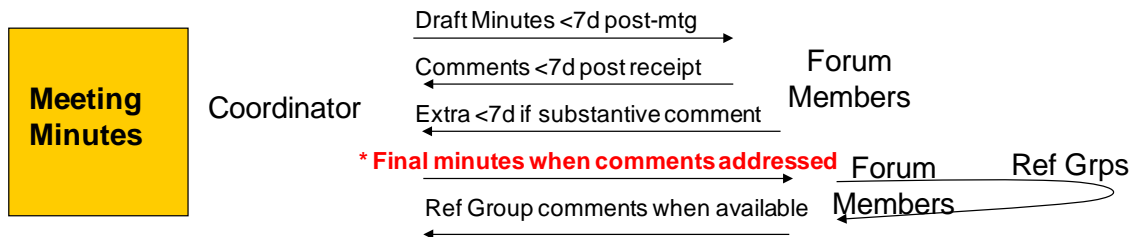
HSAF Communications and Operating Procedures



* Final meeting agenda and meeting papers will be publicly available once meeting minutes are finalised

4.3 Meeting Minutes

- The Forum coordinator is responsible for writing the minutes from the Forum meetings.
- Draft minutes will be distributed to Forum members who attended the meeting no later than 7 days after the relevant Forum meeting. These are not for further circulation.
- All feedback and comments should be sent to the Forum coordinator, copied into the other Forum member meeting attendees, no later than 7 days after distribution of the minutes. Note that every attempt should be made to provide feedback as early as possible.
- If substantive changes to the draft minutes are proposed, a second draft of the minutes will be circulated to Forum members, and a further 7 days will be provided for comment on those changes.
- If no comment is received on the changes, the minutes will be considered final and will be made publicly available along with the relevant meeting papers and presentations.
- Any points of non-consensus will be recorded in the minutes.



*Meeting minutes will be publicly available once meeting minutes are considered final. Meeting minutes are considered final if there are no substantive comments received on Draft1 within 7 days of distribution, or if there are no substantive comments received on the changes made in Draft2 within 7 days of distribution.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

5 Revisions to Protocol Content

- The step-wise process will be followed to revise Protocol content, with the following milestones:
 1. Agree on purpose and scope of each Protocol section (Mtg 3);
 2. Agree on aspects to include in Protocol sections I, II and III (Mtg 2, 3 and 4);
 3. Agree on attributes associated with each aspect for sections I, II and III (Mtg 5);
 4. Consult on aspects and attributes for Sections I, II and III (Jan-Feb 2009);
 5. Review redrafts of Protocol Sections I, II and III (Mtg 6 and 7);
 6. Agree on aspects and attributes for Section IV (Mtg 7);
 7. Consult on and trial Draft Revised Protocol Sections I, II and III (Jul-Aug 2009);
 8. Consult on aspects and attributes for Section IV (Jul-Aug 2009);
 9. Agree on changes to be made for Final Revised Protocol (Mtg 8);
 10. Release of Final Revised Protocol and agreement on way forward (Mtg 9).

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				

Summary of Forum meeting milestones and Formal Consultation Periods

- Within Forum meetings, Forum members will agree on aspects to be included in the Draft Revised Protocol, and as far as possible given the time constraints agree on attributes associated with those aspects.
- Outside of Forum meetings, the Forum Coordinator will compile proposed aspects and attributes and draft revisions of Protocol aspects for review by Forum members and reference groups.
- A Protocol revision tracking tool will be developed and maintained by the Forum Coordinator to assist in following what changes are proposed to existing Protocol content.
- Supplementary Protocol content such as introductory text and guidance notes will be developed as part of the Draft Revised Protocol content.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

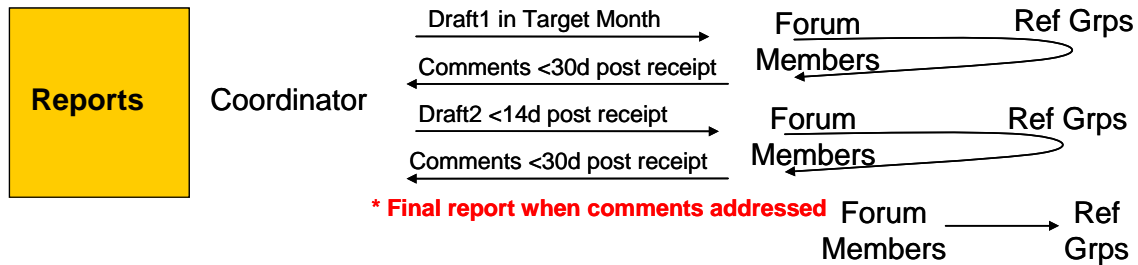
- Review beyond Forum members and reference groups will be by comment received on meeting papers and minutes and through the formal consultation periods (Jan-Feb 2009 and Jul-Aug 2009).

6 Forum Reports

- Periodic Forum reports will consolidate outputs of the Forum and put them in a concise form readily available for wider distribution, review and comment back to the Forum.
- A series of reports are planned as follows, with the understanding that these dates and scope may change depending on the proceedings of the Forum:
 - Nov 2008 – Summary of agreements of Meetings 1 to 4 and process review
 - Dec 2008 – Aspects and attributes report (for consultation)
 - Mar 2009 – Consultation outcomes report
 - Apr 2009 – Summary of agreements of Meetings 5 and 6 and process review
 - Jun 2009 – Draft Revised Protocol and process review
 - Sep 2009 – Consultation and trialling outcomes reports
 - Dec 2009 – Final Revised Protocol and way forward reports
- The Forum coordinator will draft these reports based on the substantive discussion and agreements from the Forum meetings, and circulate to all Forum members within the month indicated above. Forum members may in turn pass these along to their relevant reference groups.
- Forum members will have 30 days to provide their comments to the Forum coordinator, copied to all Forum members and alternates. All members will aim to get their comments back at as early a stage as possible.
- A second draft will be distributed by the Forum coordinator to all Forum members within 14 days of all comments being received. Forum members may in turn pass these along to their relevant reference groups.
- Forum members will have 30 days to provide their comments on this second draft to the Forum coordinator, copied to all Forum members and alternates. All members will aim to get their comments back at as early a stage as possible.
- Following addressing of all comments, the Forum coordinator will finalize the reports, and distribute these to Forum members and alternates.
- Final reports will be posted on the IHA external website following approval at the next Forum meeting.
- Any points of non-consensus will be recorded in the reports.
- At the agreement of all Forum members, preparation of other reports may be commissioned for the Forum.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures



7 Websites

- Websites will be used to support dissemination and access to information about the Forum.
- The IHA external website (.hydropower.org) will host information about the Forum that can be accessed by the general public. The commitment of the Forum to transparency is an important principle governing provision of content on this site. This site will provide general information about the Forum goal, membership, work plan; contact details; final meeting minutes, meeting papers and final reports; and other information relevant to the Forum proceedings.
- A secure zone on the IHA website, accessible by password by Forum members, will house documentation that is in progress, relates to meeting logistics, or is provided on a confidential basis to Forum members.

8 External Media

- Awareness raising, transparency, and stakeholder outreach, comment and review are important to the success of the Forum in reaching its goal.
- All Forum members can freely communicate about the Forum, including aspects such as membership composition.
- All reports and presentations given to the Forum will be non-confidential and publicly available, unless reserved as confidential by explicit agreement with the author or presenter.
- The Forum will only use the logos and brand of members in public communication after obtaining their express permission.
- All Forum members will share their own organization's press releases, newsletters, and journal articles on the Forum with all Forum members by having them posted on the internal website.
- Any public presentations and conference events on the Forum will be brought to the awareness of Forum members at the early planning stages.
- Presentations about the Forum will be posed on the Forum internal website.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

9 Mailing List for Interested Parties

- The Forum coordinator will maintain a mailing list of parties who have expressed an interest in following the Forum's activities.
- The coordinator will send a note to parties on this mailing list to advise when updated material has been placed on the Forum's external website.
- Any Forum member may request for the coordinator to add a contact to this mailing list.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

ATTACHMENT 1 – Memorandum of Understanding for Forum Members

1. The goal of the Forum is to establish a broadly endorsed sustainability assessment tool to measure and guide performance in the hydropower sector, based on the Hydropower Sustainability Guidelines and Assessment Protocol, as developed by the International Hydropower Association (IHA).
2. The Forum will also investigate mechanisms and incentives that would encourage good sustainability performance and give recognition to better practice. Input for this work will include reference to experience from previous processes relating to hydropower and dams, and the development of standards in other industry sectors.
3. The activities will be conducted over an initial two-year period.
4. The Forum will comprise member organizations¹; each organization will nominate a senior representative to participate in the Forum meetings.
5. Meeting four times each year, members will carry out a detailed appraisal of the current IHA documents and propose enhancements, where necessary.
6. The Forum will seek to operate with transparency, good will and by consensus. Where there is a lack of consensus, aspects will be recorded and noted in relevant documents.
7. Input and feedback will be derived through an existing IHA Protocol reference group, the networks of other members, and through thematic/expert workshops on specific aspects. The latter being determined by the Forum as it works through its agenda.
8. Nominated representatives will attend all formal Forum meetings. At the discretion of the Forum Chair, members may request that an alternate participate in their place. For the sake of continuity, substitution of representatives will be discouraged.
9. A minimum of four weeks notice will be given by the Coordinator, prior to each meeting. A minimum of two weeks response period will be given for documents circulated by email for comment.
10. For each formal meeting, economy-class travel and accommodation costs of representatives from non-governmental, not-for-profit organizations will be reimbursed.
11. The Forum will only use the name and brand of members in public communication after obtaining their express permission. The decision on endorsement of the final output will be taken by each member at the end of the process.
12. Members may reserve the right to withdraw from the Forum during the process. The process of withdrawal would be through a written explanation, addressed to the Chair.

Signed by: _____

Name: _____ Date: _____

On behalf of: _____

¹ Six member categories have been identified, each with two representative organizations. The categories are: hydropower; environment; civil society; finance/economics; developed country policy; developing country policy.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

ATTACHMENT 2 - Principles for Consensus Building

1. The Forum seeks to operate with transparency, good will and by consensus.
2. Forum members will inform themselves about and endeavour to apply basic principles of partnership, consensus building, and conflict prevention (some useful references are provided on the following page).
3. Forum members recognise the importance of the diverse values, interests and knowledge of all parties involved, and accept that participants are accountable both to their constituencies and to the Forum process.
4. Forum members understand the healthy role that opposing viewpoints can play in moving towards agreement, and will use these as opportunities to build greater collective understanding and consensus.
5. If opposing viewpoints are entrenched and a path to consensus is not evident, Forum members will agree on the necessity, timing and approach for conflict resolution, and factor this into the Forum work plan.
6. The conflict resolution process will involve objective evaluation of a conflict, clarification of the issue, and if appropriate re-framing of the issue.
7. In the conflict resolution process, Forum members commit individually and collectively to:
 - construct a fair, equitable and open process in which all parties are able to participate effectively;
 - ensure respect and understanding amongst all parties;
 - focus on interests and not positions;
 - employ active listening;
 - find common ground;
 - be creative, generate options; and
 - be willing to move on initial positions to achieve win-win solutions.
8. Forum members will set a timeline and agree on the outcomes of the conflict resolution process, and how they will be handled within the Forum process.

HYDROPOWER SUSTAINABILITY ASSESSMENT FORUM

HSAF Communications and Operating Procedures

Some Useful References on Consensus Building:

Tennyson R. (2003) **The Partnering Toolbook**. International Business Leaders Forum and the Global Alliance for Improved Nutrition. [://www.iblf.org/docs/PartneringToolbook.pdf](http://www.iblf.org/docs/PartneringToolbook.pdf)

This 40-pg document draws on the evidence from many partnering initiatives to show that cross-sector collaboration can be highly effective and sustainable when it is designed, developed and managed in a systematic way. It offers a concise overview of the essential elements that make for effective partnering, encompassing The Partnership Challenge; Building Partnerships; Partnering Agreements; Managing the Partnering Process; Delivering Successful Projects; Sustaining Partnerships; and Successful Partnering.

Building Consensus for a Sustainable Future: Guiding Principles. Association for Conflict Resolution, Washington DC. [://acrnet.org/pdfs/sustainable.pdf](http://acrnet.org/pdfs/sustainable.pdf)

This document was developed by Round Tables of Canada to bring together the experiences in using consensus processes. It proposes guiding principles to make consensus work: 1) purpose driven; 2) inclusive not exclusive; 3) voluntary participation; 4) self-design; 5) flexibility; 6) equal opportunity; 7) respect for diverse interests; 8) accountability; 9) time limits; and 10) implementation.

Tips for Transforming Conflict. Search for Common Ground, Washington DC. [://www.sfcg.org/resources/resources_tips.html](http://www.sfcg.org/resources/resources_tips.html)

This is a 2-pg set of tips for transforming an adversarial approach to a cooperative or common-ground approach.

Fisher R. & Ury W. (1983) **Getting to Yes: Negotiating Agreement without Giving In**. New York, Penguin Books.

This is a classic text that describes four principles for effective negotiation: 1) separate the people from the problem; 2) focus on interests rather than positions; 3) generate a variety of options before settling on an agreement; and 4) insist that the agreement be based on objective criteria. The text also describes three common obstacles to negotiation, and discusses ways to overcome these.

There is a 5-pg book summary at [://www.colorado.edu/conflict/peace/example/fish7513.htm](http://www.colorado.edu/conflict/peace/example/fish7513.htm)

Treating Complicating Factors. International Online Training Program on Intractable Conflict. Conflict Research Consortium, Univ. of Colorado.

[://www.colorado.edu/conflict/peace/treating_overlays.htm](http://www.colorado.edu/conflict/peace/treating_overlays.htm)

This on-line training program guides how to treat problems with conflict framing (what the conflict is and how it is being addressed); scoping (who is involved, what they think, and the context); communication, fact-finding, procedural processes; and conflict escalation. It offers a wealth of in-depth support materials on each of these topics and more.