Shape

Description automatically generated with low confidence

**Add certification label**

(if the project is certified)

Chart

Description automatically generated

Shape

Description automatically generated with low confidence

**Assessment Report**

**Project Name: Click here to enter text.**

Implementation

Shape

Description automatically generated with low confidence

**Add project sponsor logo**

(if applicable)

**Project Sponsor:** **Click here to enter text.**

**Add project image**

(resize to 14cm x 18cm)

**Report Author:** **Click here to enter text.**

**Report Date:** **Click here to enter text.**

**Cover page photo:** Insert description of image used on cover page

Graphical user interface, application, website

Description automatically generated

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1. Assessment Details

|  |  |
| --- | --- |
| Project sponsor |  |
| Assessor(s) |  |
| Assessment objective |  |
| Assessment dates |  |
| Assessment report date |  |
| Prepared for |  |
| Limitations of the assessment |  |

1. Project Details

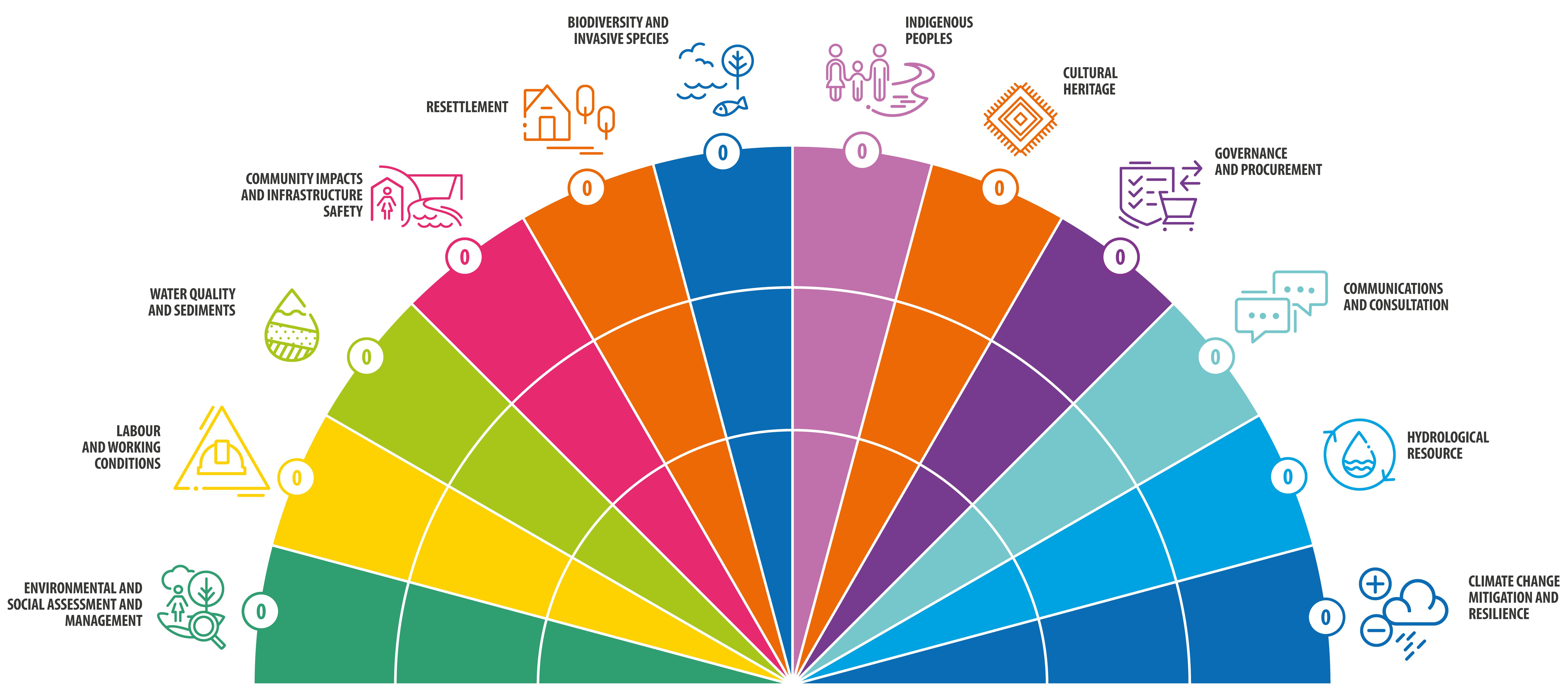
|  |  |
| --- | --- |
| Project name |  |
| Country |  |
| Location |  |
| Purpose |  |
| Developer / Owner |  |
| Financer(s) |  |
| Installed capacity (MW) |  |
| Construction start date (planned or actual) |  |
| Commercial operations date (planned or actual) |  |
| Annual average generation (GWh / year) |  |
| Associated infrastructure: road(s) (length) |  |
| Transmission lines and sub-stations (names, lengths and capacities) |  |
| Total cost (USD m) |  |
| Annual operating costs (USD m) |  |
| Project development cost not including transmission (USD m) |  |
| Transmission costs for project development (USD m) |  |
| Specific investment cost (USD m / MW) |  |
| Levelised energy cost (USD / kWh) |  |
| Dam type |  |
| Dam height (m) |  |
| Dam length at crest (m) |  |
| Units (number, type, MW) |  |
| Reservoir area at Full Supply Level (FSL) (km2) |  |
| Average net head at FSL (m) |  |
| Average flow (m3 / s) |  |
| Design flow (m3 / s) |  |
| Load factor |  |
| Number of physically displaced households |  |
| Power density (W / m2) |  |
| Emissions intensity (gCO2e / kWh) |  |
| Contacts / website |  |

A close up of a logo

Description automatically generated

*Figure 1 – Map of dam site*

1. Minimum Requirements diagram



1. Minimum Requirements

| List of significant gaps against Minimum Requirements | | Sections | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Environmental and Social Assessment and Management | 2. Labour and Working Conditions | 3. Water Quality and Sediments | 4. Community Impacts and Infrastructure Safety | 5. Resettlement | 6. Biodiversity and Invasive Species | 7. Indigenous Peoples | 8. Cultural Heritage | 9. Governance and Procurement | 10. Communications and Consultation | 11. Hydrological Resource | 12. Climate Change Mitigation and Resilience |
| 1. |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| 8. |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9. |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10. |  |  |  |  |  |  |  |  |  |  |  |  |  |
| NUMBER OF SIGNIFICANT GAPS BY SECTION: | |  |  |  |  |  |  |  |  |  |  |  |  |
| TOTAL NUMBER OF SIGNIFICANT GAPS: | |  | | | | | | | | | | | |

1. Advanced Requirements

(Note to user: this section is optional if there are gaps against the Minimum Requirements)

|  | Sections | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1. Environmental and Social Assessment and Management | 2. Labour and Working Conditions | 3. Water Quality and Sediments | 4. Community Impacts and Infrastructure Safety | 5. Resettlement | 6. Biodiversity and Invasive Species | 7. Indigenous Peoples | 8. Cultural Heritage | 9. Governance and Procurement | 10. Communications and Consultation | 11. Hydrological Resource | 12. Climate Change Mitigation and Resilience |
| TOTAL NUMBER OF REQUIREMENTS | **12** | **5** | **12** | **22** | **5** | **6** | **7** | **6** | **12** | **16** | **9** | **14** |
| NUMBER OF REQUIREMENTS MET |  |  |  |  |  |  |  |  |  |  |  |  |
| PERCENTAGE OF REQUIREMENTS MET |  |  |  |  |  |  |  |  |  |  |  |  |
| PROPOSED CERTIFICATION LEVEL | Click here to enter text. | | | | | | | | | | | |

Note:

* A project must meet all Minimum Requirements on all relevant sections to achieve HS Certified label.
* To receive the HS Silver label, projects must meet at least 30% of the Advanced Requirements on each relevant section.
* To receive the HS Gold label, projects must meet at least 60% of the Advanced Requirements on each relevant section.

1. Environmental and Social Action Plan (ESAP)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Minimum Requirements** | | | | | | | |
| Section | Significant gaps | Action(s) | Responsibility | Indicator of achievement | Timeframe | | |
| <12 months | 12-24 months | >24 months |
|  |  |  |  |  |  |  |  |
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| --- | --- | --- | --- | --- | --- | --- | --- |
| **Advanced Requirements** | | | | | | | |
| Section | Requirement sought | Action(s) | Responsibility | Indicator of achievement | Timeframe | | |
| <12 months | 12-24 months | >24 months |
|  |  |  |  |  |  |  |  |
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# Environmental and Social Assessment and Management

|  |
| --- |
| **Scope and Principle** |
| This section addresses the plans and processes for environmental and social issues management. The principle is that negative environmental and social impacts, including waste, noise and air quality, associated with the hydropower facility are managed; avoidance, minimisation, mitigation, compensation and enhancement measures are implemented; and environmental and social commitments are fulfilled. |

|  |  |
| --- | --- |
| **Background** | |
| Identify the main environmental and social issues during implementation | Click here to enter text. |
| Identify the main environmental and social issues during operation | Click here to enter text. |
| Identify the environmental regulator | Click here to enter text. |
| Identify other regulators (e.g. on land, water use, Indigenous Peoples) | Click here to enter text. |
| Summarise the ESIA regulatory requirements | Click here to enter text. |
| Volume of material needed for construction | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Environmental and social issues have been identified through an assessment process: | | | Monitoring of environmental and social issues during project implementation takes into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| • relevant to project implementation | Select. | Click here to enter text. |
| • relevant to project operation | Select. | Click here to enter text. |
| Assessments address: | | |
| • evaluation of associated facilities | Select. | Click here to enter text. |
| • scoping of cumulative impacts | Select. | Click here to enter text. |
| • role and capacity of third parties | Select. | Click here to enter text. |
| • impacts associated with primary suppliers | Select. | Click here to enter text. |
| Waste, noise and air quality issues have been identified through an assessment process: | | | Monitoring of waste, noise and air quality issues during project implementation takes into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| • relevant to project implementation | Select. | Click here to enter text. |
| • relevant to project operation | Select. | Click here to enter text. |
| The assessments utilised appropriate expertise for: | | |
| • environmental and social issues | Select. | Click here to enter text. |
| • waste, noise and air quality | Select. | Click here to enter text. |
| Monitoring is being undertaken during the project implementation stage appropriate to the following identified issues: | | |
| • environmental and social issues | Select. | Click here to enter text. |
| • waste, noise and air quality | Select. | Click here to enter text. |
| **Management** | | | | | |
| Processes are in place to ensure management of identified environmental and social issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| Processes utilised appropriate expertise (internal and external) | Select. | Click here to enter text. |
| Processes are in place to meet environmental and social commitments relevant to project implementation stage | Select. | Click here to enter text. |
| Processes are in place to ensure management of identified waste, noise and air quality, and to meet commitments, relevant to project implementation stage | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing environmental and social issues management | Select. | Click here to enter text. | Plans and processes are embedded within an internationally recognised environmental management system which is third party verified, such as ISO 14001 | Select. | Click here to enter text. |
| The environmental and social impact assessment and key associated management plans are publicly disclosed | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing waste management | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives to manage each of the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • environmental and social management, with no major non-compliances | Select. | Click here to enter text. | • environmental and social management | Select. | Click here to enter text. |
| • environmental and social management, with no major non-conformances | Select. | Click here to enter text. |
| • waste, noise and air quality, with no major non-compliances | Select. | Click here to enter text. | • waste, noise and air quality | Select. | Click here to enter text. |
| • waste, noise and air quality, with no major non-conformances | Select. | Click here to enter text. |
| Environmental and social commitments have been or are on track to be met | Select. | Click here to enter text. | There are no non-conformances relating to: | | |
| Environmental and social funding commitments have been or are on track to be met | Select. | Click here to enter text. | • environmental and social management | Select. | Click here to enter text. |
| Any waste, noise and air quality-related commitments have been or are on track to be met | Select. | Click here to enter text. | • waste, noise and air quality | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative environmental and social impacts of the project are avoided, minimised and mitigated | Select. | Click here to enter text. | Negative environmental and social impacts are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. |
| The project or the corporate entity to which it belongs can pay for social and environmental plans and commitments | Select. | Click here to enter text. | Enhancements to pre-project environmental or social conditions or contributions to addressing issues beyond those impacts caused by the project are achieved or are on track to be achieved | Select. | Click here to enter text. |
| Negative noise and air quality impacts arising from project activities are avoided, minimised and mitigated | Select. | Click here to enter text. | Negative noise and air quality impacts arising from project activities are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. |
| Project wastes managed responsibly | Select. | Click here to enter text. | The project contributes to addressing waste management issues beyond those impacts caused by the project | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
| --- |
| Click here to enter text. |

|  |  |
| --- | --- |
| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Labour and Working Conditions

|  |
| --- |
| **Scope and Principle** |
| This section addresses labour and working conditions, including employee and contractor opportunity, equity, diversity, health and safety. The principle is that workers are treated fairly and protected. |

| **Background** | |
| --- | --- |
| Labour requirements during implementation (full-time equivalent) | Click here to enter text. |
| Labour requirements during operation (full-time equivalent) | Click here to enter text. |
| Applicable key human resources regulations | Click here to enter text. |
| Applicable key occupational health and safety (OH&S) regulations | Click here to enter text. |
| Identify the regulator for labour law and OH&S | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Human resources and labour management requirements have been identified through an assessment process | Select. | Click here to enter text. | The assessment takes broad considerations into account, and both risks and opportunities | Select. | Click here to enter text. |
| The assessment included occupational health and safety issues and risks | Select. | Click here to enter text. |
| Processes are in place to identify any emerging or ongoing issues | Select. | Click here to enter text. |
| Processes are in place to monitor if management measures are effective | Select. | Click here to enter text. |
| **Management** | | | | | |
| Human resource and labour management policies, plans and processes are in place that address all labour management planning components | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| Human resource and labour management policies, plans and processes of contractors, subcontractors and intermediaries are in place | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives relating to human resource and labour management have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Any labour related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| There are no identified inconsistencies of labour management policies, plans and practices with internationally recognised labour rights | Select. | Click here to enter text. | Labour management policies, plans and practices are demonstrated to be consistent with internationally recognised labour rights | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
| --- |
| Click here to enter text. |

|  |  |
| --- | --- |
| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Water Quality and Sediments

|  |
| --- |
| **Scope and Principle** |
| This section addresses the management of water quality, erosion and sedimentation issues associated with the project. The principle is that water quality in the vicinity of the project is not adversely impacted by project activities, that erosion and sedimentation caused by the project are managed responsibly and do not present problems with respect to other social, environmental and economic objectives, and that commitments to address water quality, erosion and sedimentation issues are fulfilled. |

|  |  |
| --- | --- |
| **Background** | |
| **Water Quality** | |
| Description of water quality | Click here to enter text. |
| Key water quality issues | Click here to enter text. |
| Main influences on water quality | Click here to enter text. |
| **Sedimentology** | |
| Key sediment issues | Click here to enter text. |
| Sediment load (tonnes/year) | Click here to enter text. |
| Catchment area at the dam | Click here to enter text. |
| **Other information** | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| The following issues have been identified through an assessment process: | | | Monitoring of water quality issues during project implementation into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| • water quality issues relevant to project implementation | Select. | Click here to enter text. |
| • water quality issues relevant to project operation | Select. | Click here to enter text. |
| • erosion and sedimentation issues relevant to project implementation | Select. | Click here to enter text. |
| • erosion and sedimentation issues relevant to project operation | Select. | Click here to enter text. |
| The above processes utilised appropriate expertise for: | | |
| • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. | Monitoring of erosion and sedimentation issues during project implementation takes into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| Monitoring is being undertaken during the project implementation stage appropriate to the following identified issues: | | |
| • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. |
| **Management** | | | | | |
| Processes are in place to ensure management of identified water quality issues, and to meet commitments, relevant to the project implementation stage | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities for water quality | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing water quality issues management | Select. | Click here to enter text. |
| Processes are in place to ensure management of identified erosion and sedimentation issues, and to meet commitments, relevant to the project implementation stage | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities for erosion and sedimentation | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing erosion and sedimentation issues management | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage each of the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • water quality, with no major non-compliances | Select. | Click here to enter text. | • water quality | Select. | Click here to enter text. |
| • water quality, with no major non-conformances | Select. | Click here to enter text. |
| • erosion and sedimentation, with no major non-compliances | Select. | Click here to enter text. | • erosion and sedimentation | Select. | Click here to enter text. |
| • erosion and sedimentation, with no major non-conformances | Select. | Click here to enter text. |
| Commitments relating to the following have been or are on track to be met: | | | There are no non-conformances relating to: | | |
| • water quality | Select. | Click here to enter text. | • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. | • erosion and sedimentation | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative water quality impacts arising from project implementation are avoided, minimised and mitigated | Select. | Click here to enter text. | Negative water quality impacts arising from project implementation are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. |
| Enhancements to pre-project water quality conditions or contribution to addressing water quality issues beyond those impacts caused by the project are achieved or are on track to be achieved | Select. | Click here to enter text. |
| Erosion and sedimentation issues during project implementation are avoided, minimised and mitigated | Select. | Click here to enter text. | Erosion and sedimentation issues during project implementation are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. |
| Enhancements to pre-project erosion and sedimentation conditions or contribution to addressing erosion and sedimentation issues beyond those impacts caused by the project are achieved or are on track to be achieved | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
| --- |
| Click here to enter text. |

|  |  |
| --- | --- |
| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Community Impacts and Infrastructure Safety

|  |
| --- |
| **Scope and Principle** |
| This section addresses impacts of the project on project-affected communities, including economic displacement, impacts on livelihoods and living standards, public health impacts, impacts to rights, risks and opportunities of those affected by the project, infrastructure safety risks and additional benefits that can arise from a hydropower project. The principle is that livelihoods and living standards impacted by the project are improved relative to pre-project conditions for project-affected communities, that commitments to project-affected communities are fully delivered, and that life, property and community assets and resources are protected from the consequences of dam failure and other infrastructure safety risks. This section does not address requirements that relate to physical displacement or to Indigenous Peoples, which are addressed in Section 5 and 7. Other interested parties and groups are addressed in Section 10. |

|  |  |
| --- | --- |
| **Background** | |
| **Community Impacts and Benefits** | |
| Description of project-affected communities and how they are affected (distinguish between directly affected vs economically displaced vs other affected communities and include number of people and households) | Click here to enter text. |
| Agencies relevant to land acquisition | Click here to enter text. |
| Agencies relevant to livelihood restoration and project benefits | Click here to enter text. |
| **Infrastructure Safety and Public Health** | |
| Type of dam | Click here to enter text. |
| Dam height (m) | Click here to enter text. |
| Probable maximum flood (m3 / s) | Click here to enter text. |
| Design flood (expressed as estimated flood with return period) | Click here to enter text. |
| Spillway capacity (m3 / sc) | Click here to enter text. |
| Spillway height (masl) | Click here to enter text. |
| Headrace length (m) | Click here to enter text. |
| Headrace width (m) | Click here to enter text. |
| Headrace capacity (m3 / s) | Click here to enter text. |
| Seismicity | Click here to enter text. |
| Geology | Click here to enter text. |
| Dam safety regulatory authorities | Click here to enter text. |
| Local presence/capacity of emergency services | Click here to enter text. |
| Potential safety risks in this context | Click here to enter text. |
| Degree of risk of dam failure and in what way | Click here to enter text. |
| Population at risk of dam break (locations, numbers) | Click here to enter text. |
| Dam safety standards followed | Click here to enter text. |
| Agencies relevant to dam safety | Click here to enter text. |
| Other infrastructure safety issues | Click here to enter text. |
| Description of key public health issues | Click here to enter text. |
| Agencies relevant to public health | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Issues relating to project-affected communities have been identified through an assessment process | Select. | Click here to enter text. | Monitoring of project-affected communities issues during project implementation takes into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| This assessment utilised local knowledge | Select. | Click here to enter text. |
| Monitoring of project impacts and effectiveness of management measures is being undertaken during project implementation appropriate to the identified issues | Select. | Click here to enter text. |
| Opportunities to increase the development contribution of the project through additional benefits and/or benefit sharing have been assessed | Select. | Click here to enter text. | The assessment of delivery of project benefits takes into consideration both risks and opportunities. | Select. | Click here to enter text. |
| In the case that commitments to additional benefits or benefit sharing have been made, monitoring is being undertaken on delivery of these commitments | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Dam and other infrastructure safety risks relevant to project implementation have been identified through an assessment process | Select. | Click here to enter text. | Consideration of safety issues takes into account a broad range of scenarios and both risks and opportunities | Select. | Click here to enter text. |
| Dam and other infrastructure safety risks relevant to project operation have been identified through an assessment process | Select. | Click here to enter text. |
| Safety monitoring is being undertaken during the project implementation stage appropriate to the identified issues | Select. | Click here to enter text. |
| Public health issues relevant to project implementation have been identified through an assessment process | Select. | Click here to enter text. | Monitoring of public health issues during project implementation takes into account inter-relationships amongst issues, and both risks and opportunities for different community groups that become evident during implementation | Select. | Click here to enter text. |
| Public health issues relevant to project operation have been identified through an assessment process | Select. | Click here to enter text. |
| The public health assessment processes utilised appropriate expertise | Select. | Click here to enter text. |
| Monitoring is being undertaken during the project implementation stage appropriate to the identified public health issues | Select. | Click here to enter text. |
| **Management** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Measures are in place to address identified issues that affect project-affected communities and meet commitments made to address these issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities relating to project-affected communities and project benefits | Select. | Click here to enter text. |
| If there are any formal agreements with project-affected communities these are publicly disclosed | Select. | Click here to enter text. |
| Measures are in place to deliver commitments by the project to additional benefits or benefit sharing | Select. | Click here to enter text. |
| Commitments to project benefits are publicly disclosed | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Processes are in place to address identified dam and other infrastructure safety issues, and to meet any safety related commitments, relevant to the project implementation stage | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging infrastructure safety risks and opportunities | Select. | Click here to enter text. |
| Processes include communication of public safety measures | Select. | Click here to enter text. |
| A formal quality control programme is in place for construction | Select. | Click here to enter text. |
| Safety management plans for the operation stage have been developed | Select. | Click here to enter text. | Public safety measures are widely communicated in a timely and accessible manner | Select. | Click here to enter text. |
| These plans have been developed in conjunction with relevant regulatory and local authorities | Select. | Click here to enter text. |
| Emergency response plans include awareness and training programmes and emergency response simulations | Select. | Click here to enter text. |
| Processes are in place to ensure management of identified public health issues, and to meet commitments, relevant to the project implementation stage | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging public health risks and opportunities | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing public health issues management | Select. | Click here to enter text. |
| These plans include hand-over to local authorities as appropriate | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Processes and objectives in place to manage the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • project-affected communities’ issues, with no major non-compliances | Select. | Click here to enter text. | • project-affected communities | Select. | Click here to enter text. |
| • project-affected communities’ issues, with no major non-conformances | Select. | Click here to enter text. |
| • project benefits, with no major non-compliances | Select. | Click here to enter text. | • project benefits | Select. | Click here to enter text. |
| • project benefits, with no major non-conformances | Select. | Click here to enter text. |
| Commitments have been or are on track to be met relating to: | | | There are no non-conformances relating to: | | |
| • project-affected communities | Select. | Click here to enter text. | • project-affected communities | Select. | Click here to enter text. |
| • project benefits | Select. | Click here to enter text. | • project benefits | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Processes and objectives in place to manage the following have been and are on track to be met: | | | There are no non-conformances relating to: | | |
| • dam and other infrastructure safety, with no major non-compliances | Select. | Click here to enter text. | • dam and other infrastructure safety | Select. | Click here to enter text. |
| • dam and other infrastructure safety, with no major non-conformances | Select. | Click here to enter text. |
| • public health issues, with no major non-compliances | Select. | Click here to enter text. | • public health | Select. | Click here to enter text. |
| • public health issues, with no major non-conformances | Select. | Click here to enter text. |
| Commitments have been or are on track to be met relating to: | | | There are no non-conformances relating to: | | |
| • dam and other infrastructure safety | Select. | Click here to enter text. | • dam and other infrastructure safety | Select. | Click here to enter text. |
| • public health | Select. | Click here to enter text. | • public health | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Livelihoods and living standards impacted by the project have been or are on track to be improved | Select. | Click here to enter text. | The measures put in place to improve livelihoods and living standards are on track to become self-sustaining in the long-term | Select. | Click here to enter text. |
| Economic displacement is fairly compensated, preferably through provision of comparable goods, property or services | Select. | Click here to enter text. |
| Communities directly affected by the development of the hydropower project have received or are on track to receive benefits | Select. | Click here to enter text. | Benefits are significant and the project has delivered or is on track to deliver significant and sustained benefits for communities affected by the project | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Safety risks have been avoided, minimised and mitigated with no significant gaps | Select. | Click here to enter text. | Safety risks have been avoided, minimised and mitigated with no identified gaps | Select. | Click here to enter text. |
| Safety issues have been addressed beyond those risks caused by the project itself | Select. | Click here to enter text. |
| Negative public health impacts arising from project activities are avoided, minimised and mitigated | Select. | Click here to enter text. | Negative public health impacts arising from project activities are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. |
| Enhancements to pre-project public health conditions or contributions to addressing public health issues beyond those impacts caused by the project are achieved or are on track to be achieved | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
| --- |
| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Resettlement

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| **Scope and Principle** |
| This section addresses physical displacement arising from the hydropower project development. The principle is that the dignity and human rights of those physically displaced are respected; that these matters are dealt with in a fair and equitable manner; that livelihoods and standards of living for resettles and host communities are improved; and that commitments made to resettlees are fully delivered. This section does not address those that are only economically displaced, who are addressed in Section 4. |

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| **Background** | |
| Does the project require or result in any physical displacement of people? Please state the evidence on which this determination is made. | |
| Yes, this section is relevant | Click here to enter text. |
| No, this section is not relevant | Click here to enter text. |

|  |  |
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| Description of physically displaced communities and how they are displaced (distinguish between permanently vs temporarily and include number of people and households) | Click here to enter text. |
| Name and number of settlements | Click here to enter text. |
| Agencies relevant to land acquisition | Click here to enter text. |
| Agencies relevant to livelihood restoration | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| An assessment of the resettlement implications of the project has been undertaken | Select. | Click here to enter text. | The assessment of delivery of commitments to resettlees and host communities takes into consideration both risks and opportunities | Select. | Click here to enter text. |
| This assessment establishes the pre-project socio-economic baseline for resettlees and host communities | Select. | Click here to enter text. |
| Monitoring is being undertaken of implementation of the resettlement plans, and to see if commitments made to resettlees and host communities have been delivered and are effective and to identify any ongoing or emerging issues | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures to address resettlement are documented in a Resettlement Action Plan | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| Measures are in place to deliver commitments to resettlees and host communities | Select. | Click here to enter text. |
| Measures are in place to manage any issues relating to resettlement, including provision of grievance mechanisms | Select. | Click here to enter text. |
| Formal agreements with resettlees and host communities are publicly disclosed | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in the Resettlement Action Plan have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Any resettlement related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Resettlement has been and is being treated in a fair and equitable manner | Select. | Click here to enter text. | The measures put in place to improve livelihoods and living standards are on track to promote self-sufficiency in the long-term | Select. | Click here to enter text. |
| Resettlees and host communities have experienced or are on track to experience a timely improvement in livelihoods and living standards relative to the pre-project baseline | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
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| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Biodiversity and Invasive Species A picture containing drawing, light Description automatically generated

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| **Scope and Principle** |
| This section addresses ecosystem values, habitat and specific issues such as threatened species and fish passage in the catchment, reservoir and downstream areas, as well as potential impacts arising from pest and invasive species associated with the planned project. The principle is that there are healthy, functional and viable aquatic and terrestrial ecosystems in the project-affected area that are sustainable over the long-term, that biodiversity impacts arising from project activities are managed responsibly, and that commitments to implement biodiversity and invasive species measures are fulfilled. |

|  |  |
| --- | --- |
| **Background** | |
| Short description of the ecological region in the project area | Click here to enter text. |
| Protected areas (national parks and reserves etc) and their distance from the project | Click here to enter text. |
| Critical habitats in the project area, including important bird areas, hotspots of endemism etc. | Click here to enter text. |
| # threatened species in the directly affected area: terrestrial | Click here to enter text. |
| # threatened species: aquatic | Click here to enter text. |
| Any other species of conservation importance | Click here to enter text. |
| Migratory pathways | Click here to enter text. |
| Invasive species: terrestrial | Click here to enter text. |
| Invasive species: aquatic | Click here to enter text. |
| Key threats to biodiversity | Click here to enter text. |
| Agencies involved in biodiversity conservation | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Biodiversity issues relevant to project implementation have been identified through an assessment process | Select. | Click here to enter text. | Monitoring of biodiversity issues during project implementation takes into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| Biodiversity issues relevant to project operation have been identified through an assessment process | Select. | Click here to enter text. |
| The above assessments utilised appropriate expertise | Select. | Click here to enter text. |
| Monitoring is being undertaken during the project implementation stage appropriate to the identified issues | Select. | Click here to enter text. |
| **Management** | | | | | |
| Processes are in place to ensure management of identified biodiversity issues, and to meet commitments, relevant to the project implementation stage | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing biodiversity issues management | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage biodiversity issues have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Biodiversity related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative biodiversity impacts arising from project activities are avoided, minimised, mitigated and compensated with no significant gaps | Select. | Click here to enter text. | Negative biodiversity impacts arising from project activities are avoided, minimised, mitigated and compensated with no identified gaps | Select. | Click here to enter text. |
| Enhancements to pre-project biodiversity conditions or contribution to addressing biodiversity issues beyond those impacts caused by the project are achieved or are on track to be achieved | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
| --- |
| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Indigenous Peoples A picture containing drawing, light Description automatically generated

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| **Scope and Principle** |
| This section addresses the rights at risk and opportunities of Indigenous Peoples with respect to the project, recognising that as social groups with identities distinct from dominant groups in national societies, they are often the most marginalised and vulnerable segments of the population. The principle is that the project respects the dignity, human rights, aspirations, culture, lands, knowledge, practices and natural resource-based livelihoods of Indigenous Peoples in an ongoing manner throughout the project life. |

|  |  |
| --- | --- |
| **Background** | |
| Are any of the affected people Indigenous Peoples? Please state the evidence on which this determination is made. | |
| Yes, this section is relevant | Click here to enter text. |
| No, this section is not relevant | Click here to enter text. |

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|  | Add columns for each Indigenous People |
| Brief description of the peoples and their culture, lands, and representation | Click here to enter text. |
| Directly affected communities and how they are affected | Click here to enter text. |
| Other affected indigenous communities | Click here to enter text. |
| # households physically displaced | Click here to enter text. |
| # households economically displaced | Click here to enter text. |

|  |  |
| --- | --- |
| Agencies relevant to Indigenous Peoples | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Issues that may affect Indigenous Peoples’ rights in relation to the project have been identified through an assessment process | Select. | Click here to enter text. | Monitoring during project implementation takes into account interrelationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| This process utilised local knowledge and expertise | Select. | Click here to enter text. |
| Monitoring of project impacts and effectiveness of management measures is being undertaken during project implementation appropriate to the identified rights at risk | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to address the Indigenous Peoples’ rights at risk in relation to the project | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| Formal commitments are publicly disclosed | Select. | Click here to enter text. |
| **Stakeholder Engagement** | | | | | |
| Channels of communication with Indigenous Peoples are maintained | Select. | Click here to enter text. | Feedback on how issues raised have been taken into consideration has been thorough and timely | Select. | Click here to enter text. |
| These channels are: | | |
| • appropriately timed | Select. | Click here to enter text. |
| • culturally appropriate | Select. | Click here to enter text. |
| • two-way | Select. | Click here to enter text. |
| Ongoing processes are in place for Indigenous Peoples to raise issues and get feedback | Select. | Click here to enter text. |
| A mutually-agreed disputes procedure is in place | Select. | Click here to enter text. |
| **Stakeholder Support** | | | | | |
| Free, Prior and Informed Consent has been achieved with respect to the Indigenous Peoples’ rights at risk following the principle of proportionality | Select. | Click here to enter text. | Free, Prior and Informed Consent of directly affected indigenous groups has been achieved for the entire project | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives relating to Indigenous Peoples’ rights at risk have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Any Indigenous Peoples related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Plans provide for negative impacts of the project to Indigenous Peoples’ rights to be avoided, minimised, mitigated or compensated | Select. | Click here to enter text. | Opportunities for positive impacts have been thoroughly identified and maximised as far as practicable | Select. | Click here to enter text. |
| Plans provide some practicable opportunities for positive impacts to be achieved | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
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| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Cultural Heritage

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| **Scope and Principle** |
| This section addresses cultural heritage, with specific reference to physical cultural resources, associated with the hydropower facility. The principle is that physical cultural resources are identified, their importance is understood, and measures are in place to address those identified to be of high importance. This section does not address non-physical cultural resources, which are addressed in Section 1 and/or in Sections 5 and 7 when relevant. |

|  |  |
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| **Background** | |
| Does the project affect any physical cultural resources? Please state the evidence on which this determination is made. | |
| Yes, this section is relevant | Click here to enter text. |
| No, this section is not relevant | Click here to enter text. |

|  |  |
| --- | --- |
| Sites of physical cultural heritage affected by or in proximity to the project-affected areas | How they are affected |
| Click here to enter text. | Click here to enter text. |

|  |  |
| --- | --- |
| Agencies responsible for cultural heritage | Click here to enter text. |
| Other important local or regional cultural heritage values and issues | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Cultural heritage issues, with respect to physical cultural resources, that are relevant to project implementation have been identified through an assessment process | Select. | Click here to enter text. | Monitoring during project implementation takes into account interrelationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| Cultural heritage issues, with respect to physical cultural resources, that are relevant to project operation have been identified through an assessment process | Select. | Click here to enter text. |
| The assessments utilised appropriate expertise | Select. | Click here to enter text. |
| Monitoring is being undertaken during the project implementation stage appropriate to the identified issues | Select. | Click here to enter text. |
| **Management** | | | | | |
| Processes are in place to ensure management of identified cultural heritage issues, and to meet commitments, relevant to the project implementation stage | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| Plans are in place for the operation stage for ongoing cultural heritage issues management | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage cultural heritage issues have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Cultural heritage related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative cultural heritage impacts arising from project implementation are avoided, minimised, mitigated and compensated with no significant gaps | Select. | Click here to enter text. | Negative cultural heritage impacts arising from project implementation are avoided, minimised, mitigated and compensated with no identified gaps | Select. | Click here to enter text. |
| Contributions to addressing cultural heritage issues beyond those impacts caused by the project are achieved or are on track to be achieved | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
| --- |
| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Governance and Procurement

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| **Scope and Principle** |
| This section addresses corporate and external governance considerations for the operating hydropower facility, and all project-related procurement including works, goods and services. The principle is that the developer has sound corporate business structures, policies and practices, and that procurement processes are equitable, transparent and accountable. |

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| --- | --- |
| **Background** | |
| Key information on political context and public sector risks | Click here to enter text. |
| Key information on corporate ownership and governance | Click here to enter text. |
| Details of the concession, if applicable | Click here to enter text. |
| Key licenses or permits | Click here to enter text. |
| Key information on expected procurement strategy for this project (EPC, BOOT, etc) | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Processes are in place to identify: | | | There are no significant opportunities for improvement in the assessment of political and public sector governance issues | Select. | Click here to enter text. |
| • ongoing or emerging political and public sector governance issues | Select. | Click here to enter text. |
| • ongoing or emerging corporate governance requirements and issues | Select. | Click here to enter text. | There are no significant opportunities for improvement in the assessment of corporate governance requirements and issues | Select. | Click here to enter text. |
| • major supply needs, supply sources, relevant legislation and guidelines, supply chain risks and corruption risks | Select. | Click here to enter text. |
| Processes are in place to monitor if corporate governance measures are effective | Select. | Click here to enter text. | The assessment includes opportunities for local suppliers and local capacity development | Select. | Click here to enter text. |
| Ongoing monitoring is being undertaken to monitor effectiveness of procurement plans and processes | Select. | Click here to enter text. |
| **Management** | | | | | |
| Processes are in place to manage: | | | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| • corporate, political and public sector risks | Select. | Click here to enter text. |
| • compliance | Select. | Click here to enter text. | Contractors are required to meet or have consistent policies as the developer | Select. | Click here to enter text. |
| • social and environmental responsibility | Select. | Click here to enter text. |
| • procurement of goods and services | Select. | Click here to enter text. | Procurement processes include anti-corruption measures as well as sustainability and anti-corruption criteria specified in pre-qualification screening | Select. | Click here to enter text. |
| • grievance mechanisms | Select. | Click here to enter text. |
| • ethical business practices | Select. | Click here to enter text. | Sustainability and anti-corruption criteria are specified in the pre-qualification screening | Select. | Click here to enter text. |
| • transparency | Select. | Click here to enter text. |
| Policies and processes are communicated internally and externally as appropriate | Select. | Click here to enter text. | Anti-corruption measures are strongly emphasised in procurement planning processes | Select. | Click here to enter text. |
| Independent review mechanisms are utilised to address sustainability issues in cases of project capacity shortfalls, high sensitivity of particular issues, or the need for enhanced credibility | Select. | Click here to enter text. |
| Measures are in place to guide procurement of project goods, works and services and address identified issues or risks, and to meet procurement related commitments | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| The project has no major non-compliances relating to governance | Select. | Click here to enter text. | There are no non-compliances | Select. | Click here to enter text. |
| Processes and objectives relating to procurement have been and are on track to be met with: | | |
| • no major non-compliances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. |
| Any procurement related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| There are no significant unresolved corporate and external governance issues identified | Select. | Click here to enter text. | There are no unresolved corporate and external governance issues identified | Select. | Click here to enter text. |
| Procurement of works, goods and services across major project components is: | | |
| • equitable | Select. | Click here to enter text. |
| • efficient | Select. | Click here to enter text. |
| • transparent | Select. | Click here to enter text. | Opportunities for local suppliers including initiatives for local capacity development have been delivered or are on track to be delivered | Select. | Click here to enter text. |
| • accountable | Select. | Click here to enter text. |
| • ethical | Select. | Click here to enter text. |
| • timely | Select. | Click here to enter text. |
| Contracts are progressing or have been concluded within budget or changes on contracts are clearly justifiable | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
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| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Communications and Consultation A picture containing drawing, light Description automatically generated

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| **Scope and Principle** |
| This section addresses ongoing engagement with project stakeholders, both within the company as well as between the company and external stakeholders (e.g. affected communities, governments, key institutions, partners, contractors, catchment residents, etc). The principle is that stakeholders are identified and engaged in the issues of interest to them, and communication and consultation processes maintain good stakeholder relations throughout the project life. Communications and consultation requirements unique to Indigenous Peoples are found in Section 7. |

|  |  |
| --- | --- |
| **Background** | |
| Directly affected community-level stakeholders | Click here to enter text. |
| Directly affected institutional-level stakeholders | Click here to enter text. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Communications and consultation requirements and approaches have been identified through an assessment process | Select. | Click here to enter text. | The stakeholder mapping takes broad considerations into account | Select. | Click here to enter text. |
| The assessment process involved stakeholder mapping | Select. | Click here to enter text. |
| The assessment process was supported by ongoing monitoring | Select. | Click here to enter text. |
| **Management** | | | | | |
| Communications and consultation plans and processes are in place to manage communications and engagement with stakeholders | Select. | Click here to enter text. | Communication and consultation plans and processes show a high level of sensitivity to communication and consultation needs and approaches for various stakeholder groups and topics | Select. | Click here to enter text. |
| They include an appropriate grievance mechanism | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| They outline communication and consultation needs and approaches for various stakeholder groups and topics | Select. | Click here to enter text. |
| **Stakeholder Engagement** | | | | | |
| The project implementation stage involves engagement with directly affected stakeholders | Select. | Click here to enter text. | Engagement is inclusive and participatory | Select. | Click here to enter text. |
| Engagement is: | | |
| • appropriately timed and scoped | Select. | Click here to enter text. |
| • often two-way | Select. | Click here to enter text. | Negotiations are undertaken in good faith | Select. | Click here to enter text. |
| • undertaken in good faith | Select. | Click here to enter text. |
| The business interacts with a range of directly affected stakeholders to understand issues of interest to them | Select. | Click here to enter text. |
| Ongoing processes are in place for stakeholders to raise issues and get feedback: | Select. | Click here to enter text. | Feedback on how issues raised have been taken into consideration has been thorough and timely | Select. | Click here to enter text. |
| Ongoing processes are in place for: | | |
| • environmental and social issues | Select. | Click here to enter text. |
| • project-affected communities | Select. | Click here to enter text. | Project-affected communities have been involved in decision-making around relevant issues and options | Select. | Click here to enter text. |
| • resettlees and host communities | Select. | Click here to enter text. | Resettlees and host communities have been involved in decision-making around relevant issues and options | Select. | Click here to enter text. |
| • employees and contractors to raise human resources and labour management issues | Select. | Click here to enter text. | The business makes significant project reports publicly available | Select. | Click here to enter text. |
| • management of climate risks | Select. | Click here to enter text. |
| Public disclosure: | | |
| • the business makes significant project reports publicly available | Select. | Click here to enter text. | The business publicly reports on project performance in sustainability areas of high interest to its stakeholders | Select. | Click here to enter text. |
| • the business publicly reports on project performance, in some sustainability areas | Select. | Click here to enter text. |
| • power density calculations, estimated GHG emissions, and / or the results of a site-specific assessment have been publicly disclosed | Select. | Click here to enter text. | The assessment of project resilience has been publicly disclosed. |
| **Stakeholder Support** | | | | | |
| Affected communities generally support or have no major ongoing opposition to the plans for the issues that specifically affect their community | Select. | Click here to enter text. | Formal agreements with nearly all the directly affected communities have been reached for the mitigation, management and compensation measures relating to their communities | Select. | Click here to enter text. |
| Resettlees and host communities generally support or have no major on-going opposition to the Resettlement Action Plan | Select. | Click here to enter text. | There is consent with legally binding agreements by the resettlees and host communities for the Resettlement Action Plan | Select. | Click here to enter text. |
| There is general support or no major ongoing opposition amongst directly affected stakeholder groups for the cultural heritage assessment, planning or implementation measures | Select. | Click here to enter text. | Formal agreements with the directly affected stakeholder groups have been reached for cultural heritage management measures | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives relating to communications and consultation have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances |
| Communications related commitments have been or are on track to be met | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
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| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
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| Click here to enter text. |

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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
| Photo | Click here to enter text. |

# Hydrological Resource A picture containing drawing, light Description automatically generated

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| **Scope and Principle** |
| This section addresses the management of environmental, social and economic issues within the reservoir area and downstream flow regimes during project implementation, as well as planning for reservoir management for the operating hydropower facility. The principle is that the reservoir and downstream flow regimes are planned and managed with an awareness of environmental, social and economic objectives. |

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| **Background** | |
| **Hydrology and flows** | |
| Average flow at dam (m3 / s) | Click here to enter text. |
| Minimum monthly average flow (m3 / s) | Click here to enter text. |
| Maximum monthly average flow (m3 / s) | Click here to enter text. |
| Lowest observed flow (m3 / s) | Click here to enter text. |
| Highest observed flow (m3 / s) | Click here to enter text. |
| Design flow (m3 / s) | Click here to enter text. |
| Affected river reaches (start/end and how affected) | Click here to enter text. |
| Proposed downstream flow regimes for environmental or social objectives | Click here to enter text. |
| **Reservoir** | |
| Reservoir length (km) | Click here to enter text. |
| Minimum operating level MOL (masl) | Click here to enter text. |
| Normal operating level (masl) | Click here to enter text. |
| Full supply level FSL (masl) | Click here to enter text. |
| Reservoir area at FSL (km2) | Click here to enter text. |
| Reservoir area at MOL (km2) | Click here to enter text. |
| Volume at FSL (million m3) | Click here to enter text. |
| Volume at MOL (million m3) | Click here to enter text. |
| Average retention time in days | Click here to enter text. |
| Number of days for filling | Click here to enter text. |
| **Other relevant information** | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| The following issues have been identified through an assessment process: | | | Monitoring of reservoir preparation and filling activities takes into account inter-relationships amongst issues both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| • the important considerations prior to and during reservoir filling | Select. | Click here to enter text. |
| • the important considerations during reservoir operations | Select. | Click here to enter text. |
| • issues in relation to flow regimes downstream of project infrastructure during the project implementation stage | Select. | Click here to enter text. |
| Monitoring is being undertaken during the project implementation stage appropriate to the following identified issues: | | | Monitoring of downstream flow issues takes into account inter-relationships amongst issues, and both risks and opportunities that become evident during implementation | Select. | Click here to enter text. |
| • reservoir preparation and filling | Select. | Click here to enter text. |
| • effectiveness of flow management measures or any emerging downstream flow issues during project implementation | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to address identified needs during reservoir preparation and filling | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities relating to reservoir preparation and filling | Select. | Click here to enter text. |
| Plans are in place to manage the reservoir and any associated issues for the operating hydropower facility | Select. | Click here to enter text. |
| Measures are in place to manage identified downstream flow issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities relating to downstream flow regimes | Select. | Click here to enter text. |
| Where formal downstream flow commitments have been made, these are publicly disclosed | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage each of the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • reservoir management, with no major non-compliances | Select. | Click here to enter text. | • reservoir management | Select. | Click here to enter text. |
| • reservoir management, with no major non-conformances | Select. | Click here to enter text. |
| • downstream flow regimes, with no major non-compliances | Select. | Click here to enter text. | • downstream flow regimes | Select. | Click here to enter text. |
| • downstream flow regimes, with no major non-conformances | Select. | Click here to enter text. |
| Commitments relating to the following have been or are on track to be met: | | | There are no non-conformances relating to: | | |
| • reservoir management | Select. | Click here to enter text. | • reservoir management | Select. | Click here to enter text. |
| • downstream flow regimes | Select. | Click here to enter text. | • downstream flow regimes | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Downstream flow regimes take into account environmental, social and economic objectives | Select. | Click here to enter text. | Downstream flow regimes represent an optimal fit amongst environmental, social and economic objectives within practical constraints of the present circumstances | Select. | Click here to enter text. |
| Where relevant, they also take into account agreed transboundary objectives | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
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# Climate Change Mitigation and Resilience

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| **Scope and Principle** |
| This section addresses the estimation and management of the project’s greenhouse gas (GHG) emissions, analysis and management of the risks of climate change for the project, and the project’s role in climate change adaptation. The principle is that the project’s GHG emissions are consistent with low carbon power generation, the project is resilient to the effects of climate change, and the project contributes to wider adaptation to climate change. |

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| **Background** | |
| **Climate Change Mitigation** | |
| Capacity (MW) (or additional capacity in case of expansion/ rehabilitation projects) | Click here to enter text. |
| Average reservoir area (representing area of flooded land, net of pre-impoundment water body) (km2) (or additional reservoir area if any, for expansion/rehabilitation projects) | Click here to enter text. |
| Power density (W / m2) | Click here to enter text. |
| Emissions intensity (gCO2e / kWh) | Click here to enter text. |
| National and regional policies, plans and commitments relevant to mitigation | Click here to enter text. |
| **Climate Change Resilience** | |
| Hydrological data available for the project site and the basin, and observed climate trends | Click here to enter text. |
| Regional and basin-level climate models relevant to the project location, if any | Click here to enter text. |
| Any climate change predictions for the project location, and degree of consistency | Click here to enter text. |
| National policies, plans and commitments relevant to adaptation and resilience | Click here to enter text. |
| **Other relevant information** | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| **Climate Change Mitigation** | | | | | |
| If power density is below 5 W/m2, net GHG emissions (gCO2e) of electricity generation have been estimated and independently verified | Select. | Click here to enter text. | If a site-specific assessment is required, it incorporates a broad range of scenarios, uncertainties and risks | Select. | Click here to enter text. |
| If power density is below 5 W/m2 and estimated emissions are above 100 gCO2e/kWh, a site-specific assessment of GHG emissions has been undertaken | Select. | Click here to enter text. |
| **Climate Change Resilience** | | | | | |
| An assessment of the project’s resilience to climate change has been undertaken | Select. | Click here to enter text. | Assessment of resilience incorporates sensitivity analysis, and project-specific hydrological modelling using recognised climate models | Select. | Click here to enter text. |
| The assessment: | | |
| • incorporates an assessment of plausible climate change at the project site | Select. | Click here to enter text. |
| • identifies a range of climatological and hydrological conditions at the project site | Select. | Click here to enter text. |
| • applies these conditions in a documented risk assessment or stress test | Select. | Click here to enter text. |
| The risk assessment or stress test encompasses: | | | An assessment of the project’s potential adaptation services has been undertaken | Select. | Click here to enter text. |
| • dam safety | Select. | Click here to enter text. |
| • other infrastructural resilience | Select. | Click here to enter text. |
| • environmental and social risks | Select. | Click here to enter text. |
| • power generation availability | Select. | Click here to enter text. |
| **Management** | | | | | |
| **Climate Change Mitigation** | | | | | |
| If GHG emissions estimates assume design and management measures relevant to the implementation stage, these measures are in place | Select. | Click here to enter text. | Design and management measures relevant to the implementation stage are in place to respond to risks and opportunities including offsetting emissions | Select. | Click here to enter text. |
| Plans are in place to monitor parameters used in GHG emissions estimates or to monitor GHG stocks | Select. | Click here to enter text. |
| **Climate Change Resilience** | | | | | |
| Measures relevant to the implementation stage are in place to avoid or reduce the identified climate risks | Select. | Click here to enter text. | Resilience measures relevant to the implementation stage take account of a broad range of risks and inter-relationships | Select. | Click here to enter text. |
| Plans are in place to provide adaptation services if necessary | Select. | Click here to enter text. |
|
| **Conformance and Compliance** | | | | | |
| **Climate Change Mitigation** | | | | | |
| Processes and objectives relating to mitigation have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Mitigation-related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Climate Change Resilience** | | | | | |
| Processes and objectives relating to resilience have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Resilience-related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| **Climate Change Mitigation** | | | | | |
| The project’s GHG emissions are demonstrated to be consistent with low carbon power generation | Select. | Click here to enter text. | Project net emissions are minimised or project operations facilitate system emissions reductions | Select. | Click here to enter text. |
| **Climate Change Resilience** | | | | | |
| Plans will deliver a project that is resilient to climate change under a range of scenarios | Select. | Click here to enter text. | The project is resilient under a broad range of scenarios | Select. | Click here to enter text. |
| The project will contribute to climate change adaptation at local, regional or national levels | Select. | Click here to enter text. |

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
| --- | --- |
| * 1. * 2. * 3. | Click here to enter text. |

| Summary of findings and other notable issues |
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| Relevant evidence | |
| Interview | Click here to enter text. |
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Appendix 1 – Interviews

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Appendix 2 – Documents

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| **Ref** | **Author** | **Year** | **Title** | **Notes / links / language** |
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Appendix 3 - Photographs

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| Photo 1: Click here to enter text. | Photo 2: Click here to enter text. | Photo 3: Click here to enter text. |
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| Photo 3: Click here to enter text. | Photo 5: Click here to enter text. | Photo 6: Click here to enter text. |