

# Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool

May 2022

Preparation Stage

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[Insert project name]

# Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool



About the HESG	The Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool (HESG) enables hydropower project proponents and investors to identify and address gaps against good international industry practice. The HESG is based on the assessment framework of the Hydropower Sustainability Assessment Protocol (HSAP) and draws from the definitions of good international industry practice of the Hydropower Sustainability Guidelines on Good International Industry Practice (HGIIIP). Projects that meet the good practice requirements of the HESG are eligible for certification against the Hydropower Sustainability Standard following the <i>Harmonisation with the Hydropower Sustainability Tools</i> process.
Intended users and uses	<p>The HESG includes three separate stage tools: Preparation, Implementation and Operation. These reflect the different stages of hydropower development and have been designed to be used as standalone documents. Each tool provides an action plan to help project teams address any gaps against good practice.</p> <p>Official HESG assessments are carried out by accredited assessors, who take an evidence-based approach. All findings are supported by objective evidence, which is factual, reproducible, objective and verifiable. The HESG is most effective when operators and developers commit to implement the recommendations provided and resolve identified significant gaps. In addition, the tool is aligned with the safeguards and standards of international financial institutions and can be used to attract climate-aligned investment.</p> <p>Hydropower development and operation may involve public entities, private companies or combined partnerships, and responsibilities may change as the project progresses through its life cycle. It is intended that the organisation with the primary responsibility for a project at its particular life-cycle stage will have a central role in any HESG assessment.</p>
Structure of the tool	The HESG comprises 12 sections that cover the environmental, social, governance and climate change topics of the HSAP and HGIIIP. A summary at the beginning of the report presents any significant gaps against basic good practice and outlines an action plan for improved performance. Within each section, requirements for good international industry practice are presented and project findings are provided. For each finding, a key indicates whether the requirement is met. A summary section analyses significant gaps and identifies each one with the symbol ●.
Supporting resources	Additional guidance on the structure, content and history of the HESG can be found online at: <a href="http://www.hydro-sustainability.org">www.hydro-sustainability.org</a>
Version date	May 2022

[Insert project name]

## A. Assessment Details

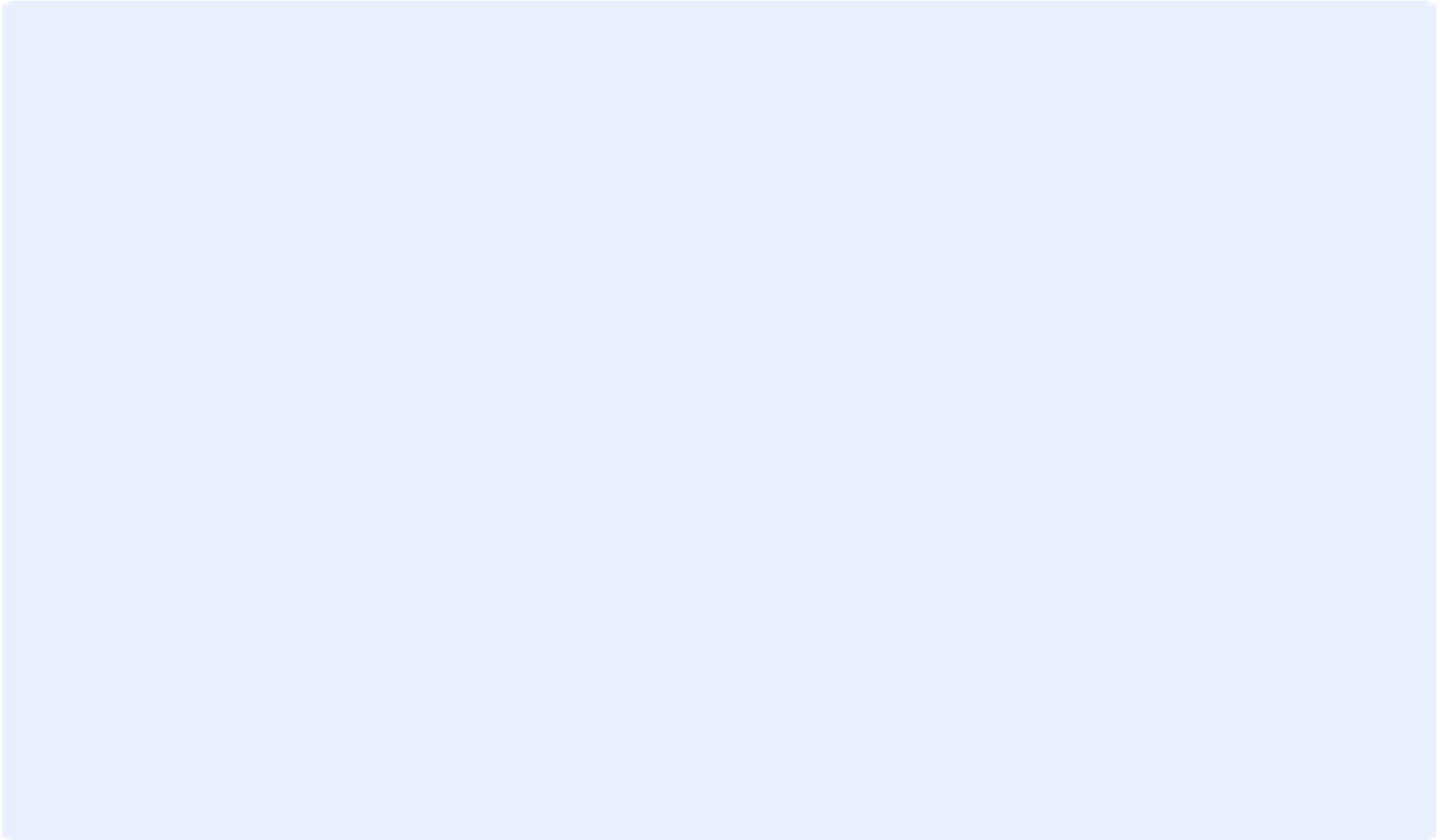
Project sponsor	
Assessor(s)	
Assessment objective	
Assessment dates	
Assessment report date	
Prepared for	
Limitations of the assessment	

[Insert project name]

## B. 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) (km <sup>2</sup> )	
Average net head at FSL (m)	
Average flow (m <sup>3</sup> / s)	
Design flow (m <sup>3</sup> / s)	
Load factor	
Number of physically displaced households	
Power density (W / m <sup>2</sup> )	
Emissions intensity (gCO <sub>2</sub> e / kWh)	
Contacts / website	

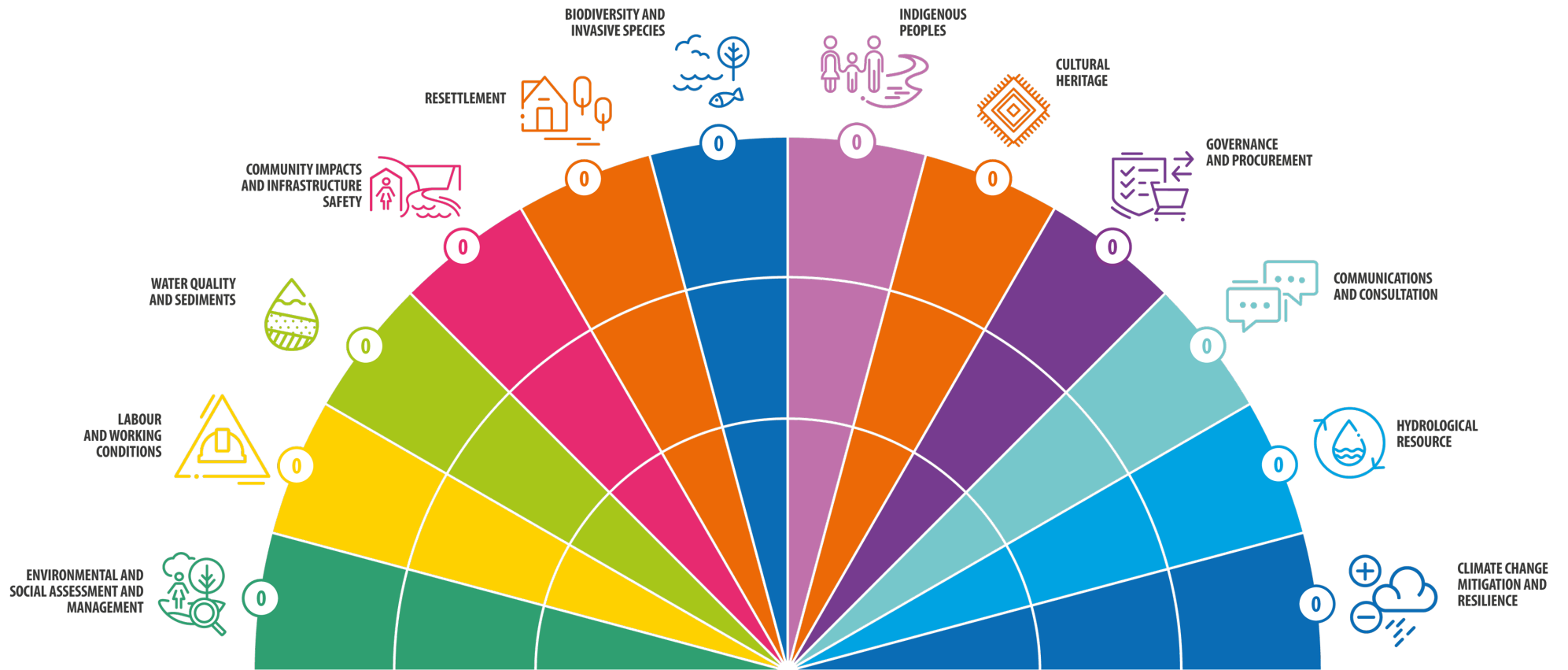
[Insert project name]



*Figure 1 – Map of dam site*

[Insert project name]

## C. HESG Gap Analysis Diagram



Preparation



[Insert project name]

## D. Significant gaps

List of significant gaps:		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.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													
13.													
14.													
15.													
<b>NUMBER OF SIGNIFICANT GAPS BY SECTION:</b>													
<b>TOTAL NUMBER OF SIGNIFICANT GAPS:</b>													



[Insert project name]



# 1 Environmental and Social Assessment and Management

Scope and Principle
This section addresses the assessment and planning processes for environmental and social impacts associated with project implementation and operation throughout the area of impact of the project, the contribution of the project in meeting demonstrated needs for water and energy services, and the evaluation and determination of project siting and design options. The principle is that environmental and social impacts are identified and assessed, and that avoidance, minimisation and mitigation measures are designed and implemented.

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.
List the key license conditions/voluntary commitments	Click here to enter text.
Total environmental and social costs in project development, including resettlement costs	Click here to enter text.
Description of the non-physical cultural heritage in the project area	Click here to enter text.
Other relevant information	Click here to enter text.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>1.1 Assessment</b>		
Assessments of project environmental and social impacts	Choose an item.	Click here to enter text.
Assessments address:		
• project implementation	Choose an item.	Click here to enter text.
• project operation	Choose an item.	Click here to enter text.
• associated facilities	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• cumulative impacts	Choose an item.	Click here to enter text.
• role and capacity of third parties	Choose an item.	Click here to enter text.
• impacts associated with primary suppliers	Choose an item.	Click here to enter text.
Assessments have been prepared using appropriate expertise	Choose an item.	Click here to enter text.
A baseline has been established and well-documented for the pre-project condition against which post-project changes can be compared	Choose an item.	Click here to enter text.
Assessment of needs for water and energy services	Choose an item.	Click here to enter text.
Assessment of options to meet water and energy needs	Choose an item.	Click here to enter text.
Assessment of national and regional policies and plans relevant to those needs	Choose an item.	Click here to enter text.
Social and environmental considerations, including regulatory considerations, have been analysed at an early stage in preliminary project designs and options	Choose an item.	Click here to enter text.
<b>1.2 Management</b>		
Environmental and social management plans and processes have been developed	Choose an item.	Click here to enter text.
Plans address project implementation	Choose an item.	Click here to enter text.
Plans address project operation	Choose an item.	Click here to enter text.
Plans have been prepared using appropriate expertise (internal and external)	Choose an item.	Click here to enter text.
Plans address all key social and environmental issues	Choose an item.	Click here to enter text.
Plans address construction-related waste, noise, air quality, land disturbance and rehabilitation	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Environmental and social impact assessment and key associated management plans are publicly disclosed	Choose an item.	Click here to enter text.
An optimisation process has been undertaken to assess the project siting and design options	Choose an item.	Click here to enter text.
<b>1.3 Outcomes</b>		
Environmental and social plans avoid, minimise and mitigate negative impacts with no significant gaps	Choose an item.	Click here to enter text.
The strategic fit of the project with needs for water and energy services, and relevant policies and plans can be demonstrated	Choose an item.	Click here to enter text.
The final project siting and design has responded to environmental and social considerations	Choose an item.	Click here to enter text.
The project can pay for social and environmental plans and commitments	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]



## 2 Labour and Working Conditions

Scope and Principles
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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>2.1 Assessment</b>		
Assessment of human resource and labour management requirements	Choose an item.	Click here to enter text.
The assessment includes project occupational health and safety issues, risks, and management measures	Choose an item.	Click here to enter text.
<b>2.2 Management</b>		
Human resource and labour management policies, plans and processes have been developed for project implementation	Choose an item.	Click here to enter text.
Human resource and labour management policies, plans and processes have been developed for project operation	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
These plans cover all labour management planning components, including those of contractors, subcontractors and intermediaries	Choose an item.	Click here to enter text.
<b>2.3 Outcomes</b>		
There are no identified inconsistencies of labour management policies, plans and practices with internationally recognised labour rights	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>

[Insert project name]



### 3 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, and 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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
3.1 Assessment		
Water quality issues assessment	Choose an item.	Click here to enter text.
Erosion and sedimentation issues assessment	Choose an item.	Click here to enter text.
Identification of erosion and sedimentation impacts that may be caused by the project	Choose an item.	Click here to enter text.
Identification of erosion and sedimentation issues that may impact on the project	Choose an item.	Click here to enter text.
An understanding of the sediment load and dynamics for the affected river system	Choose an item.	Click here to enter text.
3.2 Management		



[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Plans and processes to address identified water quality issues have been developed for project implementation	Choose an item.	Click here to enter text.
Plans and processes to address identified water quality issues have been developed for project operation	Choose an item.	Click here to enter text.
Plans and processes to address identified erosion and sedimentation issues have been developed for project implementation	Choose an item.	Click here to enter text.
Plans and processes to address identified erosion and sedimentation issues have been developed for project operation	Choose an item.	Click here to enter text.
<b>3.3 Outcomes</b>		
Plans avoid, minimise and mitigate negative water quality impacts arising from project activities	Choose an item.	Click here to enter text.
Plans avoid, minimise and mitigate erosion and sedimentation issues arising from project activities	Choose an item.	Click here to enter text.
Plans avoid, minimise and mitigate erosion and sedimentation issues that may impact on the project	Choose an item.	Click here to enter text.

**Summary of Findings**

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



## 4 Community Impacts and Infrastructure Safety

Scope and Principle
<p>This section addresses impacts of the project on project-affected communities, including economic displacement, impacts on livelihoods and living standards, public health impacts, and impacts to rights, risks and opportunities of those affected by the project. This section also addresses project benefits and infrastructure safety during project preparation, implementation and operation. The principle is that livelihoods and living standards impacted by the project are improved relative to pre-project conditions for project-affected communities, 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.</p>

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 (m <sup>3</sup> /s)	Click here to enter text.
Design flood (expressed as estimated flood with return period)	Click here to enter text.
Spillway capacity (m <sup>3</sup> /s)	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 (m <sup>3</sup> /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.

[Insert project name]

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>4.1 Assessment</b>		
<b>Community Impacts and Benefits</b>		
An assessment of issues relating to project-affected communities	Choose an item.	Click here to enter text.
This assessment utilised local knowledge	Choose an item.	Click here to enter text.
An assessment of opportunities to increase the development contribution of the project through additional benefits and/or benefit sharing strategies	Choose an item.	Click here to enter text.
The pre-project baseline against which delivery of benefits can be evaluated post-project is well-documented	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
An assessment of dam and other infrastructure safety risks during project preparation, construction, and operation	Choose an item.	Click here to enter text.
This assessment was conducted using appropriate expertise	Choose an item.	Click here to enter text.
Public health issues assessment	Choose an item.	Click here to enter text.
This assessment includes public health system capacities and access to health services	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
This assessment has considered health needs, issues and risks for different community groups	Choose an item.	Click here to enter text.
<b>4.2 Management</b>		
<b>Community Impacts and Benefits</b>		
Management plans and processes for issues that affect project-affected communities have been developed	Choose an item.	Click here to enter text.
These plans and processes include monitoring procedures, utilising local expertise when available	Choose an item.	Click here to enter text.
If there are formal agreements with project-affected communities, these are publicly disclosed	Choose an item.	Click here to enter text.
Project benefit plans and processes have been developed for project implementation that incorporate additional benefit or benefit sharing commitments	Choose an item.	Click here to enter text.
Project benefit plans and processes have been developed for project operation that incorporate additional benefit or benefit sharing commitments	Choose an item.	Click here to enter text.
Commitments to project benefits are publicly disclosed	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Dam and other infrastructure safety management plans and processes have been developed for project implementation	Choose an item.	Click here to enter text.
Dam and other infrastructure safety management plans and processes have been developed for project operation	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
These plans have been developed in conjunction with relevant regulatory and local authorities	Choose an item.	Click here to enter text.
Plans provide for communication of public safety measures	Choose an item.	Click here to enter text.
Emergency response plans include awareness and training programmes and emergency response simulations	Choose an item.	Click here to enter text.
Dam safety is independently reviewed	Choose an item.	Click here to enter text.
Plans and processes to address identified public health issues have been developed for project implementation	Choose an item.	Click here to enter text.
Plans and processes to address identified public health issues have been developed for project operation	Choose an item.	Click here to enter text.
<b>4.3 Outcomes</b>		
<b>Community Impacts and Benefits</b>		
Plans provide for livelihoods and living standards impacted by the project to be improved	Choose an item.	Click here to enter text.
Plans provide for economic displacement to be fairly compensated, preferably through provision of comparable goods, property or services	Choose an item.	Click here to enter text.
Plans deliver benefits for communities affected by the project	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Plans avoid, minimise and mitigate safety risks	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Plans avoid, minimise and mitigate negative public health impacts arising from project activities	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 5 Resettlement

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; and that livelihoods and standards of living for resettles and host communities are improved. This section does not address those that are only economically displaced, who are addressed in Section 4.

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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>5.1 Assessment</b>		
An assessment of the resettlement implications of the project has been undertaken early in the project preparation stage	Choose an item.	Click here to enter text.
This has established the socio-economic baseline for resettlement for potential resettles and host communities	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
This has included an economic assessment of required resettlement including ongoing costs for improvement in living standards	Choose an item.	Click here to enter text.
<b>5.2 Management</b>		
A Resettlement Action Plan and associated processes have been developed for project implementation	Choose an item.	Click here to enter text.
A Resettlement Action Plan and associated processes have been developed for project operation	Choose an item.	Click here to enter text.
The RAP and associated processes have been developed in a timely manner	Choose an item.	Click here to enter text.
The RAP or associated processes include:		
<ul style="list-style-type: none"> <li>• up-to-date socio-economic baseline</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>• compensation framework</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>• grievance mechanisms</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>• monitoring procedures</li> </ul>	Choose an item.	Click here to enter text.
Formal agreements with resettlees and host communities are publicly disclosed	Choose an item.	Click here to enter text.
<b>5.3 Outcomes</b>		
Plans provide for resettlement to be treated in a fair and equitable manner	Choose an item.	Click here to enter text.
Resettlees and host communities will experience a timely improvement in livelihoods and living standards	Choose an item.	Click here to enter text.



[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 6 Biodiversity and Invasive Species

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 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, and that biodiversity impacts arising from project activities are managed responsibly.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>6.1 Assessment</b>		
Assessment of terrestrial biodiversity	Choose an item.	Click here to enter text.
Assessment of aquatic biodiversity including passage of aquatic species and loss of connectivity to significant habitat	Choose an item.	Click here to enter text.
Assessment of risks of invasive species	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>6.2 Management</b>		
Plans and processes to address identified biodiversity issues have been developed for project implementation	Choose an item.	Click here to enter text.
Plans and processes to address identified biodiversity issues have been developed for project operation	Choose an item.	Click here to enter text.
<b>6.3 Outcomes</b>		
Plans avoid, minimise, mitigate and compensate negative biodiversity impacts arising from project activities with no significant gaps	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]



## 7 Indigenous Peoples

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.

	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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>7.1 Assessment</b>		
An assessment of the representation of Indigenous Peoples in the project-affected community	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
The assessment includes identification of their rights at risk in relation to the project	Choose an item.	Click here to enter text.
The assessment utilised local knowledge and expertise	Choose an item.	Click here to enter text.
<b>7.2 Management</b>		
Plans and processes have been developed for project implementation to address the Indigenous Peoples' rights at risk	Choose an item.	Click here to enter text.
Plans and processes have been developed for project operation to address the Indigenous Peoples' rights at risk	Choose an item.	Click here to enter text.
Formal commitments are publicly disclosed	Choose an item.	Click here to enter text.
<b>7.3 Stakeholder Engagement</b>		
Good-faith consultation with Indigenous Peoples' institutions of representation and decision-making, as determined by them, has been carried out	Choose an item.	Click here to enter text.
This consultation has been:		
• appropriately timed	Choose an item.	Click here to enter text.
• culturally appropriate	Choose an item.	Click here to enter text.
• two-way	Choose an item.	Click here to enter text.
A mutually-agreed disputes procedure is in place	Choose an item.	Click here to enter text.
<b>7.4 Stakeholder Support</b>		
Free, Prior and Informed Consent has been achieved with respect to the Indigenous Peoples' rights at risk following the principle of proportionality	Choose an item.	Click here to enter text.
<b>7.5 Outcomes</b>		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Plans provide for negative impacts of the project to Indigenous Peoples' rights to be avoided, minimised, mitigated or compensated with no significant gaps	Choose an item.	Click here to enter text.
Plans provide some practicable opportunities for positive impacts to be achieved	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 8 Cultural Heritage

Scope and Principle
This section addresses cultural heritage, with specific reference to physical cultural resources, at risk of damage or loss by the hydropower project and associated infrastructure impacts (e.g. new roads, transmission lines). 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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>8.1 Assessment</b>		
A cultural heritage assessment has been undertaken	Choose an item.	Click here to enter text.
The assessment includes:		
• identification and recording of physical cultural resources	Choose an item.	Click here to enter text.
• evaluation of the relative levels of importance	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<ul style="list-style-type: none"> <li>identification of any risks arising from the project</li> </ul>	Choose an item.	Click here to enter text.
<b>8.2 Management</b>		
Plans and processes to address physical cultural resources have been developed for project implementation	Choose an item.	Click here to enter text.
Plans and processes to address physical cultural resources have been developed for project operation	Choose an item.	Click here to enter text.
Plans include arrangements for chance finds	Choose an item.	Click here to enter text.
Plans ensure that cultural heritage expertise will be on site and regularly liaised with by the project management team during construction	Choose an item.	Click here to enter text.
<b>8.3 Outcomes</b>		
Plans avoid, minimise, mitigate and compensate negative impacts on cultural heritage arising from project activities with no significant gaps	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>1.</li> <li>2.</li> </ul>



[Insert project name]

## 9 Governance and Procurement



Scope and Principle
This section addresses corporate and external governance considerations for the project, 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.

Background	
Key information on political context and public sector risks	<a href="#">Click here to enter text.</a>
Key information on corporate ownership and governance	<a href="#">Click here to enter text.</a>
Details of the concession, if applicable	<a href="#">Click here to enter text.</a>
Key licensing or permitting requirements	<a href="#">Click here to enter text.</a>
Key information on expected procurement strategy for this project (EPC, BOOT, etc)	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>9.1 Assessment</b>		
Assessments have been undertaken of the following through the project development cycle:		
<ul style="list-style-type: none"> <li>political and public sector governance issues</li> </ul>	Choose an item.	<a href="#">Click here to enter text.</a>
<ul style="list-style-type: none"> <li>corporate governance requirements and issues</li> </ul>	Choose an item.	<a href="#">Click here to enter text.</a>
<ul style="list-style-type: none"> <li>major supply needs, supply sources, relevant legislation and guidelines, supply chain risks and corruption risks</li> </ul>	Choose an item.	<a href="#">Click here to enter text.</a>
<b>9.2 Management</b>		
Processes are in place to manage the following:		
<ul style="list-style-type: none"> <li>corporate, political and public sector risks</li> </ul>	Choose an item.	<a href="#">Click here to enter text.</a>

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• compliance	Choose an item.	Click here to enter text.
• social and environmental responsibility	Choose an item.	Click here to enter text.
• grievance mechanisms	Choose an item.	Click here to enter text.
• ethical business practices	Choose an item.	Click here to enter text.
• transparency	Choose an item.	Click here to enter text.
Policies and processes are communicated internally and externally as appropriate	Choose an item.	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	Choose an item.	Click here to enter text.
Procurement plans and processes have been developed for project implementation	Choose an item.	Click here to enter text.
Procurement plans and processes have been developed for project operation	Choose an item.	Click here to enter text.
<b>9.3 Conformance and Compliance</b>		
The project has no major non-compliances relating to governance	Choose an item.	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	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any procurement related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>9.4 Outcomes</b>		
There are no significant unresolved corporate and external governance issues identified	Choose an item.	Click here to enter text.
Procurement of works, goods and services across major project components is:		
• equitable	Choose an item.	Click here to enter text.
• efficient	Choose an item.	Click here to enter text.
• transparent	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• accountable	Choose an item.	Click here to enter text.
• ethical	Choose an item.	Click here to enter text.
• timely	Choose an item.	Click here to enter text.
Contracts are progressing or have been concluded within budget or changes on contracts are clearly justifiable	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 10 Communications and Consultation

Scope and Principle
This section addresses the identification and 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 establish a foundation for 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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>10.1 Assessment</b>		
Stakeholder mapping has been undertaken to identify and analyse stakeholders	Choose an item.	Click here to enter text.
It establishes those that are directly affected	Choose an item.	Click here to enter text.
It establishes communication requirements and priorities	Choose an item.	Click here to enter text.
<b>10.2 Management</b>		
Communications and consultation plans and processes have been developed at an early stage	Choose an item.	Click here to enter text.
They outline communication and consultation needs and approaches for various stakeholder groups and topics	Choose an item.	Click here to enter text.
They are applicable to project preparation, implementation and operation	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
They include an appropriate grievance mechanism	Choose an item.	Click here to enter text.
<b>10.3 Stakeholder Engagement</b>		
There has been engagement with the following groups, or on the following topics, or through the following processes, with directly affected stakeholders:		
<ul style="list-style-type: none"> <li>Project preparation, on topics of interest and relevance to directly affected stakeholders</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>The business interacts with a range of directly affected stakeholders to understand issues of interest to them</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Environmental and social impact assessment and management planning</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Siting and design optimisation</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Project benefits</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Project-affected communities</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Resettlees and host communities</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Assessment and planning for cultural heritage issues</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Assessment and planning for public health, including health officials</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Downstream flow regimes</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Plans for the management of climate risks</li> </ul>	Choose an item.	Click here to enter text.
Engagement with directly affected stakeholders has been appropriately timed:		
<ul style="list-style-type: none"> <li>Project preparation, on topics of interest and relevance to them</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Environmental and social impact assessment and management planning</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Siting and design optimisation</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Project benefits</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Project-affected communities</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Resettlees and host communities</li> </ul>	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• Assessment and planning for cultural heritage issues	Choose an item.	Click here to enter text.
• Assessment and planning for public health	Choose an item.	Click here to enter text.
• Downstream flow regimes	Choose an item.	Click here to enter text.
Engagement with directly affected stakeholders has often been two-way:		
• Project preparation, on topics of interest and relevance to them	Choose an item.	Click here to enter text.
• Environmental and social impact assessment and management planning	Choose an item.	Click here to enter text.
• Siting and design optimisation	Choose an item.	Click here to enter text.
• Project benefits	Choose an item.	Click here to enter text.
• Project-affected communities	Choose an item.	Click here to enter text.
• Resettlees and host communities	Choose an item.	Click here to enter text.
• Assessment and planning for cultural heritage issues	Choose an item.	Click here to enter text.
• Assessment and planning for public health	Choose an item.	Click here to enter text.
• Downstream flow regimes	Choose an item.	Click here to enter text.
Engagement is undertaken in good faith	Choose an item.	Click here to enter text.
Ongoing processes are in place for stakeholders to raise issues and get feedback	Choose an item.	Click here to enter text.
Ongoing processes are in place for:		
• Environmental and social impact assessment and management planning	Choose an item.	Click here to enter text.
• Siting and design optimisation	Choose an item.	Click here to enter text.
• Project benefits	Choose an item.	Click here to enter text.
• Project-affected communities	Choose an item.	Click here to enter text.
• Resettlees and host communities	Choose an item.	Click here to enter text.
• Employees and contractors on human resources and labour management issues	Choose an item.	Click here to enter text.
• Assessment and planning for cultural heritage issues	Choose an item.	Click here to enter text.
• Assessment and planning for public health	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<ul style="list-style-type: none"> <li>Downstream flow regimes</li> </ul>	Choose an item.	Click here to enter text.
Engagement with resettles has been culturally appropriate	Choose an item.	Click here to enter text.
Resettles and host communities have been involved in the decision-making around relevant options and issues	Choose an item.	Click here to enter text.
Public disclosure:		
<ul style="list-style-type: none"> <li>the business makes significant project reports publicly available</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>the business publicly reports on project performance, in some sustainability areas</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>results of the assessment of strategic fit are publicly disclosed</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>power density calculations, estimated GHG emissions, and / or the results of a site-specific assessment have been publicly disclosed</li> </ul>	Choose an item.	Click here to enter text.
<b>10.4 Stakeholder Support</b>		
Affected communities generally support or have no major ongoing opposition to the plans for the issues that specifically affect their community	Choose an item.	Click here to enter text.
Resettles and host communities generally support or have no major on-going opposition to the Resettlement Action Plan	Choose an item.	Click here to enter text.
Directly affected stakeholder groups generally support or have no major ongoing opposition to the cultural heritage assessment, planning or implementation measures	Choose an item.	Click here to enter text.
<b>10.5 Conformance and Compliance</b>		
Processes and objectives relating to communications and consultation have been and are on track to be met with:		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any communications related commitments have been or are on track to be met	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>





## 11 Hydrological Resource

<b>Scope and Principle</b>	
<p>This section addresses the hydrological resource availability and reliability to the project, reservoir planning and downstream flow regimes in relation to environmental, social and economic impacts and benefits. The principle is that the project’s planned power generation takes into account hydrological resource availability and reliability in the short- and long-term, and that the reservoir and downstream flow regimes are planned and managed with an awareness of environmental, social and economic objectives.</p>	

<b>Background</b>	
<b>Hydrology and flows</b>	
Average flow at dam (m <sup>3</sup> /s)	Click here to enter text.
Minimum monthly average flow (m <sup>3</sup> /s)	Click here to enter text.
Maximum monthly average flow (m <sup>3</sup> /s)	Click here to enter text.
Lowest observed flow (m <sup>3</sup> /s)	Click here to enter text.
Highest observed flow (m <sup>3</sup> /s)	Click here to enter text.
Design flow (m <sup>3</sup> /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.
<b>Reservoir</b>	
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 (km <sup>2</sup> )	Click here to enter text.
Reservoir area at MOL (km <sup>2</sup> )	Click here to enter text.
Volume at FSL (million m <sup>3</sup> )	Click here to enter text.
Volume at MOL (million m <sup>3</sup> )	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.
<b>Other relevant information</b>	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>11.1 Assessment</b>		
Assessment of hydrological resource availability	Choose an item.	Click here to enter text.
Hydrological resource assessment has been undertaken utilising:		
• available data	Choose an item.	Click here to enter text.
• field measurements	Choose an item.	Click here to enter text.
• appropriate statistical indicators	Choose an item.	Click here to enter text.
• a hydrological model	Choose an item.	Click here to enter text.
Issues which may impact on water availability or reliability have been identified and factored into the modelling	Choose an item.	Click here to enter text.
Hydrological resource assessment includes evaluation of scenarios, uncertainties and risks	Choose an item.	Click here to enter text.
Assessment of important considerations prior to and during reservoir filling	Choose an item.	Click here to enter text.
Assessment of important considerations during reservoir operations	Choose an item.	Click here to enter text.
Assessment of flow regimes downstream of project infrastructure	Choose an item.	Click here to enter text.
Flow regimes assessment includes all potentially affected river reaches	Choose an item.	Click here to enter text.
Flow regimes assessment includes identification of the flow ranges and variability to achieve different environmental, social and economic objectives	Choose an item.	Click here to enter text.
Flow regimes assessment is based on relevant scientific and other information	Choose an item.	Click here to enter text.
<b>11.2 Management</b>		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Plans and processes for generation operations have been developed to ensure efficiency of water use	Choose an item.	Click here to enter text.
Plans and processes for generation operations are based on:		
<ul style="list-style-type: none"> <li>analysis of the hydrological resource availability</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>a range of technical considerations</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>an understanding of power system opportunities and constraints</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>social and environmental considerations including downstream flow regimes</li> </ul>	Choose an item.	Click here to enter text.
Plans and processes to manage reservoir preparation and filling have been developed	Choose an item.	Click here to enter text.
Plans and processes to manage reservoir operations have been developed	Choose an item.	Click here to enter text.
Plans and processes for delivery of downstream flow regimes have been developed	Choose an item.	Click here to enter text.
Downstream flow plans include:		
<ul style="list-style-type: none"> <li>flow objectives</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>magnitude, range and variability of the flow regimes</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>locations at which flows will be verified</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>ongoing monitoring</li> </ul>	Choose an item.	Click here to enter text.
Downstream flow plans, where formal commitments have been made, are publicly disclosed	Choose an item.	Click here to enter text.
<b>11.3 Outcomes</b>		
Plans for downstream flows take into account environmental, social and economic objectives	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Where relevant, downstream flows take into account agreed transboundary objectives	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 12 Climate Change Mitigation and Resilience

<b>Scope and Principle</b>	
<p>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.</p>	

<b>Background</b>	
<b>Climate Change Mitigation</b>	
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) (km <sup>2</sup> ) (or additional reservoir area if any, for expansion/rehabilitation projects)	Click here to enter text.
Power density (W / m <sup>2</sup> )	Click here to enter text.
Emissions intensity (gCO <sub>2</sub> e / kWh)	Click here to enter text.
National and regional policies, plans and commitments relevant to mitigation	Click here to enter text.
<b>Climate Change Resilience</b>	
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.
<b>Other relevant information</b>	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>12.1 Assessment</b>		
<b>Climate Change Mitigation</b>		
For projects with a power density below 5 W/m <sup>2</sup> , net GHG emissions (gCO <sub>2</sub> e) of electricity generation have been estimated and independently verified	Choose an item.	Click here to enter text.
For projects with a power density below 5 W/m <sup>2</sup> and estimated emissions are above 100 gCO <sub>2</sub> e/kWh, a site-specific assessment of GHG emissions has been undertaken	Choose an item.	Click here to enter text.
An assessment of the project's fit with national and/or regional policies and plans on mitigation has been undertaken	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
An assessment of the project's resilience to climate change has been undertaken	Choose an item.	Click here to enter text.
The assessment:		
<ul style="list-style-type: none"> <li>incorporates an assessment of plausible climate change at the project site</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>identifies a range of climatological and hydrological conditions at the project site</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>applies these conditions in a documented risk assessment or stress test</li> </ul>	Choose an item.	Click here to enter text.
The risk assessment or stress test encompasses:		
<ul style="list-style-type: none"> <li>dam safety</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>other infrastructural resilience</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>environmental and social risks</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>power generation availability</li> </ul>	Choose an item.	Click here to enter text.
An assessment of the project's potential adaptation services and fit with national and/or regional policies and plans for adaptation has been undertaken	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>12.2 Management</b>		
<b>Climate Change Mitigation</b>		
If GHG emissions estimates assume design and management measures, there are plans to put these measures in place	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
The project design is based on plausible climate change scenarios	Choose an item.	Click here to enter text.
Structural and operational measures are planned for design, implementation and operation phases to avoid or reduce the identified climate risks	Choose an item.	Click here to enter text.
<b>12.3 Outcomes</b>		
<b>Climate Change Mitigation</b>		
The project's GHG emissions are demonstrated to be consistent with low carbon power generation	Choose an item.	Click here to enter text.
The fit of the project with national and regional policies and plans for mitigation can be demonstrated	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
Plans will deliver a project that is resilient to climate change under a range of scenarios	Choose an item.	Click here to enter text.
The fit of the project with national and regional policies and plans for adaptation can be demonstrated	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



[Insert project name]

## Appendix 1 – Interviews

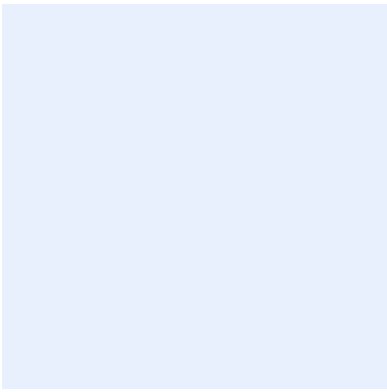
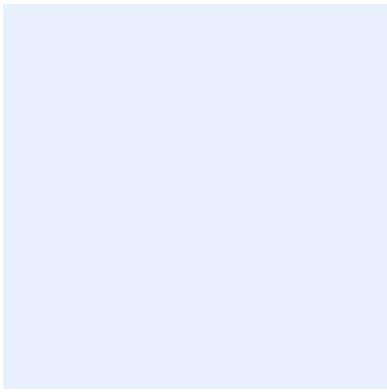
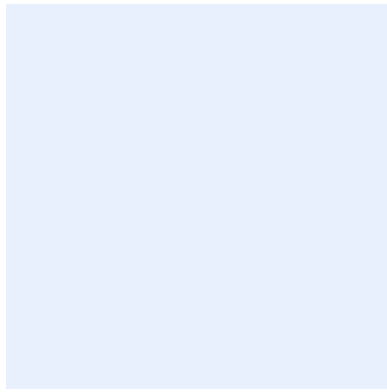
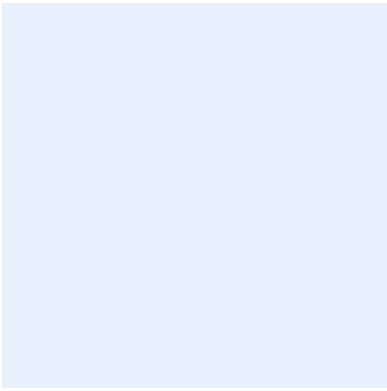
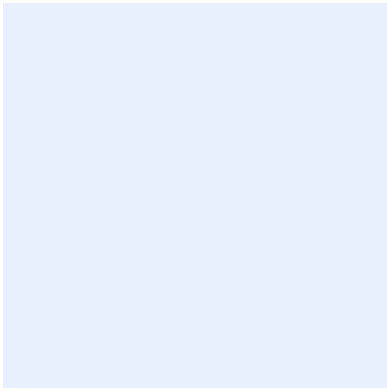
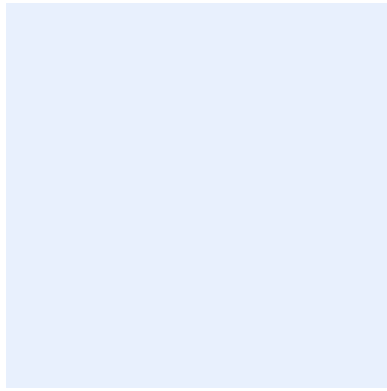
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## Appendix 2 – Documents

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## Appendix 3 – Photographs

		
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**Hydropower  
Sustainability**  
ESG Gap Analysis Tool

# Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool

May 2022

**Implementation Stage**

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[Insert project name]

# Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool



About the HESG	<p>The Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool (HESG) enables hydropower project proponents and investors to identify and address gaps against good international industry practice. The HESG is based on the assessment framework of the Hydropower Sustainability Assessment Protocol (HSAP) and draws from the definitions of good international industry practice of the Hydropower Sustainability Guidelines on Good International Industry Practice (HGIIIP). Projects that meet the good practice requirements of the HESG are eligible for certification against the Hydropower Sustainability Standard following the <i>Harmonisation with the Hydropower Sustainability Tools</i> process.</p>
Intended users and uses	<p>The HESG includes three separate stage tools: Preparation, Implementation and Operation. These reflect the different stages of hydropower development and have been designed to be used as standalone documents. Each tool provides an action plan to help project teams address any gaps against good practice.</p> <p>Official HESG assessments are carried out by accredited assessors, who take an evidence-based approach. All findings are supported by objective evidence, which is factual, reproducible, objective and verifiable. The HESG is most effective when operators and developers commit to implement the recommendations provided and resolve identified significant gaps. In addition, the tool is aligned with the safeguards and standards of international financial institutions and can be used to attract climate-aligned investment.</p> <p>Hydropower development and operation may involve public entities, private companies or combined partnerships, and responsibilities may change as the project progresses through its life cycle. It is intended that the organisation with the primary responsibility for a project at its particular life-cycle stage will have a central role in any HESG assessment.</p>
Structure of the tool	<p>The HESG comprises 12 sections that cover the environmental, social, governance and climate change topics of the HSAP and HGIIIP. A summary at the beginning of the report presents any significant gaps against basic good practice and outlines an action plan for improved performance. Within each section, requirements for good international industry practice are presented and project findings are provided. For each finding, a key indicates whether the requirement is met. A summary section analyses significant gaps and identifies each one with the symbol ●.</p>
Supporting resources	<p>Additional guidance on the structure, content and history of the HESG can be found online at: <a href="http://www.hydrosustainability.org">www.hydrosustainability.org</a></p>
Version date	<p>May 2022</p>

Implementation

[Insert project name]

## A. Assessment Details

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

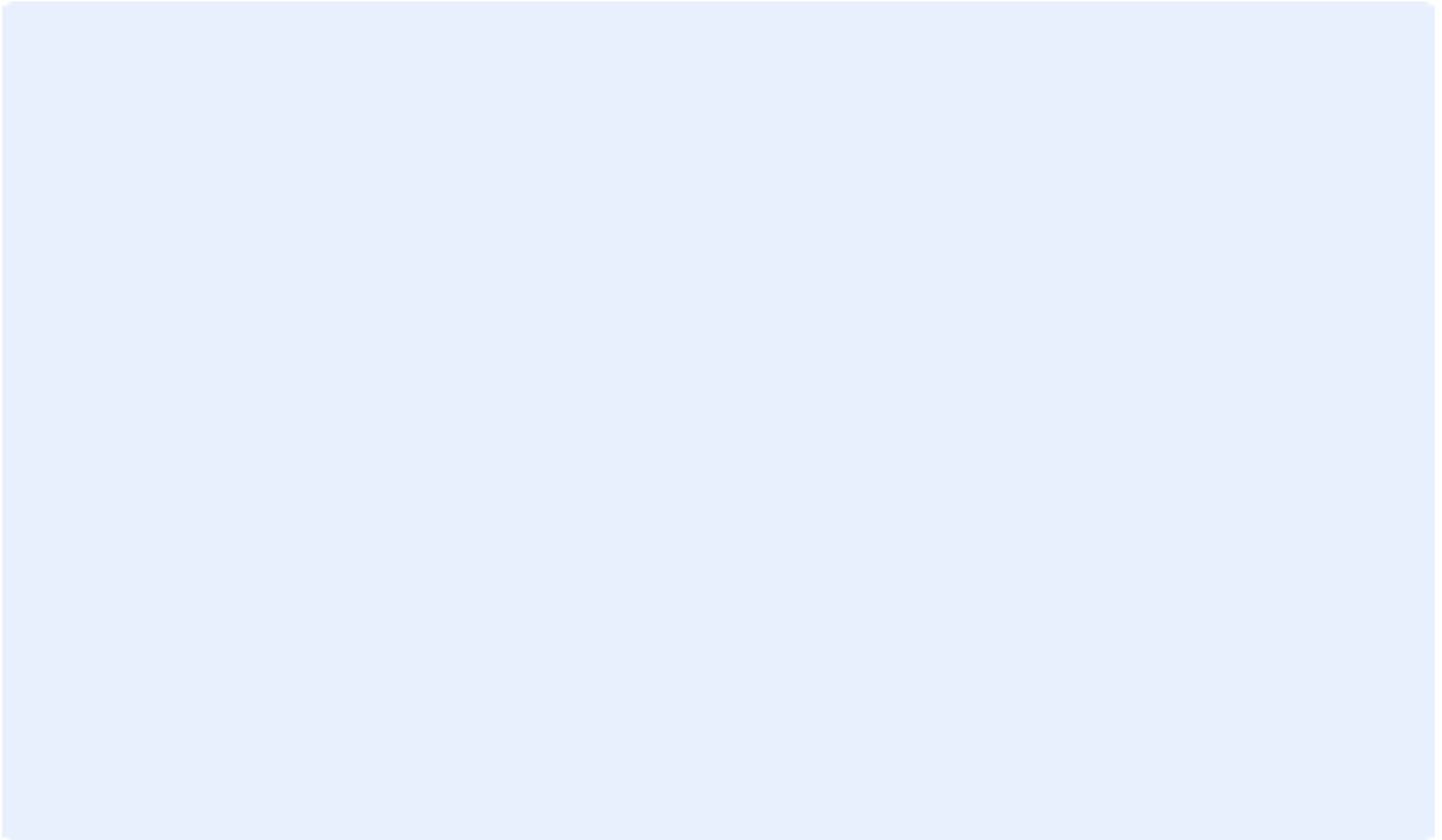
[Insert project name]

## B. 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) (km <sup>2</sup> )	
Average net head at FSL (m)	
Average flow (m <sup>3</sup> / s)	
Design flow (m <sup>3</sup> / s)	
Load factor	
Number of physically displaced households	
Power density (W / m <sup>2</sup> )	
Emissions intensity (gCO <sub>2</sub> e / kWh)	
Contacts / website	



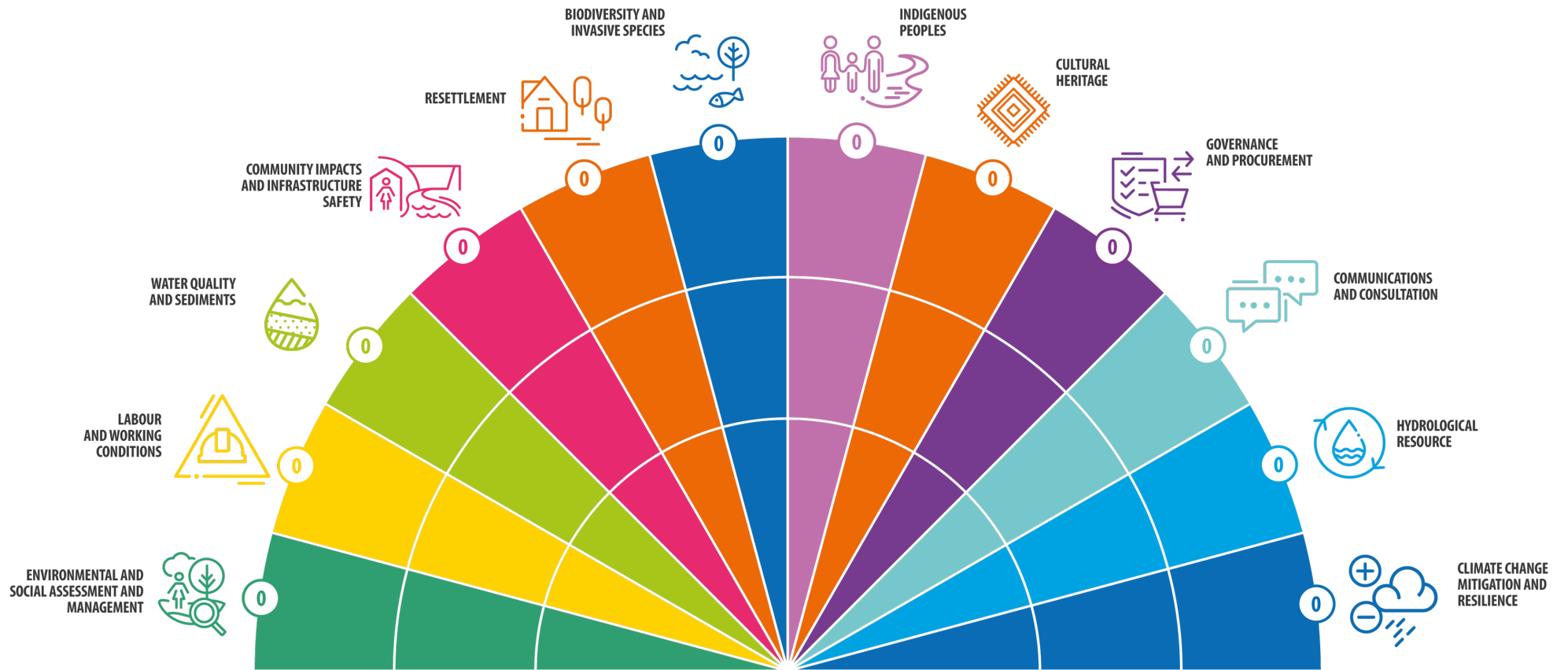
[Insert project name]



*Figure 1 – Map of dam site*

[Insert project name]

## C. HESG Gap Analysis Diagram



Implementation

[Insert project name]

## D. Significant gaps

List of significant gaps:		Sections											
		1. Environmental and Social Assessment and Management	2. Labour and Working Conditions	3. Water Quality and Sediment	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.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													
13.													
14.													
15.													
NUMBER OF SIGNIFICANT GAPS BY SECTION:													
TOTAL NUMBER OF SIGNIFICANT GAPS:													



[Insert project name]



# 1 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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>1.1 Assessment</b>		
Environmental and social issues have been identified through an assessment process:		
• relevant to project implementation	Choose an item.	Click here to enter text.
• relevant to project operation	Choose an item.	Click here to enter text.
Assessments address:		
• evaluation of associated facilities	Choose an item.	Click here to enter text.
• scoping of cumulative impacts	Choose an item.	Click here to enter text.
• role and capacity of third parties	Choose an item.	Click here to enter text.
• impacts associated with primary suppliers	Choose an item.	Click here to enter text.
Waste, noise and air quality issues have been identified through an assessment process:		
• relevant to project implementation	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• relevant to project operation	Choose an item.	Click here to enter text.
The assessments utilised appropriate expertise for:		
• environmental and social issues	Choose an item.	Click here to enter text.
• waste, noise and air quality	Choose an item.	Click here to enter text.
Monitoring is being undertaken during the project implementation stage appropriate to the following identified issues, for:		
• environmental and social issues	Choose an item.	Click here to enter text.
• waste, noise and air quality	Choose an item.	Click here to enter text.
<b>1.2 Management</b>		
Processes are in place to ensure management of identified environmental and social issues	Choose an item.	Click here to enter text.
Processes utilised appropriate expertise (internal and external)	Choose an item.	Click here to enter text.
Processes are in place to meet environmental and social commitments relevant to project implementation stage	Choose an item.	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	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing environmental and social issues management	Choose an item.	Click here to enter text.
The environmental and social impact assessment and key associated management plans are publicly disclosed	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing waste management	Choose an item.	Click here to enter text.
<b>1.3 Conformance and Compliance</b>		
Processes and objectives to manage each of the following have been and are on track to be met:		
• environmental and social management, with no major non-compliances	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• environmental and social management, with no major non-conformances	Choose an item.	Click here to enter text.
• waste, noise and air quality, with no major non-compliances	Choose an item.	Click here to enter text.
• waste, noise and air quality, with no major non-conformances	Choose an item.	Click here to enter text.
Environmental and social commitments have been or are on track to be met	Choose an item.	Click here to enter text.
Environmental and social funding commitments have been or are on track to be met	Choose an item.	Click here to enter text.
Any waste, noise and air quality-related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>1.4 Outcomes</b>		
Negative environmental and social impacts of the project are avoided, minimised and mitigated with no significant gaps	Choose an item.	Click here to enter text.
The project or the corporate entity to which it belongs can pay for social and environmental plans and commitments	Choose an item.	Click here to enter text.
Negative noise and air quality impacts arising from project activities are avoided, minimised and mitigated with no significant gaps	Choose an item.	Click here to enter text.
Project wastes managed responsibly	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>





## 2 Labour and Working Conditions

<b>Scope and Principle</b>
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.

<b>Background</b>	
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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>2.1 Assessment</b>		
Human resources and labour management requirements have been identified through an assessment process	Choose an item.	Click here to enter text.
The assessment included occupational health and safety issues and risks	Choose an item.	Click here to enter text.
Processes are in place to identify any emerging or ongoing issues	Choose an item.	Click here to enter text.
Processes are in place to monitor if management measures are effective	Choose an item.	Click here to enter text.
<b>2.2 Management</b>		
Human resource and labour management policies, plans and processes are in place that address all labour management planning components	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Human resource and labour management policies, plans and processes of contractors, subcontractors and intermediaries are in place	Choose an item.	Click here to enter text.
<b>2.3 Conformance and Compliance</b>		
Processes and objectives relating to human resource and labour management have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any labour related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>2.4 Outcomes</b>		
There are no identified inconsistencies of labour management policies, plans and practices with internationally recognised labour rights	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]



### 3 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	
<b>Water Quality</b>	
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.
<b>Sedimentology</b>	
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.
<b>Other information</b>	Click here to enter text.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>3.1 Assessment</b>		
The following issues have been identified through an assessment process:		
• water quality issues relevant to project implementation	Choose an item.	Click here to enter text.
• water quality issues relevant to project operation	Choose an item.	Click here to enter text.
• erosion and sedimentation issues relevant to project implementation	Choose an item.	Click here to enter text.
• erosion and sedimentation issues relevant to project operation	Choose an item.	Click here to enter text.

Implementation

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
The above processes utilised appropriate expertise for:		
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
Monitoring is being undertaken during the project implementation stage appropriate to the following identified issues:		
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
<b>3.2 Management</b>		
Processes are in place to ensure management of identified water quality issues, and to meet commitments, relevant to the project implementation stage	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing water quality issues management	Choose an item.	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	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing erosion and sedimentation issues management	Choose an item.	Click here to enter text.
<b>3.3 Conformance and Compliance</b>		
Processes and objectives in place to manage each of the following have been and are on track to be met:		
• water quality, with no major non-compliances	Choose an item.	Click here to enter text.
• water quality, with no major non-conformances	Choose an item.	Click here to enter text.
• erosion and sedimentation, with no major non-compliances	Choose an item.	Click here to enter text.
• erosion and sedimentation, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments relating to the following have been or are on track to be met:		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
<b>3.4 Outcomes</b>		
Negative water quality impacts arising from project implementation are avoided, minimised and mitigated	Choose an item.	Click here to enter text.
Erosion and sedimentation issues during project implementation are avoided, minimised and mitigated	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]

## 4 Community Impacts and Infrastructure Safety



Scope and Principle
<p>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.</p>

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 (m <sup>3</sup> / s)	Click here to enter text.
Design flood (expressed as estimated flood with return period)	Click here to enter text.
Spillway capacity (m <sup>3</sup> / 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 (m <sup>3</sup> / 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.

[Insert project name]

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>4.1 Assessment</b>		
<b>Community Impacts and Benefits</b>		
Issues relating to project-affected communities have been identified through an assessment process	Choose an item.	Click here to enter text.
This assessment utilised local knowledge	Choose an item.	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	Choose an item.	Click here to enter text.
Opportunities to increase the development contribution of the project through additional benefits and/or benefit sharing have been assessed	Choose an item.	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	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Dam and other infrastructure safety risks relevant to project implementation have been identified through an assessment process	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Dam and other infrastructure safety risks relevant to project operation have been identified through an assessment process	Choose an item.	Click here to enter text.
Safety monitoring is being undertaken during the project implementation stage appropriate to the identified issues	Choose an item.	Click here to enter text.
Public health issues relevant to project implementation have been identified through an assessment process	Choose an item.	Click here to enter text.
Public health issues relevant to project operation have been identified through an assessment process	Choose an item.	Click here to enter text.
The public health assessment processes utilised appropriate expertise	Choose an item.	Click here to enter text.
Monitoring is being undertaken during the project implementation stage appropriate to the identified public health issues	Choose an item.	Click here to enter text.
<b>4.2 Management</b>		
<b>Community Impacts and Benefits</b>		
Measures are in place to address identified issues that affect project-affected communities and meet commitments made to address these issues	Choose an item.	Click here to enter text.
If there are any formal agreements with project-affected communities these are publicly disclosed	Choose an item.	Click here to enter text.
Measures are in place to deliver commitments by the project to additional benefits or benefit sharing	Choose an item.	Click here to enter text.
Commitments to project benefits are publicly disclosed	Choose an item.	Click here to enter text.



[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>Infrastructure Safety and Public Health</b>		
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	Choose an item.	Click here to enter text.
Processes include communication of public safety measures	Choose an item.	Click here to enter text.
A formal quality control programme is in place for construction	Choose an item.	Click here to enter text.
Safety management plans for the operation stage have been developed	Choose an item.	Click here to enter text.
These plans have been developed in conjunction with relevant regulatory and local authorities	Choose an item.	Click here to enter text.
Emergency response plans include awareness and training programmes and emergency response simulations	Choose an item.	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	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing public health issues management	Choose an item.	Click here to enter text.
These plans include hand-over to local authorities as appropriate	Choose an item.	Click here to enter text.
<b>4.3 Conformance and Compliance</b>		
<b>Community Impacts and Benefits</b>		
Processes and objectives in place to manage the following have been and are on track to be met:		
<ul style="list-style-type: none"> <li>project-affected communities' issues, with no major non-compliances</li> </ul>	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• project-affected communities' issues, with no major non-conformances	Choose an item.	Click here to enter text.
• project benefits, with no major non-compliances	Choose an item.	Click here to enter text.
• project benefits, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments have been or are on track to be met relating to:		
• project-affected communities	Choose an item.	Click here to enter text.
• project benefits	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Processes and objectives in place to manage the following have been and are on track to be met:		
• dam and other infrastructure safety, with no major non-compliances	Choose an item.	Click here to enter text.
• dam and other infrastructure safety, with no major non-conformances	Choose an item.	Click here to enter text.
• public health issues, with no major non-compliances	Choose an item.	Click here to enter text.
• public health issues, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments have been or are on track to be met relating to:		
• dam and other infrastructure safety	Choose an item.	Click here to enter text.
• public health	Choose an item.	Click here to enter text.
<b>4.4 Outcomes</b>		
<b>Community Impacts and Benefits</b>		
Livelihoods and living standards impacted by the project have been or are on track to be improved	Choose an item.	Click here to enter text.
Economic displacement is fairly compensated, preferably through provision of comparable goods, property or services	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Communities directly affected by the development of the hydropower project have received or are on track to receive benefits	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Safety risks have been avoided, minimised and mitigated with no significant gaps	Choose an item.	Click here to enter text.
Negative public health impacts arising from project activities are avoided, minimised and mitigated	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]

## 5 Resettlement



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.

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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>5.1 Assessment</b>		
An assessment of the resettlement implications of the project has been undertaken	Choose an item.	Click here to enter text.
This assessment establishes the pre-project socio-economic baseline for resettlees and host communities	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Monitoring is being undertaken of implementation of the resettlement plans, and to see if commitments made to resettles and host communities have been delivered and are effective and to identify any ongoing or emerging issues	Choose an item.	Click here to enter text.
<b>5.2 Management</b>		
Measures to address resettlement are documented in a Resettlement Action Plan	Choose an item.	Click here to enter text.
Measures are in place to deliver commitments to resettles and host communities	Choose an item.	Click here to enter text.
Measures are in place to manage any issues relating to resettlement, including provision of grievance mechanisms	Choose an item.	Click here to enter text.
Formal agreements with resettles and host communities are publicly disclosed	Choose an item.	Click here to enter text.
<b>5.3 Conformance and Compliance</b>		
Processes and objectives in the Resettlement Action Plan have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any resettlement related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>5.4 Outcomes</b>		
Resettlement has been and is being treated in a fair and equitable manner	Choose an item.	Click here to enter text.
Resettles 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	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>

[Insert project name]



## 6 Biodiversity and Invasive Species

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>6.1 Assessment</b>		
Biodiversity issues relevant to project implementation have been identified through an assessment process	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Biodiversity issues relevant to project operation have been identified through an assessment process	Choose an item.	Click here to enter text.
The above assessments utilised appropriate expertise	Choose an item.	Click here to enter text.
Monitoring is being undertaken during the project implementation stage appropriate to the identified issues	Choose an item.	Click here to enter text.
<b>6.2 Management</b>		
Processes are in place to ensure management of identified biodiversity issues, and to meet commitments, relevant to the project implementation stage	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing biodiversity issues management	Choose an item.	Click here to enter text.
<b>6.3 Conformance and Compliance</b>		
Processes and objectives in place to manage biodiversity issues have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Biodiversity related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>6.4 Outcomes</b>		
Negative biodiversity impacts arising from project activities are avoided, minimised, mitigated and compensated with no significant gaps	Choose an item.	Click here to enter text.



[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>

[Insert project name]

## 7 Indigenous Peoples



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	<a href="#">Click here to enter text.</a>
No, this section is not relevant	<a href="#">Click here to enter text.</a>

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

Agencies relevant to Indigenous Peoples	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>7.1 Assessment</b>		
Issues that may affect Indigenous Peoples' rights in relation to the project have been identified through an assessment process	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>

[Insert project name]

Requirement	Requirement is met: yes (✓) or no ✗	Findings and Observations
This process utilised local knowledge and expertise	Choose an item.	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	Choose an item.	Click here to enter text.
<b>7.2 Management</b>		
Measures are in place to address the Indigenous Peoples' rights at risk in relation to the project	Choose an item.	Click here to enter text.
Formal commitments are publicly disclosed	Choose an item.	Click here to enter text.
<b>7.3 Stakeholder Engagement</b>		
Channels of communication with Indigenous Peoples are maintained	Choose an item.	Click here to enter text.
These channels are:		
• appropriately timed	Choose an item.	Click here to enter text.
• culturally appropriate	Choose an item.	Click here to enter text.
• two-way	Choose an item.	Click here to enter text.
Ongoing processes are in place for Indigenous Peoples to raise issues and get feedback	Choose an item.	Click here to enter text.
A mutually-agreed disputes procedure is in place	Choose an item.	Click here to enter text.
<b>7.4 Stakeholder Support</b>		
Free, Prior and Informed Consent has been achieved with respect to the Indigenous Peoples' rights at risk following the principle of proportionality	Choose an item.	Click here to enter text.
<b>7.5 Conformance and Compliance</b>		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no ✗	Findings and Observations
Processes and objectives relating to Indigenous Peoples' rights at risk have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any Indigenous Peoples related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>7.6 Outcomes</b>		
Plans provide for negative impacts of the project to Indigenous Peoples' rights to be avoided, minimised, mitigated or compensated with no significant gaps	Choose an item.	Click here to enter text.
Plans provide some practicable opportunities for positive impacts to be achieved	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]



## 8 Cultural Heritage

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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>8.1 Assessment</b>		
Cultural heritage issues, with respect to physical cultural resources, that are relevant to project implementation have been identified through an assessment process	Choose an item.	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	Choose an item.	Click here to enter text.
The assessments utilised appropriate expertise	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Monitoring is being undertaken during the project implementation stage appropriate to the identified issues	Choose an item.	Click here to enter text.
<b>8.2 Management</b>		
Processes are in place to ensure management of identified cultural heritage issues, and to meet commitments, relevant to the project implementation stage	Choose an item.	Click here to enter text.
Plans are in place for the operation stage for ongoing cultural heritage issues management	Choose an item.	Click here to enter text.
<b>8.3 Conformance and Compliance</b>		
Processes and objectives in place to manage cultural heritage issues have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Cultural heritage related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>8.4 Outcomes</b>		
Negative cultural heritage impacts arising from project implementation are avoided, minimised, mitigated and compensated with no significant gaps	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Choose an item.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 9 Governance and Procurement

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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>9.1 Assessment</b>		
Processes are in place to identify:		
• ongoing or emerging political and public sector governance issues	Choose an item.	Click here to enter text.
• ongoing or emerging corporate governance requirements and issues	Choose an item.	Click here to enter text.
• major supply needs, supply sources, relevant legislation and guidelines, supply chain risks and corruption risks	Choose an item.	Click here to enter text.
Processes are in place to monitor if corporate governance measures are effective	Choose an item.	Click here to enter text.
Ongoing monitoring is being undertaken to monitor effectiveness of procurement plans and processes	Choose an item.	Click here to enter text.



[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>9.2 Management</b>		
Processes are in place to manage:		
• corporate, political and public sector risks	Choose an item.	Click here to enter text.
• compliance	Choose an item.	Click here to enter text.
• social and environmental responsibility	Choose an item.	Click here to enter text.
• procurement of goods and services	Choose an item.	Click here to enter text.
• grievance mechanisms	Choose an item.	Click here to enter text.
• ethical business practices	Choose an item.	Click here to enter text.
• transparency	Choose an item.	Click here to enter text.
Policies and processes are communicated internally and externally as appropriate	Choose an item.	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	Choose an item.	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	Choose an item.	Click here to enter text.
<b>9.3 Conformance and Compliance</b>		
The project has no major non-compliances relating to governance	Choose an item.	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	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any procurement related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>9.4 Outcomes</b>		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
There are no significant unresolved corporate and external governance issues identified	Choose an item.	Click here to enter text.
Procurement of works, goods and services across major project components is:		
• equitable	Choose an item.	Click here to enter text.
• efficient	Choose an item.	Click here to enter text.
• transparent	Choose an item.	Click here to enter text.
• accountable	Choose an item.	Click here to enter text.
• ethical	Choose an item.	Click here to enter text.
• timely	Choose an item.	Click here to enter text.
Contracts are progressing or have been concluded within budget or changes on contracts are clearly justifiable	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



## 10 Communications and Consultation

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	<a href="#">Click here to enter text.</a>
Directly affected institutional-level stakeholders	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>10.1 Assessment</b>		
Communications and consultation requirements and approaches have been identified through an assessment process	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
The assessment process involved stakeholder mapping	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
The assessment process was supported by ongoing monitoring	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
<b>10.2 Management</b>		
Communications and consultation plans and processes are in place to manage communications and engagement with stakeholders	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
These outline communication and consultation needs and approaches for various stakeholder groups and topics	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Plans and processes that are in place include an appropriate grievance mechanism	Choose an item.	Click here to enter text.
<b>10.3 Stakeholder Engagement</b>		
The project implementation stage involves engagement with directly affected stakeholders	Choose an item.	Click here to enter text.
Engagement is:		
• appropriately timed and scoped	Choose an item.	Click here to enter text.
• often two-way	Choose an item.	Click here to enter text.
• undertaken in good faith	Choose an item.	Click here to enter text.
The business interacts with a range of directly affected stakeholders to understand issues of interest to them	Choose an item.	Click here to enter text.
Ongoing processes are in place for stakeholders to raise issues and get feedback	Choose an item.	Click here to enter text.
Ongoing processes are in place for:		
• environmental and social issues	Choose an item.	Click here to enter text.
• project-affected communities	Choose an item.	Click here to enter text.
• resettles and host communities	Choose an item.	Click here to enter text.
• employees and contractors to raise human resources and labour management issues	Choose an item.	Click here to enter text.
• management of climate risks	Choose an item.	Click here to enter text.
Public disclosure:		
• the business makes significant project reports publicly available	Choose an item.	Click here to enter text.
• the business publicly reports on project performance, in some sustainability areas	Choose an item.	Click here to enter text.
• power density calculations, estimated GHG emissions, and / or the results of a site-specific assessment have been publicly disclosed	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>10.4 Stakeholder Support</b>		
Affected communities generally support or have no major ongoing opposition to the plans for the issues that specifically affect their community	Choose an item.	Click here to enter text.
Resettlees and host communities generally support or have no major on-going opposition to the Resettlement Action Plan	Choose an item.	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	Choose an item.	Click here to enter text.
<b>10.5 Conformance and Compliance</b>		
Processes and objectives relating to communications and consultation have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Communications related commitments have been or are on track to be met	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



## 11 Hydrological Resource

<p><b>Scope and Principle</b></p> <p>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.</p>
--

<b>Background</b>	
<b>Hydrology and flows</b>	
Average flow at dam (m <sup>3</sup> / s)	Click here to enter text.
Minimum monthly average flow (m <sup>3</sup> / s)	Click here to enter text.
Maximum monthly average flow (m <sup>3</sup> / s)	Click here to enter text.
Lowest observed flow (m <sup>3</sup> / s)	Click here to enter text.
Highest observed flow (m <sup>3</sup> / s)	Click here to enter text.
Design flow (m <sup>3</sup> / 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.
<b>Reservoir</b>	
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 (km <sup>2</sup> )	Click here to enter text.
Reservoir area at MOL (km <sup>2</sup> )	Click here to enter text.
Volume at FSL (million m <sup>3</sup> )	Click here to enter text.
Volume at MOL (million m <sup>3</sup> )	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.
<b>Other relevant information</b>	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>11.1 Assessment</b>		
The following issues have been identified through an assessment process:		
• the important considerations prior to and during reservoir filling	Choose an item.	Click here to enter text.
• the important considerations during reservoir operations	Choose an item.	Click here to enter text.
• issues in relation to flow regimes downstream of project infrastructure during the project implementation stage	Choose an item.	Click here to enter text.
Monitoring is being undertaken during the project implementation stage appropriate to the following identified issues:		
• reservoir preparation and filling	Choose an item.	Click here to enter text.
• effectiveness of flow management measures or any emerging downstream flow issues during project implementation	Choose an item.	Click here to enter text.
<b>11.2 Management</b>		
Measures are in place to address identified needs during reservoir preparation and filling	Choose an item.	Click here to enter text.
Plans are in place to manage the reservoir and any associated issues for the operating hydropower facility	Choose an item.	Click here to enter text.
Measures are in place to manage identified downstream flow issues	Choose an item.	Click here to enter text.
Where formal downstream flow commitments have been made, these are publicly disclosed	Choose an item.	Click here to enter text.
<b>11.3 Conformance and Compliance</b>		
Processes and objectives in place to manage each of the following have been and are on track to be met:		
• reservoir management, with no major non-compliances	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• reservoir management, with no major non-conformances	Choose an item.	Click here to enter text.
• downstream flow regimes, with no major non-compliances	Choose an item.	Click here to enter text.
• downstream flow regimes, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments relating to the following have been or are on track to be met:		
• reservoir management	Choose an item.	Click here to enter text.
• downstream flow regimes	Choose an item.	Click here to enter text.
<b>11.4 Outcomes</b>		
Downstream flow regimes take into account environmental, social and economic objectives	Choose an item.	Click here to enter text.
Where relevant, they also take into account agreed transboundary objectives	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



## 12 Climate Change Mitigation and Resilience



<b>Scope and Principle</b>
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.

<b>Background</b>	
<b>Climate Change Mitigation</b>	
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) (km <sup>2</sup> ) (or additional reservoir area if any, for expansion/rehabilitation projects)	Click here to enter text.
Power density (W / m <sup>2</sup> )	Click here to enter text.
Emissions intensity (gCO <sub>2</sub> e / kWh)	Click here to enter text.
National and regional policies, plans and commitments relevant to mitigation	Click here to enter text.
<b>Climate Change Resilience</b>	
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.
<b>Other relevant information</b>	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>12.1 Assessment</b>		
<b>Climate Change Mitigation</b>		
If power density is below 5 W/m <sup>2</sup> , net GHG emissions (gCO <sub>2</sub> e) of electricity generation have been estimated and independently verified	Choose an item.	Click here to enter text.
If power density is below 5 W/m <sup>2</sup> and estimated emissions are above 100 gCO <sub>2</sub> e/kWh, a site-specific assessment of GHG emissions has been undertaken	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
An assessment of the project's resilience to climate change has been undertaken	Choose an item.	Click here to enter text.
The assessment:		
<ul style="list-style-type: none"> <li>incorporates an assessment of plausible climate change at the project site</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>identifies a range of climatological and hydrological conditions at the project site</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>applies these conditions in a documented risk assessment or stress test</li> </ul>	Choose an item.	Click here to enter text.
The risk assessment or stress test encompasses:		
<ul style="list-style-type: none"> <li>dam safety</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>other infrastructural resilience</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>environmental and social risks</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>power generation availability</li> </ul>	Choose an item.	Click here to enter text.
<b>12.2 Management</b>		
<b>Climate Change Mitigation</b>		
If GHG emissions estimates assume design and management measures relevant to the implementation stage, these measures are in place	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>Climate Change Resilience</b>		
Measures relevant to the implementation stage are in place to avoid or reduce the identified climate risks	Choose an item.	Click here to enter text.
<b>12.3 Conformance and Compliance</b>		
<b>Climate Change Mitigation</b>		
Processes and objectives relating to mitigation have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Mitigation-related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
Processes and objectives relating to resilience have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Resilience-related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>12.4 Outcomes</b>		
<b>Climate Change Mitigation</b>		
The project's GHG emissions are demonstrated to be consistent with low carbon power generation	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
Plans will deliver a project that is resilient to climate change under a range of scenarios	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>

[Insert project name]

## Appendix 1 – Interviews

Ref	Interviewee/s, Position	Organisation	Date	Location
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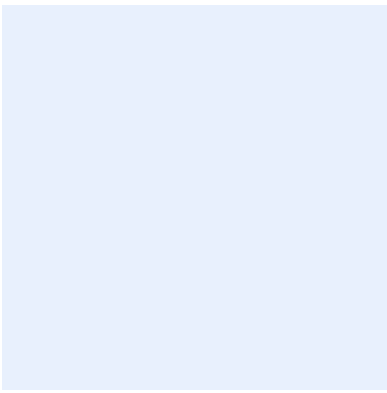
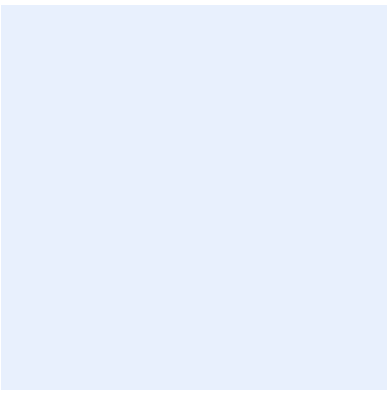
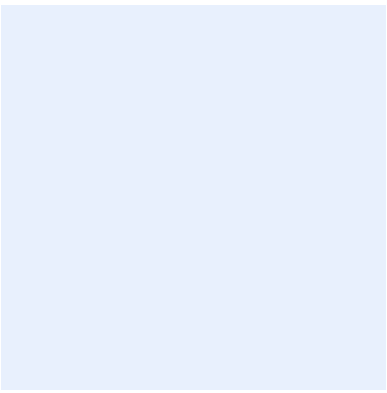
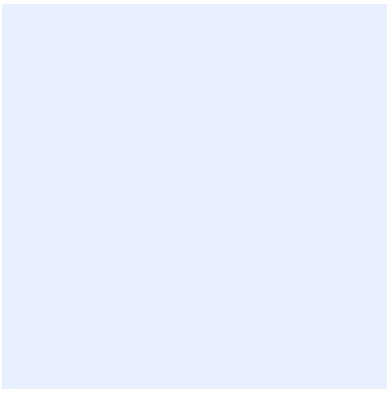
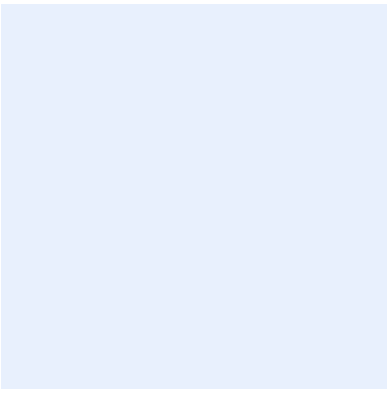

[Insert project name]

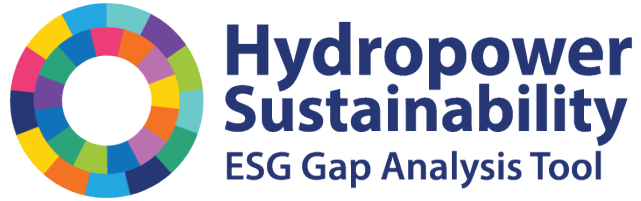
## Appendix 2 – Documents

Ref	Author	Year	Title	Notes / links / language
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[Insert project name]

## Appendix 3 - Photographs

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



# Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool

May 2022

Operation Stage



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# Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool



About the HESG	<p>The Hydropower Sustainability Environmental, Social and Governance Gap Analysis Tool (HESG) enables hydropower project proponents and investors to identify and address gaps against good international industry practice. The HESG is based on the assessment framework of the Hydropower Sustainability Assessment Protocol (HSAP) and draws from the definitions of good international industry practice of the Hydropower Sustainability Guidelines on Good International Industry Practice (HGIIIP). Projects that meet the good practice requirements of the HESG are eligible for certification against the Hydropower Sustainability Standard following the <i>Harmonisation with the Hydropower Sustainability Tools</i> process.</p>
Intended users and uses	<p>The HESG includes three separate stage tools: Preparation, Implementation and Operation. These reflect the different stages of hydropower development and have been designed to be used as standalone documents. Each tool provides an action plan to help project teams address any gaps against good practice.</p> <p>Official HESG assessments are carried out by accredited assessors, who take an evidence-based approach. All findings are supported by objective evidence, which is factual, reproducible, objective and verifiable. The HESG is most effective when operators and developers commit to implement the recommendations provided and resolve identified significant gaps. In addition, the tool is aligned with the safeguards and standards of international financial institutions and can be used to attract climate-aligned investment.</p> <p>Hydropower development and operation may involve public entities, private companies or combined partnerships, and responsibilities may change as the project progresses through its life cycle. It is intended that the organisation with the primary responsibility for a project at its particular life-cycle stage will have a central role in any HESG assessment.</p>
Structure of the tool	<p>The HESG comprises 12 sections that cover the environmental, social, governance and climate change topics of the HSAP and HGIIIP. A summary at the beginning of the report presents any significant gaps against basic good practice and outlines an action plan for improved performance. Within each section, requirements for good international industry practice are presented and project findings are provided. For each finding, a key indicates whether the requirement is met. A summary section analyses significant gaps and identifies each one with the symbol ●.</p>
Supporting resources	<p>Additional guidance on the structure, content and history of the HESG can be found online at: <a href="http://www.hydrosustainability.org">www.hydrosustainability.org</a></p>
Version date	<p>May 2022</p>

[Insert project name]

## A. Assessment Details

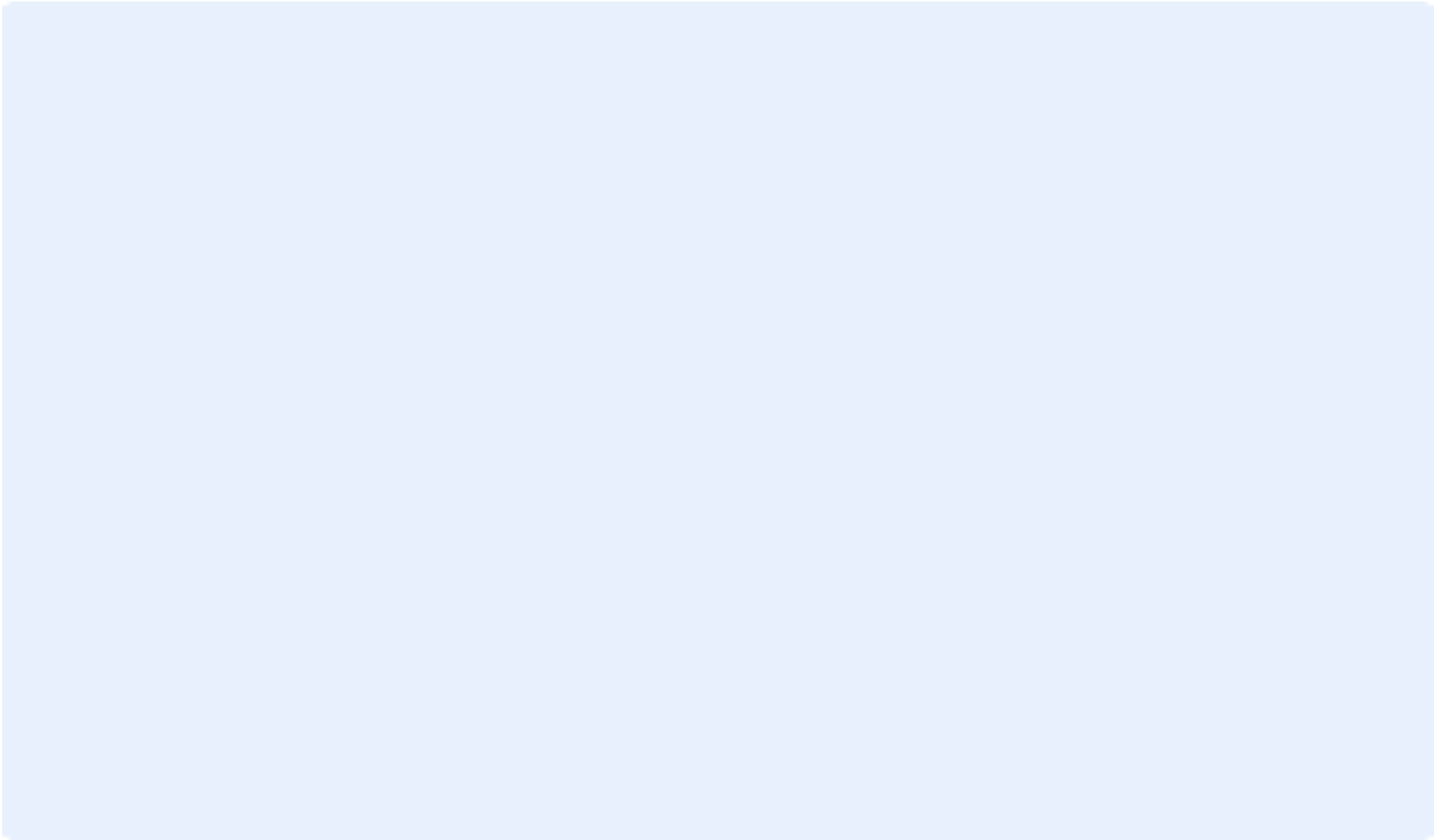
Project sponsor	
Assessor(s)	
Assessment objective	
Assessment dates	
Assessment report date	
Prepared for	
Limitations of the assessment	

[Insert project name]

## B. 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) (km <sup>2</sup> )	
Average net head at FSL (m)	
Average flow (m <sup>3</sup> / s)	
Design flow (m <sup>3</sup> / s)	
Load factor	
Number of physically displaced households	
Power density (W / m <sup>2</sup> )	
Emissions intensity (gCO <sub>2</sub> e / kWh)	
Contacts / website	

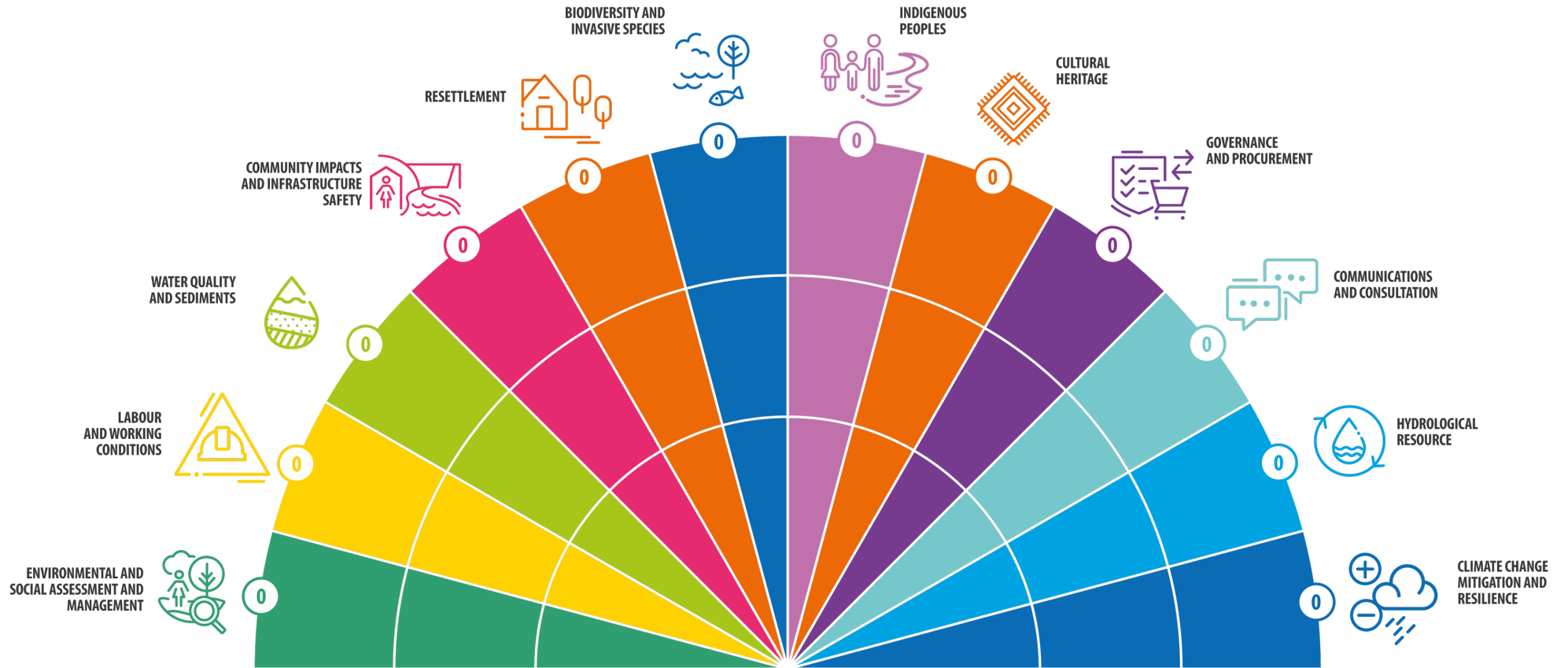
[Insert project name]



*Figure 1 – Map of dam site*

[Insert project name]

### C. HESG Gap Analysis Diagram



[Insert project name]

## D. Significant gaps

List of significant gaps:		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.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													
13.													
14.													
15.													
NUMBER OF SIGNIFICANT GAPS BY SECTION:													
TOTAL NUMBER OF SIGNIFICANT GAPS:													

Operation





[Insert project name]



# 1 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 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 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.
Describe the non-physical cultural heritage in the project area	Click here to enter text.
Other relevant information	Click here to enter text.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>1.1 Assessment</b>		
Systematic processes are in place to identify any ongoing or emerging environmental and social issues associated with the operating hydropower facility	Choose an item.	Click here to enter text.
The processes utilise appropriate expertise	Choose an item.	Click here to enter text.
Monitoring programmes are in place for identified issues	Choose an item.	Click here to enter text.
<b>1.2 Management</b>		
Environmental and social management system is in place to manage measures to	Choose an item.	Click here to enter text.

Operation

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
address identified environmental and social issues		
This management system is implemented utilising appropriate expertise (internal and external)	Choose an item.	Click here to enter text.
<b>1.3 Conformance and Compliance</b>		
Processes and objectives in environmental and social management plans have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Environmental and social commitments have been or are on track to be met	Choose an item.	Click here to enter text.
Environmental and social funding commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>1.4 Outcomes</b>		
Negative environmental and social impacts associated with hydropower facility operations are avoided, minimised and mitigated with no significant gaps	Choose an item.	Click here to enter text.
Land disturbance associated with development of the hydropower project is rehabilitated or mitigated	Choose an item.	Click here to enter text.
The operating hydropower facility or the corporate entity to which it belongs can pay for social and environmental commitments	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 2 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 operation (full-time equivalent)	<a href="#">Click here to enter text.</a>
Applicable key human resources regulations	<a href="#">Click here to enter text.</a>
Applicable key occupational health and safety (OH&S) regulations	<a href="#">Click here to enter text.</a>
Identify the regulator for labour law and OH&S	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>2.1 Assessment</b>		
A periodically updated assessment has been undertaken of human resource and labour management requirements for the operating facility	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
The assessment included project occupational health and safety issues, risks, and management measures	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
Monitoring is being undertaken to assess if management measures are effective	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
Ongoing or emerging labour management issues have been identified	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
<b>2.2 Management</b>		
Human resource and labour management policies, plans and processes are in place to	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
address all labour management planning components		
Human resource and labour management policies, plans and processes of contractors, subcontractors and intermediaries are in place	Choose an item.	Click here to enter text.
<b>2.3 Conformance and Compliance</b>		
Processes and objectives relating to human resource and labour management have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Choose an item.
• no major non-conformances	Choose an item.	Choose an item.
Any labour related commitments have been or are on track to be met	Choose an item.	Choose an item.
<b>2.4 Outcomes</b>		
There are no identified inconsistencies of labour management policies, plans and practices with internationally recognised labour rights	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



### 3 Water Quality and Sediments

Scope and Principle
This section addresses the management of water quality, erosion and sedimentation issues associated with the operating hydropower facility. The principle is that water quality in the vicinity of the operating hydropower facility is not adversely impacted by activities of the operator, 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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
3.1 Assessment		
Ongoing or emerging issues have been identified in the following areas:		
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
If management measures are required then monitoring is being undertaken to assess if management measures are effective for:		
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
3.2 Management		
Measures are in place to manage the following identified issues:		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
<b>3.3 Conformance and Compliance</b>		
Processes and objectives in place to manage each of the following have been and are on track to be met:		
• water quality, with no major non-compliances	Choose an item.	Click here to enter text.
• water quality, with no major non-conformances	Choose an item.	Click here to enter text.
• erosion and sedimentation, with no major non-compliances	Choose an item.	Click here to enter text.
• erosion and sedimentation, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments related to the following have been or are on track to be met:		
• water quality	Choose an item.	Click here to enter text.
• erosion and sedimentation	Choose an item.	Click here to enter text.
<b>3.4 Outcomes</b>		
Negative water quality impacts arising from activities of the operating hydropower facility are avoided, minimised and mitigated	Choose an item.	Click here to enter text.
Erosion and sedimentation issues are avoided, minimised and mitigated	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>





## 4 Community Impacts and Infrastructure Safety

Scope and Principle
<p>This section addresses how impacts of development of the hydropower facility on project-affected communities have been addressed, in cases where these commitments are well-documented against a pre-project baseline. These impacts include 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 facility. The principle is that livelihoods and living standards impacted by the project have been improved relative to pre-project conditions for project-affected communities, that commitments to project-affected communities have been fulfilled, 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.</p>

Background	
<p>In the case of older projects, are there well-documented commitments in relation to project-affected communities and/or projects benefits made at the time of project approval and/or data on the pre-project baseline against which to compare post-project?</p>	
<p>Yes, all scoring statements are relevant</p>	<p><a href="#">Click here to enter text.</a></p>
<p>No, scoring statements on project affected communities and/or project benefits are not relevant (in this case, issues in relation to these topics should be taken into consideration under Section 1 – Environmental and Social Issues Management)</p>	<p><a href="#">Click here to enter text.</a></p>

Community Impacts and Benefits	
<p>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)</p>	<p><a href="#">Click here to enter text.</a></p>
<p>Agencies relevant to land acquisition</p>	<p><a href="#">Click here to enter text.</a></p>
<p>Agencies relevant to livelihood restoration and project benefits</p>	<p><a href="#">Click here to enter text.</a></p>
Infrastructure Safety and Public Health	
<p>Type of dam</p>	<p><a href="#">Click here to enter text.</a></p>
<p>Dam height (m)</p>	<p><a href="#">Click here to enter text.</a></p>
<p>Probable maximum flood (m<sup>3</sup> / s)</p>	<p><a href="#">Click here to enter text.</a></p>
<p>Design flood (expressed as estimated flood with return period)</p>	<p><a href="#">Click here to enter text.</a></p>

[Insert project name]

Spillway capacity (m <sup>3</sup> / s)	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 (m <sup>3</sup> / 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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>4.1 Assessment</b>		
<b>Community Impacts and Benefits</b>		
Monitoring is being undertaken to assess if the following commitments have been delivered and if management measures are effective:		
• commitments to project-affected communities	Choose an item.	Click here to enter text.
• commitments to project benefits	Choose an item.	Click here to enter text.
Ongoing or emerging issues relating to the following have been identified:		
• issues that affect project-affected communities	Choose an item.	Click here to enter text.
• delivery of project benefits	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Ongoing or emerging issues relating to the following have been identified:		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• dam and other infrastructure safety	Choose an item.	Click here to enter text.
• public health issues associated with the operating hydropower facility	Choose an item.	Click here to enter text.
Routine monitoring of dam and infrastructure safety is being undertaken to identify risks and assess the effectiveness of management measures	Choose an item.	Click here to enter text.
If public health issues require management measures then monitoring is being undertaken to assess if management measures are effective	Choose an item.	Click here to enter text.
<b>4.2 Management</b>		
<b>Community Impacts and Benefits</b>		
Measures are in place to deliver commitments:		
• to project-affected communities	Choose an item.	Click here to enter text.
• to project benefits	Choose an item.	Click here to enter text.
Measures are in place to manage any identified issues relating to these commitments:		
• to project-affected communities	Choose an item.	Click here to enter text.
• to project benefits	Choose an item.	Click here to enter text.
If there are any formal agreements with project-affected communities, these are publicly disclosed	Choose an item.	Click here to enter text.
Commitments to project benefits are publicly disclosed	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Dam and other infrastructure safety management plans and processes have been developed in conjunction with relevant regulatory and local authorities	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
These plans and processes provide for communication of public safety measures	Choose an item.	Click here to enter text.
Emergency response plans and processes include awareness and training programmes and emergency response simulations	Choose an item.	Click here to enter text.
Measures are in place to manage identified public health issues	Choose an item.	Click here to enter text.
<b>4.3 Conformance and Compliance</b>		
<b>Community Impacts and Benefits</b>		
Processes and objectives in place to manage the following have been and are on track to be met:		
• delivery of commitments to project-affected communities, with no major non-compliances	Choose an item.	Click here to enter text.
• delivery of commitments to project-affected communities, with no major non-conformances	Choose an item.	Click here to enter text.
• project benefits, with no major non-compliances	Choose an item.	Click here to enter text.
• project benefits, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments have been or are on track to be met relating to:		
• project-affected communities	Choose an item.	Click here to enter text.
• project benefits	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Processes and objectives in place to manage the following have been and are on track to be met:		
• dam and other infrastructure safety, with no major non-compliances	Choose an item.	Click here to enter text.
• dam and other infrastructure safety, with no major non-conformances	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• public health issues, with no major non-compliances	Choose an item.	Click here to enter text.
• public health issues, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments have been or are on track to be met relating to:		
• dam and other infrastructure safety	Choose an item.	Click here to enter text.
• public health	Choose an item.	Click here to enter text.
<b>4.4 Outcomes</b>		
<b>Community Impacts and Benefits</b>		
Livelihoods and living standards impacted by the project have been or are on track to be improved	Choose an item.	Click here to enter text.
Economic displacement has been fairly compensated, preferably through provision of comparable goods, property or services	Choose an item.	Click here to enter text.
Communities directly affected by the development of the hydropower facility and any other identified beneficiary of the facility have received or are on track to receive benefits	Choose an item.	Click here to enter text.
<b>Infrastructure Safety and Public Health</b>		
Safety risks have been avoided, minimised and mitigated with no significant gaps	Choose an item.	Click here to enter text.
Negative public health impacts arising from activities of the operating hydropower facility are avoided, minimised and mitigated	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>

## 5 Resettlement



<b>Scope and Principle</b>	
<p>This section addresses how the physical displacement arising from development of the hydropower facility has been addressed, in cases where resettlement occurred and commitments are well-documented against a pre-project baseline. The principle is that the dignity and human rights of those physically displaced have been respected; that these matters have been dealt with in a fair and equitable manner; that livelihoods and standards of living for resettlees and host communities have been improved; and that commitments made to resettlees and host communities have been fully fulfilled. This section does not address those that are only economically displaced, who are addressed in Section 4.</p>	

<b>Background</b>	
Did 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 (for older projects, move on to the next question)	Click here to enter text.
No, this section is not relevant	Click here to enter text.
In the case of older projects, are there well-documented commitments in relation to resettlement made at the time of project approval and/or data on the pre-project baseline against which to compare post-project?	
Yes, this section is relevant	Click here to enter text.
No, this section is not relevant (in this case, issues in relation to resettlement should be taken into consideration under Section 1 – Environmental and Social Issues Management)	Click here to enter text.

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.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>5.1 Assessment</b>		
Monitoring is being undertaken to assess if commitments made to resettlees and host communities have been delivered and if management measures are effective	Choose an item.	Click here to enter text.
Ongoing or emerging issues relating to resettlement have been identified	Choose an item.	Click here to enter text.
<b>5.2 Management</b>		
Measures to address resettlement are documented in a Resettlement Action Plan	Choose an item.	Click here to enter text.
Measures are in place to deliver commitments to resettlees and host communities	Choose an item.	Click here to enter text.
Measures are in place to manage any issues relating to resettlement, including provision of grievance mechanisms	Choose an item.	Click here to enter text.
Formal agreements with resettlees and host communities are publicly disclosed	Choose an item.	Click here to enter text.
<b>5.3 Conformance and Compliance</b>		
Processes and objectives in the Resettlement Action Plan have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Any resettlement related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>5.4 Outcomes</b>		
Resettlement has been and is being treated in a fair and equitable manner	Choose an item.	Click here to enter text.
Resettlees and host communities have experienced or are on track to experience a	Choose an item.	Click here to enter text.



[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
timely improvement in livelihoods and living standards relative to the pre-project baseline		

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>



## 6 Biodiversity and Invasive Species

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 operating hydropower facility. The principle is that there are healthy, functional and viable aquatic and terrestrial ecosystems in the area that are sustainable over the long-term; that biodiversity impacts arising from the operating hydropower facility are managed responsibly; that ongoing or emerging biodiversity issues are identified and addressed as required; 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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>6.1 Assessment</b>		
Ongoing or emerging biodiversity issues have been identified	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
If management measures are required, then monitoring is being undertaken to assess if management measures are effective	Choose an item.	Click here to enter text.
<b>6.2 Management</b>		
Measures are in place to manage identified biodiversity issues	Choose an item.	Click here to enter text.
<b>6.3 Conformance and Compliance</b>		
Processes and objectives in place to manage biodiversity issues have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Biodiversity related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>6.4 Outcomes</b>		
Negative biodiversity impacts arising from activities of the operating facility are avoided, minimised, mitigated, and compensated with no significant gaps	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

[Insert project name]

## 7 Indigenous Peoples



Scope and Principle
This section addresses the rights at risk and opportunities of Indigenous Peoples with respect to the hydropower facility, 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 operating facility 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	<a href="#">Click here to enter text.</a>
No, this section is not relevant	<a href="#">Click here to enter text.</a>

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

Agencies relevant to Indigenous Peoples	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>7.1 Assessment</b>		
Ongoing or emerging issues relating to the operating hydropower facility that may affect Indigenous Peoples' rights have been identified	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
If management measures are required, then monitoring is being undertaken to assess if management measures are effective	Choose an item.	Click here to enter text.
<b>7.2 Management</b>		
Measures are in place to address the Indigenous Peoples' rights at risk	Choose an item.	Click here to enter text.
Formal agreements are publicly disclosed	Choose an item.	Click here to enter text.
<b>7.3 Conformance and Compliance</b>		
Processes and objectives relating to Indigenous Peoples' rights at risk have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Commitments made to Indigenous Peoples have been or are on track to be met	Choose an item.	Click here to enter text.
<b>7.4 Outcomes</b>		
Plans provide for negative impacts of the project to Indigenous Peoples' rights to be avoided, minimised, mitigated or compensated with no significant gaps	Choose an item.	Click here to enter text.
Plans provide some practicable opportunities for positive impacts to be achieved	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



## 8 Cultural Heritage

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.

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.

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>8.1 Assessment</b>		
Ongoing or emerging cultural heritage issues with respect to physical cultural resources have been identified	Choose an item.	Click here to enter text.
If management measures are required, then monitoring is being undertaken to assess if management measures are effective.	Choose an item.	Click here to enter text.
<b>8.2 Management</b>		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Measures are in place to manage identified cultural heritage issues	Choose an item.	Click here to enter text.
<b>8.3 Conformance and Compliance</b>		
Processes and objectives in place to manage cultural heritage issues have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Cultural heritage related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>8.4 Outcomes</b>		
Negative cultural heritage impacts arising from activities of the operating hydropower facility are avoided, minimised, mitigated and compensated with no significant gaps	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

## 9 Governance and Procurement



Scope and Principle
This section addresses corporate and external governance considerations for the operating hydropower facility. The principle is that the owner/operator has sound corporate business structures, policies and practices; addresses transparency, integrity and accountability issues; can manage external governance issues (e.g. institutional capacity shortfalls, political risks including transboundary issues, public sector corruption risks); and can ensure compliance.

Background	
Key information on political context and public sector risks	<a href="#">Click here to enter text.</a>
Key information on corporate ownership and governance	<a href="#">Click here to enter text.</a>
Details of the concession, if applicable	<a href="#">Click here to enter text.</a>
Key licenses or permits	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>9.1 Assessment</b>		
Ongoing or emerging political and public sector governance issues have been identified	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
Corporate governance requirements and issues have been identified	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
Monitoring is being undertaken to assess if corporate governance measures are effective	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
<b>9.2 Management</b>		
Processes are in place to manage the following:		
• corporate, political and public sector risks	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
• compliance	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
• social and environmental responsibility	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
• procurement of goods and services	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
• grievance mechanisms	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>



[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
• ethical business practices	Choose an item.	Click here to enter text.
• transparency	Choose an item.	Click here to enter text.
Policies and processes are communicated internally and externally as appropriate	Choose an item.	Click here to enter text.
In case of capacity shortfalls, appropriate external expertise is contracted for additional support	Choose an item.	Click here to enter text.
<b>9.3 Conformance and Compliance</b>		
The project has no major non-compliances	Choose an item.	Click here to enter text.
<b>9.4 Outcomes</b>		
There are no significant unresolved corporate and external governance issues identified	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>



## 10 Communications and Consultation

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.

Background	
Directly affected community-level stakeholders	<a href="#">Click here to enter text.</a>
Directly affected institutional-level stakeholders	<a href="#">Click here to enter text.</a>
Other relevant information	<a href="#">Click here to enter text.</a>

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>10.1 Assessment</b>		
Ongoing or emerging issues relating to hydropower facility communications and consultation have been identified	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
Requirements and approaches are determined through a periodically updated assessment process involving stakeholder mapping	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
Effectiveness is monitored	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
<b>10.2 Management</b>		
Communications and consultation plans and processes are in place to manage communications and engagement with stakeholders	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>
These plans and process include an appropriate grievance mechanism	<a href="#">Choose an item.</a>	<a href="#">Click here to enter text.</a>

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
These plans and processes outline communication and consultation needs and approaches for various stakeholder groups and topics	Choose an item.	Click here to enter text.
<b>10.3 Stakeholder Engagement</b>		
The project operation stage involves engagement with directly affected stakeholders	Choose an item.	Click here to enter text.
Engagement is:		
<ul style="list-style-type: none"> <li>appropriately timed and scoped</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>often two-way</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>undertaken in good faith</li> </ul>	Choose an item.	Click here to enter text.
The business interacts with a range of directly affected stakeholders to understand issues of interest to them	Choose an item.	Click here to enter text.
Ongoing processes are in place for stakeholders to raise issues and get feedback	Choose an item.	Click here to enter text.
Ongoing processes are in place for:		
<ul style="list-style-type: none"> <li>environmental and social issues</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>project-affected communities</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>resettlees and host communities</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>Indigenous Peoples</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>employees and contractors on human resources and labour management issues</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>management of climate risks</li> </ul>	Choose an item.	Click here to enter text.
Channels of communication with Indigenous Peoples are maintained	Choose an item.	Click here to enter text.
These channels are:		
<ul style="list-style-type: none"> <li>appropriately timed</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>culturally appropriate</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>two-way</li> </ul>	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
A mutually-agreed disputes procedure is in place with Indigenous Peoples	Choose an item.	Click here to enter text.
Public disclosure:		
• the business makes significant project reports publicly available	Choose an item.	Click here to enter text.
• the business publicly reports on project performance, in some sustainability areas	Choose an item.	Click here to enter text.
• power density calculations, estimated GHG emissions, and / or the results of a site-specific assessment are publicly disclosed	Choose an item.	Click here to enter text.
<b>10.4 Conformance and Compliance</b>		
Processes and objectives relating to communications and consultation have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Communications related commitments have been or are on track to be met	Choose an item.	Click here to enter text.

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"> <li>● 1.</li> <li>● 2.</li> </ul>

## 11 Hydrological Resource



<b>Scope and Principle</b>	
<p>This section addresses the hydrological resource availability and reliability to the operating facility, reservoir planning and downstream flow regimes in relation to operating hydropower facility. The principle is that power generation planning and operations take into account hydrological resource availability and reliability in the short- and long-term, that issues with respect to downstream flow regimes are identified and addressed, and that the reservoir is well managed taking into account power generation operations, environmental and social management requirements, and multi-purpose uses where relevant, and that issues with respect to downstream flow regimes are identified and addressed.</p>	

<b>Background</b>	
<b>Hydrology and flows</b>	
Average flow at dam (m <sup>3</sup> / s)	Click here to enter text.
Minimum monthly average flow (m <sup>3</sup> / s)	Click here to enter text.
Maximum monthly average flow (m <sup>3</sup> / s)	Click here to enter text.
Lowest observed flow (m <sup>3</sup> / s)	Click here to enter text.
Highest observed flow (m <sup>3</sup> / s)	Click here to enter text.
Design flow (m <sup>3</sup> / 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.
<b>Reservoir</b>	
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 (km <sup>2</sup> )	Click here to enter text.
Reservoir area at MOL (km <sup>2</sup> )	Click here to enter text.
Volume at FSL (million m <sup>3</sup> )	Click here to enter text.
Volume at MOL (million m <sup>3</sup> )	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.
<b>Other relevant information</b>	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>11.1 Assessment</b>		
Ongoing or emerging issues in the following areas have been identified:		
• hydrological resource availability and reliability	Choose an item.	Click here to enter text.
• reservoir management	Choose an item.	Click here to enter text.
• downstream flow regimes	Choose an item.	Click here to enter text.
If management measures are required then monitoring is being undertaken to assess if management measures are effective:		
• reservoir management	Choose an item.	Click here to enter text.
• downstream flow regimes	Choose an item.	Click here to enter text.
Monitoring is being undertaken of hydrological resource availability and reliability	Choose an item.	Click here to enter text.
Inputs to this monitoring include:		
• field measurements	Choose an item.	Click here to enter text.
• appropriate statistical indicators	Choose an item.	Click here to enter text.
• issues which may impact on water availability or reliability	Choose an item.	Click here to enter text.
• a hydrological model	Choose an item.	Click here to enter text.
<b>11.2 Management</b>		
Measures are in place to guide generation operations that are based on:		
• analysis of the hydrological resource availability	Choose an item.	Click here to enter text.
• a range of technical considerations	Choose an item.	Click here to enter text.
• an understanding of power system opportunities and constraints	Choose an item.	Click here to enter text.
Measures are in place to manage identified reservoir management issues	Choose an item.	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
Measures are in place to address identified downstream flow issues	Choose an item.	Click here to enter text.
Where formal commitments have been made to downstream flow regimes, these are publicly disclosed	Choose an item.	Click here to enter text.
<b>11.3 Conformance and Compliance</b>		
Processes and objectives in place to manage each of the following have been and are on track to be met:		
• reservoir management, with no major non-compliances	Choose an item.	Click here to enter text.
• reservoir management, with no major non-conformances	Choose an item.	Click here to enter text.
• downstream flow regimes, with no major non-compliances	Choose an item.	Click here to enter text.
• downstream flow regimes, with no major non-conformances	Choose an item.	Click here to enter text.
Commitments relating to the following have been or are on track to be met:		
• reservoir management	Choose an item.	Click here to enter text.
• downstream flow regimes	Choose an item.	Click here to enter text.
<b>11.4 Outcomes</b>		
Downstream flow regimes take into account environmental, social and economic objectives	Choose an item.	Click here to enter text.
Downstream flow regimes take agreed transboundary objectives into account, where relevant	Choose an item.	Click here to enter text.

[Insert project name]

## Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>





## 12 Climate Change Mitigation and Resilience

<p><b>Scope and Principle</b></p> <p>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.</p>
--

<p><b>Background</b></p>	
<p><b>Climate Change Mitigation</b></p>	
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) (km <sup>2</sup> ) (or additional reservoir area if any, for expansion/rehabilitation projects)	Click here to enter text.
Power density (W / m <sup>2</sup> )	Click here to enter text.
Emissions intensity (gCO <sub>2</sub> e / kWh)	Click here to enter text.
National and regional policies, plans and commitments relevant to mitigation	Click here to enter text.
<p><b>Climate Change Resilience</b></p>	
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.
<b>Other relevant information</b>	Click here to enter text.

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
<b>12.1 Assessment</b>		
<b>Climate Change Mitigation</b>		
If power density is below 5 W/m <sup>2</sup> , net GHG emissions (gCO <sub>2</sub> e) of electricity generation are calculated, independently verified and periodically updated	Choose an item.	Click here to enter text.
If power density is below 5 W/m <sup>2</sup> and estimated emissions are above 100 gCO <sub>2</sub> e/kWh, a site-specific assessment of GHG emissions is undertaken and periodically updated	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
An assessment of the project's resilience to climate change is undertaken and periodically updated	Choose an item.	Click here to enter text.
The assessment:		
<ul style="list-style-type: none"> <li>incorporates an assessment of plausible climate change at the project site</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>identifies a range of climatological and hydrological conditions at the project site</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>applies these conditions in a documented risk assessment or stress test</li> </ul>	Choose an item.	Click here to enter text.
The risk assessment or stress test encompasses:		
<ul style="list-style-type: none"> <li>dam safety</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>other infrastructural resilience</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>environmental and social risks</li> </ul>	Choose an item.	Click here to enter text.
<ul style="list-style-type: none"> <li>power generation availability</li> </ul>	Choose an item.	Click here to enter text.
<b>12.2 Management</b>		
<b>Climate Change Mitigation</b>		

[Insert project name]

Requirement	Requirement is met: yes (✓) or no (✗)	Findings and Observations
If GHG emissions estimates assume design and management measures, these measures are in place	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
Measures are in place to avoid or reduce identified climate risks	Choose an item.	Click here to enter text.
<b>12.3 Conformance and Compliance</b>		
<b>Climate Change Mitigation</b>		
Processes and objectives relating to mitigation have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Mitigation-related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
Processes and objectives relating to resilience have been and are on track to be met with:		
• no major non-compliances	Choose an item.	Click here to enter text.
• no major non-conformances	Choose an item.	Click here to enter text.
Resilience-related commitments have been or are on track to be met	Choose an item.	Click here to enter text.
<b>12.4 Outcomes</b>		
<b>Climate Change Mitigation</b>		
The project's GHG emissions are demonstrated to be consistent with low carbon power generation	Choose an item.	Click here to enter text.
<b>Climate Change Resilience</b>		
Findings of the climate change assessment indicate that the project is resilient to climate change	Choose an item.	Click here to enter text.

[Insert project name]

### Summary of Findings

Summary and other notable issues	List of significant gaps
Click here to enter text.	<ul style="list-style-type: none"><li>● 1.</li><li>● 2.</li></ul>

[Insert project name]

## Appendix 1 – Interviews

Ref	Interviewee/s, Position	Organisation	Date	Location
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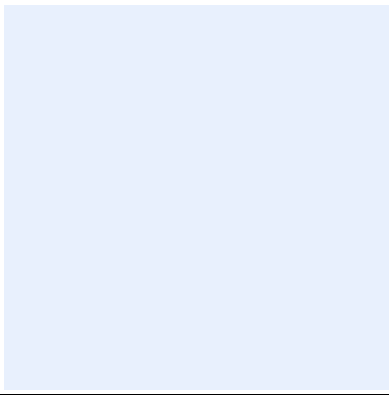
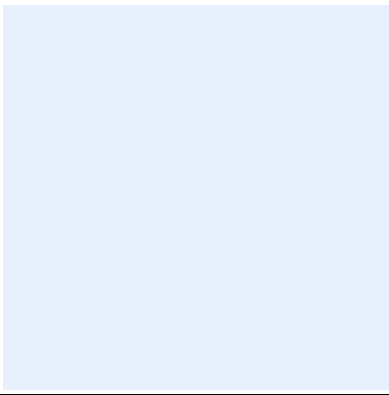
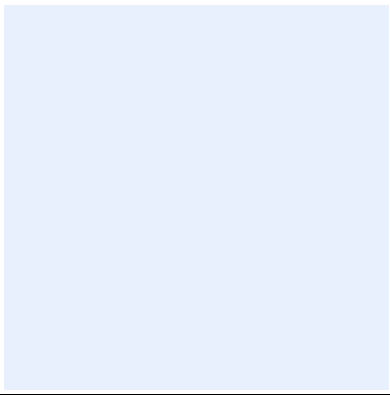
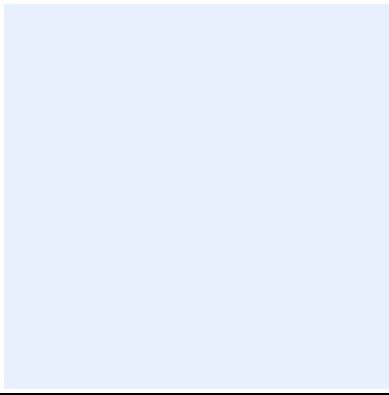
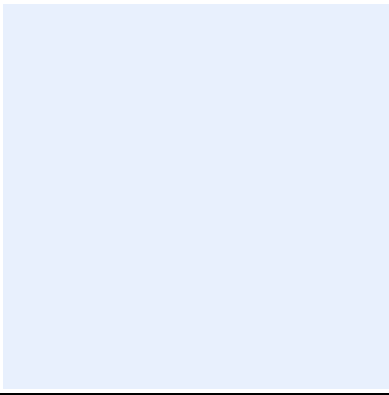
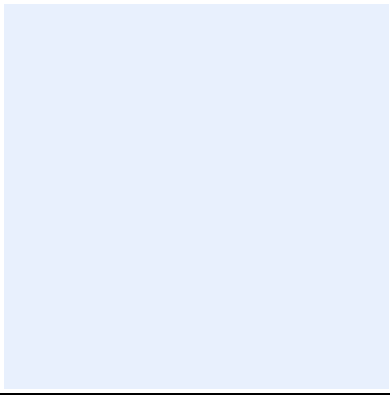
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## Appendix 2 – Documents

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[Insert project name]

## Appendix 3 - Photographs

		
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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.