Shape

Description automatically generated with low confidence

**Add certification label**

(if the project is certified)

Chart

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Shape

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**Assessment Report**

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

Shape

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**Add project sponsor logo**

(if applicable)

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

**Add project image**

(resize to 14cm x 18cm)

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

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

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

Graphical user interface, application, website

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|  |
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1. Assessment Details

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

1. Project Details

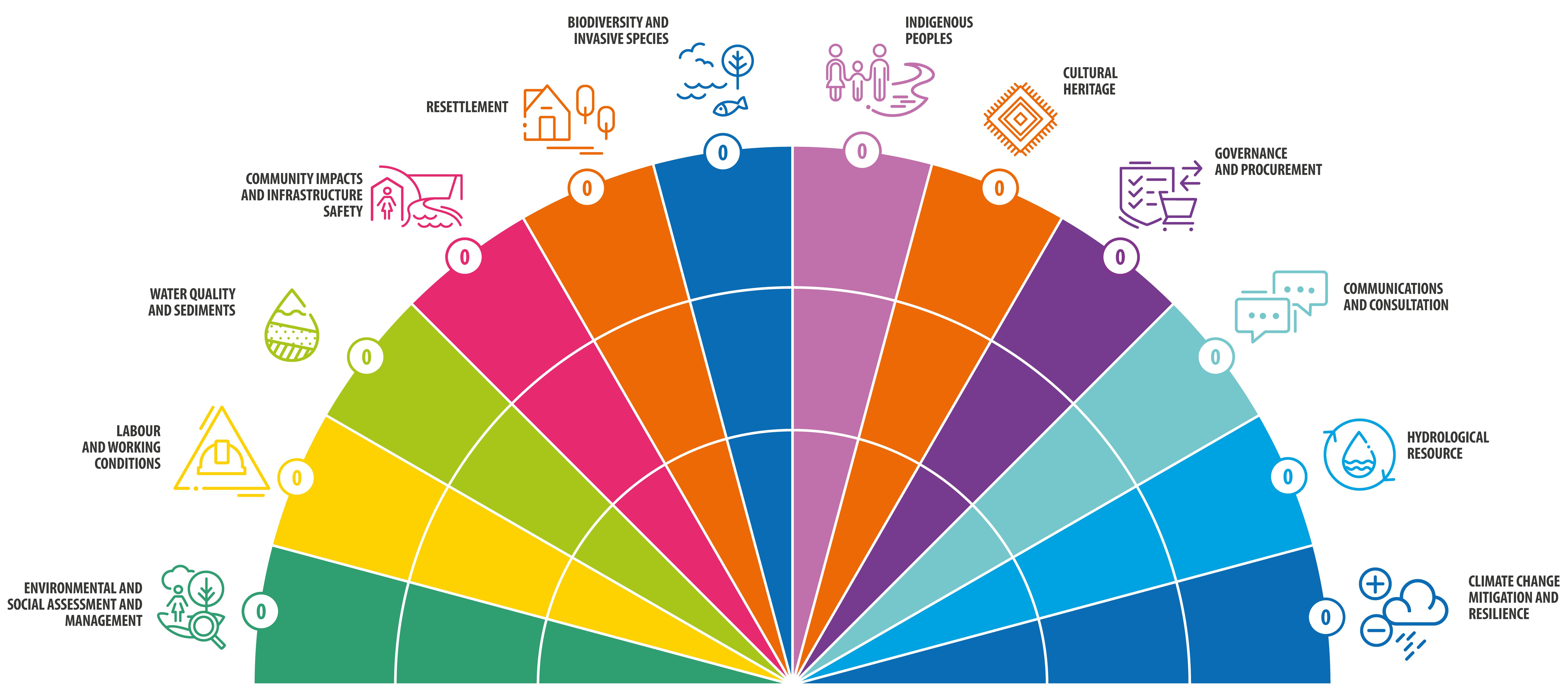
|  |  |
| --- | --- |
| Project name |  |
| Country |  |
| Location |  |
| Purpose |  |
| Developer / Owner |  |
| Financer(s) |  |
| Installed capacity (MW) |  |
| Construction start date (planned or actual) |  |
| Commercial operations date (planned or actual) |  |
| Annual average generation (GWh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

A close up of a logo

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Figure 1 – Map of dam site

1. Minimum Requirements diagram



1. Minimum Requirements

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

1. Advanced Requirements

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

|  | Sections | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1. Environmental and Social Assessment and Management | 2. Labour and Working Conditions | 3. Water Quality and Sediments | 4. Community Impacts and Infrastructure Safety | 5. Resettlement | 6. Biodiversity and Invasive Species | 7. Indigenous Peoples | 8. Cultural Heritage | 9. Governance and Procurement | 10. Communications and Consultation | 11. Hydrological Resource | 12. Climate Change Mitigation and Resilience |
| TOTAL NUMBER OF REQUIREMENTS | **6** | **5** | **11** | **21** | **5** | **6** | **8** | **5** | **6** | **16** | **16** | **15** |
| NUMBER OF REQUIREMENTS MET |  |  |  |  |  |  |  |  |  |  |  |  |
| PERCENTAGE OF REQUIREMENTS MET |  |  |  |  |  |  |  |  |  |  |  |  |
| PROPOSED CERTIFICATION LEVEL | Click here to enter text. | | | | | | | | | | | |

Note:

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

1. Environmental and Social Action Plan (ESAP)

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

|  |
| --- |
| **Scope and Principle** |
| This section addresses the plans and processes for environmental and social issues management. The principle is that negative environmental and social impacts 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. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Systematic processes are in place to identify any ongoing or emerging environmental and social issues associated with the operating hydropower facility | Select. | Click here to enter text. | Processes to identify ongoing and emerging environmental and social issues take into account broad considerations, and both risks and opportunities | Select. | Click here to enter text. |
| The processes utilise appropriate expertise | Select. | Click here to enter text. |
| Monitoring programmes are in place for identified issues | Select. | Click here to enter text. |
| **Management** | | | | | |
| Environmental and social management system is in place to manage measures to address identified environmental and social issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| This management system is implemented utilising appropriate expertise (internal and external) | Select. | Click here to enter text. | Plans and processes are embedded within an internationally recognised environmental management system which is third party verified, such as ISO 14001 | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in environmental and social management plans have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. |
| Environmental and social commitments have been or are on track to be met | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Environmental and social funding commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative environmental and social impacts associated with hydropower facility operations are avoided, minimised and mitigated | Select. | Click here to enter text. | Negative environmental and social impacts associated with hydropower facility operations are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. |
| Land disturbance associated with development of the hydropower project is rehabilitated or mitigated | Select. | Click here to enter text. |
| The operating hydropower facility or the corporate entity to which it belongs can pay for social and environmental commitments | Select. | Click here to enter text. |

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

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

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

# Labour and Working Conditions

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

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

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

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

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

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

# Water Quality and Sediments A picture containing drawing, light Description automatically generated

|  |
| --- |
| **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. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging issues have been identified in the following areas: | | | Identification of ongoing or emerging water quality issues takes into account both risks and opportunities | Select. | Click here to enter text. |
| • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. |
| If management measures are required then monitoring is being undertaken to assess if management measures are effective for: | | | Identification of ongoing or emerging erosion and sedimentation issues takes into account both risks and opportunities | Select. | Click here to enter text. |
| • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to manage the following identified issues: | | | Processes are in place to anticipate and respond to emerging risks and opportunities relating to: | | |
| • water quality | Select. | Click here to enter text. | • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. | • erosion and sedimentation | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage each of the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • water quality, with no major non-compliances | Select. | Click here to enter text. | • water quality | Select. | Click here to enter text. |
| • water quality, with no major non-conformances | Select. | Click here to enter text. |
| • erosion and sedimentation, with no major non-compliances | Select. | Click here to enter text. | • erosion and sedimentation | Select. | Click here to enter text. |
| • erosion and sedimentation, with no major non-conformances | Select. | Click here to enter text. |
| Commitments related to the following have been or are on track to be met: | | | There are no non-conformances relating to: | | |
| • water quality | Select. | Click here to enter text. | • water quality | Select. | Click here to enter text. |
| • erosion and sedimentation | Select. | Click here to enter text. | • erosion and sedimentation | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative water quality impacts arising from activities of the operating hydropower facility are avoided, minimised and mitigated | Select. | Click here to enter text. | Water quality in the area affected by the operating hydropower facility is of a high quality | Select. | Click here to enter text. |
| The facility has contributed or is on track to contribute to addressing water quality issues beyond those impacts caused by the operating hydropower facility | Select. | Click here to enter text. |
| Erosion and sedimentation issues are avoided, minimised and mitigated | Select. | Click here to enter text. | Erosion and sedimentation associated with operating facility do not present ongoing problems for environmental, social and economic objectives of the facility or the project-affected areas | Select. | Click here to enter text. |

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

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

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

# Community Impacts and Infrastructure Safety A picture containing drawing, light Description automatically generated

|  |
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| **Scope and Principle** |
| 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. |

|  |
| --- |
| **Background** |

|  |  |
| --- | --- |
| 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? | |
| Yes, all scoring statements are relevant | Click here to enter text. |
| 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) | Click here to enter text. |

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

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Monitoring is being undertaken to assess if the following commitments have been delivered and if management measures are effective: | | | Identification of ongoing or emerging issues for project-affected communities takes into consideration both risks and opportunities, and interrelationships among issues | Select. | Click here to enter text. |
| • commitments to project-affected communities | Select. | Click here to enter text. |
| • commitments to project benefits | Select. | Click here to enter text. |
| Ongoing or emerging issues relating to the following have been identified: | | | Identification of ongoing or emerging issues relating to project benefits takes into account both risks and opportunities | Select. | Click here to enter text. |
| • issues that affect project-affected communities | Select. | Click here to enter text. |
| • delivery of project benefits | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Ongoing or emerging issues relating to the following have been identified: | | | Identification of ongoing or emerging safety issues takes into account a broad range of scenarios and both risks and opportunities | Select. | Click here to enter text. |
| • dam and other infrastructure safety | Select. | Click here to enter text. |
| • public health issues associated with the operating hydropower facility | Select. | 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 | Select. | Click here to enter text. |
| If public health issues require management measures then monitoring is being undertaken to assess if management measures are effective | Select. | Click here to enter text. | Identification of ongoing or emerging public health issues takes into account public health system capacities, access to health services, and health needs, risks and opportunities for different community groups | Select. | Click here to enter text. |
| **Management** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Measures are in place to deliver commitments: | | | Processes are in place to anticipate and respond to emerging risks and opportunities relating to project-affected communities and project benefits | Select. | Click here to enter text. |
| • to project-affected communities | Select. | Click here to enter text. |
| • to project benefits | Select. | Click here to enter text. |
| Measures are in place to manage any identified issues relating to these commitments: | | |
| • to project-affected communities | Select. | Click here to enter text. |
| • to project benefits | Select. | Click here to enter text. |
| If there are any formal agreements with project-affected communities, these are publicly disclosed | Select. | Click here to enter text. |
| Commitments to project benefits are publicly disclosed | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Dam and other infrastructure safety management plans and processes have been developed in conjunction with relevant regulatory and local authorities | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging infrastructure safety risks and opportunities | Select. | Click here to enter text. |
| These plans and processes provide for communication of public safety measures | Select. | Click here to enter text. | Public safety measures are widely communicated in a timely and accessible manner | Select. | Click here to enter text. |
| Emergency response plans and processes include awareness and training programmes and emergency response simulations | Select. | Click here to enter text. |
| Measures are in place to manage identified public health issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging public health risks and opportunities | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Processes and objectives in place to manage the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • delivery of commitments to project-affected communities, with no major non-compliances | Select. | Click here to enter text. | • project-affected communities | Select. | Click here to enter text. |
| • delivery of commitments to project-affected communities, with no major non-conformances | Select. | Click here to enter text. |
| • project benefits, with no major non-compliances | Select. | Click here to enter text. | • project benefits | Select. | Click here to enter text. |
| • project benefits, with no major non-conformances | Select. | Click here to enter text. |
| Commitments have been or are on track to be met relating to: | | | There are no non-conformances relating to: | | |
| • project-affected communities | Select. | Click here to enter text. | • project-affected communities | Select. | Click here to enter text. |
| • project benefits | Select. | Click here to enter text. | • project benefits | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Processes and objectives in place to manage the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • dam and other infrastructure safety, with no major non-compliances | Select. | Click here to enter text. | • dam and other infrastructure safety | Select. | Click here to enter text. |
| • dam and other infrastructure safety, with no major non-conformances | Select. | Click here to enter text. |
| • public health issues, with no major non-compliances | Select. | Click here to enter text. | • public health | Select. | Click here to enter text. |
| • public health issues, with no major non-conformances | Select. | Click here to enter text. |
| Commitments have been or are on track to be met relating to: | | | There are no non-conformances relating to: | | |
| • dam and other infrastructure safety | Select. | Click here to enter text. | • dam and other infrastructure safety | Select. | Click here to enter text. |
| • public health | Select. | Click here to enter text. | • public health | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| **Community Impacts and Benefits** | | | | | |
| Livelihoods and living standards impacted by the project have been or are on track to be improved | Select. | Click here to enter text. | The measures put in place to improve livelihoods and living standards are on track to become self-sustaining in the long-term | Select. | Click here to enter text. |
| Economic displacement has been fairly compensated, preferably through provision of comparable goods, property or services | Select. | Click here to enter text. |
| Communities directly affected by the development of the hydropower facility and any other identified beneficiary of the facility have received or are on track to receive benefits | Select. | Click here to enter text. | Benefits are significant and sustained for communities affected by the project | Select. | Click here to enter text. |
| **Infrastructure Safety and Public Health** | | | | | |
| Safety risks have been avoided, minimised and mitigated with no significant gaps | Select. | Click here to enter text. | Safety risks have been avoided, minimised and mitigated with no identified gaps | Select. | Click here to enter text. |
| Safety issues have been addressed beyond those risks caused by the operating facility itself | Select. | Click here to enter text. |
| Negative public health impacts arising from activities of the operating hydropower facility are avoided, minimised and mitigated | Select. | Click here to enter text. | Where opportunities have been identified, measures to address public health issues beyond those impacts caused by the operating hydropower facility have been or are on track to be achieved | Select. | Click here to enter text. |

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

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

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

# Resettlement

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| **Scope and Principle** |
| This section addresses 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. |

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| **Background** |

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| 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. |

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

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

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

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

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

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| **Scope and Principle** |
| This section addresses ecosystem values, habitat and specific issues such as threatened species and fish passage in the catchment, reservoir and downstream areas, as well as potential impacts arising from pest and invasive species associated with the 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. |

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

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging biodiversity issues have been identified | Select. | Click here to enter text. | Identification of ongoing or emerging biodiversity issues takes into account both risks and opportunities | Select.. | Click here to enter text. |
| If management measures are required, then monitoring is being undertaken to assess if management measures are effective | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to manage identified biodiversity issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage biodiversity issues have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Biodiversity related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative biodiversity impacts arising from activities of the operating facility are avoided, minimised, mitigated, and compensated | Select. | Click here to enter text. | There are healthy, functional and viable aquatic and terrestrial ecosystems in the area affected by the hydropower facility that are sustained over the long-term | Select. | Click here to enter text. |
| The facility has contributed or is on track to contribute to addressing biodiversity issues beyond those impacts caused by the operating hydropower facility | Select. | Click here to enter text. |

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

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

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

# Indigenous Peoples

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| **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 marginalized 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. |

|  |  |
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| **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. |

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

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging issues relating to the operating hydropower facility that may affect Indigenous Peoples’ rights have been identified | Select. | Click here to enter text. | Identification of issues that may affect Indigenous Peoples’ rights is undertaken with the free, prior and informed participation of Indigenous Peoples | Select. | Click here to enter text. |
| If management measures are required, then monitoring is being undertaken to assess if management measures are effective | Select. | Click here to enter text. | Identification of issues that may affect Indigenous Peoples’ rights takes into account both risks and opportunities | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to address the Indigenous Peoples’ rights at risk | Select. | Click here to enter text. | Measures to address ongoing or emerging issues that may affect Indigenous Peoples’ rights at risk have been developed with the free, prior and informed participation of Indigenous Peoples | Select. | Click here to enter text. |
| Formal agreements are publicly disclosed | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives relating to Indigenous Peoples’ rights at risk have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Commitments made to Indigenous Peoples have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Processes provide for negative impacts of the project to Indigenous Peoples’ rights to be avoided, minimised, mitigated or compensated | Select. | Click here to enter text. | Opportunities for positive impacts have been identified and maximised as far as practicable | Select. | Click here to enter text. |
| Processes provide some practicable opportunities for positive impacts to be achieved | Select. | Click here to enter text. | Opportunities for positive impacts have been or are on track to be achieved | Select. | Click here to enter text. |

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

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

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

# Cultural Heritage A picture containing drawing, light Description automatically generated

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

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

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| 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. |

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

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging cultural heritage issues with respect to physical cultural resources have been identified | Select. | Click here to enter text. | Identification of ongoing or emerging cultural heritage issues takes broad considerations into account, and both risks and opportunities | Select. | Click here to enter text. |
| If management measures are required, then monitoring is being undertaken to assess if management measures are effective. | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to manage identified cultural heritage issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage cultural heritage issues have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Cultural heritage related commitments have been or are on track to be met | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Negative cultural heritage impacts arising from activities of the operating hydropower facility are avoided, minimised, mitigated and compensated | Select. | Click here to enter text. | Where opportunities have been identified, measures to address cultural heritage issues beyond those impacts caused by the facility have been or are on track to be achieved | Select. | Click here to enter text. |

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

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

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

# Governance and Procurement

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| **Scope and Principle** |
| This section addresses corporate and external governance considerations for the operating hydropower facility. 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 | 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. |
| Other relevant information | Click here to enter text. |

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging political and public sector governance issues have been identified | Select. | Click here to enter text. | There are no significant opportunities for improvement in the assessment of political and public sector governance issues and corporate governance requirements and issues | Select. | Click here to enter text. |
| Corporate governance requirements and issues have been identified | Select. | Click here to enter text. |
| Monitoring is being undertaken to assess if corporate governance measures are effective | Select. | Click here to enter text. |
| **Management** | | | | | |
| Processes are in place to manage the following: | | | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| • corporate, political and public sector risks | Select. | Click here to enter text. |
| • compliance | Select. | Click here to enter text. |
| • social and environmental responsibility | Select. | Click here to enter text. |
| • procurement of goods and services | Select. | Click here to enter text. | Contractors are required to meet or have consistent policies as the developer | Select. | Click here to enter text. |
| • grievance mechanisms | Select. | Click here to enter text. |
| • ethical business practices | Select. | Click here to enter text. |
| • transparency | Select. | Click here to enter text. | Procurement processes include anti-corruption measures as well as sustainability and anti-corruption criteria specified in pre-qualification screening | Select. | Click here to enter text. |
| Policies and processes are communicated internally and externally as appropriate | Select. | Click here to enter text. |
| In case of capacity shortfalls, appropriate external expertise is contracted for additional support | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| The project has no major non-compliances | Select. | Click here to enter text. | The project has no non-compliances | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| There are no significant unresolved corporate and external governance issues identified | Select.. | Click here to enter text. | There are no unresolved corporate and external governance issues identified | Select. | Click here to enter text. |

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

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

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

# Communications and Consultation A close up of a logo Description automatically generated

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

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

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging issues relating to hydropower facility communications and consultation have been identified | Select. | Click here to enter text. | The stakeholder mapping takes broad considerations into account | Select. | Click here to enter text. |
| Requirements and approaches are determined through a periodically updated assessment process involving stakeholder mapping | Select. | Click here to enter text. |
| Effectiveness is monitored | Select. | Click here to enter text. |
| **Management** | | | | | |
| Communications and consultation plans and processes are in place to manage communications and engagement with stakeholders | Select. | Click here to enter text. | Communication and consultation plans and processes show a high level of sensitivity to communication and consultation needs and approaches for various stakeholder groups and topics | Select. | Click here to enter text. |
| They include an appropriate grievance mechanism | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities | Select. | Click here to enter text. |
| They outline communication and consultation needs and approaches for various stakeholder groups and topics | Select. | Click here to enter text. |
| **Stakeholder Engagement** | | | | | |
| The project operation stage involves engagement with directly affected stakeholders | Select. | Click here to enter text. | Engagement is inclusive and participatory | Select. | Click here to enter text. |
| Engagement is: | | |
| • appropriately timed and scoped | Select. | Click here to enter text. | Negotiations are undertaken in good faith | Select. | Click here to enter text. |
| • often two-way | Select. | Click here to enter text. |
| • undertaken in good faith | Select. | Click here to enter text. |
| The business interacts with a range of directly affected stakeholders to understand issues of interest to them | Select. | Click here to enter text. | The assessment and management process for downstream flow regimes has involved appropriately timed and two-way engagement with directly affected stakeholders | Select. | Click here to enter text. |
| Ongoing processes are in place for stakeholders to raise issues and get feedback | Select. | Click here to enter text. | Ongoing processes are in place for stakeholders to raise issues with downstream flow regimes and get feedback | Select. | Click here to enter text. |
| Ongoing processes are in place for: | | | Feedback on how issues raised have been taken into consideration has been thorough and timely | Select. | Click here to enter text. |
| • environmental and social issues | Select. | Click here to enter text. |
| • project-affected communities | Select. | Click here to enter text. | Project-affected communities have been involved in decision-making around relevant issues and options | Select. | Click here to enter text. |
| • resettlees and host communities | Select. | Click here to enter text. | Resettlees and host communities have been involved in decision-making around relevant issues and options | Select. | Click here to enter text. |
| • Indigenous Peoples | Select. | Click here to enter text. |
| • employees and contractors on human resources and labour management issues | Select. | Click here to enter text. |
| • management of climate risks | Select. | Click here to enter text. |
| Channels of communication with Indigenous Peoples are maintained | Select. | Click here to enter text. | Directly affected Indigenous Peoples have been involved in decision-making around relevant issues and options | Select. | Click here to enter text. |
| These channels are: | | |
| • appropriately timed | Select. | Click here to enter text. |
| • culturally appropriate | Select. | Click here to enter text. |
| • two-way | Select. | Click here to enter text. |
| A mutually-agreed disputes procedure is in place with Indigenous Peoples | Select. | Click here to enter text. |
| Public disclosure: | | | The business makes significant project reports publicly available | Select. | Click here to enter text. |
| • the business makes significant project reports publicly available | Select. | Click here to enter text. |
| • the business publicly reports on project performance, in some sustainability areas | Select. | Click here to enter text. | The business publicly reports on project performance in sustainability areas of high interest to its stakeholders | Select. | Click here to enter text. |
| • power density calculations, estimated GHG emissions, and / or the results of a site-specific assessment are publicly disclosed | Select. | Click here to enter text. | The assessment of project resilience is publicly disclosed | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives relating to communications and consultation have been and are on track to be met with: | | | There are no non-compliances | Select. | Click here to enter text. |
| • no major non-compliances | Select. | Click here to enter text. |
| • no major non-conformances | Select. | Click here to enter text. | There are no non-conformances | Select. | Click here to enter text. |
| Communications related commitments have been or are on track to be met | Select. | Click here to enter text. |

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

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

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

# Hydrological Resource

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| **Scope and Principle** |
| This section addresses hydrological resource availability and reliability, reservoir management, and downstream flow regimes in relation to the 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 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. |

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

| **Minimum Requirements** | | | **Advanced Requirements** | | |
| --- | --- | --- | --- | --- | --- |
| **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** | **Requirement is met: yes (✔) or no (✖)** | | **Findings and Observations** |
| **Assessment** | | | | | |
| Ongoing or emerging issues in the following areas have been identified: | | | Issues that may impact on water availability or reliability have been comprehensively identified | Select. | Click here to enter text. |
| • hydrological resource availability and reliability | Select. | Click here to enter text. |
| • reservoir management | Select. | Click here to enter text. |
| • downstream flow regimes | Select. | Click here to enter text. | Scenarios, uncertainties and risks for water availability and reliability are routinely and extensively evaluated over the short- and long-term | Select. | Click here to enter text. |
| If management measures are required then monitoring is being undertaken to assess if management measures are effective: | | |
| • reservoir management | Select. | Click here to enter text. |
| • downstream flow regimes | Select. | Click here to enter text. |
| Monitoring is being undertaken of hydrological resource availability and reliability | Select. | Click here to enter text. | Identification of ongoing or emerging reservoir management issues takes into account both risks and opportunities | Select. | Click here to enter text. |
| Inputs to this monitoring include: | | | Issues identification relating to downstream flow regimes takes into account both risks and opportunities | Select. | Click here to enter text. |
| • field measurements | Select. | Click here to enter text. | An assessment has been undertaken that includes identification of the flow ranges and variability to achieve different environmental, social and economic objectives based on field studies as well as relevant scientific and other information | Select. | Click here to enter text. |
| • appropriate statistical indicators | Select. | Click here to enter text. |
| • issues which may impact on water availability or reliability | Select. | Click here to enter text. |
| • a hydrological model | Select. | Click here to enter text. |
| **Management** | | | | | |
| Measures are in place to guide generation operations that are based on: | | | Planning of generation operations has a long-term perspective | Select. | Click here to enter text. |
| • analysis of the hydrological resource availability | Select. | Click here to enter text. |
| • a range of technical considerations | Select. | Click here to enter text. | Planning of generation operations fully optimises and maximises efficiency of water use | Select. | Click here to enter text. |
| • an understanding of power system opportunities and constraints | Select. | Click here to enter text. | Planning of generation operations has the flexibility to adapt to anticipate and adapt to future changes | Select. | Click here to enter text. |
| Measures are in place to manage identified reservoir management issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities for reservoir management | Select. | Click here to enter text. |
| Measures are in place to address identified downstream flow issues | Select. | Click here to enter text. | Processes are in place to anticipate and respond to emerging risks and opportunities for downstream flow regimes | Select. | Click here to enter text. |
| Where formal commitments have been made to downstream flow regimes, these are publicly disclosed | Select. | Click here to enter text. | Commitments are made in relation to downstream flow regimes that include the flow objectives; the magnitude, range and variability of the flow regimes; the locations at which flows will be verified; and ongoing monitoring | Select. | Click here to enter text. |
| **Conformance and Compliance** | | | | | |
| Processes and objectives in place to manage each of the following have been and are on track to be met: | | | There are no non-compliances relating to: | | |
| • reservoir management, with no major non-compliances | Select. | Click here to enter text. | • reservoir management | Select. | Click here to enter text. |
| • reservoir management, with no major non-conformances | Select. | Click here to enter text. |
| • downstream flow regimes, with no major non-compliances | Select. | Click here to enter text. | • downstream flow regimes | Select. | Click here to enter text. |
| • downstream flow regimes, with no major non-conformances | Select. | Click here to enter text. |
| Commitments relating to the following have been or are on track to be met: | | | There are no non-conformances relating to: | | |
| • reservoir management | Select. | Click here to enter text. | • reservoir management | Select. | Click here to enter text. |
| • downstream flow regimes | Select. | Click here to enter text. | • downstream flow regimes | Select. | Click here to enter text. |
| **Outcomes** | | | | | |
| Downstream flow regimes take into account environmental, social and economic objectives | Select. | Click here to enter text. | Downstream flow regimes and commitments are an optimal fit amongst environmental, social and economic objectives within practical constraints of the present circumstances | Select. | Click here to enter text. |
| Where relevant, they also take agreed transboundary objectives into account, | Select. | Click here to enter text. |

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

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

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

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

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

| List of significant gaps against **Minimum Requirements** | Number of **Advanced Requirements** met |
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| Summary of findings and other notable issues |
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| Relevant evidence | |
| Interview | Click here to enter text. |
| Document | Click here to enter text. |
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Appendix 1 – Interviews

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Appendix 2 – Documents

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

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