



E&S Categorization Tool

LLF ESMS Annex D

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APPENDIX A E&S CATEGORISATION FORM

ACRONYMS AND ABBREVIATIONS

Name	Description
E&S	Environmental and Social
ESAP	Environmental and Social Action Plan
ESDD	Environmental and Social Due Diligence
ESMS	Environmental and Social Management System
ESS	Environmental and Social Safeguard
IFC	International Finance Corporation
ILO	International Labor Organization
LL	Legacy Landscapes
LLF	Legacy Landscapes Fund
WB ESS	World Bank Environmental and Social Standards

1. INTRODUCTION

All LLF programs will be classified into one of the four following categories “A” (high risk), “B+” (substantial risk), “B” (moderate risk) or “C” (low risk), according to the relevance of their potentially adverse environmental and social (E&S) impacts and risks. The E&S category will determine LLF’s mitigation strategy and the depth of E&S assessments and safeguard instruments for the program, as well as the required E&S clauses to be included in the grant agreement.

The E&S categorization of the E&S impacts considers the whole legacy landscape (LL) program, (i.e., the contextual risks) as well as the proposed LL program and/or program activity to be directly funded by the LLF grant. Given that LLF aims to financially support LL programs that may be located in some challenging and high risk E&S contexts, assessing contextual risk provides a broader overview of the LL program exposure, possible threats, and opportunities within the overall context. The contextual risk will be blended with the E&S category for the proposed program and/or program activity to be directly funded by the LLF grant to define the overall E&S category for the proposed LL program.

2. CATEGORISATION IN THE ESMS PROCESS

In accordance with the ESMS, the categorization will be part of the environmental and social due diligence (ESDD) process and will be completed by an independent consultant. All LLF programs will be classified in one of the four E&S risk categories (i.e., category A, B+, B, and C; the definition of the categories is provided in section 5.2). The ESDD consultant must propose a categorization in their ESDD and the E&S categorization form (Appendix A) and submit it to the LLF environmental and social safeguard (ESS) managers¹. The ESS managers will review the proposed categorization based on the ESDD assessment, the grantee’s full proposal and professional judgement. The ESS manager reserves the right to assign a different (i.e., compare to one proposed by the independent consultant) category to the proposed program if needed or approve that proposed in the ESDD report.

The categorization will be reviewed during the five-year review for each program and/or if LLF ESS managers decide required (e.g., the program and/or program activity will be substantially changed during the grant agreement period).

3. LEGACY LANDSCAPE CONTEXTUAL RISK

3.1 Overview

Some of the programs to be supported through the LLF may operate in volatile socio-political settings with potential challenges in relation to fragility, conflict, and violence. Therefore, LLF will require all potential grantees to assess potential contextual E&S risks and establish measures to manage those risks in their programs .

Contextual risks are defined as risks in the external environment (at a country, sector, or subnational level) that the potential grantee does not control but which could negatively impact a program’s or grantee’s ability to meet LLF E&S requirements. Contextual risks also include activities related to the legacy landscape that are not funded by LLF but conducted (or planned to be conducted) by the potential grantee or other stakeholder of the program.

Contextual risks may be related to legacy issues, planned infrastructure programs, systemic human rights abuses, corruption within governmental institutions, security, gender-based violence, and land tenure insecurity, among others. If the ESDD identifies these risks, it will propose appropriate and realistic environmental and social action plan (ESAP) measures. The ESAP objective is to ensure that contextual E&S risks are known, and measures are foreseen to be taken by the potential grantee to

¹ ESS managers are both the ESS director and the ESS coordinator

address these to the extent it has control and influence over the entities responsible for such contextual risks (refer to **Annex C – ESAP Development (incl. UNGP implementation)**).

3.2 Assessment

The assessment of contextual risks will be as per the applicable standards (refer to the LLF ESMS manual) and should be structured around the topics of the WB ESS1-10². The assessment will include the following topics, at minimum: security and conflict, political risk, governance and civil liberties, labor and workforce, health and population, biodiversity, ecosystem services and climate change, land access to natural resources, social cohesion, gender, and prevention of reprisals. A categorization form (see Appendix A) provides a set of questions that will guide the user through the mentioned topics and will allow defining the contextual risk category for the proposed program.

The categorization exercise should recognize that some contextual risks at the national level, such as high levels of conflict, might directly affect some parts of the country more than others. Therefore, the assessment needs to include a “reality check” through engaging with the potential grantee, local stakeholders, civil society, and other experts. This will provide an understanding on how identified contextual risks may apply to the area of the proposed program.

Additionally, contextual risks are always evolving, especially in countries with high conflict dynamic, political instability, high risk for natural disasters and population movements. Thus, the contextual risks’ identification is a critical milestone in the program categorization, which will inform the required mitigation measures as well as monitoring strategy for the potential grantee.

Contextual risk assessment is different to the program-level risk assessment. Contextual risk analysis aims to get a wider picture of the program set-up and gain deeper understanding of the broader program context; does not cover assessment of the proposed LLF funded program activities (the assessment of the LLF funded program is in described chapter 4).

3.3 Contextual Risk Categories

Contextual risk refers to situations outside the proposed program and/or program activities, which are therefore not financed by LLF grant but that can affect the viability of the funded program and/or program activities. LLF will evaluate and categorize the level of contextual risk, following the methodology provided by the good practice note³ on contextual risks published by International Finance Corporation (IFC).

3.3.1 Category A (high risks)

Contextual risk of the proposed LL program will be considered high if the LL located in the country with high fragility, low rule of law, human rights abuses, high level of corruption and crime, among other factors.

The following factors (among others), alone or in combination, will trigger a category A classification of contextual risk:

- The host country has significant group-based violence, with the risk of civil conflict and/or a history of civil war or insurgency, heightened risk of terrorist attack based on credible threats or recent history.
- There is poor rule of law and impunity undermines government ability to investigate incidents. There are multiple reports of incidents, including targeting activists and/or stakeholders especially in key development sectors.

² Environmental and Social Framework, the World Bank, 2017

³ Draft Good Practice Note For Public Consultation: Contextual Risk Screening for Projects, IFC, 2022. Available at: https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/external-peer-review_gpn-contextual-risk

- There are frequent land disputes that may result in violent conflict.
- Human trafficking and criminal networks operating freely and with impunity, posing risks to population and organizations operating in the country.
- The country experiences poor safety standards, high numbers of worker injuries and fatalities.
- The LL host country has a weak regulatory framework and government agencies that systematically protect vested interests, and no transparency or accountability to the public.
- There are high and/or sharply increasing rates of deforestation, ongoing unsustainable harvesting of natural resources, illegal hunting and/or trafficking, limited number of protected areas, and those that do exist are almost entirely unmanaged, with no oversight and no monitoring.
- The government fails to recognize or protect indigenous rights or land claims.

Contextual risk will be also classified as category A (high risk) if the LL program includes activities, that will NOT be financed by LLF grant, that have *diverse significant adverse* impacts and risks on the environment and/or the social conditions of the affected population. Impacts and risks may potentially be significantly adverse because of the complex nature of the program and/or program activity, the scale, the sensitivity of the location(s) of the programs and/or program activity or the impacts and risks are irreversible or unprecedented. Such impacts and risks may affect a larger area that is beyond the program and/or program activity site, the legacy landscape itself as well as any associated facilities or the program area of influence⁴ in a narrower sense.

3.3.2 Category B+ (substantial risk)

Contextual risk of the LL program will be categorized as category B+ (substantial risk) if a category B program is expected to have one or more activities, outside the activities financed by LLF grant, with *single significant adverse* E&S impacts or risks.

3.3.3 Category B (moderate risk)

Contextual risk of the proposed LL program will be considered moderate if the LL located in a country with a moderate fragility, medium adherence to the rule of law, partly respected human rights, moderate level of corruption and crimes. Examples of factors that may trigger a category B classification include, among others, the following:

- The host country has pockets of violence (e.g., civil unrest, criminality), sporadic terrorist events in the past, or events may be small-scale.
- The government may have limited focus on and/or capacity for protecting civil society actors or investigating incidents.
- Some recent history of non-lethal incidents reprisals against activists and/or stakeholders expressing opposition to development of projects.
- Some land disputes occur, but there is some degree of capacity to arbitrate those.
- Human trafficking and illicit trade have moderate levels, with mixed government effectiveness to deal with them.
- The country has poorly or inconsistently regulated, enforced, or implemented health and safety practices.
- The LL host country has some public accountability and transparency mechanisms, with a regulatory framework and system that still needs to mature.

⁴ The area within which program's activities have the potential to create E&S changes, including the zones of direct and indirect impact.

- Some legal provisions for protecting forests and sustainably managing natural resources exists, but illegal logging does occur, and some communities unsustainably harvest natural resources, some illegal hunting and/or trafficking also present. Some planning and enforcement of protected areas take place and there is partial management of certain protected areas, with spotty oversight and monitoring. The host country has some protections for indigenous peoples, but they are applied inconsistently.

Contextual risk will be also classified as category B (moderate risk) if the LL program includes activities, outside the activities financed by the LLF grant, that might have *potentially adverse* risks and impacts upon the environment and on the social conditions of those concerned. However, the impacts and risks may have a lesser extent than these of category A program and/or program activity and can usually be mitigated through state-of-the-art mitigation measures or standard solutions. Typically, the potential impacts and risks of category B program and/or program activity are limited to a local area, are in most cases reversible and are easier to mitigate through appropriate measures.

3.3.4 Category C (low risk)

Contextual risk of the proposed LL program will be considered low if the LL located in a developed or developing country with high rule of law, respected human rights, low level of corruption and crimes. Examples of factors that may trigger a category C classification include, among others, the following:

- The host country has only few salient issues of conflict or collective violence, and few, if any, terrorist-related events.
- Government supports freedom of speech and has capacity to investigate incidents.
- Open space is provided for civil society to express concerns and opposition to development, environmental concerns, etc.
- There are only few issues with land disputes and where they occur, they are effectively arbitrated.
- Human trafficking and illicit trade have been absent or very limited, with government capacity to deal with it effectively when it occurs.
- The country has strong health and safety regulations, enforcement, and an entrenched safety culture.
- The LL host country has independent judiciary and effective regulatory authorities with frameworks and mechanisms that are transparent and enable public accountability.
- There are low and/or decreasing deforestation rates due to adequate regulatory framework.
- Communities have multiple livelihood options, which do not result in overdependence on natural resources.
- The government has capacity to plan strategically and has a relatively well-defined protected area management system with oversight and monitoring.
- The host country has no indigenous peoples or has a robust protection for such populations.

Contextual risk will be also classified as category C (low risk) if the LL program includes activities, outside of those financed by LLF grant, that is expected to have *no or only minor adverse* E&S impacts or risks and if the implementation and operation of the program and/or program activity does not require any particular protection, compensation, monitoring measures or management plans.

4. FUNDED PROGRAM ACTIVITIES RISK

4.1 Overview

LLF acknowledge that legacy landscapes might have high contextual E&S risks, while the actual program activities that will be funded by LLF might have lower E&S risks. Therefore, LLF will assess a category for the proposed program and/or program activity to be directly funded by LLF grant. The potential grantee initially will present those to LLF in the concept note, and the final list will be included in the full proposal.

4.2 Assessment

The assessment of the funded program-related risks will be as per the applicable standards (refer to the LLF ESMS manual) and should be structured around the topics of the WB ESS1-10⁵. The categorization form (see Appendix A) provides set of questions that will guide the user through the assessment and will allow defining the funded program and/or program activity category.

4.3 Funded Program Activities Risk Categories

The four different E&S risk categories for the funded program and/or program activities are defined in further detail in sections below.

4.3.1 Category A (high risk)

Program and/or program activity will be categorized as category A (high risk), if they may have diverse significant adverse impacts and risks on the environment and social conditions of the affected population. Impacts and risks may potentially be significantly adverse because the complex nature of the program and/or program activity, the scale, the sensitivity of the location(s) of the programs and/or program activity or the impacts and risks are irreversible or unprecedented. Such impacts and risks may affect a larger area that is beyond the program and/or program activity site, the legacy landscape itself as well as any associated facilities or the program area of influence⁶ in a narrower sense. Programs will be classified as category A if they, for example,

- Adversely impact important features (such as tropical forests, coral reefs, natural protection areas, wetlands, natural/near-natural forests, important cultural heritage sites);
- Have significant transboundary impacts or relevance with regard to international treaties (such as conventions on international waste management regulations or on marine conservation, or agreements on the protection of biodiversity);
- Lead to a high consumption of resources, in particular soil, land or water;
- Are associated with high risks to human health or safety (e.g., industry or traffic facilities located adjacent to residential areas with considerable noise pollution and harmful emissions during construction and/or operation or handling hazardous substances);
- Require large scale resettlement or lead to a significant loss of livelihood;
- Are anticipated to have an adverse impact upon indigenous people and/or groups living in voluntary isolation, who could be adversely impacted by the protected area (e.g., displacement, loss of land, water and livelihood, and increased militarization, violence, and repression).

⁵ Environmental and Social Framework, the World Bank, 2017

⁶ The area within which program's activities have the potential to create E&S changes, including the zones of direct and indirect impact.

4.3.2 Category B+ (substantial risk)

Program and/or program activity will be categorized as category B+ (substantial risk) if a category B program and/or program activity is expected to have single significant adverse E&S impacts and risks. This applies to certain triggers, such impacts to indigenous peoples and/or involuntary resettlement. For example, a category B+ program and/or program activity might include physical and/or economic resettlement of various inhabitants and/or are located in unused natural environment.

4.3.3 Category B (moderate risk)

Program and/or program activity will be categorized as category B (moderate risk) if it might have potentially adverse risks and impacts upon the environment and on the social conditions of those concerned. However, the impacts and risks may have a lesser extent than these of category A program and/or program activity and can usually be mitigated through state-of-the-art mitigation measures or standard solutions. Typically, the potential impacts and risks of category B program and/or program activity are limited to a local area, are in most cases reversible and are easier to mitigate through appropriate measures.

Program and/or program activities to be directly financed by the LLF grant, that would include following:

- Creation and management of indigenous and community conservation areas;
- Community-based natural resource management;
- Sustainable development activities for local communities, such as investment in livelihoods, community health and education;
- Construction of small-scale infrastructure, such as visitor amenities, ranger outposts and community facilities;
- Direct expenditures on measures to reduce negative environmental impacts in the field, including from forestry, fisheries and agriculture.

4.3.4 Category C (low risk)

Program and/or program activity will be categorized as category C (low risk) if it is expected to have no or only minor adverse E&S impacts or risks and if the implementation and operation of the program and/or program activity does not require any particular protection, compensation, monitoring measures or management plans.

Category C program and/or program activity do not include physical work.

The following is an illustrative list of category C activities within the LLF funded programs and/or activities:

- IT-related activities;
- Consulting-related activities;
- Developing standards and/or policies;
- Report and/or inventory preparation programs;
- Education and training programs;
- Event coordination programs;
- Environmental and sustainable development analysis programs;
- Monitoring and evaluation exercises;
- Desk studies, workshops, meetings;

- Scientific research and non-intrusive field surveys⁷;
- Research and extension in agriculture, forestry, fisheries, natural resource management;
- Remote sensing and geospatial analysis;
- Capacity development, communication and outreach programs;
- Convening other organizations;
- Advocacy campaigns and multi-stakeholder platform work;
- Purchase of machinery, equipment, furniture and fixtures;
- Minor construction activities and maintenance of installations; and,
- Institutional development.

LLF requires the grantee performing the activities listed above to ensure that LLF’s ESMS applicable standards are respected and followed, for example by applying due diligence to new suppliers or partnerships.

5. OVERALL PROGRAM RISK CATEGORY

5.1 Overview

The combination of the LL contextual risks and the proposed program and/or program activity to be funded by the LLF grant are defining the overall LL program E&S category. This approach allows LLF to distinguish between the LL programs context and proposed funded activities and define the appropriate mitigation measures that should be implemented by the grantee.

5.2 Assessment

The overall LL program E&S risk category will be defined based on the assigned contextual and program activity category. The following matrix will be used to define the overall category (this approach will be tested and refined, as needed, during the pilot implementation phase):

Funded Program Activity E&S Risk Category	Contextual E&S Risk Category			
	Category C	Category B	Category B+	Category A
Category C	Category C	Category C	Category B	Category B
Category B	Category B	Category B	Category B+	Category B+/A*
Category B+	Category B+	Category B+	Category B+/A*	Category A
Category A	Category A	Category A	Category A	Category A

* The category would be A if the contextual risk is triggered by a different factor than the program related risk (hence two risks). If the contextual risk is triggered by the same factor as the program risk, then the category would be B+ (single risk).

Consequently, at the end, each LL program will have only one final category for the whole grant application, that combines contextual and program and/or activity risks. The table below provides a definition for the E&S risk categories.

⁷ However, the nature of the field surveys may require reclassification as category B.

Category	Risk Level	Definition and Guidance
A	High risk	The LL program has significant adverse impacts and risks on the environment or the social conditions of the affected population. Such impacts and risks may affect a larger area that is beyond the LL program area.
B+	Substantial risk	The LL program is expected to have a single significant adverse environmental and/or social impact risk.
B	Moderate risk	The LL program is expected to have potential adverse impacts and risks on the environment or the social conditions of those concerned, However, the impacts and risks tend to be less significant than those of category A and can usually be mitigated through standard, best available mitigation approaches. Typically, the potential impacts and risks of category B are limited to a local area, are in most cases reversible and easier to mitigate through appropriate measures.
C	Low risk	The LL program is expected to have no or only minor adverse environmental and social impacts or risks, and if the implementation and operation of the program does not require any particular protection, compensation or monitoring measures.

APPENDIX A E&S CATEGORISATION FORM

Instructions

The independent consultant allocated to the ESDD process of the respective LL program will fill out the following E&S categorization form and submit to the LLF environmental and social safeguard (ESS) managers together with the ESDD report.

The LLF ESS managers will review and approve or disapprove (in such case ESS manager will provide its suggestion) the E&S category for the LL program. The categorization of LL program is a continuing process. If there is a change in the program activity components and/or LL that may result in category change, the E&S manager will submit a new form and request for re-categorization, and endorsement by the managing board. The old form is then attached for reference.

Please provide general LL program information including the program and/or program activities to be directly funded by the LLF grant.

Program Data	
Grantee:	
Contact person from Grantee:	
Legacy Landscape:	
Program ID:	
Brief program description:	<i>(incl. contextual overview and the proposed program and/or program activities to be directly funded by the LLF grant)</i>

Legacy Landscape Contextual Risk

Following indexes and rankings will provide an overview of the contextual risks of the LL program host country and will help define the category of the contextual risk:

- Global Rule of Law Index (<https://worldjusticeproject.org/rule-of-law-index/>);
- Human Development Index (<https://hdr.undp.org/data-center/human-development-index#/indicies/HDI>);
- States of Fragility (by Organisation for Economic Co-operation and Development - OECD)⁸;
- Country Report on Human Rights in Practice (provided by the US Department of State);
- Transparency International Corruption Perception Index (<https://www.transparency.org/en/cpi/>);

⁸ Irregular ISSN: 2708860X (online) <https://doi.org/10.1787/fa5a6770-en>

- Global Organized Crime Index (<https://ocindex.net/>);

Please, answer the questions below to define the contextual E&S risk category for the proposed LL program. The “general” section refers to the contextual risks within the national and/or subnational level. The “legacy landscape program specific” section entails questions related to the overall LL program and/or program activities that are **not funded** by the LLF grant.

If the answer to any of the following questions is “yes”, please, provide further details/explanations in the “instructions and comments” column.

Question	Answer	Instructions and Comments
General: security, conflicts, political risks and governance		
1.1 Is there historical or current conflict in country that is taking place in a close proximity to the LL program?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.2 Will the LL program have impacts on conflict dynamics (e.g., potentially introduce new resource competition between groups due to land take, restriction access or change of security arrangements in the area)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.3 Are there any conflict and/issues related to the LL?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.4 Would the LL program result in secondary or consequential development that could lead to adverse environmental and social impacts?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.5 Are there regular protests and violence in the LL program region against the central government (i.e., are there perceptions that the government provides more access and resources to population in certain regions than to the program region)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.6 Is there political competition and/or instability that could threaten the state’s ability to govern?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	<i>If “yes”, how it will affect the LL program (e.g., inability to manage public outbreaks, etc.)</i>
1.7 Is mob justice (e.g., lynching, communities attacking or killing alleged perpetrators) or vigilantism commonly reported in the LL program area?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

Question	Answer	Instructions and Comments
1.8 Are there reports of human trafficking or illegal trade (e.g., drugs, small arms and light weapons) in the LL program region?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.9 In the LL program region, are NGOs, community members or journalists commonly targeted for expressing opposition to government and/or raising concerns about private projects impacts (e.g., arrests, killing or violence against local opposition)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
General: labor, workforce, health and population		
1.10 Has the country, where the LL program is located, ratified ILO fundamental conventions ⁹ ?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.11 Does the LL program area have any reports of labor-related human trafficking?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.12 Has the LL program region suffered from significant food price fluctuations or shortages of basic foods/goods in the last five years?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.13 Has the LL program region received any large population influxes (e.g., refugees, displaced people from other communities)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.14 Are there any major sources of group-based divisions that have led to violence in the LL program region in the past five years (e.g., clashes between groups along ethnic, religious, political lines etc.)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.15 Are there reports of regular tensions or conflicts over land access or ownership (e.g., indigenous populations disputes with government or companies)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
General: biodiversity, ecosystem services, and climate change		

⁹ ILO Core Labour Standards consist of five standards, laid out in eight conventions. Available at: <https://www.ilo.org/global/standards/introduction-to-international-labour-standards/conventions-and-recommendations/lang--en/index.htm>

Question	Answer	Instructions and Comments
1.16 Is unregulated/informal use of natural resources (e.g., logging, use of waterways, mining) common in the LL program region?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.17 Does the LL program region have a governmental authority that is involved in emergency response planning and climate issues (i.e., at the subnational level, are there governmental resources that help communities respond to adverse climate impacts, such as rising sea levels affecting fishing communities, or climate affecting farming)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.18 Are there reports of wildlife trafficking or hunting of local wildlife in the LL program region (e.g., poaching, ivory trade)?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.19 Have reports of water shortages been common in the LL program region in the last five years?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
Legacy landscape program specific and NOT LLF FUNDED activities: WB ESS1: Assessment and Management of Environmental and Social Risks and Impacts		
1.20 Is there a risk that the LL program might conflict with existing environmental regulations?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.21 Is there a risk that the LL program might conflict with existing legal social frameworks including traditional frameworks and norms? Will the program impact the governance and social structure of traditional and local communities?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.22 Is there a risk that the LL program triggers consequential development activities, e.g., tourism, which could lead to adverse environmental impacts, cumulative impacts due to interaction with other programs (current or planned) or to transboundary impacts?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

Question	Answer	Instructions and Comments
WB ESS2: Labor and Working Conditions		
1.23 Is the LL program likely to attract forced labor and/or child labor?	<input type="checkbox"/> yes <input type="checkbox"/> no <input checked="" type="checkbox"/> n/a	
1.24 Is the LL program likely to negatively affect the income levels or employment opportunities of vulnerable groups?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS3: Resource Efficiency and Pollution Prevention and Management		
1.25 Would the LL program result in the release of pollutants to the environment with the potential for adverse local, regional, and transboundary impacts?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.26 Would the LL program result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.27 Will the LL program result in significant ¹⁰ greenhouse gas emissions?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.28 Is the LL program likely to directly or indirectly increase E&S vulnerability to climate change now or in the future?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS4: Community Health and Safety		
1.29 Is the LL program likely to negatively impact gender equality and women's empowerment?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.30 Will the LL program have variable impacts on women and men, different ethnic groups, social classes?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

¹⁰ Significant corresponds to CO2 emissions greater than 100,000 tons per year (from both direct and indirect sources).

Question	Answer	Instructions and Comments
1.31 Is the LL program likely to directly or indirectly increase social inequalities now or in the future?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.32 Would the LL program cause increase in public health risks to contagious diseases or transmission (e.g., HIV/AIDS, Malaria, etc.) for LL program workers or communities in the LL proximity, as a result of a change in living and working conditions?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement		
1.33 Could potentially the LL program result in involuntary resettlement of populations?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.34 Would the LL program result in voluntary resettlement of populations?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.35 Does the LL program require land acquisition?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	<i>If “yes”, provide comments on how will the land be acquired?</i>
1.36 Would the LL program lead to significant population density increase which could affect the E&S sustainability of the LL program?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.37 Is the LL program likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.38 Is the LL program location subject to currently approved land use plans (e.g., roads, settlements), which could affect the E&S sustainability of the LL program? Is there a MoU in place?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources		
1.39 Would the LL program result in the conversion or degradation of natural habitat or critical habitat?	<input type="checkbox"/> yes <input type="checkbox"/> no	

Question	Answer	Instructions and Comments
	<input type="checkbox"/> n/a	
1.40 Does the LL program involve natural forest harvesting or plantation development without an independent forest certification system ¹¹ for sustainable forest management?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.41 Does the LL program and/or program activities involve significant new investments for extraction, diversion or containment of surface or ground water ¹² ?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.42 Does the LL program and/or program activities pose a risk of degrading soils?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities		
1.43 Is the LL program in an area inhabited by or important (e.g., sacred places and/or livelihood seasonal activities) to indigenous peoples, tribal peoples or other traditional peoples, or is there a risk that the LL program could affect the rights and livelihood of indigenous peoples?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.44 Would the LL program have environmental and social impacts that could affect indigenous people or other vulnerable groups?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS8: Cultural Heritage		
1.45 Will the LL program constrain access to cultural sites for the communities?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.46 Will the LL program cause alteration, damage or removal of any site (tangible) and/or intangible cultural heritage?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS10: Stakeholder Engagement and Information Disclosure		

¹¹ For example, PEFC, the Forest Stewardship Council (FSC) certification systems, or processes established or accepted by the relevant National Environmental Authority

¹² For example, construction of dams of height higher than 15 meters.

Question	Answer	Instructions and Comments
1.47 Have there been challenges in engaging women and other certain key stakeholder groups in preliminary discussions for the LL program or in earlier similar development programs?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
1.48 Have there been any negative media/stakeholder attention on or significant environmental, social, human rights issues/allegations of misconduct associated with the grantee and/or the LL in last 5 years?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	<i>If “yes” please specify</i>

If the answer to any of the questions 1.1 - 1.48 is “yes”, the contextual risk of the LL program should be categorized as category A or category B+ (refer to the sections 4.3.1 and 4.3.2 respectively). If the answer to all of the questions 1.1 - 1.48 is “no” or “n/a”, then the contextual risk of the LL program should be categorized as category B or category C. **The category C programs do not include physical works.** Please, include the contextual risk category to the overall categorization below.

Funded Program Activities Risk Categorization

Please, answer to the questions below to identify the proposed program and/or program activities to **be directly funded by LLF grant.** If the answer to any of the following questions is “yes”, please, provide further details/explanations in the “instructions and comments” column.

Question	Answer	Instructions and Comments
General		
2.1 Does the program and/or program activity fall within any of the activities listed in the category C illustrative list (see section 4.3.4)?	<input type="checkbox"/> yes <input type="checkbox"/> no	<i>If “yes”, then the funded program and/or program activity is category C, proceed to “Overall Program Risk”. If “no”, continue further assessment.</i>
2.2 Does the program and/or program activity fall within any of the activities listed in the category A illustrative list (see section 4.3.1)?	<input type="checkbox"/> yes <input type="checkbox"/> no	<i>If “yes”, then the funded program and/or program activity is Category A, proceed to “Overall Program Risk”. If “no”, continue further assessment.</i>
2.3 Could potentially the program and/or program activity have negative human rights implications for vulnerable groups?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

Question	Answer	Instructions and Comments
2.4 Would the proposed program and/or program activity have potential to generate cumulative impacts with other known existing planned activities?	<input type="checkbox"/> yes <input type="checkbox"/> no	
Legacy landscape program and LLF FUNDED activities specific: WB ESS1: Assessment and Management of Environmental and Social Risks and Impacts		
2.5 Is there a risk that the LL program and/or program activity might conflict with existing environmental regulations?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.6 Is there a risk that the LL program and/or program activity might conflict with existing legal social frameworks including traditional frameworks and norms? Will the program impact the governance and social structure of traditional and local communities?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.7 Is there a risk that the LL program and/or program activity triggers consequential development activities, e.g., tourism, which could lead to adverse environmental impacts, cumulative impacts due to interaction with other programs (current or planned) or to transboundary impacts?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.8 WB ESS2: Labor and Working Conditions		
2.9 Is the LL program and/or program activity likely to attract forced labor and/or child labor?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.10 Is the LL program and/or program activity likely to negatively affect the income levels or employment opportunities of vulnerable groups?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS3: Resource Efficiency and Pollution Prevention and Management		
2.11 Would the LL program and/or program activity result in the release of pollutants to the environment with the potential for adverse local, regional, and transboundary impacts?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

Question	Answer	Instructions and Comments
2.12 Would the LL program and/or program activity result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.13 Will the LL program and/or program activity result in significant ¹³ greenhouse gas emissions?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.14 Is the LL program and/or program activity likely to directly or indirectly increase E&S vulnerability to climate change now or in the future?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS4: Community Health and Safety		
2.15 Is the LL program and/or program activity likely to negatively impact gender equality and women’s empowerment?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.16 Will the LL program and/or program activity have variable impacts on women and men, different ethnic groups, social classes?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.17 Is the LL program and/or program activity likely to directly or indirectly increase social inequalities now or in the future?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.18 Would the LL program and/or program activity cause increase in public health risks to contagious diseases or transmission (e.g., HIV/AIDS, Malaria, etc.) for LL program workers or communities in the LL proximity, as a result of a change in living and working conditions?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement		
2.19 Could potentially the LL program and/or program activity result in involuntary resettlement of populations?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

¹³ Significant corresponds to CO2 emissions greater than 100,000 tons per year (from both direct and indirect sources).

Question	Answer	Instructions and Comments
2.20 Would the LL program and/or program activity result in voluntary resettlement of populations?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.21 Does the LL program and/or program activity require land acquisition?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	<i>If “yes”, provide comments on how will the land be acquired?</i>
2.22 Would the LL program and/or program activity lead to significant population density increase which could affect the E&S sustainability of the LL program and/or program activity?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.23 Is the LL program and/or program activity likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.24 Is the LL program and/or program activity location subject to currently approved land use plans (e.g., roads, settlements), which could affect the E&S sustainability of the LL program? Is there a MoU in place?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources		
2.25 Would the LL program and/or program activity result in the conversion or degradation of natural habitat or critical habitat?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.26 Does the LL program and/or program activity involve natural forest harvesting or plantation development without an independent forest certification system ¹⁴ for sustainable forest management?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.27 Does the LL program and/or program activities involve significant new investments for extraction, diversion or containment of surface or ground water ¹⁵ ?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

¹⁴ For example, PEFC, the Forest Stewardship Council (FSC) certification systems, or processes established or accepted by the relevant National Environmental Authority

¹⁵ For example, construction of dams of height higher than 15 meters.

Question	Answer	Instructions and Comments
2.28 Does the LL program and/or program activities pose a risk of degrading soils?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities		
2.29 Is the LL program and/or program activity in an area inhabited by or important (e.g., sacred places and/or livelihood seasonal activities) to indigenous peoples, tribal peoples or other traditional peoples, or is there a risk that the LL program and/or program activity could affect the rights and livelihood of indigenous peoples?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.30 Would the LL program and/or program activity have environmental and social impacts that could affect indigenous people or other vulnerable groups?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS8: Cultural Heritage		
2.31 Will the LL program and/or program activity constrain access to cultural sites for the communities?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
2.32 Will the LL program and/or program activity cause alteration, damage or removal of any site (tangible) and/or intangible cultural heritage?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	
WB ESS10: Stakeholder Engagement and Information Disclosure		
2.33 Have there been challenges in engaging women and other certain key stakeholder groups in preliminary discussions for the LL program and/or program activity or in earlier similar development programs?	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a	

If the answer to any of the questions 2.3 – 2.33 is “yes”, the funded program and/or program activity E&S risk should be categorized as category A or category B+ (refer to the sections 4.3.1 and 4.3.2 respectively). If the answer to all of the questions 2.3 – 2.33 is “no” or “n/a”, then the E&S risk of the proposed program and/or program activity to be directly funded by LLF grant should be categorized as category B or category C. **The category C programs do not include physical works.** Please, include the contextual risk category to the overall categorization below.

Overall Categorization

The overall categorization should be assigned to the LL program based on the matrix provided in the section 5.2.

E&S Risk Category		
Contextual	Funded Program Activities	Overall LL Program

General comments, considerations:

Please, provide the information below regarding filling this form:

Proposal & Approval	Name	Date
Independent Consultant		
LLF ESS manager		