

Annex [#]. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	<i>Improving coverage and management effectiveness of marine and coastal protected areas (MCPAs) - PHASE II</i>
2. Project Number	105661
3. Location (Global/Region/Country)	Albania

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
<i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i>
<p>An evaluation will be conducted, using established results-based M&E methodologies. The evaluation will examine the relevance, efficiency, effectiveness and sustainability of the project, also by looking at cross-cutting issues, such as human rights and gender. The evaluation will be duly shared and discussed with all relevant, governmental and non-governmental stakeholders.</p> <p>Gender indicators will be taken into consideration during the program implementation; the priorities and needs of male and female community members will be sought out and reflected; the skills and capacities of men and women will be utilized; engagement and participation of male and female government officials will be actively encouraged.</p>
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
<p>The project is relevant to the National Strategy on Gender Empowerment (2016) and to the “<i>Linee Guida sull’empowerment delle donne</i>” of the Italian Development Cooperation</p> <p>A structured contribution in assessing, identifying, generating and structuring disaggregated data by sex will be done in order to understand what is happening at more granular levels, starting from the formulation to implementation, monitoring and evaluation so as to ensure that policies and services respond to the needs and priorities of men and women.</p>
<i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i>

The social, cultural and economic benefits that a PA shares among the stakeholders are met with the final aim to guarantee the due sustainability of an MPA when management plan and governance framework are interconnected and long-term financing and large scale community support are secured.

The project considers the conservation of national and global benefits in the Albanian marine ecosystem to be a long-term, multi-phase process. The project aims to increase the representation of coastal and marine ecosystems in Albania’s national system of protected areas and improve the management effectiveness of these areas. By so doing, the project will put in place the enabling environment for enhanced ecological sustainability of Albania’s unique coastal and marine ecosystems. By demonstrating effective management of the first MPA in Albania, the Karaburuni-Sazani MPA, the project will enhance the capacity of coastal and marine ecosystems to maintain their essential functions and processes, and retain their biodiversity in full measure over the long-term. Karaburuni-Sazani MPA will serve as the model and anchor for the MCPA network.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Continued institutional reform (and elections) in Albania may necessitate revision of project approaches to policy- and decision-making on MCPAs	I = 3 P = 3	L		The project will put in place a Collaborative Management Body as a lasting sustainable institutional network of stakeholders engaged in MCPA decision-making. Representation on the Forum will be “function-based” (vs. “person-based”), thus it will ensure that whatever institution obtains responsibilities for MCPA decision making, it is included in the Forum. This will prevent any disruption of national-level policy-making and decision-making on MCPAs.
Risk 2: Political will of the relevant Albanian authorities to support and implement the MCPA network is sustained	I = 5 P = 4	L		Establishing MCPAs has been identified as a national priority as articulated in the National Biodiversity Strategy and Action Plan (NBSAP 2012 – 2020). The UNDP/GEF MCPA project has

				<p>already created a good baseline level of awareness and interest in national and local institutions on coastal and marine PAs. The project will build on the consultative approach developed under the MCPA project and maintain the good working relationships established. The Karaburuni-Sazani MPA will serve as a model to stress win-win opportunities and demonstrate possibilities for meeting ecological objectives, while also generating socio-economic benefits for local populations.</p>
<p>Risk 3: Insufficient financial resources raised to implement the network of MCPAs</p>	<p>I = 5 P = 3</p>	<p>M</p>		<p>The new “Law on Protected Areas”, which is approved 2017, provides for a proper basis for diversification of funding sources for PAs and for the ability of PAs to retain their own revenues. The project, therefore will put special emphasis on allowing PAs to earn and retain own income. The project will showcase business planning in the Karaburuni-Sazani MPA (through its Information Centre).</p>
<p>Risk 4: Marine and coastal ecosystems are susceptible to climate change impacts</p>	<p>I = 3 P = 2</p>	<p>L</p>		<p>Project activities aimed at establishing the MCPA network will take full account of climate change risks. Proposed new MCPAs and extension of coastal PAs will factor in climate change risk data and conservation recommendations for each site will include measures to account for climate change risks and increase ecosystem resilience.</p>
<p>Risk 5: High turnover rates within public administrations responsible for MPA management.</p>	<p>I = 5 P = 4</p>	<p>L</p>		<p>To minimize this risk, the capacity development program will target not only the staff of relevant administrations, but also representatives of NGOs, associations and of relevant economic sectors. They will be given the opportunity to actively learn and collaborate with each other and create a functional social and communication network of MCPA practitioners that will further enhance MCPA management effectiveness in Albania. The capacity of NAPA to supplement its budget through donations, projects and public-private partnerships might further the possibility to retain its MCPA management staff.</p>
<p>Risk 5: Insufficient financial resources secured to implement the MP of Karaburuni-Sazani MPA.</p>	<p>I = 5 P = 3</p>	<p>M</p>		<p>A number of market and non-market based mechanisms were identified to fill the financial gaps of the Park. However, the implementation of these strategies requires that ongoing regulatory and policy reforms are finalized and that an enabling socio-economic context is in place. Investments in the Park’s infrastructure and facilities are particularly needed to improve the tourist experience and create the enabling conditions for the market-based mechanisms to be implemented. By contributing make functional the</p>

				Information Centre and by improving the organization of the recreational activities within the Park, the proposed action will contribute to its long-term financial sustainability, including certification processes
[add additional rows as needed]				
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)		Comments	
	<i>Low Risk</i>	<input checked="" type="checkbox"/>	The project has incorporated the potential risks and mitigation measures in its design	
	<i>Moderate Risk</i>	<input type="checkbox"/>		
	<i>High Risk</i>	<input type="checkbox"/>		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply		Comments	
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>		
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	Gender equality principles will be essential to the project success	
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input checked="" type="checkbox"/>	Sustainable use of biodiversity will be ensured through the project	
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>		
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>		
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>		
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>		
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>		
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>		

Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.

QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

¹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	NoNo
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ² greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No

² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ³	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No

³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Project Manager

Violeta Zuna