

## **Annex 6: Environmental and Social Management Framework (ESMF)**

### **Heritage Colombia (HECO): Maximizing the Contributions of Sustainably Managed Landscapes in Colombia for Achievement of Climate Goals**

**V.16**

**February 2, 2023**



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### List of Acronyms

AE	Accredited Entity
AWPB	Annual Work Plan and Budget
CIT	Tayrona Indigenous Confederation
CGSM	Ciénaga Grande de Santa Marta
CTC	Territorial Council of Indigenous Leaders of the Sierra Nevada de Santa Marta
DAA	Diagnostic of Environmental Alternatives
EE	Executing Entity

EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Safeguards
ESSF	Environmental and Social Safeguards Framework
FPIC	Free, Prior, and Informed Consent (or Consultation)
GAP	Gender Action Plan
GCF	Green Climate Fund
HECO	Heritage Colombia
HH	Households
IDEAM	Institute of Hydrology, Meteorology, and Environmental Studies
IGAC	Geographic Institute Augustín Codazzi
IPs	Indigenous Peoples
IPLCs	Indigenous Peoples and Local Communities
IPPF	Indigenous Peoples Planning Framework
JAC	Community Action Board
LRP	Livelihood Restoration Plan
NNP	National Natural Park
PAP	Project Affected Peoples
PF	Process Framework
PMA	Environmental Management Plan
PMU	Project Management Unit
PSC	Project Steering Committee
RPN	National Protective Reserves
SA	Social Assessment
SAA	Environmental and Social Assessment
SEAH	Sexual Exploitation, Abuse and Harrassment
SEP	Stakeholder Engagement Plan

SFF	Flora and Fauna Sanctuary
SIPP	Safeguards Integrated Policies and Procedures
SNSM	Sierra Nevada de Santa Marta
TL	Technical Lead
WWF	World Wildlife Fund
ZRCG	Guaviare Peasant Reserve Zone

## 1. Introduction

With increasing temperatures and shifts in precipitation patterns, climate change is negatively impacting critical services provided by Colombia's ecosystems, especially water provision and regulation, as well as forest fires, flood and landslide risk reduction, resulting in water scarcity and reduced quality, and increased hazard risk. Current trends of deforestation and land degradation following Colombia's signature of a peace agreement with former leading guerrillas has further compromised the ability of impacted ecosystems to adapt to climate change.

The major drivers of this deterioration are deeply rooted in an economic development pathway based on the transformation of landscapes and ecosystems and on the extraction of renewable and non-renewable natural resources for production. Logging, mining, and hydrocarbon extraction have progressed in Colombia without proper prevention and mitigation of their environmental impacts, while cattle ranching, the agricultural industry and the development of infrastructure have similarly neither properly assessed externalities nor addressed dependencies on healthy ecosystems, resulting in the intensification of many pressures on the natural resource base. Although most of the large-scale landscape transformation in Colombia occurred during the second half of the last century, a new wave of land conversion is driving deforestation and degradation and significant alterations of terrestrial socio-ecological systems during the last two decades, increasing emissions and compromising their essential functions supporting water supplies and reducing flood and landslide risks for millions downstream.

To overcome the barriers to lower GHG emissions due to deforestation and address the negative impacts of climate change on ecosystem services, productive sectors, and communities, this Heritage Colombia (HECO) Project will adopt an integrated landscape management approach that will increase protected areas and landscape management effectiveness, promote land use governance and planning, and improve information management, including the regular collection and dissemination of key climate risk indicators, for decision-making processes.

By implementing the proposed activities, the Project will contribute to achieving the two fund-level impacts targeted: (i) Improved resilience of ecosystems and ecosystem services; (ii) Reduced emissions from land use, reforestation, reduced deforestation, and through sustainable forest management and conservation and enhancement of forest carbon stocks.

In addition to these goals, this project aims to support the Government of Colombia in the quest for strengthening ongoing peacebuilding and conservation efforts related to the Peace

Agreement for the Definitive Termination of the Conflict between the rebel group Fuerzas Armadas Revolucionarias de Colombia – Ejército del Pueblo (FARC – EP) and the Colombian government, signed in 2016. By providing strategies aimed at involving local communities in conserving biodiversity, improving their livelihoods and addressing land-related conflicts around national parks by promoting dialogue between different stakeholders the HECO project compliments the Government of Colombia's efforts. Land conflicts are to be resolved within the framework of the peace agreement and the Colombian protected area system is to be sustainably financed by "Herencia Colombia"

HECO will be financed through a transition fund created based on the Project Finance for Permanence (PFP) approach. A significant portion of the transition fund is being requested from the Green Climate Fund (GCF) and WWF is the Accredited Entity (AE) negotiating HECO with the GCF. Hence, the WWF's Environmental and Social Safeguards Framework (ESSF), as detailed in the Environmental and Social Safeguard Integrated Policies and Procedures (SIPP), applies to the project and requires the preparation of an Environmental and Social Management Framework (ESMF).

The principles and procedures of the ESMF apply both to project activities that are funded through GCF and to activities that are considered direct co-financing by the GCF.

In general, the anticipated adverse environmental and social impacts on the population in the project mosaics that depend on these ecosystems and their services for their livelihoods are site-specific, reversible and can be mitigated. Thus, the HECO project is classified as a "Category B" project under the WWF Environmental and Social Safeguards Categorization Memorandum (see Annex 1).

The overall Executing Entities (EEs) for the Project are El Fondo Para La Biodiversidad y Áreas Protegidas - Patrimonio Natural ("Patrimonio"), as lead EE, and Fondo Mundial para la Naturaleza Colombia ("WWF Colombia"), as co-EE. Parques Nacionales Naturales de Colombia ("Parques") will be a key partner to the EEs in Project implementation, and the recipient of goods and services, but not funding, from the EEs.

## Objectives of the ESMF

The preparation of this ESMF (including an Indigenous Peoples Planning Framework and a Process Framework) was required in accordance with WWF's ESSF (as detailed in the SIPP) in order to identify and manage the environmental and social risks and impacts of the HECO project. The ESMF aims to outline the principles, procedures, and mitigation measures for addressing environmental and social impacts associated with the project in accordance with the laws and regulations of the Government of Colombia and with the ESSF.

Since the precise scope of activities that will be implemented as part of the project will only be determined during the implementation phase, site-specific social and environmental impacts are uncertain at this stage. Thus, the development of site-specific Environmental and Social Management Plans (ESMPs) is currently not feasible, and an ESMF is necessary to set out procedures for addressing potential adverse social and environmental impacts that may occur during project activities. Site-specific ESMPs will be developed pursuant to the guidance provided by this ESMF during project implementation.

The specific objectives of the ESMF include the following:

- Identify the positive and negative social and environmental impacts and risks associated with the implementation of the Project;
- Outline the legal and regulatory framework that is relevant to the Project implementation;
- Specify appropriate roles and responsibilities of actors and parties involved in ESMF implementation;
- Propose a set of actionable recommendations and measures to mitigate any negative impacts and enhance positive impacts;
- Develop a screening and assessment methodology for potential activities, that will allow an environmental/social risk classification and the identification of appropriate safeguards instruments to be included in Project operations;
- Set out procedures to establish mechanisms to monitor the implementation and efficacy of the proposed mitigation measures;
- Outline requirements related to disclosure, grievance redress, capacity building activities, and budget required for the implementation of the ESMF.

The Categorization Memo requires that an Indigenous Peoples Planning Framework and a Process Framework be developed as part of the ESMF. These documents have the following objectives:

- **Process Framework (PF):** The Project triggers WWF's Standard on Restriction of Access and Resettlement as it may restrict or otherwise affect access to natural resources and the livelihood activities of project affected people (PAP). This Process Framework (PF) describes the process by which affected communities participate in identification, design, implementation and monitoring of relevant project activities and mitigation measures. The purpose of this PF is to ensure participation of Project Affected People (PAP) while recognizing and protecting their interests and ensuring that they do not become worse off as a result of the project.
- **Indigenous Peoples Planning Framework (IPPF):** The Project triggers WWF's Standard on Indigenous Peoples as there are indigenous peoples and afro-descendent communities in the project area who are entitled to special protections. This Indigenous Peoples Planning Framework (IPPF) has been prepared to clarify the principles, procedures and organizational arrangements to be applied to indigenous peoples (IP) for the HECO project. The IPPF aims to safeguard the rights of IPs (which for this document will also refer to afro-descendant communities as well) to participate and equitably receive culturally appropriate benefits from the project. More specifically, the IPPF provides policy and procedures to screen project impacts on IPs and to prepare an Indigenous Peoples Plan (IPP), an appropriate planning document, to safeguard their rights prior to the implementation of project activities affecting IPs to ensure compliance with WWF's Standard on Indigenous Peoples.

## 2. Project Description

This chapter outlines the objectives of the GCF HECO project, its components, milestones, and major supported activities.

## Objectives of the GCF HECO Project

The project's goal is to reduce deforestation, forest degradation, land use changes and other threats to the paramos, montane, lowland, and gallery forests in the targeted geographies, thereby lowering GHG emissions and sustaining or increasing the climate resiliency benefits generated through ecosystems integrity and functionality.

Specifically aligned with the GCF Performance Framework, the Project will:

- Improve and implement governance structures for climate-responsive planning and development
- Support participatory monitoring systems to generate climate information used for improved decision-making in territorial planning
- Improve land and forest management and implement restoration to reduce carbon emissions and exposure of vulnerable communities to climate risks

The project will achieve these outcomes through improving institutional and community governance schemes to integrate climate change considerations into territorial management and planning, expanding, and improving the collection of climate information, and improving management of conservation areas, buffer zones and connectivity corridors to reduce deforestation and enhance ecosystem integrity and functionality for climate benefits.

Improved land use management and nature-based solutions are central to Colombia's strategy for achieving low-carbon and climate-resilient development, and as such are recognized in both Colombia's economic development and climate change plans and policies. The 2015 and 2020 NDCs submitted by Colombia to the Paris Agreement identify agriculture, forestry, and other land use (AFOLU) interventions as vital mitigation actions, especially given the enormous significance of forest carbon tied up in the Amazon: reducing GHG emissions caused by deforestation is a high government priority. In addition to climate mitigation actions, the country's NDC flags the need to build climate resilience through ecosystem-based adaptation measures, including improved land use planning, stronger consideration of climate risks in the agriculture sector, and expansion and improved management of the country's protected areas network.

The project is part of **Heritage Colombia (HECO)**, a long-term national umbrella program with a goal of securing more than 20 million hectares over the next 20 years through increasing coverage in key vulnerable forested areas and improving effective low-emission management strategies and governance of Colombia's National System of Protected Areas as spaces for inclusion and peacebuilding—thereby creating opportunities for human well-being and development.

## Project Components

The project components that will lead to the achievement of the proposed impacts are:

- **Component 1:** Governance structures for climate responsive planning and development improved and implemented;
- **Component 2:** Participatory monitoring systems generate climate information used for improved decision-making in territorial planning; and
- **Component 3:** Land and forest management improved and restoration implemented to reduce carbon emissions and increase adaptive capacity of vulnerable communities.

## **Component 1: Governance Structures for Climate-Responsive Planning and Development Improved and Implemented**

This component focuses on strengthening various governance structures for climate-responsive planning and development. This includes strengthening inter-institutional governance in targeted landscapes, strengthening community governance within the protected area system and connectivity corridors and buffer zones, and increasing investment of revenues from royalties in targeted landscapes for improved climate-informed land and water use.

In this project, governance structures refer to the interactions, relationships and dynamics of people, institutions, and organizations (such as local governments, community and civil society organizations, academia and productive sectors) that influence and make decisions about landscape management, land use, and natural resources and have an impact on mitigation and adaptation to climate change. A governance scheme is characterized by being multi-stakeholder and multilevel, and consists of all bodies and spaces for coordination of stakeholders in the landscape, such as roundtables for coordination and dialogue, as well as the agreements emanating from these spaces for landscape management and decision-making. The methodology proposed by the project addresses the participatory planning of protected areas, in which local social stakeholders, including women from local communities, define information based on their appreciation and perception of nature. It should be noted that this includes men and women and nonbinary who, based on gender, have differential relationships related to territory and elements of the landscape. The agreements can include Indigenous lifeplans, forest management plans, and farm plans among others. Any changes in governance schemes will be based on this participatory model and will only be done with the informed consent of all stakeholders involved in a particular decision.

Major activities that will be implemented as part of these goals include the following:

- Strengthening the capacity of Regional Systems of Protected Areas (SIRAP) and the Departmental System of Protected Areas (SIDAP) to include a climate change approach within their management
- Strengthening the capacity of the Climate Nodes within each landscape in order to assess the climate adaptation and mitigation dimensions of landscape management
- Facilitating incorporation of climate considerations into regional and territorial land use planning
  - As a result of new climate information, actions to reduce vulnerabilities will be identified, which might include new support from local and regional governments to increase capacities in vulnerable communities or the identification of new priority areas to implement productive alternatives, thereby reducing activities directly related to deforestation.
  - Usually, climate variables by themselves don't determine land use restrictions but this information could complement and add value under the climate perspective to call to actions in existing protected areas of natural reserves.
- Promoting the adoption and implementation of governance schemes within the project mosaics with the participation of local communities, public institutions, and sectors with a gender and intergenerational focus to improve dialogue and define targets to reduce deforestation and vulnerability to climate change
- Strengthening the capacity of local communities and their understanding of climate change, incorporating indigenous knowledge and gender responsiveness

## **Component 2: Participatory Monitoring Systems Generate Climate Information Used for Improved Decision-Making in Territorial Planning**

This component focuses on improving and implementing participatory monitoring systems for the collection of climate information in order to improve decision making in territorial planning. This includes establishing monitoring systems and regional environmental authorities generating climate-relevant data and improving the application and use of climate information in territorial planning and local decision-making processes.

Major activities that will be implemented as part of these goals include the following:

- Expanding the coverage of hydro-meteorological data collection for improved management of targeted landscapes and affected vulnerable populations
- Collecting climate-relevant parameters from the interaction between remote sensing data and field work in high elevation wetlands (paramos) and forests and integrating these parameters into monitoring and evaluation systems from local to national scales
- Supporting the participatory engagement of key stakeholders within landscape planning processes of environmental authorities for the exchange and application of climate-relevant information
- Incorporation landscape- and local-level data into national systems for climate monitoring and evaluation
- Introducing improved systems for dissemination of usable climate information to climate-vulnerable populations for improved decision-making

## **Component 3: Land and forest management improved and restoration implemented to reduce carbon emissions and increase adaptive capacity of vulnerable communities**

This component focuses on improving land management and implementing restoration to reduce carbon emissions and reduce the exposure of vulnerable communities to climate risks. This includes improving management of protected areas and improving management practices in buffer zones and connectivity corridors to reduce deforestation and maintain or enhance ecosystem integrity and functionality for climate benefits.

Major activities that will be implemented as part of these goals include the following:

- Completing, in a socially responsible manner, the designation and gazettelement of 1 new protected area covering [470,856] hectares to reduce deforestation trends and improve forest connectivity
- Promoting the expansion of Sierra Nevada Santa Marta National Park by an additional [181,753] hectares to reduce deforestation trends and preserve forest connectivity and protect source waters
- Supporting the design and adoption of climate-responsive management measures for the targeted landscapes. These management measures will be finalized with stakeholders within the various landscapes, but may include:
  - permanent production and consumption of organic vegetables, greens and grains throughout the year under farm planning with an innovative garden design;
  - strengthening of knowledge of women and families, through field schools with producer-producer learning;
  - exchange of seeds and knowledge among rural women, allowing replication;
  - commercialization of surpluses in local markets;
  - adoption of the approach by government and private institutions;

- access to quarterly weather forecasts through partnership with IDEAM
- Supporting rehabilitation of 3,255 ha of degraded lands to increase ecological integrity of targeted landscapes and reduce protected areas encroachment. Indicative activities include control of stressors through isolation with wire fences and management of limiting factors; establishment of systems or plots that combine dual-purpose plant species (productive and ecological); ecological soil management with organic amendments and soil condition correctives.

The project will implement restoration and rehabilitation in protected areas and in corridors between protected areas. A critical third component is direct support to farms for households to improve productive systems, to reduce impact on surrounding ecosystems, and directly address current impacts and future risks of climate change. For restoration activities, new nurseries will be created to provide native trees and plants to plant, and additional key areas will be isolated to promote natural restoration. Regarding rehabilitation, silvopastoral approaches have been recognized both globally and in Colombia as effective nature-based solutions to climate change mitigation and adaptation, directly improving adaptive capacity and reducing vulnerability for households, while also increasing carbon sequestration and reducing deforestation emissions.

One example tailored to Colombian rural farmers is from a local NGO, Ecohabitats, which has demonstrated success in improving household nutrition, increasing adaptive capacity for farmers to increasingly extreme weather, especially women, through multiple approaches, including (see Annex 2c for full details).

- Supporting the restoration of 2,750 ha of forest ecosystems in targeted landscapes to improve ecosystem integrity and function. Indicative activities include:
  - Control of stressors through isolation with wire fences and management of limiting factors.
  - Plant enrichment through low density planting of key species of different successional stages.
  - Nucleation or high density planting of key plant species of different successional stages.
  - Assistance to natural regeneration
  - Ecological soil management with organic amendments and correctives of soil conditions.
  - Establishment of artificial devices for fauna (bird perches, nests, drinking and feeding troughs, among others).

### 3. Project Area Profiles

The five areas proposed for the intervention are located in the Caribbean, San Lucas, Central Andes, Orinoco Transition and Heart of the Amazon mosaics. Landscape mosaics refer to landscapes with multiple uses and governance structures that nevertheless fall within a specific geographic area.

#### Caribbean Mosaic

The Caribbean landscape, in the northern part of Colombia, includes the Sierra Nevada de Santa Marta, the northwestern slope of the Serranía del Perijá, the watersheds of the Cesar,

Ranchería and La Guajira, the adjacent basin of the Ciénaga de Mallorquín, and the Ciénaga Grande de Santa Marta (Figure 1). The Mosaic has an extension of 3,059,177 ha, 15.1% of which (461,742 ha) corresponds to the maritime platform. The importance of this landscape at the regional, national, and international levels has been widely recognized as both the Sierra Nevada and the Ciénaga Grande de Santa Marta were designated as Biosphere Reserves.

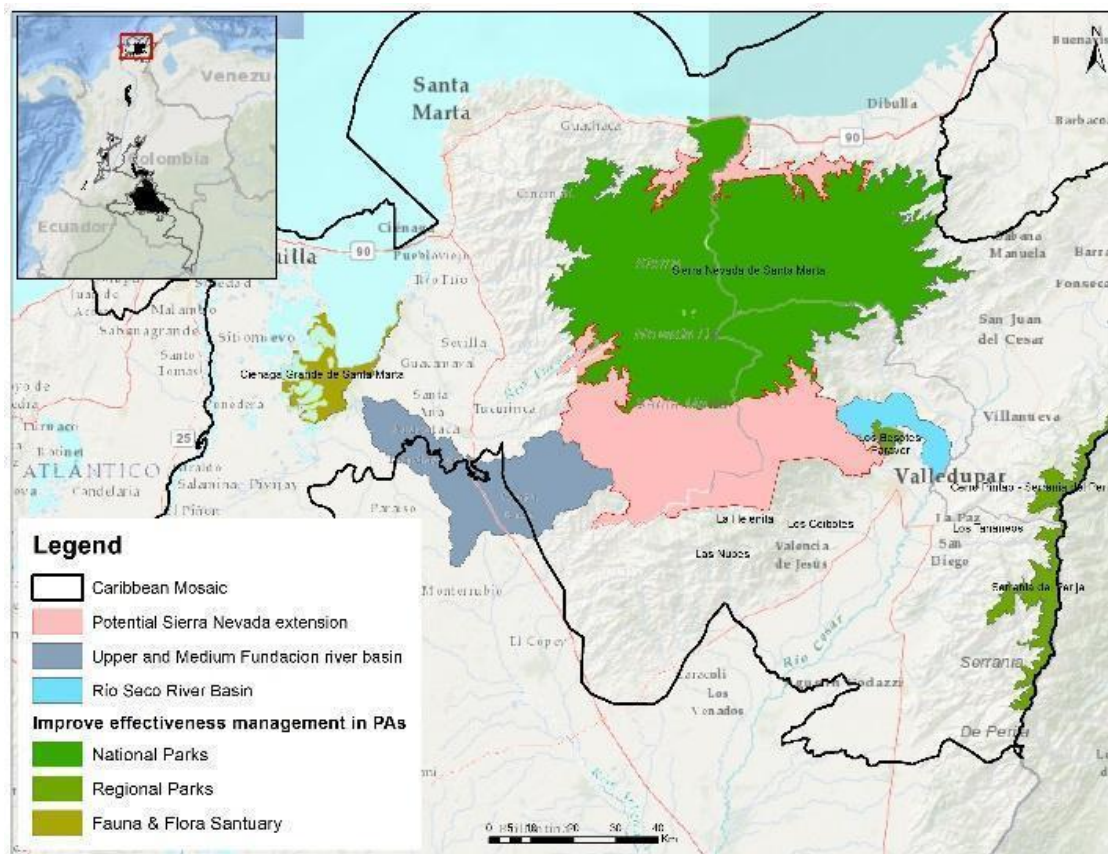


Figure 1. Caribbean Mosaic and project's intervention areas within.

Because of their importance for the regulation of the regional climate, as well as for water provision and regulation, three areas of intervention were selected for this project covering an area of 984,800 ha: The Sierra Nevada de Santa Marta National Park and its projected area of expansion, the Ciénaga Grande de Santa Marta Flora and Fauna Sanctuary (SFF), and the corridors Sierra Nevada-Besotes-Perijá and Sierra Nevada-Ciénaga. These areas are within the jurisdiction of 24 municipalities in the departments of Cesar, La Guajira, and Magdalena. Among the most important municipalities in this mosaic, in terms of area, are Aracataca (30.4%), Valledupar (18.0%), Ciénaga (10.6%), Fundación (10.5%), Pueblo Bello (6.7%), Dibulla (5.5%) and Santa Marta (5.23%).

## Ecosystems and physical conditions

The Caribbean mosaic includes sub-xerophytic scrubs, freshwater wetlands, mangroves, and montane ecosystems. The montane forests ecoregion of Santa Marta and the Eastern Andes montane forests of the Serranía de Perijá are connected through the dry forests of the Cesar

and Ranchería rivers. The highest reaches of both mountain ranges are covered by páramo vegetation, and the coastal zone along the eastern foothills of the Sierra Nevada and the mouth of the Ciénaga Grande de Santa Marta belong to the Magdalena mangrove ecoregion.

According to the ecosystem map of IDEAM (2017), the main ecosystem types in the Caribbean Mosaic are agroecosystems (13.8%), páramo (12.8%), secondary vegetation (11.9%), humid Andean forest (10.5%), sub-Andean humid forest (8.1%), sub-Andean humid grassland (4.1%), Andean rocky outcrops (3.5%), Andean humid grassland (3.2%), and basal humid forest (2.9%). The main agricultural products in the region include beef, palm oil, coffee, banana, citrus, rubber and cacao.

The estuarine delta of the Magdalena River – Ciénaga Grande de Santa Marta (CGSM), the largest coastal lagoon in the South American Caribbean coast, is an important biodiversity reservoir, and an extremely valuable source of fisheries; all these resources are protected at the southwestern edge of the CGSM by a fauna and flora sanctuary. Along the Sierra – Ciénaga corridor, at the southeastern edge, the rivers Frío, Tucurín, Aracataca, and Fundación drain into the CGSM.

The Sierra Nevada de Santa Marta (SNSM) is a coastal massif isolated from other mountain ranges. Because of its isolation, the SNSM harbors a large number of endemic species. The SNSM regulates the regional climate and plays an important role as the provider of critical ecosystem services: its ecosystems capture 48 million tons of carbon annually, reduce the periodic floods of the Magdalena River, and are the source of 30 rivers that provide 33,898,231 m<sup>3</sup> of water every year, not only for the wetland system of the Magdalena River estuary, but also for important urban centers such as Santa Marta, Valledupar and Dibulla. Along the foothills of the western slope of the SNSM, rich alluvial fans irrigate the rich banana crops of Santa Marta. The northern flank of the Sierra gradually slopes into the Caribbean Sea, while the Eastern merges into the valleys of the Ranchería and Cesar rivers, which connect the SNSM with the Perijá mountains. The Serranía del Perijá also plays an important role in the hydrology of the region. Many rivers and streams drain into the Zapatosa wetland system and the Magdalena and Cesar rivers.

Mammal species include the Central American agouti (*Dasyprocta punctata*), jaguar (*Panthera onca*), lowland paca (*Cuniculus paca*), neotropical otter (*Lontra longicaudis*), ocelot (*Leopardus pardalis*), South American tapir (*Tapirus terrestris*), Venezuelan red howler (*Alouatta seniculus*) and white-lipped peccary (*Tayassu pecari*). Endemic mammals include the red-tailed squirrel (*Sciurus granatensis*), Tomes's rice rat (*Nephelomys albigularis*) and unicolored Oldfield mouse (*Thomasomys monochromos*). Endangered mammals include the red-crested tree-rat (*Santamartamys rufodorsalis*).

Bird species include bay-headed tanager (*Tangara gyrola*), black-chested jay (*Cyanocorax affinis*), blue-billed curassow (*Crax alberti*), coppery emerald (*Chlorostilbon russatus*), crested guan (*Penelope purpurascens*), keel-billed toucan (*Ramphastos sulfuratus*), Santa Marta blossomcrown (*Anthocephala floriceps*), scarlet-fronted parakeet (*Psittacara wagleri*) and white-tipped quetzal (*Pharomachrus fulgidus*).

Birds with restricted ranges include black-backed thornbill (*Ramphomicron dorsale*), green-bearded helmetcrest (*Oxypogon guerinii*), montane woodcreeper (*Lepidocolaptes lacrymiger*), mountain velvetbreast (*Lafresnaya lafresnayi*), Santa Marta parakeet (*Pyrrhura viridicata*), strong-billed woodcreeper (*Xiphocolaptes promeropirhynchus*), white-tipped quetzal (*Pharomachrus fulgidus*) and yellow-crowned whitestart (*Myioborus flavivertex*). Endemic birds include the Santa Marta parakeet (*Pyrrhura viridicata*) and white-tailed starfrontlet (*Coeligena phalerata*). Endangered birds include the black-and-chestnut eagle (*Spizaetus isidori*), black-backed thornbill (*Ramphomicron dorsale*), blue-billed curassow (*Crax alberti*), Santa Marta bush tyrant (*Myiotheretes pernix*), Santa Marta parakeet (*Pyrrhura viridicata*), Santa Marta sabrewing (*Campylopterus phainopeplus*) and Santa Marta wren (*Troglodytes monticola*).

## Socioeconomic context

As a whole, the Caribbean is one of the regions with more severe social conflicts over the last few decades, many of them related with environmental conflicts around land tenure and use and environmental degradation caused by mining, land conversion, forest fires and infrastructure development that has degraded the composition, structure, and function of natural ecosystems. Total population in this landscape is 2,261,612 people, 51.2% of which are women and 48.8% are men (DANE, 2018).

There is a consistent inequity between the rural and urban population in the Magdalena Department. Monetary poverty in Santa Marta, the capital city, affects 22.9% of the population, in the rural area it reaches 41.4%. Unfulfilled basic needs are also more significant in rural areas (25.4% of the population) than in urban areas (13.2%). The situation is worse in the municipality of Ciénaga, where monetary poverty affects 44.6% of the population. As referred in Annex 8 there is a feminization of poverty in rural areas which increases gender inequality.

As for the municipalities of Valledupar y Pueblo Bello, in the Department of Cesar (Besotes-Perijá conservation corridor), there are striking differences regarding poverty. While monetary poverty in Valledupar affects 30.5% of the population and unfulfilled basic needs 45.4%, in Pueblo Bello monetary poverty affects 93.2% of the rural population and 43.1% of the urban inhabitants, and unfulfilled basic needs affect 86.4% of the rural population.

The project targets 103,504 people (46.2% women; 53.8% men) in the areas selected for intervention (Table 1).

Table 1. Targeted population in the project's intervention areas of the Caribbean.

Intervention area	Targeted population	Women	Men
Sierra Nevada - Besotes - Perijá	12,235	5,897	6,338
Sierra Nevada - Besotes - Perijá	27	13	14
Sierra Nevada - Ciénaga	8,003	3,721	4,282
Sierra Nevada - Ciénaga	420	173	244

Sierra Nevada - Ciénaga	78,690	36,119	42,571
Sierra Nevada - Ciénaga y Sierra Nevada - Besotes*	3,916	1,825	2,091
Total	103,504	47,845	55,655

## **Indigenous and Black communities**

### Kogui, Malayo and Arhuaco Reserve (CIT-CTC)

The Kogui, Malayo and Arhuaco indigenous reserve is a collective territorial management area, represented by its traditional authorities in the territory. Its political representation is the Tayrona indigenous confederation (CIT) and the Territorial Council of Indigenous leaders of the Sierra Nevada de Santa Marta (CTC).

The indigenous peoples that inhabit the Sierra Nevada de Santa Marta that are part of the Caribbean landscape are the Arhuaco (ijaka), Kogui (Kaggaba), Wiwa (Arzario), and Kankuamo ethnic groups. These indigenous groups mainly inhabit the departments of La Guajira, Magdalena and Cesar. At the end of the 19th century, these indigenous peoples had a strong impact from colonization and religious missions, which had a decisive influence on their social and cultural dynamics. More recently they have been affected by the rise of illicit crops (Marijuana) whose consolidation produced a long process of social decomposition and violence in the region due to the establishment of colonists (non-indigenous) estates, as well as the establishment of illegal armed groups (guerrillas) have affected these human groups. Regarding their social and cultural structures, each indigenous group has its own traditional indigenous authorities that are called "Mamos" who are the highest authorities since they are the connoisseurs of culture and transmitters of the "Law of origin" or its own customary law. Politically the authorities fall on the so-called: Cabildos, governors, commissioners.

Among the main economic activities of these towns are the planting of bananas, potatoes, arracacha, taro, coffee, fruits such as pineapple as well as the raising of free-range animals, small livestock and pigs. Coffee is used as a cash crop. The sale of domestic animals, livestock and wage or wage labor and the sale of handicrafts occupy an important line of the economy. The exchange is also essential for the local economy. Its settlement pattern is characterized by dispersed productive units known as farms. Each farm is operated by the domestic unit made up of a family.

The Kankuamo reservation is an indigenous collective reserve that is located in the Rio Seco district in the Sierra Nevada-Besotes Perijá corridor, made up of the Kankuamo indigenous people which is part of the indigenous peoples of the Sierra Nevada inhabiting the lower part or foothills of the Sierra Nevada in the valley of the Guatapurí and Badillo rivers. The Kankuamo indigenous people have been impacted by a strong process of acculturation and miscegenation. Politically, the Kankuamos have as a traditional authority figure at the hands and in the political part they are represented by the Kankuama Indigenous Organization-OIK. In the Sierra Nevada

Besotes Perijá corridor, there is a special situation, given that outside the project intervention area there are some indigenous communities of the Yukpa people, who make use of the area's ecosystem services and interact with the project's stakeholders.

The indigenous peoples of the Sierra Nevada de Santa Marta in recent years have opted for a vision of comprehensive management of the territory of the Sierra Nevada based on the cultural conception of indigenous peoples. This process has resulted in the issuance of Decree 1500 of 2018, which redefines the ancestral territory of the Kogui, Arhuaco, Wiwa and Kankuamo peoples, expressed in the system of sacred spaces of "the Black Line", as a traditional, special area. of protection, spiritual, cultural, environmental value in accordance with the principles of the law of origin.

It is important to note that the activities to be carried out with the four indigenous peoples of the Sierra Nevada de Santa Marta followed the specific regulations and governance scheme as defined for national protected areas that overlap with indigenous reserves. Following this scheme was an agreement among the indigenous decision-makers and the National Parks system. In this context, all of the socialization and consent processes of the proposal presented to the GCF were carried out in this space with the participation of the indigenous organizations of the Cogui, Malayo, Kankuamo and Arhuaco peoples.

The court decision states that any decision in the traditional territory should follow a prior and informed consultation process, and this is what the project development team did. In addition to this, the court decision also established an oversight committee that goes beyond the Sierra Nevada de Santa Marta area and has a greater scope in the Caribbean region. The Parks and the traditional owners of the territory have a specific governance system of decision-making that provides information to this oversight committee, and during project development it was decided by the organizations of these four peoples and the Parks system that this same governance system will be utilized during the implementation of the HECO project. This is beneficial in that all project-related decisions and information will flow to the oversight committee and is fully integrated into the national system and compliant with the Court decision 121/22.

In the case of the Kankuamo indigenous peoples, they are also involved in part of the actions to be carried out in the SNSM-Serranía del Perijá corridor, and there will be direct relationship with the Cabildo Governor of the Kankuamo people in Valledupar.

The provisions and instances of Court Decision 121/22 and Decree 1500 of 2018 have been the reference framework for the development of project activities and will clearly be coordinated with the Monitoring and Coordination Committee for the protection of the traditional and ancestral territory of the four indigenous peoples of the SNSM given that the same indigenous organizations and institutions that are part of the project are part of this Committee. The implementation and synergy of the HECO project with the "Monitoring and Coordination Roundtable" will be done through the same indigenous organizations that are implementing the proposal and the National Natural Parks.

Black communities of Guacoche and Guacochito administrative districts and community councils of Arcilla, Tuna and Cardona located in the rural area of Valledupar city, Cesar.

These communities still do not have collective property titles over their territories, but they are recognized as Councils of Black Communities under national legislation.

According to the historicization exercises carried out with the Arcilla, Cardón and Tuna community council, the ancestral Afro-Colombian occupation of the territory originated in black settlements that occurred in the vicinity of the Sierra Nevada de Santa Marta and the Serranía del Perijá between the years 1850-1860. (CC Arcilla, Cardón y Tuna and OTEC, 2017). It is necessary to mention that all the narratives agree that this was a territory inhabited by indigenous communities that later settled in the upper part of the mountain, making it easier for the Afro-Colombian population to occupy the savannas and beaches. This is how three hamlets were formed in the Sabaneras plains of the Cesar River basin, which, according to the elderly, would be references in the history of the black settlement, these places were: Paredones, Palmarito and Guacochito (CC Arcilla, Cardón and Tuna and OTEC, 2017).

The communities of Guacochito and Guacochito belonging to the Arcilla, Cardón and Tuna community councils in the 1990s until 2004 suffered a severe crisis due to National Violence. As a consequence, selective forced displacement, physical and psychological abuse, generating instability in all its aspects and leading to the displacement of at least 10% of its population. This led to the national government issuing precautionary measures for this population in 2017. As part of the special measures for these communities, the CorpoCesar Environmental Authority was asked to initiate a process for the recovery of the ecosystems and water resources where this population lives to guarantee the restoration of their rights.

Traditionally, the economy of these community councils has been based on grazing in the communal savannas of minor species such as cattle, goats, and pigs, and the agriculture of bread products such as cassava, corn, and beans. The breeding of minor species was not initially an activity motivated by profit, maintaining a small herd, fishing and wild game were activities that were also carried out in a lower percentage and that over time the number of people who perform this activity.

Much of the community council area is suitable for agricultural and extractive activities. As for extractive activities, the council area is suitable for developing hydrocarbon projects according to the National Hydrocarbons Agency. Another important aspect that is presented in the community council is its relationship with the Sierra Nevada de Santa Marta Biosphere Reserve, since they share their territories.

### **Environmental issues and peacebuilding**

As previously mentioned, the Caribbean region has been the field for long lasting territorial disputes over control of key resources, populations and assets. Along the whole region different legal and illegal armed actors have played a role on defining land occupation, shifts on land use, patterns of production and control over transportation routes.

Taking into consideration the history of conflict and its impacts at territorial level, during the peace negotiation between the Colombian Government and the FARC's (2012-2016) it was defined that the most conflict affected areas should be included on the Territorially Focused Development Plans (PDETs)<sup>1</sup>. The Caribbean mosaic overlaps with some municipalities belonging to the PDET subregion Sierra Nevada – Perijá<sup>2</sup>. According to government information, much of the planned projects and activities bringing together peacebuilding and environmental issues have not been developed yet, as most of the investment has been focused on urban infrastructure. Each PDET has been projected to be implemented under an Action Plan for regional Transformation – Plan de Acción para la transformación Regional (PATR) which is the result of territorial agreements with local indigenous, Afro-descendent and rural communities. The PATR are planned to last 10 years. Most of the proposed activities to be carried out in the Caribbean Mosaic can be harmonized with the future development and implementation of the Subregional PDETs by strengthening the regional governance structures and the involvement on local population, including indigenous, Afro-Colombian and rural communities. Along these instances it would be possible to not only support the peace agreement implementation- especially regarding point one Integral rural Reform, but also achieve conservation objectives linked with environmental conflict drivers.

The table below shows PATR objectives in the Caribbean region which crosscut with governance and restoration efforts included in the PDETs:

PDET Subregion	Sierra Nevada- Perijá and zona bananera
Departments, and municipalities included in HeCo	Cesar: Agustín Codazzi, La Paz, Manaure balcón del César, Pueblo Bello y Valledupar. La Guajira: Dibulla, Riohacha y San Juan del Cesar. Magdalena: Aracataca, Ciénaga, Fundación, Santa Marta, El Reten, Pivijai, Remolino y Sitio Nuevo
PDET municipalities included in HeCo	Cesar: Agustín Codazzi, La Paz, Manaure balcón del César, Pueblo Bello y Valledupar. La Guajira: Dibulla y San Juan del Cesar. Magdalena: Aracataca, Ciénaga, Fundación y Santa Marta
Objectives of the PATR crosscutting HeCo specific objectives.	Objectives of Pillar 1: Social organization of rural property and land use 1. Promote intercultural governance based on dialogue, recognition and protection of rural, indigenous and Afro-descendant population and their ways of life, aiming to promote intercultural coexistence between communities sharing their territories. 2. Promote equal access to water, recognizing women's gendered specific needs.

1 "Territorially Focused Development Programs (PDETs – from its original Spanish language initials - Programas de Desarrollo con Enfoque Territorial) is an program derived from the Final Peace Agreement, which contributes to the comprehensive development of the regions which has been most affected by violence and institutional weakness. PDETs are planning and management instruments created in order to kick off the implementation of the points under the Comprehensive Rural Reform chapter in the prioritized municipalities, as established in the Final Agreement. This subregional program is the main strategy to achieve comprehensive transformation of the rural areas which have most affected by the armed conflict, the absence/weakness of the State, poverty and illicit economies." from Agencia para la reincorporación y la normalización

<https://www.reincorporacion.gov.co/en/reincorporation/Pages/PDETs.aspx>

2 Detailed territorial info: <https://centralpdet.renovacionterritorio.gov.co/wp-content/uploads/2021/12/subregiones/20211221-MegaFichaSierraNevada.pdf>

	<p>3. Enhance access to land for vulnerable populations (i.e rural communities with little or insufficient land: peasants, rural women, Afro-descendants and indigenous groups) with a gender perspective.</p> <p>4. Provide legal security in land tenure through the formalization of vacant or private rural properties occupied by the communities.</p> <p>5. Promote the harmonization of land use planning, through the technical and legal linkage between plans and visions on the territory; these should strengthen spaces for social coexistence, agreements on management and sustainable use of natural resources, protection of key ecosystems and water sheds in the Sierra Nevada and Serranía del Perijá Subregion, which altogether contribute to sustaining life and mitigating risks and effects of climate change.</p> <p>Objective of Pillar 6: Economic recovery and agricultural production</p> <p>1. Promote productive projects (agricultural and non-agricultural) in the PDET municipalities of the Sierra Nevada and Serranía del Perijá Subregion, which include the organizational strengthening of different forms of work based on solidarity and cooperation, aiming to generate income for rural families and communities economies.</p>
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## **Deforestation and land use**

The expansion of the agricultural frontier around the Sierra Nevada de Santa Marta National Park has resulted in an increased encroachment within the protected area, causing deforestation, increasing livestock grazing in the paramos, intentional forest fires aimed at the renewal of pastures, resulting in land degradation and erosion. The recent increase of non-regulated tourism in the area has compounded these impacts and further reduced the quality of life for the indigenous peoples living within the National Park. The negative impacts on ecosystems represent the loss of ecological integrity throughout, compromising the resilience of the protected area to expected climate change, including changes in rainfall and temperature that will reduce water supplies and increase dry season deficits

In the Caribbean landscape, soil degradation and the creation of pastures for livestock are caused partially by cultural changes of the indigenous communities, demanding large amounts of water for irrigation (PNN, 2017a). Ecotourism, present in most of the Caribbean landscape, has contributed to the conservation of National Natural Parks (NNP) and other protected areas in this landscape but it can also be a driver for deforestation since it requires infrastructure such as access roads and hotels.

Contrary to other landscapes, there is no significant deforestation from illegal activities such as illegal mining or wood extraction in the Caribbean landscape. Although these activities are present in some areas on the Caribbean coast, these are not part of this mosaic. Coca crops were excluded from the analysis because they are responsible for less than 0.5% of deforestation (UNDOC, 2017).

## **Sierra Nevada de Santa Marta Expansion proposal**

The expansion of the Sierra Nevada de Santa Marta National Natural Park (SNSM) arose from the need, evidenced by the Arhuaco and Kogui Indigenous Peoples, to protect the ancestral territory delimited by the Black Line. This need was accepted by the Territorial Council of Indigenous Councils of the SNSM (CTC), a space of joint representation of the four Indigenous Peoples of the SNSM (Wiwa, Kankuamo, Arhuaco and Kogui), where in the exercise of self-government, the four Peoples agreed that the Arhuaco and Kogui authorities would be the ones to undertake the consultation process directly with Colombia's National Natural Parks since the expansion area includes territories where the Arhuaco and Kogui peoples are the ones in charge of the government. Notwithstanding the above, the four Pueblos were summoned and took part in the protocolization of the agreements within the framework of the prior consultation, regarding the aspects common to the four Peoples, in the framework of the CTC - Consejo Territorial de Cabildos Indígenas de la SNSM (Territorial Council of Indigenous Councils of the SNSM).

Within the proposed area, biodiversity elements such as sub-Andean rainforest, high Andean rainforest and tropical dry forest ecosystems have been identified in several biogeographic districts of the region, which are currently not represented and are in high insufficiency in the SINAP.

The expansion of the current National Natural Park will also contribute to the protection of habitats that exhibit high biodiversity values, endemic species, temporary areas of establishment of migratory species, included under some degree of threat. In addition, it should be noted that this

mountain massif is strategic for the Colombian Caribbean, as it is the main source of water for three departments: Magdalena, Cesar and La Guajira.

The area proposed for the expansion of SNSM National Park is part of the ancestral territory of the four SNSM peoples (Wiwa, Kankuamo, Arhuaco and Kogui), the Black Line and the Arhuaco and Kogui-Malayo-Arhuaco Indigenous Reserves. This territory is managed in accordance with the socioeconomic, ancestral and cultural forms, based on the exercise of the indigenous peoples' own governance, as an effective mechanism for the environmental conservation of the territory of the protected areas in the territory of the protected areas in the Sierra Nevada de Santa Marta in coordination with the PNNC.

The ancestral land management and conservation model "Ordenamiento Ancestral del Territorio", is the axis of the conservation practices of the indigenous peoples carried out for generations in the SNSMNP.

## San Lucas Mountains Mosaic

The Serranía de San Lucas spans an area of approx. 484.270 ha between the Magdalena River to the east, the Cauca River to the west, the Cimitarra River valley to the south, and the lowlands of the so called depression Momposina to the north, covering an elevational gradient from 0 to 2,750 m above sea level (Salaman & Donegan, 2001) (Figure 15). The area targeted to be protected is within the jurisdiction of 12 municipalities (10 in the Bolívar Department and 2 in Antioquia), covering ca. 50% of the Serranía and an elevational gradient from 100-2200 m above sea level.

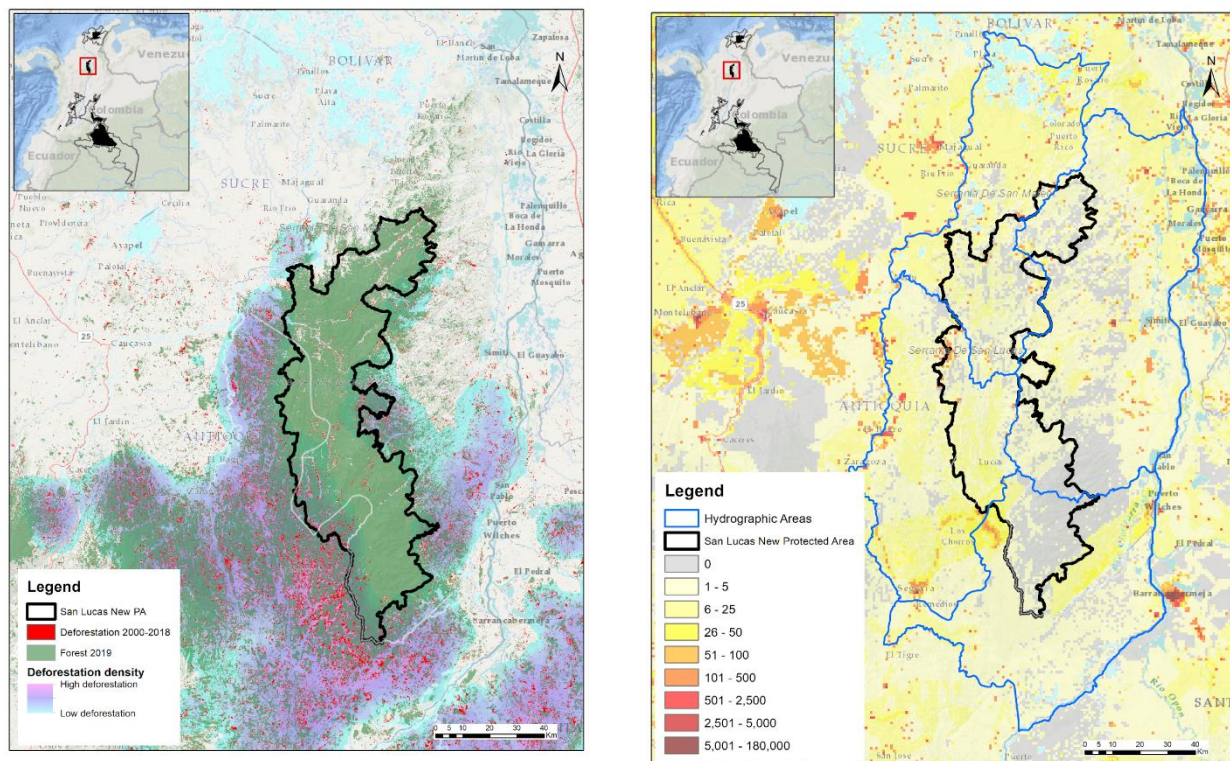


Figure 2. San Lucas new protected area. A) Deforestation patterns b) Population density

## Population and socioeconomic context

Communities in the San Lucas Mountains are mostly composed of farmers and settlers from different regions, but there are some indigenous peoples in the area. In the proposed extension zone for the Serranía de San Lucas protected area, there is the Puerto Claver Reserve of the Senú people, the Embera peoples of the Kurgurudó community in Montecristo (Bolívar) and the Black community of the Community Councils of Guamoco, Palmachica - La Ahuyama and Caribona.

The Puerto Claver Reserve was created in 2019 through Agreement 103 of the National Land Agency. In the process of formulating the HECO proposal, little information was available for its characterization given that the Reserve was still being consolidated at the time. It is important to highlight that the entire strategy for the involvement of this Reserve will be led by National Parks in the framework of the social dialogue and prior consultation process for the extension of the protected area.

The indigenous communities located in the study area for the establishment of a protected area in the Serranía de San Lucas have been identified in the joint work with National Parks and are part of the social dialogue in the process. The main activities carried out are:

- Joint construction of territory definition
- Social cartography
- Sharing of what is to be conserved.
- Articulation of the communities with the possible declaration of a protected area.
- Elements required for a possible prior consultation.

There is also the community of Kurgurudó, of the Embera people in the zone, who do not yet have official recognition, so the appropriate route to follow with them is being established with the Ministry of the Interior and the mayor's office, and the Project cannot supersede this national process. However, if project level ESS Screening reveals they will be impacted by any project activity, they will be considered as indigenous peoples due to WWF's requirements and a IPP will be created with them. It is important to note that they are aware of all the information regarding the process of declaring the protected area and will be involved in the government-led Prior Consultation process as well.

It is important to note that the San Lucas Landscape process is being led by the national authority responsible for the declaration of conservation areas, that the borders of the park have not yet been delineated, and that therefore they have to follow the pace of the evolution of that process. The San Lucas expansion process is in a preliminary stage based on the legal roadmap for the creation of a possible new protected area. The preliminary stages are fulfilled with the local groups identified to define the methodology and the agreement to move forward with the process of designation. During the process, the type of category and the type of uses and zoning will be decided based on the social and institutional engagement process.

In parallel to the creation of the conservancy area, a resguardo indígena has also very recently been created in the area. That process is also being led by the national government and has an impact on implementing a FPIC process, as so far no indigenous authority has been formally identified by the government. If the proposed protected area will overlap with any indigenous

group's territory, a prior and informed consultation process must take place for the approval of the designation. The designation process of any type of protected area will include agreements with all communities and institutions in the area. Considering the social and political context of the area, a multiple use protected area is under discussion to promote rights of landless communities and define restoration, conservation and well-being investments that communities are requesting.

The formal process to define type of category, uses, demarcation, conservation, management and restoration activities will be agreed with all groups, stakeholders that are in the area and surrounding areas, not solely indigenous communities. Additionally, the designation process will be based on social agreements with local communities to enhance land tenure rights and define the type of use allowed, type of investments and wellbeing, restoration and food production practices to benefit the area and local communities. Finally, the policy of the new government establishes measures to: promote land tenure rights overlapping with multiple use protected areas, enhance social governance in the area, and promote nature-positive strategies in critical areas. The proposed HECO project establishes these types of activities, promoting both territorial security and conservation measures as part of integrating risk management and conflicts in the area.

According to the last national census, there are 410,191 people (200,280 men and 209,911 women) in the area of influence of San Lucas. However, there are only 30,320 people living in the Serrania proper (14,804 men and 15,516 women). Most of the area belongs to the Magdalena Forest Reserve Zone, partially overlapped with small farmers reserve areas. The economic conditions of the population are far from optimal, as poverty affects 90% of the people living in the area corresponding to the Department of Bolivar, and 65% of the population in the area corresponding to the Department of Antioquia (PNN, 2014).

## Ecosystems and physical conditions

From a biogeographical standpoint, the San Lucas Mountains massif is unique, as its climate remained stable during the drastic climate changes of the Pleistocene, serving therefore as a climate refuge for many species of fauna and flora. This area is also the largest fragment of montane and pre-montane forests in northwestern South America (Salaman & Donegan, 2001) and because of its biological riches (1,093 species of flowering plants, 71 morphotypes of aquatic invertebrates, 185 species of butterflies, 129 species of fish, 69 amphibians, 62 reptiles, 587 birds and 191 mammals according to PNN and WCS, 2015), its carbon stock and the ecosystem services it provides (IDEAM et al., 2007; Fandiño y van Wyngaarden, 2005), it is in the process of becoming part of the SINAP as an integrated management district. San Lucas is a strategic link to ensure the connectivity of several important protected areas in northern Colombia, and the biogeographical gradient connecting Central America to the South American Caribbean lowlands.

San Lucas is a transitional zone between the semi-arid conditions of the southern Caribbean lowlands and the moist foothills of the northern Central Andes. Mean temperature in the area is 28.2°C (12-35°C), although it may rise to 38°C during the dry season. According to the Caldas Lang classification system, it ranges from warm, semi-humid in the north, to warm humid to the south, and from warm super-humid to the west and northwest to temperate humid and super-humid in the highest elevations. The main rainy season occurs during the second half of the

year, and the main dry season occurs during the first quarter (January-March), when there is a water deficit in the soil. Between April and November, the water balance is positive.

San Lucas plays an important role in the hydrography of the region, as it intercepts the humid air masses from the Caribbean lowlands. The resulting precipitation in the northern slopes of the massif feeds the streams that flow into the wetland complexes of the surrounding lowlands. Three large rivers irrigate the area of influence of San Lucas (Magdalena, Cauca, and Cimitarra), and several tributaries of the wetland complexes in lower Cauca and Magdalena (the Tigüi and Santo Domingo Rivers and the Arenal, Norosí, El Bosque and La Honda creeks) have their headwaters in the upper reaches of the massif (PDPMM, 2015). A comparison of extreme water flow values for the Tigüi River (Sánchez, 2014) shows naturally high variability, with a decrease of up to 36 m<sup>3</sup>/s below the monthly average in a dry year and an increase of up to 106 m<sup>3</sup>/s above the monthly mean during an exceptionally wet year.

According to the third national communication to the IPCC (IDEAM et al., 2015), a 1.0°C temperature increase is expected for the departments where San Lucas is located (Bolívar y Antioquia) for the period 2011-2040 (compared to the 1975-2005 baseline). The municipalities located in the northern portion of the area of influence would be the most severely affected by the increase of temperature and the decreasing precipitation. Increased evapotranspiration will result in a more irregular behavior of the region's hydrology, exacerbating local vulnerability to climate extremes. During the driest periods, the local population is vulnerable to water scarcity, and during the rainy seasons, to flooding (Fierro, 2014). Thanks to the large area still covered by natural vegetation, and if the San Lucas Mountains is protected into the future, these changes may be less accentuated and the area will maintain its ecological integrity and continue to provide key ecosystem services such as water provision and regulation of increasingly variable flows and extreme rains, and carbon sequestration.

Given the prevailing poverty of a majority of the population within the area of influence of San Lucas, local capacity to cope with negative impacts of increasing climate variability (e.g. loss of food crops during extremely dry or wet seasons, damages to local villages and infrastructure during floods) is very limited. In addition, the lack of water sanitation and the extended practices of illegal gold mining expose local communities to the hazards of water pollution. Drinking water in the municipalities of Montecristo, Norosí, Arenal, Rio Viejo, Tiquisio and Santa Rosa del Sur is considered "sanitarily non-viable" (PDPMM, 2015) due to the use of mercury and cyanide during the process of gold mining (Fierro, 2014).

### Sectors and value chains

Gold mining is the most important economic activity in the area of influence of San Lucas, as the region is acknowledged worldwide because of its mineral riches (Cuadros et al., 2014). With most livelihoods associated with mining, agriculture is relatively marginal and largely unsustainable. Food crops are mostly associated with mining settlements, and insufficient to supply the needs of the population which therefore depends on trade from other regions. In the lowlands of the area of influence of San Lucas, there is a recent increase of extensive cattle ranching, oil palm plantations, and hydrocarbon extraction.

In the lowlands around San Lucas, gold mining, hydrocarbon extraction, logging, oil palm and sorghum cultivation, and cattle ranching are the main economic activities, although artisanal

fisheries, trade, and transportation (both terrestrial and aquatic) are also important income sources (PDPMM, 2015). In the foothills of the Serrania, rice, beans, cocoa, and rubber production have become important alternatives to replace illegal crops over the last two decades (Fonseca et al., 2005). Within the area targeted to be protected, there are four production systems: 1) food production for local consumption, associated to double purpose cattle ranching; 2) artisanal alluvial gold mining with external capital; 3) sinkhole gold mining (mostly illegal) with external capital, and 4) timber extraction with capital associated to mining.

## Environmental issues and peacebuilding

Most of the previously mentioned economic activities are related to extractive industries, which have been historically linked with the presence of illegal armed groups. They seek to control the territory, its resources and population. As a result, most of the municipalities included in this mosaic overlap with two PDET subregions: Sur de Bolívar<sup>3</sup> and a small part of Bajo Cauca and Northwest Antioquia<sup>4</sup>

Project activities in the area are focused on the declaration of the protected area, which intense presence and action is led by Parques Nacionales Naturales, and all safeguards and reduction risk measurements will be implemented together with the relevant national and local institutions. The table below lists PATR objectives in the San Lucas region which crosscut with governance and restoration efforts included in the PDETs.

PDET SubRegion	There are 2 PDET regions included in the mosaic: 1. Bajo Cauca and Nordeste Antioqueño 2. Sur de Bolívar
Departments, and municipalities included in HECO	Antioquia: El Bagre and Segovia Bolívar: Arenal, Cantagallo, Montecristo, Morales, Norosi, Rioviejo, San Pablo and Santa Rosa del Sur
PDET municipalities included in HeCo	Antioquia: El Bagre y Segovia Bolívar: Arenal, Cantagallo, Morales, San Pablo y Santa Rosa del Sur
Objectives of the PATR crosscutting HeCo Objectives	PATR Bajo Cauca and Northeast Antioquia:  Objectives of Pillar 1: Social organization of rural property and land use 1. Promote rural property legalization and territorial planning with participatory approach in the municipalities. 2. Promote access to land and tenure security with equity for all minority groups such as: rural women, victims of conflict, ethnic communities, rural workers and the most vulnerable population in general.  Objective of Pillar 6: Economic recovery and agricultural production 1. Support the implementation of comprehensive productive projects and sustainable livelihoods (agriculture, livestock). These would require organizational and commercial strengthening, as well as

3 <https://centralpdet.renovacionterritorio.gov.co/wp-content/uploads/2021/12/subregiones/20211221-MegaFichaSurdeBolivar.pdf>

4 <https://centralpdet.renovacionterritorio.gov.co/wp-content/uploads/2021/12/subregiones/20211221-MegaFichaBajoCauca.pdf>

	<p>environmental support. All these processes would be carried out the gender and interseccional approaches aiming to promote the sustainable development of the rural areas in the Bajo Cauca, North and Northeast subregion, of the department of Antioquia.</p> <p>PATR Sur de Bolívar:</p> <p>Objectives of Pillar 1: Social organization of rural property and land use</p> <ol style="list-style-type: none"> <li>1. Contribute to the regularization and protection of property rights, bringing legal security, promoting the proper use of the land, improving the planning and ordering of the territories, preventing, mitigating and resolving conflicts of use and possession of the land.</li> <li>2. Guarantee integral access to land for rural communities and workers, together with sustainable management plans in the rural sector of the seven municipalities of the PDET of the Sur de Bolívar and Yondó.</li> </ol> <p>Objective of Pillar 6: Economic recovery and agricultural production</p> <ol style="list-style-type: none"> <li>1. Support the consolidation of income generating processes for rural families and communities supporting their economy of the seven municipalities of the PDET of the Subregion of the Sur de Bolívar and Yondó. All these processes would include support on sustainable trade chains of goods and services.</li> <li>2. Enhance rural and familial economies with diversified local and regional markets through fair and sustainable trade networks, promoting agreements or symmetrical alliances and exports with direct management from the seven municipalities of the PDET of Sur de Bolívar and Yondó.</li> </ol>
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## Deforestation and land use

The rich ecosystems of San Lucas are increasingly threatened by illegal logging, poaching, artisanal and industrial gold mining, illicit crops, and for the expansion of the agricultural frontier (Fonseca et al., 2005; Moreno y Zamora, 2012; González et al., 2018). Poor land use planning, the inadequate use of water sources, and a long history of settlements associated with the armed conflict contribute to exacerbating the pressure on natural resources. San Lucas is seen as one of the last frontiers of colonization in Colombia, and this perception surely contributes to attracting new settlers in addition to many who arrive forced by the dynamics of warfare. There are colonization fronts along the rivers allowing the penetration into the highlands, illegal logging, and the expansion of illegal crops (PDPMM, 2015, IDEAM, 2018).

In 2019, forest covered 88% of the area proposed for protection in San Lucas and carbon stock was estimated to be 36 Mt C, with a potential 146.65 MT CO<sub>2</sub>e stored in the aerial biomass. These figures indicate that San Lucas stores ca. 0.7% of the country's carbon stocks. The San Lucas Mountains is, therefore, one important deforestation front. González et al. (2018), estimated that this front represented 8.3% of the nation's deforestation for the period 2005-2015. In addition to the negative impacts on biodiversity and ecosystem services, this

deforestation is responsible for the annual emission of up to 0.39 MT CO<sub>2</sub>e according to the reference period 2008-2017.

Table 2. Forest mitigation indicators for San Lucas new protected area.

	Forest 2019 (ha)	Stocks 2019	Deforestation (ha) (2008- 2017)	Annual forest lost (ha) (2008- 2017)	Annual Average Emissions from deforestation  T CO <sub>2</sub> e
Declaration of New protected Area (San Lucas)	420,202	146,650,585	11,005	1,139	397,661

## Indigenous Communities

## Central Andes Mosaic

This Mosaic is located in the south-central portion of the Central Andes, from the Puracé NNP and the páramos of las Papas and Sotará in the south, to Los Nevados NNP, the Morro Azul Mountain and the Analú Plateau in the north. It includes the inter-Andean valleys of Cauca and Magdalena, and spans across the jurisdictions of 82 municipalities in seven Departments: Caldas, Risaralda, Quindío, Valle del Cauca, Cauca, Huila, and Tolima. The Mosaic has a total area of 1,665,512 ha, 441,003 ha of which (26.5%) are national protected areas (Los Nevados, Las Hermosas, Puracé and Nevado del Huila NNPs and the Otún Quimbaya SFF), and 256,347 ha (15.4%) are protected areas of other categories including nine National Forest Reserves (62,918 ha), 33 Regional Forest Reserves (11,628 ha), six Soil Conservation Districts (36,046 ha), nine Regional Natural Parks (3,030 ha), and 234 Private Nature Reserves (3,595 ha).

Given their vulnerability to existing and anticipated climate variation and their importance as providers of ecosystem services, this project selected four areas of intervention with a combined area of 381,370 ha. These are Las Hermosas and Los Nevados NNPs, and the corridors Las Hermosas-Génova, and Los Nevados-Chec-Guacas-Rosario, in the jurisdiction of five Departments: Caldas, Quindío, Risaralda, Tolima, and Valle del Cauca, and 28 municipalities. The most important municipalities in terms of area are Rioblanco (15.9%), Buga (14.0%), Chaparral (13.4%), Tuluá (13.2%), Palmira (8.6%), Villamaría (7.1%), and El Cerrito (4.4%) (Figure 2).

## Ecosystems and physical conditions

The Central Andes Mosaic includes high mountain ecosystems such as glaciers, volcanoes, páramos, high Andean forests, and Andean forests. Four of the six glaciers remaining in Colombia are located here, and seven páramo complexes (20% of this kind of ecosystem in the country). Within these páramos, there are 840 lakes and lagoons with associated peat bogs. According to the National Ecosystems Map (IDEAM 2017), the areas prioritized for intervention in the Mosaic include páramo (48.1%), agricultural mosaics (pastures, mixed crops, natural vegetation remnants, 45%), pasturelands (13.9%), humid Andean forests (10.8%), pastures mixed with forest remnants (5.8%), glaciers and snow fields (2.5%), coffee groves (2.4%), and secondary forests (2.1%).

This Mosaic has a long history of use and occupation, and therefore its ecosystems have been largely transformed. Although most of these transformations occurred during the second half of the last century, 35% of the mosaic (584,410 ha) was converted during the past two decades. Agroindustry (mainly sugar cane, coffee, rice, potatoes, cotton, and maize) occupies 79,032 ha (IDEAM, 2016). According to the IGAC, land use conflicts affect 42% of the Mosaic: 348,650 ha (20.9%) are overused, 45,094 ha (2%) under used and 27,432 ha affect aquatic ecosystems. In 2017, the National Mining Agency reported 268 mining titles within the mosaic, affecting 131,674 ha, and 200 additional requests that would affect 149,926 ha (Agencia Nacional de Minería, 2017). Infrastructure development has been extensive in the region: 203 km of power transmission lines have been installed along 13 sectors, and five irrigation districts are in operation.

All these land use changes have resulted in CO<sub>2</sub> emissions generated by deforestation. For instance, for the period 2008-2017 the Las Hermosas-Génova corridor emitted 29.237 tCO<sub>2</sub>e/yr, while Las Hermosas NNP emitted 4.907 t CO<sub>2</sub>e/yr.

This Mosaic contains more than 500 species of birds, 92 species of frogs, 120 species of mammals, and 200 species of butterflies. It is also a center of endemism for several plant and animal taxa and contains one of the Endemic Bird Areas determined by BirdLife International, with 12 restricted-range species (4 of which occur nowhere else) in an area of 19,000 km<sup>2</sup>. One of these species is the Cauca guan (*Penelope perspicax*), which occurs in humid forest at elevations between 1200 and 2200 m on both slopes of the Andes and is presently relegated to a few forest remnants. More remarkable is the case of frogs; of which 60 species are endemic to this landscape

The biological diversity of the montane forests is the result of complex patterns of biological diversification, related to the ecoregion's geological history, and present topographic and climatic diversity. Frogs, for example, show a pattern of allopatric or horizontal differentiation where populations are isolated on different slopes, which adds to the differentiation of species along altitudinal gradients. Likewise, some butterflies such as the tribe Pronophilini show a double pattern of speciation, one in which closely related species are on different Andean slopes (allopatric speciation), and a second one in which close allies are in different altitudinal belts on the same slope (parapatric speciation) Another factor that contributes to the ecoregion's biological diversity is the biotic interchange that occurred between North and South America when the Central American isthmus was established. Many of the Laurasian floristic elements that invaded South America differentiated in the northern Andes, where they represent important ecological elements in middle and high elevation forests (e. g., *Alnus*, *Quercus*, *Talauma*, *Juglans*).

The montane forests contain populations of a number of species of special concern, including large mammals such as spectacled bear (*Tremarctos ornatus*) and mountain tapir (*Tapirus pinchaque*), and restricted-range and/or endangered bird species such as Cauca guan (*Penelope perspicax*), brown-banded and moustached antpittas (*Grallaria milleri* and *G. alleni*), multicolored tanager (*Chlorochrysa nitidissima*), and golden-plumed parakeet (*Leptosittaca branickii*). Some of these species, such as the golden-plumed parakeet and quetzals (*Pharomacrus spp*), undergo regional migrations along the slopes of the Andes.

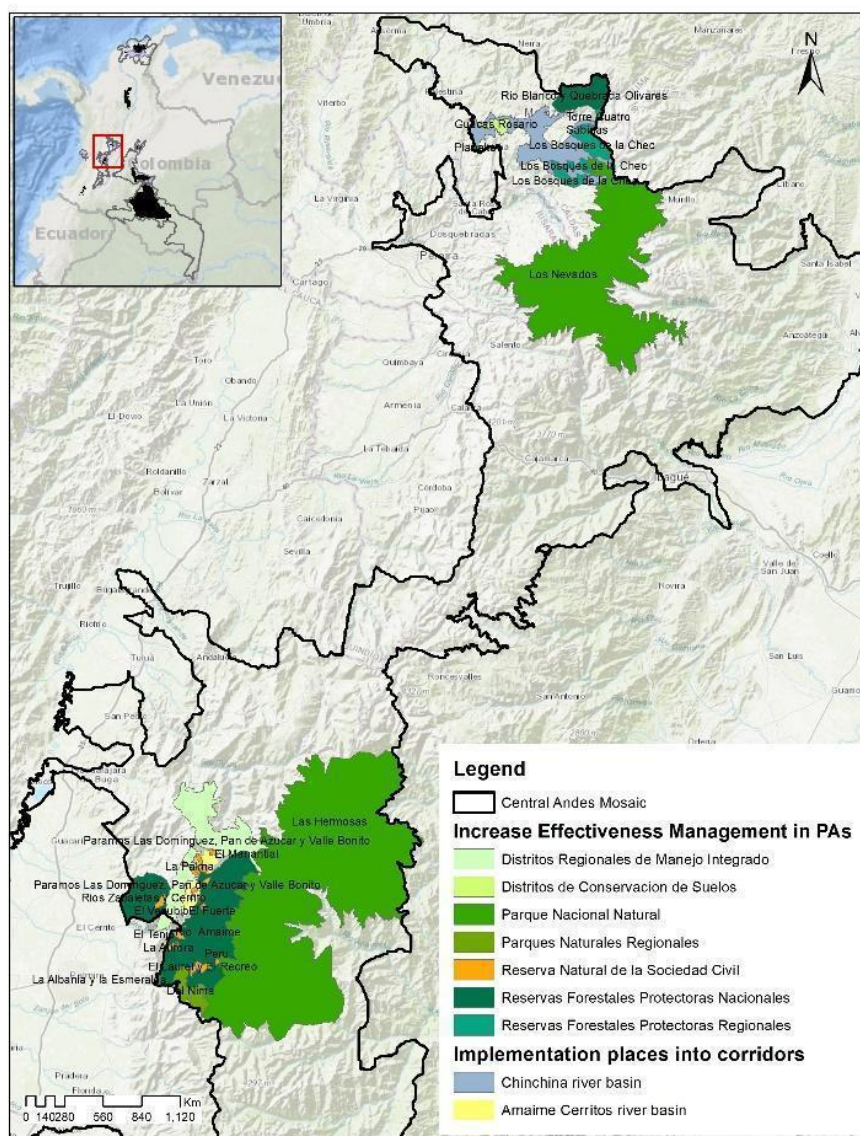


Figure 3 . Central Andes Mosaic and intervention areas for the project.

## Socioeconomic context

Total population in this Mosaic is 3,862,466 people, 51.2% of which are women and 48.8% are men. The estimated number of the targeted population within the four intervention areas is 115,364 (48.4% women, and 51.6% men) (Table 2). The multi-dimensional poverty index has relatively low values in the Mosaic (from 11.5% in Palmira to 17% in Villa María). As in other

regions, poverty tends to affect more people in rural areas than in the urban centers. Unsatisfied basic needs also tend to have higher values in rural areas than in urban centers.

Table 3 Targeted population in the project's intervention areas of the Central Andes.

Corridor	Targeted population	Women	Men
Las Hermosas - Génova	2,053	1,037	1,016
Las Hermosas - Génova	8,420	4,252	4,168
Nevados - Chec - Guacas Rosario	85,111	41,024	44,087
Nevados - Chec - Guacas Rosario	19,780	9,534	10,246
<b>Total</b>	<b>115,364</b>	<b>55,846</b>	<b>59,518</b>

### Environmental issues and peacebuilding

In terms of risk and security the localities covered by the Andean Mosaic do not experience great security threats by organized crime and violent actors. Due to its high level of urbanization and occupation, local authorities and institutions are present in the area.

### Community, rural and local organizations

The Assemblies for Community Action from: Manizales (La Enea, Bajo Tablazo, Buenavista y Agua Bonita); Villamaría (El Pindo, Gallinazo y La Floresta); Palmira (Cambia, Toche y Tenjo); El Cerrito (Carrizal, El Moral, Tenerife y Ajuí)

The JACs are non-profit, private, autonomous, social, civic and community solidarity organizations, with legal status and own assets.

### Deforestation and land use

Los Nevados NNP has been affected throughout the years by high anthropogenic pressures associated with population growth, land use changes, inadequate farming practices, the expansion of the agricultural frontier, and recurrent fires aimed at the renewal of pastures. These activities have had a negative overall impact on the fragmentation and/or loss of ecosystem connectivity and services delivery, increasing the pressures this protected area must face and compromising its resilience in the face of worsening climate extremes.

Land use conflicts arising from practices that do not meet protected area standards have been recorded in some localities within the Los Nevados NNP, and also within the Las Hermosas - Génova corridor, contributing to deforestation, erosion, soil compaction, and increased CO<sub>2</sub> emissions caused by deforestation. Such conflicts will only rise with increasing water supply variability and worsening climate hazards.

# Orinoco Transition Mosaic

The Orinoco Transition Mosaic spans an area enveloping the eastern Andes and different basins and ecosystems of the upper Amazon region, the Orinoco region and part of the Magdalena River Valley piedmont. In hydrographic terms, the great Orinoco basin drains into almost all of the Mosaic. It includes the highest reaches of the central Eastern Andes range and all of the transitional areas leading to its eastern (Orinoco) and western (Magdalena Valley) slopes. It spans 66 municipalities located in three Departments: Cundinamarca, Boyacá, and Meta (Figure 3) and spans approximately 3,255,031 ha.

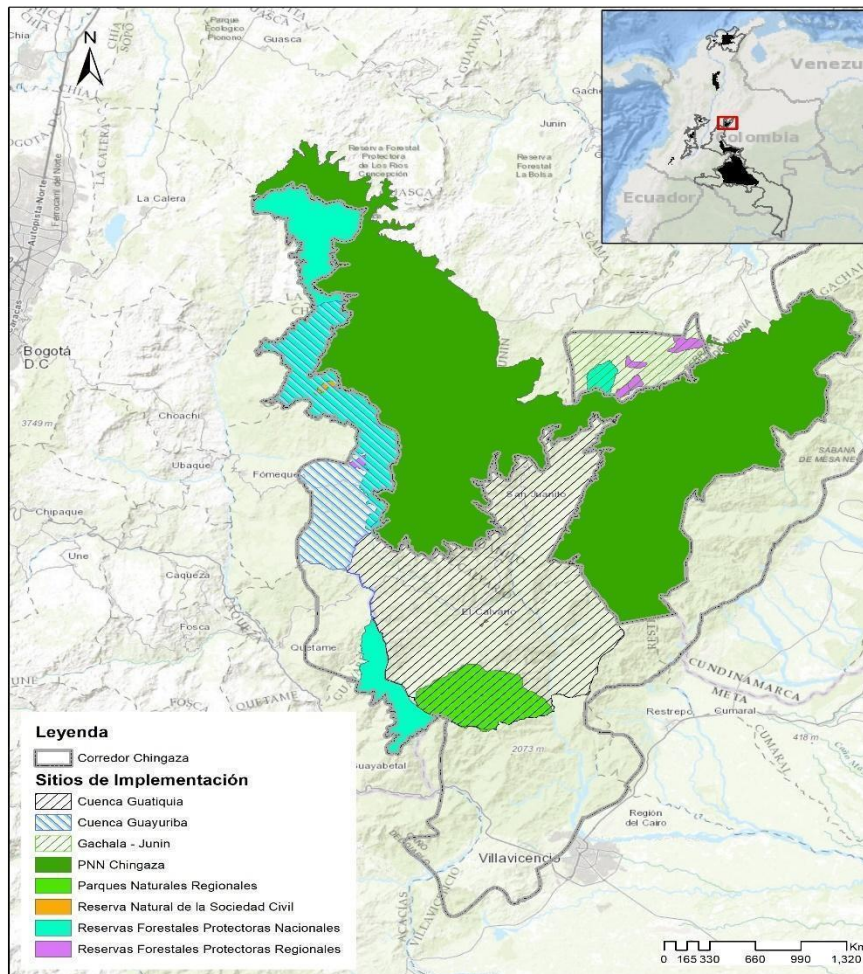


Figure 4 . Orinoco Transition Mosaic and priority intervention areas.

In biogeographic terms, the Mosaic is the point where the Andes and the Orinoco converged during the Pleistocene and Holocene Eras. Its backbone is the Eastern Andes Mountain Forest Ecoregion, which fans out over the eastern slopes of the Andes. Its southern flatlands are occupied by the piedmont area and the Apure-Villavicencio dry forests Ecoregion, and its western reaches, by the Picachos, Sumapaz and Chingaza páramo complexes, which are a part of the Northern Andes páramo Ecoregion. The southwestern portion of the Mosaic is connected to ecosystems belonging to the Magdalena Valley dry forests Ecoregion.

The Mosaic has two great landscapes: the Andes, and the Andean piedmont, which harbor species that are threatened or endangered at global, national, and local levels, such as the Andean bear, the mountain tapir, the Andean condor, the páramo paca, and endemic frailejones.

The Chingaza National Natural Park, located in the Andean portion of the Mosaic, and its three connectivity corridors (Chingaza 1, to the north, Chingaza 2, to the south, the east and the northeast; and Chingaza 3, to the northwest) were selected as priority intervention areas because of their extreme vulnerability to climate variation associated to dry periods, when water shortage can decrease up to 65% as compared to average years. The project's main priority intervention ecosystems are the humid sub-Andean forest, the páramo, the livestock agroecosystem, and the humid Andean forest.

### **Ecosystems and physical conditions**

The Mosaic's páramo complex spans large areas that are still very well preserved, yet the páramos located at the highest elevations are threatened by the expansion of farmlands, mainly of potato fields, population growth due to forced displacement, and law and order issues. Even Chingaza, the best preserved of its páramos thanks to the fact that most of it is owned and managed by the Bogotá Aqueduct, is in danger. The complex has not been excessively transformed (only 6% of the total páramo area has been modified), but grass cultivation for use in dairy farming, as well as the creation of cultivation fields, mainly potato patches, exist within it. Infrastructure projects, such as the Guavio hydroelectric plant and the Bogotá Aqueduct's Chingaza System have also impacted these ecosystems.

Regarding the overuse/underuse of the territory in terms of its environmental management and zoning specifications, IGAC et al. (2012), estimate that 13% of its land evinces conflicts surrounding its use. 241,313 ha (7.4%) of the land are overused, 95,871 ha (3%) are underused, and the bodies of water located within 67,240 ha (2%) have been affected by direct interventions.

Hydrocarbon prospecting and exploitation within the Mosaic orbits around 17 oil blocks (representing 788,124 ha), two of which are available, two have been reserved, and 13 have been scheduled for prospecting. 29,615 hectares have been affected by 3D seismic survey work and 2,444 km by 2D seismic survey operations (Agencia Nacional de Hidrocarburos, 2014b).

In 2017, the National Mining Agency filed 109 mining titles (19,486 ha) and 213 requests (85,121 ha) (Agencia Nacional de Minería, 2017). IGAC et al. (2012) consider that the Chivor and Medina districts, comprising 52 ha of mining claims, draw the most attention from the mining and energy sectors. It houses 26 km of the Apiay–Bogotá System gas pipelines and 231 km of power lines belonging to the national electricity network, which are divided into the seven segments. Four irrigation and/or drainage districts have been built in the vicinity which are currently operational. The construction of five additional districts has been projected.

### **Socioeconomic context**

Most of the Chingaza 1 connectivity corridor is located in the jurisdiction of the Gachalá municipality (Cundinamarca), where the multi-dimensional poverty reaches a value of 51.5%, and a high inequity between rural and urban areas. Unfulfilled basic needs affect 4.72 % of the

urban population, and 24.2% of the rural inhabitants. Unemployment in this municipality reaches a value of 54.65 %.

The multi-dimensional poverty index for the municipalities included in the Chingaza 2 corridor range from 15.9% for Villavicencio and 47.9% for Ubalá. Unfulfilled basic needs have a value of 7.5 % in the urban centers of Cundinamarca, while in the rural areas of Ubalá and Medina reach values of 34.92 % and 69.84 %, respectively.

As for the Chingaza 3 corridor, the least value of the multidimensional poverty index corresponds to the Guasca municipality (15.50 %), and the highest value to Junín (57.8 %). Unfulfilled basic needs are more important in the rural areas of Gachetá (23.53 %), Junín (17.49 %), and Machetá (12.84 %). Machetá also has the highest value of the multi-dimensional poverty index associated with its urban population (10.69 %).

Total population in this mosaic is 10,402,121 people, 51.2% of which are women and 48.8% are men. The Mosaic's vulnerable population is composed of the rural and urban inhabitants of the 11 municipalities under the Chingaza NNP's jurisdiction: Fómeque, Medina, San Juanito, Restrepo, Gachalá, Guasca, Junín, La Calera, El Calvario, Choachí, and Cumaral. The targeted population consists of 17,269 people within the Mosaic's areas of intervention (47.9% women; 52.1% men). (Table 3).

Table 4. Targeted population in the project's intervention areas in the Orinoco Transition Mosaic.

	Targeted population	Women	Men
Chingaza 1	391	203	188
Chingaza 1 and 2	11,099	5,316	5,783
Chingaza 2	3,739	1,735	2,004
Chingaza 3	2,040	1,010	1,030
<b>Total</b>	17,269	8,264	9,005

The municipalities included within this mosaic do not present higher security risks. Most of the areas are close to the capital, therefore there are institution and local authorities which are present in the area, and maintain high levels of security and safety.

### Deforestation and land use

The San Juanito and El Calvario municipalities cause the greatest strains on the Chingaza NNP, as a result of tree felling linked to the installation of stakes in bean crops, an important local enterprise. Every year and a half, bean field management practices call for renewing between 30% and 40% of all of their stakes, which are taken from the protected area. The

negative impact of this practice on the national park is considerable, as the San Juanito bean farmer association has 200 members which, combined with the number of associated bean growers of El Calvario, constitute 300 members (RAPE 2020). Given this state of affairs, these municipalities create pressures resulting from the loss of vegetative cover that are not considered by deforestation monitoring analyses. This is due to the fact that remote sensing data does not register this type of vegetation extraction. However, as a result of the lumber practices mentioned, the forests located on this slope of the Chingaza NNP, and its buffer zone have become degraded secondary forests with arrested succession.

Within this implementation site, deforestation has been accompanied by varying conditions of vegetative cover loss and gain. Despite land conversion for agricultural practices and urban development in the mid and lower elevations of the Mosaic, between 1990 and 2016, the municipalities of San Juanito and El Calvario were favored by an expansion of their forested areas.

## Heart of the Amazon Mosaic

The Heart of Amazon Mosaic spans an area of 728,771, connecting the Chiribiquete National Park – the largest tropical lowland forest protected area in the world – with Andean ecosystems of the Serranía de la Macarena National Park, enabling the proper functioning and delivery of ecosystem services such as carbon sequestration, regulation of the regional climate, and habitat for a rich biodiversity, merging elements from the Andean, Orinocan, Amazonian and Guianan biogeographic realms. This connection is provided by the Macarena–Chiribiquete corridor (122,978 ha, Figure 5).



Figure 5 . Heart of Amazon Mosaic and priority intervention areas.

The Mosaic envelops the Andean piedmont, the Serranía de la Macarena and part of the Amazon-Orinoco floodplains. The Sierra de la Macarena NNP is almost entirely covered by intact forests that grow both on highlands (and which are, therefore, unique, and irreplaceable) and lowlands.

Through a participatory and integration exercise carried out among the region's key stakeholders, seven implementation sites were selected: the Chiribiquete NP, Serranía de la Macarena NP, Puerto Nuevo, Picalojo, Caño Dorado Riparian Corridor, Capricho and Miro lindo RPN, and Serranía La Lindosa - Angosturas II considering the importance of the zone in light of the ecosystem services it provides (carbon sequestration, biodiversity habitat, regional climate regulation, water provision), and associated anthropogenic impact dynamics such as, for example, deforestation.

### Ecosystems and physical conditions

Because of the location of this mosaic in the confluence of several biogeographic regions, its ecological features are a mixture of elements from different origins. The Sierra de la Macarena NNP is an isolated mountain range 50 km east of the Eastern Andes. Even though the area is geographically part of the Amazon region, hydrographically it belongs to the Orinoco River basin. Vegetation cover of La Macarena can be divided into three biomes: the hygrophytic tropical rainforest, the temperate rainforest, and the cold rain forest of the higher elevations.

Ecosystems include high dense forests on the old terraces of large rivers and undulated sedimentary plains, sub-montane dense forests, low dense forests, sclerophyllous shrubs, very dissected high plains savannahs, and several kinds of aquatic ecosystems such as white and black water rivers.

The connection between the Andes and the Sierra de la Macarena still includes natural areas in very good condition, but they are threatened by deforestation, expansion of the agricultural frontier, pasture for cattle ranching and unregulated tourism.

The Macarena – Chiribiquete corridor has been largely converted to pastures and agriculture, although important remnants of tropical rainforests and shrubland are still found, especially in the Capricho and Mirolindo RPN, and Serranía La Lindosa - Angosturas II.

The Serranía de Chiribiquete National Park is the largest protected area in Colombia, and one of the richest for its biodiversity, although it has been poorly studied. According to the official map of ecosystems of the Colombian Amazon, there are 62 natural and semi-natural ecosystems in Chiribiquete (28 aquatic and 34 terrestrial) and four transformed ecosystems. The higher elevations are dominated by several kinds of grasslands and shrubs, the slopes and the lowlands are largely covered by terra firme forests. Aquatic ecosystems include permanent and seasonal creeks in the highlands, and black water rivers and associated wetlands in the lower reaches of the park.

### **Socioeconomic context**

Total population in the Heart of Amazon Mosaic is 259,106 people, 51.2% of which are women and 48.8% are men. The intervention zones are inhabited by settler and rural communities living in the city of San José del Guaviare, in the Guaviare Department, in the townships of Puerto Nuevo, San Jorge, Charcón, Picalojo, El Cristal, Orquídeas and El Dorado, and family units living along the Caño Dorado riparian corridor and in the Serranía de La Lindosa-Angosturas II and Capricho y Mirolindo National Buffer Forest Preserves (Reservas Nacionales Protectoras or RPNs).

Most of the Macarena – Chiribiquete corridor is located within the San José del Guaviare municipality (Guaviare Department). The multi-dimensional poverty index in San José del Guaviare reaches 42.10 %. Unfulfilled basic needs have a higher value in rural areas than in urban areas (51.44 % and 13.71 %, respectively).

The targeted population within the areas selected for intervention in this Mosaic is 14,835 people 48% of which are women and 52% are men (Table 4).

Table 5 . Targeted population in the areas of intervention of the project in the Heart of Amazon Mosaic.

Implementation area	Targeted population	Women	Men
Serranía de Chiribiquete	9,123	4,270	4,853
Puerto nuevo	242	113	129

Picalojo	387	181	206
Caño Dorado Riparian Corridor	100	47	53
RPN Capricho and Mirolindo	31	15	16
Serranía La Lindosa - Angosturas II	2,616	1,224	1,392
Sierra de la Macarena	2,336	1,282	1,054
<b>Total</b>	<b>14,835</b>	<b>7,132</b>	<b>7,703</b>

## **Community based Organizations and Peasant reserve zones**

### **Guaviare**

#### **Campesino Reserve zone (ZRCG)**

The campesino reserve is a form of territorial regulation that aims to generate conditions for the appropriate consolidation and sustainable development of the rural farmers' economy and of the settlers in rural areas. The aim is to overcome the causes of social conflicts that affect them, and create the overall conditions to achieve peace and social justice in the respective areas.

The ZRCG is located in the municipalities of San Jose del Guaviare, Retorno and Calamar which are part of the priority areas for the intervention of the GCF Project.

#### **Asojuntas San Jose del Guaviare**

Asojuntas is a community organization formed by the Community Action Boards (JAC) of the municipality of San Jose del Guaviare in the department of Guaviare

#### **Asojuntas del Capricho**

Asojuntas is a community organization formed by the Community Action Boards (JAC) of the municipality of Capricho in the department of Guaviare

## **Environmental issues and peacebuilding**

Heart of Amazon Mosaic includes a vast region characterized by dramatic changes in the soil coverage and use during the latest two decades. Most of the landscape transformation has been directly linked with the peace process, when the Guerrillas lifted the ever-present ban to greatly intervene primary forest. The process of demobilization of armed groups was seen as an opportunity from new waves of colonizers and land grabbers who have fragmented the landscape.

Currently the mosaic overlaps with PDET subregion Macarena-Guaviare<sup>5</sup>. To date, most of its implementation has been focused on infrastructure development in small urban centers. There are peacebuilding initiatives and good practices in the region which have linked ex-combatants with ecotourism and conservation as both employment opportunities and voluntarily action framed within restorative justice<sup>6</sup>. All the activities included in the PATR of the area are included in the table below.

PDET SubRegion	1. Cuenca del Caguán y Piedemonte Caqueteño 2. Macarena - Guaviare
Departments, and municipalities included in HeCo	3 departments and 14 Municipalities:  Caquetá: Cartagena del Chairá, San Vicente del Caguán y Solano. Guaviare: Calamar y Miraflores. Meta: El Calvario, La Macarena, Mesetas, Puerto Rico, Restrepo, San Juan de Arama, San Juanito y Vista Hermosa
PDET municipalities included in HeCo	Caquetá: Cartagena del Chairá, San Vicente del Caguán y Solano. Guaviare: Calamar y Miraflores. Meta: La Macarena, Mesetas, Puerto Rico y Vista Hermosa
Objectives of the PATR crosscutting HeCo Objectives	PATR Macarena - Guaviare:  Objectives of Pillar 1: Social organization of rural property and land use 1. Promote participative territorial planning, emphasizing on rural property legalization in the Macarena-Guaviare Subregion. Their main beneficiaries would be rural and ethnic communities. 2. Promote actions to bring legal security and regulate property rights, addressing adequate soil usage and territorial planning, as well as mechanisms for pacific resolution of environmental conflicts and land tenure issues.  Objective of Pilar 6: Economic recovery and agricultural production 1. Support the consolidation of income generating processes for rural families and communities enhancing their economies. All these processes would include support on sustainable trade chains of goods and services.

## Deforestation and land use

In the lower parts of Serranía de la Macarena NNP, colonization from internal migration, some of it driven by the dynamics of illegal crops and/or forced displacement, has been taking place for more than forty years. This has caused vegetative cover losses that have worsened over the past few years, particularly in the Sierra de la Macarena NNP, which may compromise the connectivity between the Andes range and the Amazon lowlands.

The greatest vegetative cover losses that occurred between 2008 and 2017 in the area took place within the Sierra de La Macarena NNP and the Macarena-Chiribiquete corridor. These

5 <https://centralpdet.renovacionterritorio.gov.co/wp-content/uploads/2021/12/subregiones/20211221-MegaFichaMacarenaGuaviare.pdf>

6 McClanahan B, Sanchez Parra T and Brisman A (2019) Conflict, environment and transition: Colombia, ecology and tourism after demobilisation. *International Journal for Crime, Justice and Social Democracy* 8(3): 74-88.

were associated with forest modification for farming purposes, such as the creation of grasslands, monocultures (palm oil farming in particular), and livestock raising terrains, and fragmented or integrated urbanization dynamics resulting from the demobilization of illegal armed groups that were *de facto* the main force of forest conservation: “The rebels’ demobilization provided an opportunity for other insurgents and organized crime groups. With state authority in the countryside still feeble, those groups cleared land to expand their enterprises, sometimes in partnership with legal businesses”<sup>7</sup>.

Threats due to changes in land use are reflected in the CO<sub>2</sub> emissions generated by deforestation. Between 2000-2018, 55,000 ha were deforested in this mosaic, equivalent to 1.36 Mt CO<sub>2</sub>e per year. In 2019, Serranía de la Macarena and Chiribiquete NNPs, ranked second and third among the protected areas affected by deforestation with 3,648 and 2,191 ha, respectively.

Behind these numbers the drivers of extensive deforestation and habitat fragmentation is the problem of agricultural expansion and land grabbing with associated establishment of cattle, development of unregulated road infrastructure, illegal crops, and timber extraction.

## 4. Environmental and Social Policies, Regulations, and Guidelines

### Government of Colombia

#### Legal framework of the Government of Colombia

The Legal Framework on Social and Environmental Matters (Environmental and Social Assessment, SAA) is presented below, focusing on Colombia’s main regulatory provisions.

#### Assessment and management of environmental and social risks and impacts

The following Resolution includes the development of the different types of assessment and management of environmental and social risks and impacts that can be generated by the design and implementation of projects in the Colombian territory; and what by their size require an environmental license to be processed before the relevant environmental authorities.

Regulatory Framework	Objective

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<sup>7</sup> Ebus B.(2021) Stopping the violence Devouring Colombia’s Forests. International Crisis Group. <https://www.crisisgroup.org/latin-america-caribbean/andes/colombia/stopping-violence-devouring-colombias-forests>

Resolution 1402 of 2018	By which the methodology for the elaboration and presentation of Environmental Studies is adopted. The document with the methodology explains the guidelines to be taken into account for the elaboration of different Environmental Studies: Environmental Diagnosis of Alternatives – DAA, Environmental Impact Study – EIA and Environmental Management Plan – PMA. It is important to note that the methodology also requires the characterization of the socio-economic environment of the projects and generates guidelines for assessing risks and incorporating participation and socialization with communities.
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The activities in the project regulated by resolution 1402 of 2018 are (i) diagnosis and characterization (soil analysis, photogrammetry, taxonomic identification); (ii) diagnosis and characterization of sustainable production systems, water conditions and other ecosystem services; (iii) predial (tenure) characterization; and (iv) Climate characterization of protected areas, among others.

## Work and working conditions

Colombian regulations that promote adequate relationships between workers and their employers, providing conditions for fair treatment and providing safe and healthy working conditions are mentioned below. This framework applies to the entire project, including direct, contracted, primary sector workers and community workers.

The requirement of key personnel is necessary in some activities, such as technical secretaries which dynamize participation forums. Project activities will respect and comply with the regulatory framework of Colombia.

Regulatory Framework	Objective
Law 23 of 1967	"Approving several International Labor Conventions, adopted by the International Labor Conference at meetings 14a (1930), 23a (1937), 30th (1947), 40th (1957) and 45th (1961).
Constitution, Art 1, 2, 13, 38 and 79	The state must promote the conditions of equality between citizens and therefore must ensure the level of understanding of the technical aspects among all citizens. In the case of this project, which could have community workers, it is sought to ensure that communities have the technical and political capacity for decision-making.
Law 704 of 2001	Approving Convention 182 on the Prohibition of the Worst Forms of Child Labor and Immediate Action for Its Elimination, adopted by the Eighty-seventh (87th) Meeting of the General Conference of the International Labor Organization, O.I.T., Geneva, Switzerland, on the seventeenth (17) of June of One Thousand Nine hundred and Ninety-nine (1999).
Law 1010 of 2006	Through which measures are taken to prevent, correct and punish labor harassment and other harassment within the framework of employment relationships
Law 1562 of 2012	This amends the Occupational Risk System and issues other occupational health provisions.
Decree 1477 of 2014	By which the Occupational Diseases Table is issued.

Decree 1072 of 2015	Single regulatory decree of the labor sector. Regulates the Occupational Safety and Health Management System.
Law 1823 of 2017	By which adequate early childhood care and care is encouraged, Articles 236 and 239 of the Substantive Labor Code are amended and other provisions are issued.
Code for Children and Adolescents	Sets the age of 15 as the minimum age to work, subject to the approval of the Labour Inspector, or else by the Local Authority. It also stipulates that minors from 15 to 17 years may only work for 6 hours and until 6pm, while adolescents from 17 to 18 may only work until 8pm, with shifts up to 8 hours.
Substantive Labor Code. 2017	Latest version of the publication of the Official Edition of the NOUN CODE OF WORK, as amended, ordered by article 46 of Decree Law 3743 of 1950, which was published in Official Journal No. 27.622 of June 7, 1951, compiling Decrees 2663 and 3743 of 1950 and 905 of 1951.

## Resource efficiency and pollution prevention and management

According to the outcome “Improved landscape management contributing to ecosystems resilience for emissions reduction and water regulation”, the project promotes the efficient use of resources, preventing or providing for proper management of solid, liquid and gaseous contaminants. In order to reach this outcome, the project complies with the current Colombian regulations:

Regulatory Framework	Objective
Decree 775 of 1990	By which Titles III, V, VI, VII and XI of Law 09 of 1979 on the use and management of pesticides are partially regulated.
Decree 1713 of 2002	Regulating the comprehensive management of solid waste.
Law 822 of 2003	Which dictates rules related to generic agrochemicals.
Decree 838 of 2005	By which final solid waste provisions are regulated.

Decree 622 of 1977 - describes the general regulations applicable to the National System of Protected Areas and proposes regulations to (i) technically regulate the management and use of the areas that make up the System; (ii) provide visitors with recreation compatible with the objectives of the System's areas; and (iii) increase the well-being of the country's inhabitants by perpetuating exceptional values of the national heritage.

In this sense, some of the project activities can promote the efficient use of resources, prevent and carry out an adequate management of solid, liquid and gaseous pollutants in some Protected Areas. These activities can generate restrictions; however, reaching an agreement with the communities on these restrictions without affecting the vital minimum and ecological integrity and functionality is promoted. In some non-restrictive areas, the project will work with communities to propose joint solutions on, for example, how to maintain or improve the quality of the water resource.

## Biodiversity conservation and sustainable management of natural resources

The program's actions will not be harmful to forest and biodiversity conservation. On the contrary, it will promote processes of conservation and sustainable use of the territory. In this context, conservation includes actions ranging from protection, sustainable use and restoration. HECO Program Components 1 and 2 aim to improve area conservation conditions through supporting declaratory processes and improving area management conditions. On the other hand, Component 3 seeks to ensure that conservation landscapes are managed in an integral and adaptive way.

Because this project proposes to create a new protected area and increase the scope of another, additional information on the types of Protected Areas in Colombia are outlined here. For the creation of the new Protected Area in San Lucas, the currently proposed category for Serranía de San Lucas is the National Integrated Management District, which is a multiple-use category that allows productive activities to be developed in a sustainable manner and allows agreements to be made with landowners and organizations in the area. No land use change or access restrictions are anticipated under the creation of this park, especially considering the key land use options included under this designation.

Key land use options include:

- A. Preservation uses: These include all those activities of protection, regulation, management, control and surveillance, aimed at maintaining the attributes, composition, structure and function of the area and avoiding human intervention and its effects as much as possible.
- B. Restoration uses: These include all activities for the recovery and rehabilitation of ecosystems, management, reestablishment and rehabilitation of ecosystems; management, repopulation, reintroduction or transplanting of species and habitat enrichment and management, aimed at recovering the attributes of biodiversity.
- C. Knowledge Uses: These include all research, monitoring or environmental education activities that increase the information available to the public; monitoring or environmental education activities that increase information, knowledge, exchange of knowledge, sensitivity and awareness of environmental issues; and the understanding of the natural, social and cultural values and functions of biodiversity, social and cultural values and functions of biodiversity.
- D. Sustainable use: They include all production activities; extraction, construction, adaptation, or maintenance of infrastructure related to the sustainable use of biodiversity; as well as agricultural, livestock, mining and mining activities. Agricultural, livestock, mining, forestry and industrial activities, as well as non-development and non-nucleated housing projects with restrictions on the density of occupation and restrictions on occupancy and construction density as long as they do not alter biodiversity attributes foreseen for each category.
- E. Uses for enjoyment: These include all recreation and ecotourism activities, including the construction, adaptation or maintenance of the infrastructure necessary for their development, which do not alter the biodiversity attributes foreseen for each category.

The expansion of Sierra Nevada de Santa Marta will be under the same category it currently falls under: National Natural Park. For this designation, the same range of activities mentioned for San Lucas above applies, but in this case all those included in the prior consultation

agreements carried out with the four peoples of the Sierra Nevada de Santa Marta will be included, the details of which can be found in Annex 7 of the FP.

There is one additional category of PA that the project will be involved in, which is Civil Society Natural Reserves. These correspond to the private category of conservation in Colombia. In this category there are no restrictions because they are private properties, but there is a zoning and activities that must be complied with in order to maintain the status. All activities must be carried out within the framework of sustainability and oriented to the achievement of conservation objectives.

Colombian regulations on the conservation of forests and ecosystems are:

Regulatory Framework	Objective
Law 2 of 1959	The Forest Reserves in the project area are regulated by this Law, which created seven Forest Reserves of which 6 belong to the project area.
Decree 622 of 1977	Creates, conserves and protects gene banks, representative areas of the natural heritage, among others.
CONPES 3680	Describes the guidelines for the Consolidation of the National System of Protected Areas.
Decree 2372 of 2010	Regulates the National System of Protected Areas, the management categories that comprise it and other provisions and Decree 2372 of 2011 that regulates the National System of Protected Areas.
Resolution 1125 of 2015	The route for the declaration of Protected Areas is approved.
Law 99 of 1993 and Decree 196 of 1999	Civil Society Reserve areas are regulated by Law 99, which describes these areas and Decree 196 establishes that civil society reserves will be to ensure conservation, preservation, regeneration or restoration of natural ecosystems.
Decree 953 of 2013	The regulatory framework related to the payment for environmental services is regulated by this Decree, including payment of environmental services for water and other.
Decree 870 of 2017	Establishes payment for "Ecosystem Services and other Conservation Incentives".
CONPES 3886 of 2017	Provides guidelines and develops the program "Payment for Environmental Services for the Construction of Peace".
Policy for the Integral Management of Biodiversity and its	Developed to maintain and improve the resilience of socio-ecological systems,

Ecosystem Services of 2012	
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## Colombian Policies and Regulations for Indigenous People

Regulatory Framework	Objective
United Nations Declaration of the Rights of Indigenous Peoples	The Declaration specifies the collective and individual rights of indigenous peoples, especially their rights to their lands, property, vital resources, territories and resources, their culture, identity and language, employment, health, education and freely determining their political status and economic development. Emphasizes the right of indigenous peoples to maintain and strengthen their own institutions, cultures and traditions, and to freely pursue their development according to their own needs and aspirations; prohibits discrimination against indigenous people and promotes their full and effective participation in all matters concerning them and their right to maintain their diversity and to advocate for their own economic and social vision.
ILO Convention 169 and the United Nations Declaration on Indigenous Peoples	It states that states must recognize the special nature of indigenous peoples' relationship with their territories, particularly the collective aspects of that relationship. It notes that states should recognize indigenous peoples' right of ownership and possession over the lands they traditionally occupy and guarantee this right through land delimitation and ownership. It is important to note that this right is not limited to lands that are permanently and exclusively occupied by indigenous peoples, but includes territories to which they have traditionally had access for their traditional and subsistence activities (Articles 13 and 14). Governments should take responsibility for developing, with the participation of the peoples concerned, coordinated and systematic action with a view to protecting the rights of these peoples and ensuring respect for their integrity. This action should include measures:(a) to ensure that members of such peoples enjoy, on an equal footing, the rights and opportunities that national law grants to other members of the population; (b) To promote the full effectiveness of the social, economic and cultural rights of these peoples, respecting their social and cultural identity, customs and traditions, and their institutions;c) to help the members of the peoples concerned eliminate the socio-economic differences that may exist between indigenous members and other members of the national community, in a manner consistent with their aspirations and ways of life.
Law 21 of 1991	Approving Convention No. 169 on Indigenous and Tribal Peoples in Independent Countries, adopted by the 76th meeting of the O.I.T. General Conference, Geneva 1989.
Political Constitution, Article 7, 8, 8 and 330	Article 70 culture and its different manifestations "are the foundation of nationality, in which the State recognizes the equality and dignity of all those who live together in the country and that will promote research, science, development and dissemination of the cultural values of the nation".

Articles 2, 7, 63, paragraph Article 330, Article 93 and transitional 55	The constitution recognizes the rights of ethnic minorities, their right to participate in decisions affecting them and the obligation to interpret national standards, in accordance with international treaties and conventions.
Decree 1320 of 1998	It aims to regulate prior consultation with indigenous and black communities for the exploitation of natural resources within their territory.
Law 1381 of 2010.	By which Articles 70 are developed, 8th, 10th and 70th of the Political Constitution, and Articles 40, 50 and 28 of Law 21 of 1991 (approving ILO Convention 169 on Indigenous and Tribal Peoples), and standards are issued on recognition, promotion, protection, use, preservation and strengthening of the languages of Colombia's ethnic groups and on their linguistic rights and those of their speakers.
Decree 1003 of 2012	Regulating Article 24 of Law 1381 of January 25, 2010, on the National Advisory Council of Native Languages.
Decree 2613 of 2013	Adopts inter-agency coordination protocol for pre-consultation.
Presidential Directive 10, 2013	Establish a guide to pre-consultation with ethnic communities.
National Court Decision SU 121/22	Establishes a coordination roundtable for the indigenous peoples of the Sierra Nevada de Santa Marta to manage aspects related to the use and management of their lands and territories.

## Cultural Heritage

All the interventions of the Program will take into account the different cultures that inhabit the territories, recognizing their ways of understanding and relating to the environment, so that the traditions and customs of the communities are not affected, as long as they do not go against conservation and sustainable management. It will also promote a gender and intergenerational approach that will be based on the principle of respect.

Following regulatory provisions of Colombia regulate the proper management of Cultural Heritage, both material and intangible.

Regulatory Framework	Objective
Law 397 of 97, Art. 4. Cultural heritage of the Nation	By which Articles 70, 71 and 72 and other concordant articles of the Political Constitution are developed and rules on cultural heritage, promotions and stimuli to culture are issued, the Ministry of Culture is created, and some units are transferred. The Cultural Heritage of the Nation is constituted by all the cultural goods and values that are an expression of Colombian nationality: Tradition, Customs, Habits.

Convention on Biological Diversity	The conservation of biodiversity, the sustainable use of its components and the fair and equitable sharing of benefits arising from the use of genetic resources, through, inter alia, adequate access to these resources and an appropriate transfer of relevant technologies, taking into account all rights in those resources and technologies, as well as through appropriate funding.
Policy for safeguarding cultural and intangible heritage	Ensure and promote respect for the intangible cultural heritage of communities, groups or individuals; awareness-raising at the local, national and international levels on the importance of recognition of intangible cultural heritage and international cooperation and assistance to make safeguarding effective.
Law 397 of 1997	By which Articles 70, 71 and 72 and other Concordant Articles of the Political Constitution are developed and rules on cultural heritage are issued: It provides that the state guarantees ethnic and linguistic groups, black and root communities, and indigenous peoples the right to preserve, enrich and disseminate their cultural identity and heritage, to generate knowledge of them according to their own traditions and to benefit from an education that ensures these Rights. In addition, it states that in order to protect languages, traditions, customs and knowledge, the state will guarantee the authorship rights of ethnic groups (Article 13).

## Stakeholder participation and disclosure of information

The implementation of actions in the project area where there is a presence of ethnic groups, should guarantee their right to participate effectively in decision-making, taking into account the regulatory framework for the protection of the rights of these communities (such as the previous consultation, FPIC, among others). This involves carrying out information, dialogue and joint construction processes. In addition to the generation of decision-making spaces where the autonomy of peoples in the management of their territories is respected.

Colombia has various normative tools in this area, based on the Political Constitution, national laws, jurisprudence (constitutional court rulings) and international agreements ratified by the country (such as ILO Convention 169 and the United Nations Declaration on Indigenous Peoples).

The actions to be implemented in ethnic territories must take into account the customs and each group involved, as well as respect their own decision-making structures for which minimum agreements must be had in advance to proceed with the actors in the territory.

Under the path of declaring new protected areas, certifying the presence of ethnic communities, the necessary pre-consultation processes as established by the resolution of that route will be supported.

For communities and actors that are not subject to consultation by law, the program also has the governance scheme for the declaration, through which it seeks to support the processes of

information, dialogue and capacity building that lead to informed decision-making and the empowerment of key actors in the territories.

In order to promote the right to full and effective participation of all actors involved in the project, and therefore to promote proper governance and decision-making, the main related policy framework is presented for all project activities.

Regulatory Framework	Objective
Colombian Political Constitution Art 7, 40, 70, 229 and 330	"The State recognizes and protects the ethnic and cultural diversity of the Colombian Nation": (i) the right of every citizen to participate in the formation, exercise and control of political power, taking part in popular consultations and other forms of democratic participation; (ii) culture as the basis of nationality and (iii) the foresight of prior participation of communities for the formation of indigenous territorial entities and for the exploitation of natural resources in their territories. The right to full and effective participation of all actors involved is guaranteed to ensure proper governance and decision-making.
Law 1437 of 2011	Administrative Litigation Code. Under the principle of participation, the authorities will promote and address the initiatives of citizens, organizations and communities aimed at intervening in the processes of deliberation, formulation, implementation, control and evaluation of public management.

Likewise, the following regulatory provisions are related to ensure that data subjects have transparent, accessible and timely information related to actions on the platforms or means of information that are determined.

Regulatory Framework	Objective
Colombian Political Constitution art. 13, 20 and 80	Access to information is a fundamental right. Projects should ensure clear, adequate, timely and relevant access to information processes to communities / Equality, information and participation are fundamental rights. Therefore, in any participation process it must be ensured that there are no disadvantages between parties due to differences in information, especially when the uninformed part is more vulnerable.
Political Constitution of Colombia, Art 1, 2, 13, 38 and 79	The state must promote the conditions of equality between citizens and therefore must ensure the level of understanding of the technical aspects among all citizens. It seeks to ensure that communities have the technical and political capacity for decision-making.

Law 962 of 2005 (Rationalization of administrative procedures and procedures of State agencies and entities and individuals who exercise public functions or provide public services)	It aims to facilitate the relations of individuals with the Public Administration, so that the actions to be brought before it for the exercise of activities, rights or compliance with obligations are carried out in accordance with the principles laid down in Articles 83, 84, 209 and 333 of the Political Charter. It provides that all bodies and entities of the public administration shall have at public provision, through printed or electronic means available to them, or by telephone or mail, up-to-date information in relation to their functions, services, projects and actions in the performance of their duties and the dependency, position or name to whom to address in the event of a complaint or complaint (Article 8).
Law 1437 of 2011 (Code of Administrative Procedure and Administrative Litigation))	The rules of the first part of the law are intended to protect and guarantee the rights and freedoms of individuals, the primacy of general interests, the subjection of the authorities to the Constitution and other provisions of the legal order, the fulfillment of state purposes, the efficient and democratic functioning of the administration, and the observance of the duties of the State and individuals. It establishes the rights of individuals before the authorities, making requests in any of its modalities, verbal or in writing, or by any other means, as well as to obtain information and guidance on the requirements that the provisions in force require for this purpose (Article 5). In addition, it reiterates the duties of the authorities in providing complete and up-to-date information to the public (Article 8).
Law 1712 of 2014 (By which the Law on Transparency and the Right of Access to National Public Information is created and other provisions are made)	The purpose of the law is to regulate the right of access to public information, procedures for the exercise and guarantee of the right and exceptions to the advertising of information. It is the law most relevant to the fulfillment of this safeguarding criterion as it establishes the principles, general provisions and content of the information to be published by public entities. Projects should ensure clear, adequate, timely and relevant information access processes to communities; equality, information and participation are fundamental rights. It provides for specific populations to access information that particularly affects them, required subjects, at the request of community authorities, to disclose public information in various languages and languages and to develop alternative formats understandable to such groups.
Decree 103 of 2015 (Partially regulating Law 1712 of 2014 and issuing other provisions)	The purpose of this decree is to regulate Law 1712 of 2014 on the management of public information. It establishes general regulations related to the management of public information as to: its proper publication and dissemination, the receipt and response to requests for access to it, its proper classification and reservation, the development of information management tools, as well as the monitoring thereof.

## WWF Environmental and Social Safeguards Standards

As the GCF Accredited Entity, WWF's Environmental and Social Safeguards Standards meet the requirements set forth in the GCF Environmental and Social Policy and the Indigenous Peoples Policy. Therefore, the project must comply with WWF's Environmental and Social Safeguards Standards in addition to the policy, laws, and regulations of the Government of Colombia. WWF's safeguards standards, as detailed in the [Safeguards Integrated Policies and Procedures](#) (SIPP), require that any potentially adverse environmental and social impacts are identified, and avoided, minimized, or mitigated. The nine WWF's ESS Standards are detailed

below, as well as the Guidance Notes for GBV and SEAH, Labor and Working Conditions, Projects Relating to Dams, and Ranger Principles.

## Standard on Environmental and Social Risk Management

This standard describes the process for identifying potential environmental and social risks, understanding their implications, and seeking to avoid, minimize or mitigate them.

The objectives of this Standard are to (1) improve planning through the identification and selection of alternatives to enhance benefits, and to avoid or - if avoidance is not possible - minimize, mitigate, offset or compensate for adverse social and environmental impacts on affected communities; and (2) ensure effective management of environmental and social risks and opportunities within a landscape from conception to closure. This standard requires a safeguards risk screening, risk categorization, impact assessments and environmental and social mitigation frameworks, and disclosure.

Following this process, Heritage Colombia has been categorized as a medium risk project (Category B). This Environmental and Social Management Framework (ESMF) has been prepared to ensure that the GCF HECO project complies with WWF's ESS Standards.

## Standard on Stakeholder Engagement

Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle and is an essential aspect of good project management. This Standard aims to strengthen the projects' engagement in the project area with project stakeholders, especially with local communities including Indigenous Peoples who may be impacted by our work, as required in WWF's Social Policies, Project and Program Standards (PPMS), and in WWF's commitment to international instruments such as the UN Declaration on Indigenous Peoples (UNDRIP).

Stakeholder engagement is an inclusive process to support the development of strong, constructive and responsive relationships that help to identify and manage risks and which encourage positive outcomes for stakeholders and conservation and regeneration activities. Stakeholder engagement is most effective when initiated at the earliest stage of project development. Engagement strategies include disclosure of information, consultation, effective and equitable participation of the most vulnerable. The intensity and scale of engagement will vary with the type of activities, socio-political complexities, and potential risks and impacts.

Public consultation is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timeframe that enables consultation with stakeholders in a culturally appropriate format, in relevant local language(s) and is understandable and accessible to diverse stakeholders. The project will undertake a process of consultation in a manner that provides stakeholders with opportunities to express their views on risks, impacts, and mitigation measures and allows the landscape team to consider and respond

to them. Consultation will be carried out on an ongoing basis as the nature of issues, impacts and opportunities evolves.

A Stakeholder Engagement Plan (SEP) (Annex 7 of Funding Proposal) has been developed to comply with WWF's Standard on Stakeholder Engagement. The SEP contains a record of consultations that have happened to date, during the design phase of the project as well as outlining in detail the process that will be followed for stakeholder engagement during project implementation. The SEP will be disclosed at the same time and in the same manner as this ESMF and associated IPPF and FP.

## Guidance Note on Gender-based Violence and Sexual Exploitation, Abuse and Harassment

All over the world, it is estimated that one in three women and girls experience GBV during her lifetime (World Bank, 2019). A recent study conducted by IUCN, in collaboration with USAID as part of Advancing Gender in the Environment (AGENT), states that forms of GBV (ranging from sexual, physical and psychological violence, to trafficking, sexual harassment, sexual coercion and in some cases rape) can be linked to environmental issues.

Many projects implemented by WWF relate to effective management of protected areas and the landscapes in which they are located through support to law enforcement, patrolling and better management and restoration of landscapes by restricting access to natural resources. These activities can potentially give rise to GBV/SEAH risks where government-employed law enforcement officials/rangers/guards supported by the project may misuse the power of their positions by sexually exploiting women in local communities.

GBV and SEAH in the implementation of WWF activities in projects and programs is unacceptable and requires timely, proportional, and appropriate action. WWF recognizes that to achieve biodiversity conservation it is vital to promote gender equality and make every effort to ensure that project activities implemented by WWF respect integrity and human rights and mitigate any risk that gives rise to discriminatory and exploitative gender inequalities.

This Guidance Note on Gender Based Violence (GBV) and Sexual Exploitation, Abuse and Harassment (SEAH) is intended to assist project teams in identifying risks of GBV and SEAH that may emerge in conservation projects. Further, this note is meant to support decision making, and to inform planning and implementation of possible mitigation measures to address GBV and SEAH risks in projects identified during project preparation and execution. Specifically, the project will:

- Establish basic guiding principles for effectively minimizing and mitigating any identified GBV/SEAH risks in projects.
- Identify any potential GBV/SEAH risks by screening proposed project activities.
- Develop a gender-responsive Stakeholder Engagement Plan (SEP), which will be implemented, monitored and adapted as needed throughout the life of the project.

- Where GBV/SEAH risks are identified as a potential risk of project activities:
  - the SEP should include specific GBV/SEAH considerations for how to appropriately conduct consultations
  - the project team may be required to prepare a detailed GBV/SEAH Action Plan and associated budget
- Include any identified GBV/SEAH risks and mitigation measures in project monitoring and annual reporting.

## Standard on Grievance Mechanisms

Project interventions in the project area are expected to yield positive environmental and social outcomes. However, the implementation of some conservation activities have the potential to result in unintended negative impacts. When these occur, affected individuals or groups need a trusted way to voice and resolve their concerns and complaints. This Standard ensures that transparent, legitimate and trustworthy mechanisms are established at the different relevant levels to enable any affected stakeholders, including local communities and Indigenous Peoples, to raise their complaints or grievances and get them addressed in a timely and consistent manner.

WWF is committed to strengthen its accountability and improve transparency during the implementation of its projects. The reporting channel for WWF International managed offices (including, WWF Colombia) is [Whistle B](#), while WWF US and its managed offices use [EthicsPoint](#). Project-affected communities and other interested stakeholders may raise a grievance at any time to the Executing Entities, executing partners, and the Accredited Entity. The project will also socialize the GCF's IRM as required.

A grievance mechanism for the project has been established in Chapter 13 on Grievance Mechanisms. The Executing Entities and executing partners will be responsible for informing project-affected parties about all reporting channels for the Grievance Mechanism. Contact information of the PMU and WWF will be made publicly available in [the first half of the year implementation starts](#).

## Standard on Restriction of Access and Resettlement

This Standard sets out the requirements and procedures applicable to WWF's GEF and GCF projects in relation to access restriction and resettlement.

The project must ensure that any adverse impacts on resource-dependent local communities that result from project-related restrictions are avoided or minimized. Resolution of conflicts between project objectives and local livelihoods will be sought through voluntary agreements acceptable to all parties.

WWF will not support - and will oppose - involuntary resettlement. WWF does not permit funding of involuntary resettlement. WWF will only engage in voluntary resettlement where there is

assurance of free, prior, informed consent for Indigenous Peoples (i.e. when there is a negotiated relocation from settlements in protected areas).

As this project is creating a new national protected area (in Serranía de San Lucas) and expanding one existing national protected area (Sierra Nevada de Santa Marta National Park), a Process Framework (PF) has been developed as part of the ESMF. This PF describes the procedure to be followed and mitigation measures to be implemented should access restriction occur in the course of this project.

For the Serranía de San Lucas, the process is being led by the national authority responsible for the declaration of conservation areas. The boundaries of the park have not yet been delineated, and they therefore they have to follow the pace of the evolutions of that process. As those national processes are unconcluded, FPIC has not been formally undertaken but will proceed along with project implementation. However, the AE has assessed the risk involved for indigenous peoples, should the area include them. That risk is low as, unlike the Caribbean mosaic, it does not involve changes in land use, and the likely impact it will have on indigenous peoples rights and livelihood is low. It is probable that the declaration of the region as a protected area could enhance the protection of land rights of the indigenous peoples and other communities in the area.

#### National Court decision SU 121 22

The areas defined in the proposal for both the expansion and declaration processes are areas that overlap both indigenous peoples and local communities (peasant communities) that inhabit and depend on the forests and natural resources, this condition makes that for the joint management of the areas, agreements are required- as established by both national legislation (Resolution 1125 of 2015) and the National Parks Social Participation Policy, 2001- where figures such as Special Management Regimes are established when it comes to areas overlapping with indigenous reserves and the generation of agreements with communities that inhabit these areas, even if they do not have a property right.

In this sense, the characteristics of the proposed areas do not contemplate a restriction of rights but rather the generation of joint agreements for the management of the proposed areas, which is in itself an adaptation strategy, and promote their local livelihoods as a conservation activity.

For the case of the PNN Sierra Nevada de Santa Marta, National Parks and indigenous communities have generated management agreements for the area where their traditional and cultural use rights are incorporated in accordance with the provisions of national legislation- decree 1500 of 2018. For the Serranía de San Lucas, the figure of National District of Integrated Management admits the sustainable use of the area by its inhabitants and local organizations, and through zoning and joint planning, conservation, use and management areas will be delimited with the communities. This category implies the need to promote sustainable livelihoods as an adaptation strategy.

## Standard on Indigenous Peoples

This Standard sets out the requirements and procedures applicable to activities in WWF's GEF and GCF projects that affect Indigenous Peoples, or their lands, territories and resources.

When Indigenous People are present in the project area, the project will:

- Understand and uphold the suite of provisions on the rights of Indigenous Peoples as stipulated in international instruments, and government policies if available;
- Identify indigenous communities and their representative organizations as well as indigenous lands, territories, and resources at the outset of defining activities in any landscape;
- Identify potential impacts of activities on Indigenous Peoples or their lands, territories and resources and address them proactively with full participation of Indigenous Peoples;
- Respect the right of Indigenous Peoples to Free, Prior and Informed Consent (FPIC) processes;
- Ensure that culturally appropriate and equitable benefits arising from activities on indigenous lands and territories are negotiated and agreed upon. This includes where activities involve access and/or use of traditional ecological knowledge (see the Standard on Cultural Resources); and
- Respect the right of Indigenous Peoples living in voluntary isolation to freely decide to remain in isolation, maintain their cultural values, and freely decide if, when and how they wish to contact and/or integrate with the outside world.

As there are indigenous peoples (Caribbean and San Lucas mosaics) and Afro-descendent Colombians located in the Caribbean mosaic, an Indigenous Peoples Planning Framework (IPPF) has been developed as part of this ESMF.

For the specific case of activities related to the process for the declaration and expansion of new protected areas, national legislation establishes the route to be followed to guarantee the consultation and participation rights of indigenous peoples and forest-dependent communities in these territories. The project will be based on this established route and on the processes being led by the Ministry of Environment and National Natural Parks in the areas prioritized in the proposal in the Sierra Nevada de Santa Marta and Serranía de San Lucas.

## Standard on Community Health and Security

This Standard ensures that the health, safety and security of communities in project areas are respected and protected. Health risks may include: communicable diseases; mental health due to harassment; community wellbeing (including cultural aspects - see Standard on Cultural Resources). Safety risks are unintended threats to people and may include: natural hazards; impacts of climate change; dangerous working conditions. Security risks are intended or

deliberate threats to people and may include: physical violence (such as reprisals against activists); gender based violence; sexual exploitation and abuse.

Project activities should avoid, or minimize the risk of community exposure to health, safety and security risks, paying particular attention to disadvantaged, marginalized and vulnerable groups or individuals. Any security arrangements that are intended to safeguard personnel, property or affected people must be proportional and consistent with applicable national laws and good international industry practice. See the annex: Principles Regarding WWF's Support for Enforcement and Rangers for more information.

Since the project will be financing activities involving small-scale construction works and patrolling of national protected areas, this ESMF will include guidance on labor and working conditions as well as guidance on proper ranger conduct.

## Standard on Protection of Natural Habitats

This Standard reflects the objectives of the Convention on Biological Diversity (CBD) to conserve biological diversity and promote the sustainable management and use of natural resources, the Ramsar Convention on Wetlands, the Convention on the Conservation of Migratory Species of Wild Animals, the Convention on International Trade in Endangered Species of Wild Flora and Fauna, the World Heritage Convention, the United Nations Convention to Combat Desertification, and the International Plant Protection Convention.

The project will not undertake or support activities that knowingly result in the conversion or degradation of natural habitats, especially those that are legally protected, officially proposed for protection, or identified as having high conservation value. This Standard requires the project to:

- Conserve biological diversity and ecosystem integrity by avoiding or, if avoidance is not possible, reducing and minimizing adverse impacts on biodiversity;
- Repair or restore adverse impacts on biodiversity, including, where impacts are unavoidable, through implementing measures to achieve a net gain for biodiversity;
- Protect natural, modified, and critical habitats (natural and modified);
- Promote the sustainable management of natural resources; and
- Ensure the proposed activity will sustain the availability and productivity of priority ecosystem services to maintain benefits to affected communities.

Overall, activities of the Project will produce significant conservation and climate mitigation and adaptation benefits and any potential adverse environmental impacts on human populations or important natural habitats are expected to be very limited. While there shall be no conversion or degradation of natural habitats, this Standard has been triggered as a precaution to ensure the project is cautious with the environmental assessment process when carrying out activities inside sensitive ecosystems (e.g. small construction works).

## Standard on Pest Management

The Standard on Pest Management is aimed at any project applying or promoting the use of pesticides or supporting agricultural or other activities where chemical pest management is undertaken. This Standard ensures that internationally restricted products are prohibited and that the environmental and health risks associated with justifiable pesticide use are minimized and managed. It further ensures that safe, effective, and environmentally sound pest management is supported and promoted.

Specifically, the project will:

1. Not allow the procurement or use of formulated products that are in the World Health Organization (WHO) classes IA and IB, or formulations of products in Class II;
2. Not allow the procurement or use of pesticides and other chemicals specified as persistent organic pollutants identified under the Stockholm Convention;
3. Follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization's International Code of Conduct on the Distribution and Use of Pesticides and its associated technical guidelines, and procure only pesticides (along with suitable protective and application equipment) that will permit pest management actions to be carried out with well-defined and minimal risk to people, livelihoods and the environment;
4. Promote the use of demand-driven, ecologically-based biological or environmental pest management practices (referred to as integrated pest management - IPM);
5. Reduce reliance on synthetic chemical pesticides;
6. Require that, in the context of the activities that they support, pesticides are procured contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users;
7. Support policy reform and institutional capacity development to (a) enhance implementation of IPM and integrated vector management and (b), regulate and monitor the distribution and use of pesticides; and
8. Disclose draft mitigation measures within the environmental and social mitigation framework (ESMF), in a manner that is both accessible and transparent to key stakeholders, including affected groups and civil society organizations.

## Standard on Cultural Resources

UNESCO's (2002) definition of culture is the 'set of distinctive spiritual, material, intellectual and emotional features of society or a social group and that it encompasses, in addition to art and literature, lifestyles, ways of living together, value systems, traditions and beliefs. Cultural resources embedded in belief systems and traditional lifestyles are often the most valuable aspects of a landscape/seascape (hereafter 'landscape') for Indigenous Peoples and local communities. This Standard ensures that cultural resources are appropriately considered, respected and protected and their destruction, damage or loss is avoided. The Standard refers to 3 types of cultural resources:

1. Tangible – referring to tangible moveable or immovable objects, property, sites, structures, or groups of structures, having archaeological (prehistoric), paleontological,

historical, cultural (e.g. sacred sites, burial sites), artistic (e.g. works of art), and religious values;

2. Natural – referring to unique natural features or tangible objects that embody cultural or spiritual values, such as sacred groves, rocks, lakes, and waterfalls. The difference between this category and tangible cultural resources is that the latter has been shaped and created by human activities;
3. Intangible – referring to intangible forms of culture that may be impacted by or are proposed to be accessed and/or used through WWF activities, such as traditional ecological knowledge or other forms of cultural knowledge, innovations, and practices of communities embodying traditional lifestyles.

The project will:

- Take care to fully understand the tangible, natural and intangible cultural resources of the landscape as perceived by Indigenous Peoples and local communities and any cultural resources that are recognized in national legislation or under relevant international environmental/cultural treaties and agreements;
- Analyze the tangible, natural and intangible cultural resources in relation to project activities and assess potential impacts on these resources. This may include access to said cultural resources; changes to customary ways of life; access and/or utilization of traditional ecological knowledge;
- Where activities involve access and/or use of traditional ecological knowledge or any cultural knowledge associated with genetic resources, whether for commercial or noncommercial purposes, respect commitments in the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization. This includes adhering to corresponding national requirements and procedures (e.g. research permits), convening appropriate prior informed consent processes with affected communities and formalizing mutually agreed terms on the fair and equitable sharing of benefits;
- Avoid financing and/or implementing activities that could significantly damage or modify cultural resources. Where appropriate conduct field-based surveys using qualified specialists to evaluate cultural resources and co-develop (with communities) alternatives that avoid negative impacts;
- Avoid making decisions about important cultural resources without the full and meaningful consultation of the communities in question.

## Guidance Note on Labor and Working Conditions

As a conservation organization, WWF does not typically fund large infrastructure activities in conservation projects implemented by WWF's GEF and GCF Agency and therefore does not directly adversely impact labor and working conditions. However, WWF GCF Agency projects do implement projects in the forestry, agriculture and fisheries sectors, which may have potential unintended adverse impacts. This is mostly seen in financing activities necessary for strengthening protected area management systems, including construction of protected area administrative buildings, watch towers, or accommodations for park guards.

In such cases, these activities are usually executed by third party contractors who employ construction workers including sub-contractors. In such cases, WWF will ensure that any funding for such activities complies with WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP) and more specifically international labor and working condition standards such as the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work and any relevant local labor standards of the project specific countries.

This Guidance Note provides detailed guidance of reasonable precautions to implement in managing principal risks to occupational health and safety. The following is based on the IFC's Environmental, Health, and Safety Guidelines (April 30, 2007), and covers the following general thematic areas:

1. General Facility Design and Operation
  - a. Integrity of Workplace Structures
  - b. Severe Weather and Facility Shutdown
  - c. Workspace and Exit
  - d. Fire Precautions
  - e. Lavatories and Showers
  - f. Potable Water Supply
  - g. Clean Eating Area
  - h. Lighting
  - i. Safe Access
  - j. First Aid
  - k. Air Supply
  - l. Work Environment Temperature
2. Training
  - a. Occupational Health and Safety (OHS) Training
3. Physical Hazards
  - a. Rotating and Moving Equipment
  - b. Rotating and Moving Equipment
  - c. Vibration
  - d. Electrical
  - e. Eye Hazards
  - f. Welding / Hot Work
  - g. Industrial Vehicle Driving and Site Traffic
  - h. Working Environment Temperature
  - i. Ergonomics, Repetitive Motion, Manual Handling
  - j. Working at Heights
  - k. Illumination
4. Standards for Workers Living Conditions
  - a. General living facilities
  - b. Drainage
  - c. Heating, air conditioning, ventilation and light
  - d. Water

- e. Wastewater and solid waste
- f. Rooms/dormitories facilities
- g. Bed arrangements and storage facilities
- h. Sanitary and toilet facilities
- i. Toilet facilities
- j. Showers/bathrooms and other sanitary facilities
- k. Canteen, cooking and laundry facilities
- l. Medical facilities
- m. Leisure, social and telecommunications facilities

## Guidance Note on Projects Relating to Dams

In many river basins, WWF's freshwater conservation work is affected by the development of new dams or by the operations of existing dams. WWF is opposed to unsustainable dams that do not adhere to internationally recognized principles and criteria for good practice. WWF advocates that (1) no dams be built in, or affect, areas of high conservation value; (2) alternatives be fully considered before decisions are made to build new dams; and (3) principles, tools, and inclusive, transparent processes be applied that make the best possible choices regarding the management of existing dams and development of new dams.

WWF actively works to assess existing dams to minimize impacts and maximize benefits and to reduce the demand for new dams. WWF advocates for improvement of operational management for environmental benefits at existing dams, through related policies, plans, or regulations.

Given the above instances, and in line with WWF Network's position on dams, WWF can:

- For GEF and GCF projects, partner with a GEF and GCF Implementing Agency that is accredited for Safety of Dams safeguards to jointly support such efforts, so long as the other agency's safeguards system is applied for the entire project;
- Implement projects that involve working with the government or relevant sector on strategic river basin planning, with the goal of restricting or concentrating dams to appropriate rivers and watersheds of lower conservation value (e.g., already altered);
- Implement projects that result in recommendations for environmental flow requirements for a stream or river (e.g., timing, volume, duration);
- Implement projects that involve working with governments to ensure better regulation of hydropower sector;
- Implement projects that build capacity in the hydropower sector and government ministries to improve environmental-based approaches/tools for sustainable development; and
- Implement small or minor water infrastructure work whose impact is deemed not to trigger Safety of Dams safeguards through WWF's Policy on Environment and Social Risk Management.

## Guidance Note on Ranger Principles

Rangers play a key role in protecting wildlife, managing protected areas, and resolving human-wildlife conflict. Rangers must act within the law and under high ethical standards in order to achieve positive outcomes from both people and nature. WWF only supports legitimate law enforcement activities that are carried out in a way that respects and protects the human rights of local communities and Indigenous Peoples. Certain measures are in place to uphold WWF's high ethical standards, including a risk assessment, mitigation actions, and continuous monitoring throughout implementation. Rangers are expected to adhere to the following principles:

1. Act within the law.
2. Ensure accountability.
3. Build ranger capacity
4. Support the welfare of rangers and their families.
5. Partner with local communities.
6. Identify, monitor and plan for challenges.
7. Maintain impartiality.
8. Communicate regularly.
9. Sanctions for malfeasance.

More information on these principles can be found in the Guidance Note.

## Gaps between Government of Colombia's laws and regulations and WWF's ESSF

In general, Colombia's laws, policies, and guidelines are in line with the WWF's environmental and social safeguards requirements. However, there are a few differences between the two systems, as discussed below.

With regard to environmental impacts, there are no direct contradictions between Colombian laws and regulations and the WWF's SIPP, but the requirements of the latter are more extensive. For instance, WWF's SIPP requires a thorough environmental and social analysis of the impact of specific project activities on the environment and on local communities before the activity is formally approved and any funds are disbursed. These requirements are beyond the environmental clearance process prescribed by the Colombian legislation. All program activities should fully comply with both Colombia's Regulations on the Environmental Clearance of Projects and with the procedures and mitigation measures prescribed in this ESMF/IPPF/PF. In case that WWF's SIPP requirements are more extensive, strict, or detailed than the Colombia legislation and policies, the former will apply to all project activities.

With regard to social impacts, the primary discrepancies between Colombia laws and regulations and the WWF's SIPP refer to the status of non-title holders and informal land use, and the commitment to participatory decision-making processes. First, according to the WWF's SIPP, all users of land and natural resources (including people that lack any formal legal ownership title or usage rights) are eligible to some form of assistance or compensation if the project adversely affects their livelihoods. The Colombian laws only recognize the eligibility of

For the purposes of the HECO program, the provisions of the WWF's ESSF as detailed in the SIPP shall prevail over Colombia legislation in all cases of discrepancy.

## General Project Implementation

[illegible]

The following information details the principal structures and processes in this framework:

As this Project fits under a larger national initiative, it will also nest under the governance of the HECO Steering Committee who which has oversight over the transition fund created by the HECO PFP. The HECO Steering Committee will ensure future alignment with country goals and that disbursement conditions have been met of the HECO PFP before distributing funds from the transition fund administered by Patrimonio Natural. The HECO Steering Committee was designed to be independent and will be composed of five representatives. To ensure that the Co-financing governed by this body will flow alongside, and on the same basis as, the GCF Proceeds, (a) the disbursement condition will be designed to be consistent with any conditions

for distribution between the GCF and WWF-US as stated within the Project's FAA, and (b) the AE will have representation on this Committee.

A delegate of MADS will serve as President of the Board and will approve the agendas and external invitees suggested by the Technical Secretariat, which may include relevant project partners such as the Regional Environmental Authorities, local government, and representatives of local communities, Indigenous Peoples, or women's groups.

The National Protected Areas Unit (NPAU) and representatives of HECO partners will participate on the board to coordinate and complement actions and ensure the contribution of the Project to HECO's goals. The HECO national initiative manager will also participate as an invitee on the Project Board meetings to ensure close coordination among all the programs and projects executed under the HECO umbrella. FPN, as executing entity, will serve as the technical secretariat and will support the organization and preparation of the Project Board's meetings.

The project board is responsible for the following:

- Provide overall guidance and direction to the Project
- Endorse the Annual Work Plans
- Provide recommendations on the development of the Project activities
- Address project constraints and recommend strategies or changes in project activities according to the monitoring and evaluation processes.
- Review and endorse the Project's annual and final reports
- Guide on project risks, and agree on possible mitigation and management measures for addressing them
- Provide recommendations and advice for coordination with HECO's national initiative and other related national and regional programs and plans
- Recommend actions to ensure long-term sustainability of Project investments and scale-up methodologies, approaches, and lessons learned.
- Settle controversies by arbitrating on any conflicts within the Project or negotiate a solution to external bodies' problems.
- Report to CONAP on the progress of the HECO-GCF Project and request recommendations when needed.

### **Project Management Unit (PMU)**

As the administrator of the Transition Fund, Patrimonio Natural, a Colombian private organization, will be the lead Executing Entity for this project. Patrimonio Natural was selected for this role because of its experience and track record in administering conservation funds from diverse donors in Colombia. Patrimonio Natural's role as administrator is a key feature of the PFP approach to (a) coordinate the project from a central entity that also plays that role for certain co-financing and parallel financing; and (b) centralize the transition to long-term, sustainable funding and planning of ongoing activities to local institutions as part of the Project's exit strategy. Putting Patrimonio Natural forward in this role also furthers the GCF's stated objectives of country

ownership and strengthening the capacities of, and otherwise supporting, subnational, national, and regional entities.

The Project Management Unit (PMU) is the unit which supports the overall implementation of the project and guides the implementation on the ground. It will be hosted in Patrimonio Natural. With overall guidance from the Project Board and following WWF-US and GCF policies as defined in WWF's AMA and FAA, the Project Management Unit (PMU) will be responsible for planning, implementation, monitoring and evaluation of the Project activities. The PMU will be in charge of: (i) operational planning, managing and execution of the project, including the direct supervision of project activities subcontracted to specialists or executing partners, (ii) coordinating the management of financial resources and procurement, (iii) reporting on use of resources and results achieved, (iv) preparing management reports for the Project Board, HECO steering committee, GCF, and WWF-US, including annual reports and any proposals for adaptive management, if required and based on inputs from the Project M&E plan, (v) promoting inter-institutional linkages and coordination with overall HECO activities, and (vi) disseminating project results.

The Project Manager will lead the PMU and will be responsible for reporting to the Project Board. The PMU will comprise: four Technical Leaders (TL), with one for each output, two Safeguards Specialists, the Stakeholder Engagement Specialist, the Gender and SEAH Specialist, a Communications Specialist, a Monitoring and Evaluation Specialist, Financial Manager, Procurement Specialist and one Administrative Assistant. Salaries, travels and other expenses for the operation of the PMU will be funded by GCF funding and co-finance, in accordance with GCF's Fee Policy. The Project Safeguards Specialists will be hired and will be responsible for oversight of the implementation of the ESMF, the Process Framework (PF) and the Indigenous Peoples Planning Framework (IPPF), costed under output 3. WWF-US will require a no-objection on all key personnel, as defined within the grant agreement between WWF-US and Patrimonio Natural.

The Project Manager (PM) will be responsible for the overall management and implementation of the project activities and for requesting disbursement of the Project resources for their execution. The PM leads the management of the project activities as per approved Annual Work Plans, including financial, budget and human resources. He/She also prepares detailed annual project work plans in collaboration with the PMU and according to the logical framework. The PM is a full-time position, which will continue for the duration of the Project, reporting directly to MADS and FPN. The Project Manager has the authority to run the project on a day-to-day basis, providing management and decision-making on behalf of the Project Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and costs. Under the Project Manager's lead and guidance, the PMU team will head up the preparation of the AWP for the effective and efficient implementation of the project activities to achieve stated objectives, will prepare and/or oversee the development of Terms of Reference for consultants, sub-contractors and executing partners, ensure consistency between the various project elements and activities provided or funded by other donors, and develop progress reports for the PB, technical meetings and other appropriate spaces.

The Project Financial Manager will lead the PFU- Project Financial Unit- as a full-time position, reporting directly to FPN. The Project Financial Manager will be responsible for the overall management and oversight of project activities. The PFM will report to FPN on all operational and managerial matters. The PFM is responsible for:

- Project planning and management activities, including financial, budget, and human resources.
- Lead on the elaboration of annual operational plans with the technical support of the PMU
- Coordinate the development of project work plans for Project Board endorsement and AE approval
- Oversee that all activities funded by the project respond to the logical framework and the annual work plans, ensuring effective use of resources
- Prepare financial and execution reports requested by the Project Board, the Accredited Entity and other Co-financers of the Project.
- Assure the complementarity of work plans and investments with the national HECO Program.

The TLs will lead the implementation of activities under each of the proposed Outputs, channeling technical inputs and guidance into the planning and execution of project activities and considering the advice of the PMU. To do this, the PMU will keep close coordination with FPN, MADS, National Parks Agency, and other partners as needed, to assure inter-institutional coordination and ensure consistency between the various project elements and activities funded by additional and complementary funding. TLs will be supported by a team of professionals that will work locally, leading implementation of activities at national and landscape level.

### **Technical committees**

**Participation and technical decision-making committees:** At landscape level, a decision making and stakeholder engagement body will be set up with community organizations, national parks agency, regional environmental authorities, and other possible implementers and sub-grantees. Within these committees the proposal is to develop the work plans for landscapes, monitoring and reporting, to define roles, responsibilities and assure safeguards and gender mainstreaming. The aim is for these structures to play a pivotal role in the participation and stakeholder engagement in each landscape for the implementation of activities.

### **Government Partners, Municipal Entities, and Other Supporters**

The proposed structure will ensure open dialogue and buy-in from across government and stakeholders, as well as facilitating the sharing of ideas, successful interventions, and lessons learned throughout Project implementation. The project should interact with and integrate work to tackle social, economic, environmental and policy drivers and jointly implement some activities towards mitigation and adaptation with different government institutions, such as: Ministry of Environment and Sustainable Development (MADS), Ministry of Agricultural and Rural Development (MADR), the National Land Agency (*Agencia Nacional de Tierras – ANT*), *Agencia de Renovación del Territorio – ART*, the Rural Development Agency (*Agencia de*

Desarrollo Rural – ADR), and the National Department of Planning (*Departamento Nacional de Planeación* – DNP) as the focal point for GCF projects and the representative of the joint commission (*Cuerpo Colegiado*).

The proposal is to form a joint work roundtable with the participation of local authorities, environmental authorities and other competent entities in each landscape to define work plans and empowerment of activities and implementation for better sustainability.

The Project will also be part of certain processes and dialogue platforms in each landscape, such as the regional networks of protected areas (SIRAPs), the climate nodes and watershed governance bodies. The Project will work within these platforms to support the implementation of activities with the regional environmental authorities, municipalities, local communities and social organizations to increase effectiveness of the proposed project. Embedding the Project into existing structures will support accountability in the Project approach and as a result, will be sustained after the end of the Project.

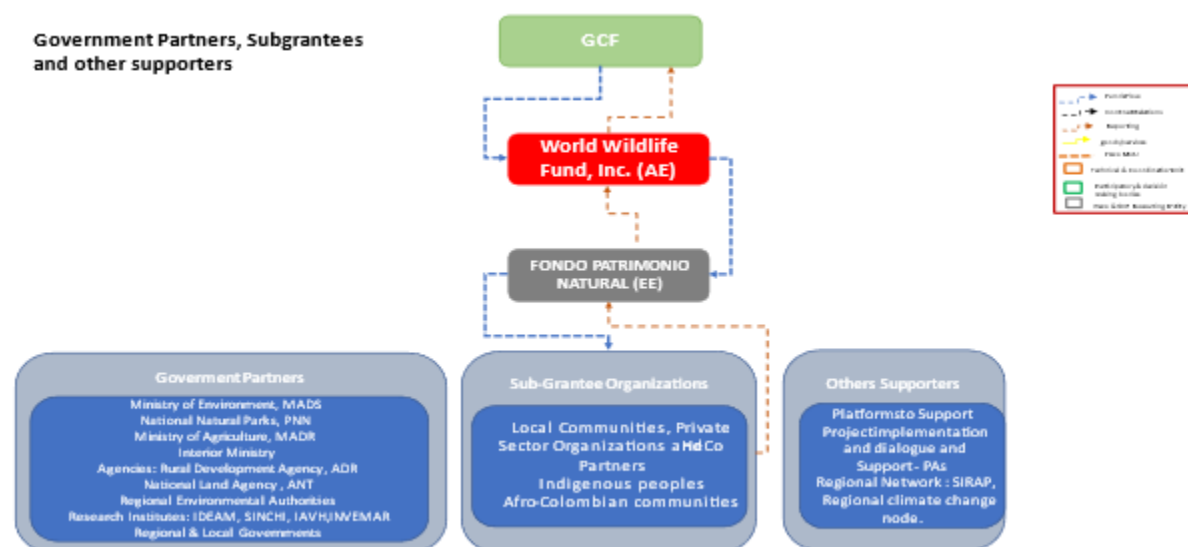


Figure 7. Government partners, subgrantees, and other supporters.

### Additional executing partners: an explanation of contractual relationships

Based on the stakeholder engagement phase to define the full proposal, in each landscape, community organizations, civil society organizations and government entities were selected to implement certain activities according to their past performance, roles, and legal considerations. The sub-agreements will be led by executing partners who will sign grant agreements with Patrimonio Natural, to implement key activities in each focal area, according to the needs of each one, as defined in the proposal preparation phase. In the case of government entities, Patrimonio will not transfer funds to their sub-accounts, but they will lead procurement

processes, as defined in the work plans, to hire consultants, goods, and services for certain activities and actions within their responsibility. The sub-grantees will deliver on key indicators and results. Reports will be completed and shared within the technical committees at landscape level and within the PMU to integrate into a final report to the project board and HECO steering committee. These grant agreements may include ones with Indigenous representatives and community organizations to facilitate training, development and implementation processes at the local level, including restoration and economic alternatives, among others.

## Safeguards Implementation

Specific arrangements and responsibilities related to the implementation of environmental and social safeguards requirements, as stated in this ESMF are as follows:

### **Executing Entities (Lead: Patrimonio and Co: WWF Colombia):**

- Overall responsibility for ensuring environmental safeguards are implemented.

### **HECO Steering Committee:**

- Oversight and monitoring of compliance with safeguards commitments.
- Support and specific recommendations on specific safeguard issues if needed.

### **WWF GCF Accredited Entity (AE):**

- Overall oversight and monitoring of compliance with safeguards commitments.
- Support and specific recommendations on specific safeguard issues if needed.

### **Project Management Unit (PMU):**

- Ensuring that bidding documents and contracts include any relevant particular clauses or conditions relevant to environmental and social safeguards as set out in this ESMF.
- Implementing and supervising ESMF/IPPF/PF and other safeguard plans;
- Provision of safeguard reports to the Accredited Entity;
- Supervision of ESS specialists, and support to the TLs;
- Implementation of gender and SEAH responsive Grievance Redress Mechanism (GRM);
- Disclosure of safeguards documents;
- Reporting on safeguards implementation and compliance to the PSC and WWF GCF AE.

### **Technical Leads (TLs):**

- Overall responsibility for compliance with ESMF safeguards and other annexed documents of this report;
- Screening all project activities to identify social and environmental impacts with inputs from the technical committees;
- Contributing to the preparation of safeguards documents (site-specific ESMPs or other safeguards plans) as needed;
- Ensuring the inclusion of safeguards requirements in all project bidding documents and contracts;
- Monitoring contractors' compliance with safeguards requirements;

- Conducting consultation meetings with local stakeholders as required, informing them, updating them on the latest project development activities;
- Carrying out regular site inspections;
- Reporting on safeguards implementation and compliance to the ESS Specialists and the PMU Director; and
- Ensuring implementation of the Grievance Redress Mechanism (GRM) and dissemination of information regarding the GRM among local communities.

**The Safeguards (ESS) Specialists (2 positions):**

- Review annual work plans and budgets and analyze planned community/individual sub-projects and their environment/social impacts, in order to identify safeguards risks and initiate screenings of activities;
- Support TLs in the implementation of safeguards commitments and screening project activities;
- Prepare and contribute to safeguards documents as necessary in accordance with the ESMF/IPPF/PF, and in close collaboration with the PMU and TLs.
- Ensure that consultations with local communities are carried out in an inclusive and participatory manner, and are well documented;
- Monitor the state of safeguards implementation, and ensure that sub-projects are implemented in accordance to best practices and guidelines set out in the ESMF/IPPF/PF;
- Provide oversight and coordinate the socio-economic surveys to identify Project Affected People;
- Identify and liaise with all the stakeholders involved in environment and social related issues in the Project;
- Operate the project's Grievance Redress Mechanism (GRM), including compiling and reporting on project-related grievances, ensuring specific procedures for SEAH-related grievances are included in the mechanism and direct responsibility for investigating any such grievances, monitoring grievance resolution, and closing the feedback loop with the complainant.
- Carry out field visits as necessary to monitor the implementation of project activities and their compliance with safeguard requirements;
- Provide capacity support to the PMU, TLs, executing partners, and other project-related stakeholders on environmental and social issues,
- Work with the Gender and SEAH Specialists to ensure the PUM, TLs and executing partners are trained on identifying, avoiding and minimizing SEAH-related risks;
- Provide execution assistance and advise the Project Manager as necessary on safeguards related issues including adaptive management.
- Report on overall safeguards performance to the Project Steering Committee, WWF GCF AE and other stakeholders as necessary.

## 6. Anticipated Environmental and Social Impacts and Mitigation Measures

The GCF HECO project seeks to strengthen environmental and climate change mitigation and adaptation practices of Colombia, and it is thus expected to result in major positive environmental and climate mitigation and adaptation outcomes. Minor and site-specific negative environmental impacts may result from the following activities:

- Nursery Establishment and Restoration Activities
  - Sub-Activity 3.1.3.l Restoration of 13,350 hectares over 10 years in 8 protected areas
  - Sub-Activity 3.1.3.p Establish 8 nurseries in 8 protected areas
  - Sub-Activity 3.1.3.q Periodically carry out maintenance work to ensure the development and survival of reintroduced species
  - Sub-Activity 3.2.2.a Establish 30 nurseries with 30 communities for 2,750 ha of restoration
  - Sub-Activity 3.2.2.b Restoration of 2,750 ha over 10 years in 4 mosaics to increase resilience for 2,579 people (1,259 men, 1,320 women), taking into account ancestral practices.
- Participatory Rehabilitation of Climate Resilient Productive Systems
  - Sub-Activity 3.1.3.s Facilitate the participatory rehabilitation of 10,149 ha over 10 years in 9 protected areas with climate-resilient productive systems from a differential gender and intergenerational approach for the sustainable use and management of forests and watersheds in prioritized intervention sites
  - Sub-Activity 3.2.1.b Facilitate the participatory rehabilitation of 3,254 ha with climate-resilient productive systems from a differential gender and intergenerational approach for the sustainable use and management of forests and watersheds in prioritized intervention sites

The project is expected to result in positive social outcomes by strengthening community resilience to climate change, enhancing rural livelihoods, and empowering communities in the governance of natural resources. However, due to the nature of working in Colombia and potential project activities, there is the potential that adverse social impacts may result from the following activities if not properly mitigated:

- Improved Governance Structures for Climate Responsive Planning
  - Outcome 1. Governance structures for climate responsive planning and development improved and implemented
  - Output 1.1. Inter-institutional governance strengthened in targeted landscapes for improved climate-informed and integrated land and water planning
  - Activity 1.1.1 Inter-institutional governance improved for the 4 landscapes in order to develop integrated land and water use planning
  - Output 1.2 Community governance with SINAP and within connectivity corridors strengthened to improve climate-informed land and water use
  - Activity 1.2.2 Strengthen the capacity of local communities and their understanding of climate change, incorporating indigenous knowledge and gender responsiveness - reprisal from men or outsiders if women and youth gaining power
  - Activity 1.3.1 Improve access and revenue generation of royalties (regalias) to climate responsive planning and development within the project landscapes
- Gazettement and Expansion of Protected Areas

- Activity 3.1.1 Complete, in a socially responsible manner, the designation and gazettment of 1 new protected area covering 470,000 hectares to reduce deforestation trends and improve forest connectivity
- Activity 3.1.2 Expand Sierra Nevada de Santa Marta National Park by an additional 180,000 hectares to reduce deforestation trends, preserve forest connectivity and protect source waters
- Control and Surveillance Activities (3.1.3.b and 3.1.3.g-j)
  - Sub-Activity 3.1.3.b Develop and implement a comprehensive control and surveillance training program through participatory design with delegates from environmental authorities and community actors (including indigenous communities) from each mosaic including the 31 public protected areas to reduce deforestation trends and monitor restoration, ecological integrity, and impacts of climate change
  - Sub-Activity 3.1.3.g Procurement and provision of equipment for the implementation of prevention, surveillance and control actions, including remote satellite monitoring system
  - Sub-Activity 3.1.3.h Contract personnel by environmental authorities for the implementation of control and vigilance actions
  - Sub-Activity 3.1.3.i Develop control and vigilance/surveillance protocols
  - Sub-Activity 3.1.3.j Periodically carry out the control and surveillance tours based on the defined protocols
- Nursery Establishment and Restoration Activities
  - Sub-Activity 3.1.3.l Restoration of 13,350 hectares over 10 years in 8 protected areas
  - Sub-Activity 3.1.3.p Establish 8 nurseries in 8 protected areas
  - Sub-Activity 3.2.2.a Establish 30 nurseries with 30 communities for 2,750 ha of restoration
  - Sub-Activity 3.2.2.b Restoration of 2,750 ha over 10 years in 4 mosaics to increase resilience for 2,579 people (1,259 men, 1,320 women), taking into account ancestral practices.
- Participatory Rehabilitation of Climate Resilient Productive Systems
  - Sub-Activity 3.1.3.s Facilitate the participatory rehabilitation of 10,149 ha over 10 years in 9 protected areas with climate-resilient productive systems from a differential gender and intergenerational approach for the sustainable use and management of forests and watersheds in prioritized intervention sites
  - Activity 3.2.1 Support rehabilitation of degraded lands to increase ecological integrity of targeted landscapes and reduce protected areas encroachment
  - Sub-Activity 3.2.1.a Through a participatory stakeholder process, jointly design climate resilient farm management processes and production systems to address prioritized climate risks for each mosaic and improve agricultural and production practices for landscape rehabilitation and connectivity.
  - Sub-Activity 3.2.1.b Facilitate the participatory rehabilitation of 3,254 ha with climate-resilient productive systems from a differential gender and intergenerational approach for the sustainable use and management of forests and watersheds in prioritized intervention sites.

A detailed overview of these impacts, potential mitigation measures, and responsible authorities is provided below.

Table 6: Environmental and Social Risks and Mitigation Measures

Outcomes/Outputs/ Activities	Environ- mental or Social Risk	Description of Potential Risk	Mitigation Measure	Responsible Authority
Outcome 1. Governance structures for climate responsive planning and development improved and implemented	Social	IPLCs do not have the capacity to participate in land use planning and decision-making bodies	<p>Mitigation measures have been incorporated into project design as follows:</p> <ul style="list-style-type: none"> <li>• 1.1.2.c Design and implement a training program on the use of climatic and hydrological data, other information for risk prevention, and the improvement of water management to develop the capacities of territorial entities and local communities participating in each of the 4 NRCCs / 1 sub node</li> <li>• 1.1.3.b Design and implement a training program for community and institutional delegates (environmental authorities, municipalities, governorates) for each landscape on how to incorporate variables and elements in the instruments of territorial zoning and basin management of 30 municipalities with jurisdiction of landscapes, 9 departments, 6 river basins. to generate climate models in the prioritized basins</li> </ul>	WWF Colombia

Output 1.1. Inter-institutional governance strengthened in targeted landscapes for improved climate-informed and integrated land and water planning	Social	Exclusion of IPLCs and marginalized/vulnerable people from land use planning and decision-making bodies	<p>Mitigation measures have been incorporated into project design as follows:</p> <ul style="list-style-type: none"> <li>• 1.1.1.b Support the incorporation of actors and strengthening of the participation scheme of the SIRAPs / SIDAP to increase the adaptive management of the region with a climate-responsive approach</li> <li>• 1.1.1.d Improve the participation and qualification of at least 60 leaders of indigenous peoples, local communities and civil society in the SIRAPs / SIDAP of four mosaics for the generation of agreements associated with water management and forest management</li> <li>• 1.1.1.e Participatory mapping to enhance connectivity for climate adaptation and mitigation</li> <li>• 1.1.2.b Improve the participation and qualification of at least 60 representative leaders of organizations of indigenous peoples, local communities and civil society in the 4 NRCCs / 1 sub node</li> <li>• 1.1.3.c Facilitate 4 annual intersectoral roundtables ((i) cattle ranching, (ii) agriculture, (iii) water services, (iv) forest management) within the framework of the climate</li> </ul>	WWF Colombia
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			change nodes of 4 landscapes, with private actors, unions, associations, community delegates and delegates from territorial institutions and national / presidential agencies (National Land Agency, Office of the Presidential Council for Stabilization and Consolidation) of land for the identification of pressures, threats and land use change and climatic vulnerability for the generation of criteria and variables to be adopted in the instruments of land use planning	
Output 1.2 Community governance with SINAP and within connectivity corridors strengthened to improve climate-informed land and water use	Social	Only influential or powerful individuals of IPLCs participate in land use planning, not accurately reflecting the needs of the whole community, particularly marginalized/vulnerable people (elite capture)	<p>Mitigation measures have been incorporated into project design as follows:</p> <ul style="list-style-type: none"> <li>• 1.2.1.a Define a roadmap for each (10) community organizations from each landscape to develop a specific organizational development plan to enhance social and gender inclusion, enhance participation skills and operations systems to implement NbS measures in their territories</li> <li>• 1.2.2 (a-e) Strengthen the capacity of local communities and their understanding of climate change, incorporating indigenous knowledge and gender responsiveness</li> </ul>	WWF Colombia

	Social	Tensions or conflicts between groups arise during the land use planning process	<p>Mitigation measures have been incorporated into project design as follows:</p> <ul style="list-style-type: none"> <li>• 1.2.1.c. Strengthen at least 1 space for inter-ethnic dialogue to resolve conflicts in the use and management of forests and water management</li> <li>• 1.2.1.e Strengthen or create 9 multi-stakeholder roundtables for 7 years in each landscape so that agreements are generated for climate-smart solutions associated with the management of water resources and forest management in the prioritized areas and implementation of good practices, reversion and productive alternatives in each landscape</li> <li>• 1.2.1.g Facilitate the adoption of right-to-use contracts between Presidency Agency for Stabilization of Consolidation and farmers in unprocured vacant lots of Caribbean, Amazon, and Orinoco Transition mosaics</li> </ul>	
Activity 1.3.1 Improve access and revenue generation of royalties (regalias) to climate responsive planning and development within the project landscapes	Social	IPLCs and other marginalized/vulnerable communities are excluded from accessing financial resources.	<p>Mitigation measures have been incorporated into project design as follows:</p> <ul style="list-style-type: none"> <li>• 1.3.1.c. Develop partnering arrangements between IPLC authorities, environmental authorities and eligible municipal and regional</li> </ul>	Patrimonio

			authorities to submit joint funding proposals for improved climate-informed management of targeted landscapes	
Sub-Activity 2.1.2.g. Design and implement local carbon plot network. (Include participatory team coordination)	Environmental and Social	Access restriction to natural resources in carbon plots for both local people and wildlife.	<p>The process to manage access restrictions can be found in the Process Framework chapter of this document.</p> <p>An environmental assessment should be done prior to any fencing or restriction of access to determine if there are any negative environmental impacts.</p>	Patrimonio
Activity 3.1.1. Complete, in a socially responsible manner, the designation and gazettement of 1 new protected area covering 470,856 hectares to reduce deforestation trends and improve forest connectivity	Social	IPLCs cannot access timber or non-timber forest products for their subsistence, or cannot access cultural sites.	<p>Mitigation measures have been incorporated into project design as follows:</p> <ul style="list-style-type: none"> <li>• 3.1.1.b Conduct consultations with affected-stakeholders (based on proposal) at community level (FPIC if needed – see IPPF) and government/interagency</li> <li>• 3.1.1.d Monitoring and evaluation of designation process; including safeguards monitoring</li> </ul> <p>The process to manage access restrictions can be found in the Process Framework chapter of this document.</p>	WWF Colombia

<p>Activity 3.1.2. Expand Sierra Nevada de Santa Marta National Park by an additional 181,753 hectares to reduce deforestation trends, preserve forest connectivity and protect source waters</p>	<p>Social</p>	<p>IPLCs cannot access timber or non-timber forest products for their subsistence, or cannot access cultural sites.</p>	<p>The expansion of this National Park has been requested by the local indigenous communities as a way to protect their land against mining and logging concessions. Therefore, there is low likelihood of any access restrictions that would negatively impact the communities. However, should there be the potential for access restriction, the following mitigation measures have been incorporated into project design:</p> <ul style="list-style-type: none"> <li>• 3.1.2.b Conduct consultations with affected-stakeholders (based on proposal) at community level (FPIC if needed – see IPPF) and government/interagency</li> <li>• 3.1.2.e Monitoring and evaluation of designation process; including safeguards monitoring</li> </ul> <p>The process to manage access restrictions can be found in the Process Framework chapter of this document.</p>	<p>WWF Colombia</p>
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<p>Control and vigilance (3.1.3.b, 3.1.3.g-k)</p> <p>3.1.3.b Develop and implement a comprehensive control and surveillance training program through participatory design with delegates from environmental authorities and community actors (including indigenous communities) from each mosaic including the 31 public protected areas to reduce deforestation trends and monitor restoration, ecological integrity, and impacts of climate change</p> <p><u>Control &amp; Vigilance</u></p> <p>3.1.3.g Procurement and provision of equipment for the implementation of prevention, surveillance and control actions, including remote satellite monitoring system</p> <p>3.1.3.h Contract personnel by environmental authorities for the implementation of control and vigilance actions</p> <p>3.1.3.i Develop control and vigilance/surveillance protocols</p> <p>3.1.3.j Periodically carry out the control and surveillance tours based on the defined protocols</p>	<p>Social</p>	<p>Safety risks to those undertaking control and surveillance:</p> <ul style="list-style-type: none"> <li>• Working conditions, safety and security risks for professional rangers.</li> <li>• Labor, working conditions, safety and security risks for voluntary (community) rangers</li> <li>• Security risks in case of encounters with perpetrators of illegal activities (e.g. coca, gold, wood, poachers)</li> </ul> <p>Safety risks to the IPLCs from control and surveillance activities:</p> <ul style="list-style-type: none"> <li>• Risk of culturally or gender inappropriate conduct by rangers (towards local population) or among rangers</li> </ul>	<p>Creation of an ESMP for surveillance and patrolling, addressing at least all the impacts and risks listed.</p> <ul style="list-style-type: none"> <li>• Participation mechanism for communities (as discussed in 3.1.3.b)</li> <li>• Contingency/security plans</li> <li>• Compliance of control and vigilance/surveillance protocols with WWF ESSF</li> <li>• Ensure control and surveillance protocols and trainings follow guidance from the Universal Ranger Support Alliance (URSA)</li> <li>• Ensure items on excluded list are not procured by project</li> <li>• Do background checks prior to contracting personnel</li> </ul>	<p>WWF Colombia</p>
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<p>Nursery Establishment and Restoration Activities</p> <p>Sub-Activities 3.1.3.l and 3.2.2.b Restoration of degraded ecosystems</p> <p>Sub-Activities 3.1.3.p and 3.2.2.a Establishment of nurseries</p> <p>Sub-Activities 3.1.3.q Maintenance work for restoration</p>	<p>Environmental</p>	<p>Potential unintended negative impacts and risks:</p> <p>Introduction of invasive species and other risks of non-compliance with WWF Policy on Protection of Natural Habitats.</p> <p>Impacts of water use.</p> <p>Generation of waste.</p>	<p>To mitigate these risks, it is necessary to prepare an ESMP that guarantees compliance of the restoration activities with WWF SIPP.</p> <p>The ESMP preparation can be included in the diagnosis that will be carried out at the beginning of the activity. It should be gender-inclusive and developed with participation from indigenous people.</p> <p>The general ESMP should be adapted for each restoration location into a dedicated ESMP – again with local participation.</p>	<p>WWF Colombia (3.1.3)</p> <p>Patrimonio (3.2.2)</p>
	<p>Social</p>	<p>Non-compliance with labor legislation/WWF Standard on Labor and Working Conditions, including occupational health and safety, especially in case of informal sub-contracting or granting.</p> <p>Risk of conflicts/tensions/discrimination about employment opportunities.</p>	<p>The ESMP should include a grievance resolution mechanism, or else the project-level mechanisms can be used.</p> <p>Topics to include (not limited to): avoidance of invasive species, use of fertilizers and pesticides, labor and working conditions, water use, waste management etc.</p>	

<p>Participatory Rehabilitation of Climate-Resilient Productive Systems</p> <p>Sub-Activity 3.1.3.s Facilitate the participatory rehabilitation of 10,149 ha over 10 years in 9 protected areas with climate-resilient productive systems from a differential gender and intergenerational approach for the sustainable use and management of forests and watersheds in prioritized intervention sites</p> <p>Sub-Activity 3.2.1.b Facilitate the participatory rehabilitation of 3,254 ha with climate-resilient productive systems from a differential gender and intergenerational approach for the sustainable use and management of forests and watersheds in prioritized intervention sites.</p>	Environ-mental	<p>Potential risks and impacts:</p> <ul style="list-style-type: none"> <li>• species conservation principles</li> <li>• prevention of invasive species</li> <li>• use of genetic resources</li> <li>• inclusion of knowledge of IP</li> <li>• sustainable Pest Management</li> <li>• protection of water resources</li> </ul>	<p>These activities will require a safeguards screening to be conducted and mitigation plans to be put in place prior to the implementation of these activities. See section on “Example activities under Activity 3.1.3 and Activity 3.2.1” below for more information on the process to mitigate risks from these activities.</p> <p>Consultations with communities and IP on best practices, existing knowledge, and possibilities for benefit sharing.</p> <p>Development, implementation and monitoring of an ESMP for production practices. Topics to include (not limited to): avoidance of invasive species, use of fertilizers and pesticides, labor and working conditions, erosion control, water use, waste management etc.</p> <p>Includes principles for selection of beneficiaries, either in ESMP or through Equitable Benefit Sharing Plan.</p> <p>Grievance redress mechanism.</p>	<p>WWF Colombia (3.1.3)</p> <p>Patrimonio (3.2.2)</p>
	Social	<p>There is a potential risk for elite capture and/or competition among stakeholders about access to technical assistance, training, equipment, assessment etc.</p> <p>Additional potential risks and impacts:</p> <ul style="list-style-type: none"> <li>• gender mainstreaming</li> <li>• avoidance of worst forms of child labor</li> </ul>		
Project-wide	Social	<p>Increasing capacity and participation of IPLCs, in particular women, youth and other vulnerable groups may lead to the risk of attacks on</p>	<p>Work with human rights organizations to determine how best to protect environmental defenders</p>	<p>WWF Colombia</p> <p>Patrimonio</p>

		environmental defenders (particularly women and youth) from men inside community or from outsiders.		
Project-wide	Social	Threats from the natural environment such as wildfires and vector-borne diseases may threaten project staff and partners and stakeholders as well as threaten implementation of the project.	These threats are endemic to the Colombian landscape, and staff and partners have familiarity in avoiding them. As additional precaution, training of all staff and workers/contractors hired by the project will receive training how to avoid these issues and identify areas of risk in their work that may increase their exposure or lead to exacerbation (in the case of forest fires).	WWF Colombia Patrimonio
Project wide	Social	Significant threats to project teams, communities and/or allies caused by common and organized crime groups and/or presence and control of illegal armed groups in the areas	<p>*Prior to accessing project areas, analyze context and security situation with different sources of information: civil and law enforcement authorities, local organizations and think tanks, communities, and social and environmental leaders.</p> <p>*Activate the security protocol for field trips (Appendix 4: Security &amp; Safety Protocols).</p> <p>*Follow up and monitor teams in the field.</p> <p>*Policies and insurance for teams (staff and consultants) for WWF Colombia.</p> <p>* See section 6.1 Peacebuilding and Security risks below for more details on context and mitigation related to this risk</p>	WWF Colombia Patrimonio

Project wide	Social	Unlawful coercion, extortion due to weak governance and fragile institutional framework in the territories and also to the presence and control of illegal armed groups in project areas	<p>*There is a security plan and protocol for dealing with extortion (Appendix 4: Security &amp; Safety Protocols).</p> <p>*Procedures guide and procedures manual for the value chain (Appendix 4: Security &amp; Safety Protocols).</p> <p>*Prior to entering the areas, analyze the context and security situation with different sources of information: civil and law enforcement authorities, organizations and think tanks, communities, and social and environmental leaders.</p> <p>*Cash handling protocol (minimize cash that project team carries in field).</p> <p>*Supplier banking and line item management through local partners.</p> <p>*Dissemination of Security and Safety protocols to different stakeholders and allies.</p> <p>*Training and capacity building for teams</p>	WWF Colombia  Patrimonio Natural
Project wide	Social	Kidnappings, illegal roadblocks and actions to control territory by illegal armed groups	<p>*Prior to entering project areas, analyze the context and security situation with different sources of information: Civilian and law enforcement authorities, foundations and think tanks, communities and social and environmental leaders.</p>	WWF Colombia  Patrimonio Natural

			<p>* Periodic territorial risk analysis.</p> <p>*Training of teams in prevention and management of kidnappings, illegal roadblocks, extortion.</p> <p>*Guidance on what to do in the event of illegal roadblocks or kidnappings (Appendix 4: Safety &amp; Security Protocols).</p> <p>*Coordination with the authorities in the area.</p> <p>*Coordination with community leaders and members of the community.</p> <p>*Tracking and monitoring in real time with satellite tracking equipment.</p> <p>*Maintaining awareness of all staff and consultant travel and the location of project teams on field visits to areas with high risk of kidnapping.</p> <p>* See section 6.1 Peacebuilding and Security risks below for more details on context and mitigation related to this risk</p>	
Project wide	Social	Antipersonnel mines, crossfire due to the presence and control of illegal armed groups in the zones and installation of antipersonnel mines and explosive devices as a control strategy in the territories and with the objective of keeping the public forces and communities away from the drug trafficking zones.	<p>*Prior to accessing project areas, monitor the situation of incidents with antipersonnel mines and explosive traps in the work areas.</p> <p>*Training in MRE (mine risk education) with the Office of the High Commissioner for Peace.</p> <p>*Training in public risk incident management.</p>	WWF Colombia  Patrimonio Natural

			<p>*Communication with the authority in the area on security and safety issues, including anti-personnel mines.</p> <p>*Communication with community leaders and members, on security and safety issues, including anti-personnel mines.</p> <p>*Identification of medical and emergency centers (ARL).</p> <p>*WWF Colombia has the support of aerial emergency evacuation. - GEOS.</p>	
Project wide	Social	<p>Gender-Based Violence (GBV) and sexual violence due to presence and control of illegal armed groups in the project areas</p> <p>Sexual violence within and outside the armed conflict and as a control strategy in the territories.</p>	<p>* See Section 9: Guidance for SEAH Risk Mitigation for more information on mitigation measures.</p> <p>*Real-time monitoring of the teams in the project areas</p> <p>*Triangulation of information with the communities and public authorities.</p> <p>*Continuous accompaniment of the teams entering project areas, by leaders and communities.</p> <p>*Tracking and monitoring in real time with satellite tracking equipment</p>	<p>WWF Colombia</p> <p>Patrimonio Natural</p>
Project wide	Social	<p>Community safety and confidence in the project is undermined by lack of awareness of project activities, project risks, and proposed mitigation measures</p>	<p>Adherence to the stakeholder engagement and disclosure requirements for the project.</p>	<p>WWF Colombia</p> <p>Patrimonio Natural</p>

Project wide	Social	Threat context is magnified by lack of community ownership and engagement	<p>*Project activities implement stakeholder engagement requirements in a manner that is free, prior, and informed.</p> <p>*Project adheres to FPIC for Indigenous Peoples and Afro-Colombian populations.</p>	<p>WWF Colombia</p> <p>Patrimonio Natural</p>
Project wide	Social	Project implementers are unaware of new developments related to the security context and gaps in proposed security measures	<p>*Adherence to project stakeholder engagement requirements</p> <p>*Adherence to project disclosure requirements</p> <p>*Implementation of effective Grievance Redress Mechanism(s) for project</p>	<p>WWF Colombia</p> <p>Patrimonio Natural</p>

**Example activities under Activity 3.1.3 and Activity 3.2.1**

- 3.1.3 Support the design and adoption of climate-responsive management measures for the targeted landscapes
- 3.2.1 Support rehabilitation 3,254 ha of degraded lands to increase ecological integrity of targeted landscapes and reduce protected areas encroachment

These activities include a range of eligible activities (see Table 5 below) that may result in adverse environmental and/or social impacts.

*Table 7 : Possible activities to be carried out by Ecohabitats Foundation (executing partner)*

Traditional garden with roof and drip irrigation (60 m2)
Rainwater harvest system in traditional orchard cover of 60 m2
Vertical garden
Reservoir (40,000 or 18,000 liters)
Composter infrastructure (6 x 5 m or 10 x 5 m)
Rainwater harvest for composter (6 x 5 m) to one water
Rainwater harvest for biofacturers (10 x 6 m)
Rosary type pump (20 meters deep)
Materials production of organic fertilizers
Organic fertilizer storage materials
Ferrocement tanks 40,000 liters
Community climate station
Zamoran tank
Electric fence insulation

These activities will be subcontracted to and carried out by Ecohabitats Foundation. Prior to the implementation of any activities, Ecohabitats Foundation will work with the Technical Lead and the Safeguards Specialist in the PMU to determine if there are any environmental and/or social risks, and if so, how they can be mitigated. Mitigation plans are required to be in place prior to the start of any of these activities.

## 6.1 Peacebuilding and Security risks

For a full assessment of the security risks and vulnerabilities, please see Appendix 3: Security Risk Analysis. What follows is a brief assessment in order to fully understand the mitigation measures outlined in this section, and discuss the Project's alignment with Colombia's peacebuilding work.

Regarding security risks, the country experiences a wide variety of threats and vulnerabilities linked with post conflict settings and peacebuilding. Therefore, the adoption of an environmental peacebuilding approach would set up mechanisms and tasks that would bring together the purposes of conservation and sustainable peace. As a field, environmental peacebuilding has been defined as “the multiple approaches and pathways by which the management of environmental issues is integrated in and can support conflict prevention, mitigation, resolution and recovery”<sup>8</sup>. Therefore, this approach looks at security issues under the assumption that healthier and safer environments improve social dynamics and reduces conflict; that sustainable livelihoods and economic opportunities are key to reduce the social and economic unrest and that there is a common interest in preserving key ecosystems and biodiversity, even in the context of political confrontation. Under this logic, the improvement of landscape resilience and protected areas management are two key elements to improve governance on territorial settings included on HeCo.

Regarding the specific linkage between peacebuilding and protected Areas. WWF Colombia has previously established a conflict sensitivity framework for protected areas. This approach follows the hypothesis that protected areas can support peaceful and inclusive societies by helping to maintain environmental stability, providing a framework for good governance and human security. Moreover “Climate change and environmental degradation has meanwhile been increasingly recognized as a security threat not only for humans but for life on earth more broadly. Nonetheless, there has been very little progress in bringing these elements together, and environmental issues, and to a lesser degree gender, remain at the sidelines of peacebuilding efforts.”<sup>9</sup> Mid- and long-term initiatives such as HeCo, have the potential and the possibility to integrate gender responsiveness and peacebuilding efforts in key issues regarding climate resilience, aiming to generate comprehensive solutions from a sustainable development perspective.

In of Colombian conflict, environmental and civil organizations have played a key role as mediators of conflict; In particular “For more than 10 years, WWF Colombia, and the area of ‘Land and Governance’ has been working in partnership with Parques Nacionales de Colombia, the Colombian protected area authority, primarily in the designation of new protected areas (PA), to increase the effectiveness of protected area management, the design and implementation of financial mechanisms, the technical training of park guards and the introduction of innovative systems to improve social and institutional governance in the various protected areas, particularly in the Pacific region, the Andes, the Amazon rainforest and the Orinoco Savannah”<sup>10</sup>. Hence, civil society organizations and NGO’s have a long history of work in conflict areas, enhancing environmental governance, protected areas effectiveness and ecosystem resilience. They have received recognition and acknowledgment from local communities and authorities due to this work.

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<sup>8</sup> Tobias Ide et al., ‘The Past and Future(s) of Environmental Peacebuilding’, *International Affairs* 97, no. 1 (January 2021): 1–16, doi:10.1093/ia/iaa177.

<sup>9</sup> Myrtilinen, H., & Lopez Castañeda, D. (2022). “9: Perils of Peacebuilding: Gender-Blindness, Climate Change and Ceasefire Capitalism in Colombia and Myanmar”. In *Feminist Conversations on Peace*. Bristol, UK: Bristol University Press.

<sup>10</sup> Morales M,H (2021) Structuring a Measuring the contribution of WWF’s Colombia work on Peacebuilding” Working paper WWF. 15.07.2021, Berlin

## Current peace and security context

Colombia is currently going through a period of political, social and economic change as a result of the presidential election of Gustavo Petro, a candidate from a center-left alliance, who assumed his presidency on August the 7<sup>th</sup> of 2022. His political programme has included the commitment to integrate a **Human Security** approach at the core of his public policies and governmental efforts. According to United Nations the Human Security aims to protect fundamental freedoms. By adopting such perspective the objective of security goes beyond the absence of violence; hence this concept refers to the guarantee of human rights, good governance, access to education, healthcare, equality in options and opportunities to seek one's wellbeing and own potential. Therefore, each effort under this paradigm aims to reduce poverty, achieve sustainable economic growth and prevent future conflicts. Human security refers to freedom from fear (conflicts, violence crime), freedom from want (poverty, diseases, environmental degradation) and freedom for indignity (discrimination, exclusion). This political shift is relevant for the present proposal because, on the one hand it links strategic areas included in the Sustainable Development Goals agenda, and on the other hand reaffirms the commitments to implement the Colombian Peace Agreement, including its gender and environmental responsive actions. In summary, the current political agenda greatly reaffirms the possibilities to implement environmental peacebuilding initiatives. The new government faces several challenges regarding territorial peace and the allocation of the institutional resources to implement it; currently there is a transition period when national and decentralized institutions are adapting and adopting the mandates of the new government, which will present a National development plan after a series of regional dialogues.

The peace agreement signed in 2016 marked a milestone in the efforts to end the conflict and promote sustainable peace. The agreement was the result of a long negotiation between the government and the oldest Guerrilla Revolutionary Army Colombian Forces - Fuerzas Armadas Revolucionarias de Colombia –ejercito Popular FARC- EP. The agreement is composed of five pillars and one procedural point; these pillars are:

1. Toward a New Colombian Countryside: Comprehensive Rural Reform
2. Political participation
3. The end of the Conflict
4. Solution to the Problem of Illicit Drugs
5. Agreement regarding the victims of the conflict.

Regarding environmental and conservational issues, points 1 and 4 of the agreement are linked with a variety of actions and purposes connected with HeCo. For instance, the Comprehensive Rural Reform includes actions such as the regulation of the procedure for land access and formalization, to offer territorial assets to landless rural inhabitants (and formerly internally displaced population) and formalize rural tenure. This pillar includes the debate about the need for a better and fairer distribution of land and the definition of the agricultural frontier. In addition, a Multipurpose Cadastre public policy has been established "Among its objectives, (it) intends to

create a comprehensive, complete, updated, reliable, and consistent cadastre (a register of property showing the extent, value, and ownership of land for taxation) with the property and real estate registry to describe the ownership, use, and function of the land”<sup>11</sup>. The latest is a key element due to the current informational gap regarding patterns of legal tenure, property and usage especially in recently deforested areas or those buffer zones surrounding protected areas. According to the Departamento Nacional de Planeación (DNP), as of June 2022, the country has a cadastral update of 40.31% of the territory<sup>12</sup>, however, the rural area is the one that presents the greatest gaps in clear and updated information compared to land tenure and legal status, which is why in the landscapes prioritized for the project there is no information on the tenure situation.

Although available information is fragmented and outdated, the advancement in the implementation of the cadastre show that Colombia has 52.7% informality in land tenure, according to the report of the [Unidad de Planificación Rural Agropecuaria del Ministerio de Agricultura](#)<sup>13</sup> (UPRA) of 2019. This also indicates that both registry and cadastral information for 20 municipalities and departmental jurisdictions is deficient and are classified as 'Without Information'. Of 2.6 million informal properties estimated in Colombia, the Agencia Nacional de Tierras (ANT) has advanced in the formalization of 1%, according to information given by the entity in the Transition Report between the incoming and outgoing National Governments of 2022<sup>14</sup>.

In fact, one of the current challenges of the Colombian State is precisely the design and implementation of the multipurpose Cadastre and an information system that provides data on the legal status of the land, its geographical characteristics, the condition of its occupants and statistics, such as is mentioned in the Report on the Progress Status of the Implementation of the Land Access and Rural Land Use Strategies Contemplated in the Peace Agreement<sup>15</sup> published by the Attorney General's Office and in the Eleventh Verification Report on the Implementation of the Final Peace Agreement in Colombia prepared by the Technical Secretariat of the International Verification Component<sup>16</sup> (STCVI). This lack of information and high informality in land ownership, together with the lack of access to land, are one of the main problems that the country has, generating conflicts at different level and scale.

For the specific actions proposed for the GCF, it is worth noting that for the processes of declaration and expansion of protected areas there is a procedure for ecological, social and

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<sup>11</sup> Peace Accords Matrix, Kroc Institute for International Peace Studies. Five Years of Peace Agreement Implementation in Colombia: Achievements, Challenges, and Opportunities to Increase Implementation Levels, December 2016 - October 2021. Notre Dame, IN and Bogotá, Colombia: Peace Accords Matrix/Kroc Institute for International Peace Studies/Keough School of Global Affairs, 2021. <https://doi.org/10.7274/0c483j3602>, page 9.

<sup>12</sup> Comunicado de prensa del DPN “Consolidación de las bases para la implementación del Catastro Multipropósito y el SAT, entre los logros del DNP en el cuatrienio”: <https://catastromultiproposito.dnp.gov.co/noticias/Paginas/Consolidacion-de-las-bases-para-la-implementacion-del-Catastro-Multiproposito-y-el-SAT-entre-los-logros-del-DNP.aspx>

<sup>13</sup> Informalidad en la Tenencia de la Tierra en Colombia 2019:

[https://www.upra.gov.co/documents/10184/104284/01\\_informalidad\\_tenencias\\_tierras](https://www.upra.gov.co/documents/10184/104284/01_informalidad_tenencias_tierras)

<sup>14</sup> Informe de Empalme entre Gobiernos Nacionales, Agencia Nacional de Tierras: <https://datalogo.dnp.gov.co/#informe-empalme>

<sup>15</sup> Informe sobre el Estado de Avance de la Implementación de las Estrategias de Acceso a Tierras y Uso del Suelo Rural Contempladas en el Acuerdo de Paz: [https://www.procuraduria.gov.co/portal/media/file/Informe\\_sobre\\_Acceso\\_y\\_Uso\\_de\\_la\\_Tierra\\_Def\\_07\\_01\\_2021.pdf](https://www.procuraduria.gov.co/portal/media/file/Informe_sobre_Acceso_y_Uso_de_la_Tierra_Def_07_01_2021.pdf)

<sup>16</sup> Undécimo informe de verificación de la implementación del Acuerdo Final de Paz en Colombia: <https://www.cinep.org.co/es/undecimo-informe-de-verificacion-de-la-implementacion-del-acuerdo-final-de-paz-en-colombia/>

economic analyzes regulated by Resolution 1125 of 2015, which includes the generation of information, the agreement of the category with stakeholders, the regime of the protected area uses and the governance scheme.

For example, for the expansion process of the PNN SNSM, work is being done jointly with the ethnic and traditional authority (accompanied by the prior consultation office of the Ministry of the Interior) in the territory of the indigenous reservation. In this case, there is clarity regarding the use, occupation and ownership of the land where the expansion is planned. For San Lucas, the property information used comes from the ANT, the Mining Agency, the governorates and mayoralty, and the Agustin Codazzi Geographical Institute (IGAC). This entire process has been carried out jointly with peasant and social organizations in the region and includes field verification visits.

Regarding land use, all restoration and rehabilitation actions will be based on property planning exercises that consider the zoning of environmental determinants. This work has always been done in conjunction with the communities and competent authorities. Likewise, the measures contemplated in output 3.2 are framed within the guidelines of the National Restoration Plan, which is a guideline of the Ministry of Environment and Sustainable Development. Additionally, the proposal includes the strengthening of conservation agreements with peasant families in order to advance the rights of use in Reserve Zones indicated by Law 2 of 1959.

Another important point previously mentioned is the definition, creation and implementation of the Development Programs with a Territorial Focus (PDETs) and signing of the Action Plans for Territorial Transformation (PATRs). Each PDET was built throughout a multilevel, multiscale participatory process “designed to rebuild legitimacy and trust in the Colombian state within the 16 territories most affected by the armed conflict. To this end, 16 PATRs were signed, with more than 200,000 Colombians from 11,000 ethnic and campesino communities in the 170 PDET municipalities participating in these plans’ development. The action plans are comprised of 32,808 “PDET initiatives” representing actions and projects identified by the communities to transform their living standards. Each plan is structured around eight pillars and contains municipal and subregional PDET initiatives”<sup>17</sup>. As was outlined earlier in the ESMF (see Section 3. Project Area Profiles for each mosaic), some of the PDETs and PATRs share the objectives with HeCo activities and could benefit from their implementation. As of now, there is a limited implementation of those shared objectives.

With regards to pillar 4 “solution to the problem of illicit drugs” the main milestones linked with the environmental and conservation matters are:

- “Creation of the National Comprehensive Program for the Substitution of Crops Used for Illicit Purposes (PNIS): The national government issued Decree 896 of 2017, which established the legal framework to initiate a process that involves around 100,000 families and 50,000 hectares of coca

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<sup>17</sup> Krock Institute (2021) page 10

- Prevalence of voluntary substitution of crops used for illicit purposes over forced eradication: Through Order 387 of 2019, a judicial decision with a significant degree of public and scientific deliberation, the Constitutional Court established that there is a constitutional hierarchy between the various eradication mechanisms for crops used for illicit purposes: voluntary substitution takes precedence, and forced eradication is only appropriate when the former fails.”<sup>18</sup>

These two measures restrict the aerial aspersion of chemical herbicides used to control and eradicate coca plantations, which heavily affects environmental settings and communities.

### Security issues and mitigation strategies in Mosaics

A series of security risks that may affect project implementation and performance have been identified using a risk analysis that assess probabilities, impacts and mitigation strategies. The following tables present the main security issues in the most problematic mosaics, including: Caribbean, San Lucas and Heart of Amazon. Orinoquia Transition and the Andean Zone present lower levels of conflict and most of the security threats are related with delinquency and informal actors.

<b>Landscape</b>	<b>Caribbean</b>
PDET Subregion	Sub Región PDET de La Sierra Nevada- Perijá y Zona Bananera

Security issues	Risk assessment	Mitigation and Control Strategies
Due to its geostrategic location Sierra Nevada de Santa Marta has been a key corridor for illegal activities carried out by armed groups since the 1970's. After the demobilization of paramilitary groups (2003-2006) and guerrillas (2012-2016) armed fractions have regrouped under different flags. Currently their area of influence covers touristic areas (parque Tayrona) and the buffer zone of the PNN Sierra Nevada. Indigenous leaders have denounced the advancement and require urgent actions to stop a series of symbolic attacks (such as hunt-treasure of archeological	<ul style="list-style-type: none"> <li>- Presence of illegal armed actors that perform control actions</li> <li>- Territorial disputes between such armed actors</li> <li>- Reconfiguration of violence patterns</li> <li>- Specific threats against indigenous communities, their leader and environmental leaders.</li> </ul>	<p>The new government has launched its emergency policy named “paz total (total peace) aiming to create a negotiation policy for demobilization of criminal actors, facilitating their submission to justice</p> <p>The expansion activities of the PNN Sierra Nevada de Santa Marta will be coordinated with the National Natural Parks of Colombia through the Caribbean Territorial Directorate and the security and public risk office of this entity.</p> <ul style="list-style-type: none"> <li>• The activities that the project will carry out in the Sierra Nevada-Besotes-Perijá corridor will also be coordinated with the civil and environmental authorities of the area to guarantee their articulation with the development of the PDET and guarantee minimizing the security risk in the area.</li> </ul>

<sup>18</sup> Krock institute (2021) p 13.

burials, destruction of sacred places) and deforestation.		<p>In addition, the following risk mitigation measures will be taken:</p> <p>Conflict analysis of the security context and landscape with different sources of information: civil authorities and law enforcement, international organizations, communities, social and environmental leaders. If the analysis finds the risk too high for a certain activity within a given timeframe, the activity will not proceed until it is determined to be safe to start/resume.</p>
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<b>Landscape</b>	<b>San Lucas</b>
PDET Subregion	Sub Región PDET Sur de Bolivar / Bajo Cauca Antioqueño

Security issues	Risk assessment	Mitigation and Control Strategies
<p>Serrania San Lucas is insolated mountain formation between the Andean Cordillera and the Caribbean Savannas. The intersection of this territories has been disputed by different armed groups for decades, mainly due to its peripheral location far from urban centers and military stations, as well as the limited institutional presence. Illegal armed actors control coca production and illegal mining.</p> <p>Local communities have developed adaptation and resilience strategies to resist the presence and control, while demanding more attention and the rule of law. Nevertheless, civil population is under constant threat, that affects them, their livelihoods and water sources.</p>	<ul style="list-style-type: none"> <li>- Presence of illegal armed actors that perform control actions</li> <li>- Territorial disputes between such armed actors</li> <li>- Reconfiguration of violence patterns</li> <li>- Specific threats against community and environmental leaders.</li> <li>-Restrictions to mobility</li> <li>- Anti-personnel mines.</li> </ul>	<p>The new government has launched its emergency policy named “paz total (total peace) aiming to create a negotiation policy for demobilization of criminal actors, facilitating their submission to justice. So far some of the illegal actors in the are</p> <p>The activities that will take place in the San Lucas mountain range will be led by National Natural Parks within the framework of the social dialogue route that will be carried out for the declaration as a protected area. In this sense, it will be sought that all the activities that are implemented in the area are coordinated with the civil, police and environmental authorities in the area. In addition, the following risk mitigation measures will be taken:</p> <p>Conflict analysis of the security context and landscape with different sources of information: civil authorities and law enforcement, international organizations, communities, social</p>

		and environmental leaders. If the analysis finds the risk too high for a certain activity within a given timeframe, the activity will not proceed until it is determined to be safe to start/resume.
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<b>Landscape</b>	<b>Heart of Amazon</b>
PDET Subregion	Sub región PDET Macarena- Guaviare

Security issues	Risk assessment	Mitigation and Control Strategies
<p>Departments of Meta and Guaviare were historically controlled by guerrillas, due to the lack of state presence. For decades guerrillas patrolled and controlled larger sections of the Amazonia region. After the peace process and the demobilization of the FARC, the number of criminal acts against the civil population greatly reduced, but new power emerged with the interest of expanding the colonization and the control of the territories.</p> <p>Two contextual factors exacerbate the conflict, the inequality that allows all actors to recruit new members relatively easy, and the income coming from drug trafficking and other illegal activities, which is directly related to the current dynamics of territorial disputes, environmental degradation, as well as, land access and use<sup>19</sup></p>	<ul style="list-style-type: none"> <li>- Presence of illegal armed actors that perform control actions</li> <li>- Territorial disputes between such armed actors</li> <li>- Restrictions to mobility</li> <li>- Specific threats against community and environmental leaders.</li> <li>- Anti-personnel mines.</li> </ul>	<p>The new government has launched its emergency policy named “paz total (total peace) aiming to create a negotiation policy for demobilization of criminal actors, facilitating their submission to justice. So far some of the illegal actors in the area are involved in this process.</p> <p>The activities that will be carried out in this landscape will be coordinated with the territorial and environmental authorities, especially with National Natural Parks, the regional autonomous corporation -CDA and the Government of Guaviare in order to minimize existing security risks, as well as to contribute to the implementation of the regional priorities established in this PDET.</p> <p>In addition, the following risk mitigation measures will be taken:</p> <p>Conflict analysis of the security context and landscape with different sources of information: civil authorities and law enforcement, international organizations, communities, social and environmental leaders. If the</p>

<sup>19</sup> Sabine Kurtenbach, ‘Estudios Para El Análisis de Conflictos de Carácter Nacional Colombia’, 2004, <https://library.fes.de/pdf-files/iez/02955.pdf>.

<p>Local communities have developed adaptation and resilience strategies and often get aligned with armed actor since they hold the power, to the point where the illegal armies have developed infrastructure to guarantee access and circulation in the areas.</p> <p>Land grabbing, deforestation and illegal mining are economic activities carried out in protected areas and buffer zones, due to the lack of territorial control by the state.</p>		<p>analysis finds the risk too high for a certain activity within a given timeframe, the activity will not proceed until it is determined to be safe to start/resume.</p>
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### General security issues and mitigation strategies

Due to the territorial disputes to control territories and populations, illegal armed actors may misinterpret the scope of the project, suspecting that the intervention may touch sensitive interests in the territory, such as conducting criminal investigations. Hence, illegal actor may target not only project personal but community, environmental and social leaders as well as institutional partners. To mitigate this risk, the project will take the following actions:

- High dissemination of the scope and purpose of the project through a communication strategy that actively involves the media.
- Analysis and understanding of the security context considering different sources of information: civil and law enforcement authorities, international organizations, think tanks, communities, social and environmental leaders.
- Preparation and Implementation of Protocols for the prevention and management of security incidents and public risk (see Annex 4: Security and Protection Protocols).
- Training of the different interest groups in Human Rights, Security and Public Risk. (Staff and consultants, communities, allies and community organizations, public officials).
- Support contacts with civil authorities and the public force.
- Support contacts with leaders and communities in the territory.
- A private security company that meets Human Rights standards will be hired.
- There will be technological security tools (satellite device - real-time information.)

Another identified risk is related to the territorial overlap of intervention areas with areas of illicit crops where illegal groups perceive that there is interference with their illicit activities; then violence could be redirected towards the communities impacted by the project (consider the risks prevalent in a conflict or post-conflict context and the dynamics of recent or anticipated migration (eg displacement of people).

- Close dialogue and communication with the institutions and leaders that intervene in the territory to have "early warnings" and thus follow the guidelines issued by the regional and national government, in the event of a public order situation unrelated to the project.

Another set of risks are related with restriction of mobility by illegal armed groups and presence of antipersonnel mines and armed actions. Such risk may restrict the mobility of local communities and the project's technical team in the implementation areas. This risk is moderate in the Amazonian mosaic and minor in San Lucas and the Caribbean. The risk mitigation actions are as follows:

Assessing the project areas, analyze the context and the security situation with different sources of information: civil and police authorities, local organizations and think tanks, communities, and social and environmental leaders.

- Activate the security protocol for field trips (Annex 4: Security and Protection Protocols).
- Follow-up and monitoring of the groups that are in the field.
- Policies and insurance for staff and consultants of the Project.
- Creation of a security committee in charge of updating the security and risk protocols, including the review of the context. In this committee it is necessary, in addition to security specialists, the participation of the local contact defined by the local partner organizations or local government.
- Execution alternatives must be defined for those activities that can eventually be carried out outside the implementation areas, such as training, exchange of experiences, forums, etc. It will be necessary to carry out effective communication actions.

Finally, there are some associated risks related with the operational management of peace resources which have seen matter of corruption and illegal appropriation. The resources managed through the OCAD-Paz<sup>20</sup> are totally independent from the environmental allocation resources, under which the GCF proposal is framed. Entities must present their investment projects to the OCAD PAZ when any of their sources of financing are resources from the Fondo Asignación para la Paz or surpluses from territorial pension savings (FONPET). In other words, there are two independent budgets: 1. Allocation for Peace, FONPET surplus, and 2. Environmental allocation. In this sense, we do not consider a risk of corruption as they are different resources.

On the other hand, local actors know how to differentiate it because royalty resources are managed directly by public entities, which are regulated by control offices such as the Comptroller's Office and the Attorney General's Office. However, these two types of resources may eventually be complementary in a financial sustainability strategy. In this case, they can become an opportunity to develop actions that benefit the populations in the PDET areas. **It should be noted that the municipalities where corruption situations associated with**

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<sup>20</sup> 2012 reform created "Collegial Administrative Bodies" (Órganos Colegiados de Administración, OCAD) to administer royalties collected from oil and mining companies, which make up very roughly five percent of central government income, a figure that varies with commodity prices. OCAD-Paz channeled some royalty funds into meeting these rural reform commitments.

**OCAD Paz have occurred do not coincide with the municipalities prioritized in the proposal.**

#### Participation and engagement strategies for peace-building institutional framework

As part of the stakeholder engagement plan and in coordination with the national and regional institutions in charge of implementing the Peace Agreement, the project will establish dialogues with the peacebuilding architecture. In this sense, the project will maintain specific dialogues with the National Land Agency, the Agency for Territorial Renewal, as well as with the Presidential Council for Peace and Reconciliation to receive guidance and recommendations, to better harmonize project activities with the national objectives and goals on peacebuilding. These entities may be invited to the project board to involve them in a direct way in the execution of the project.

At the territorial level, the project will seek to complement and contribute to the activities developed by the PDTES at the territorial level as described in Annex 7 of the proposal. This process of territorial involvement will be done through the implementing institutions such as the Regional Autonomous Corporations -CARS- and the Territorial Entities who also participate in the PDTES implementation committees in each territory and can guide the project's actions in this area.

At the level of each landscape, there will be a technical committee to which institutions involved in the implementation of the Peace Agreement at the territorial level may also be invited to ensure their articulation with the project's actions; all relevant stakeholders such as indigenous communities, women's organizations, afro descendant organizations and rural (campesinos) associations would be invited to these spaces.

### 6.3 COVID Risks and Mitigation Measures:

While risks to community health and safety remain present due to COVID-19, the Project will determine guidelines in line with national regulations and WWF's COVID-19 field work guidelines to ensure the health and safety of project stakeholders.

## 7. Procedures for the Identification and Management of Environmental and Social Impacts

The following is an exclusion list of activities that will not be financed by the GCF HECO project. This includes activities that:

1. Lead to land management practices that cause degradation (biological or physical) of the soil and water. Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.
2. Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species.

3. Significantly increase GHG emissions.
4. Use genetically modified organisms or modern biotechnologies or their products.
5. Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization.
6. Develop forest plantations.
7. Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species.
8. Involve the procurement or use of weapons and munitions or fund military activities.
9. Lead to private land acquisition and/or physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people.
10. Contribute to exacerbating any inequality or gender gap that may exist.
11. Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation.<sup>21</sup>
12. Adversely affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area.
13. Negatively impact areas with cultural, historical or transcendent values for individuals and communities?

Annually during the drafting of the Annual Work Plan and Budget, and in advance of the initiation of any project activity that has not been screened during the AWPB process, the Technical Leads should fill in detailed information regarding the nature of the activity/ies and its specific location in the *Safeguards Eligibility and Impacts Screening* form (Annex 2), soliciting the necessary information from the executing partners. In the case of the HECO project, “project activity” will mean that each project Output should be screened for every landscape mosaic. This means that all activities under a given output will be considered together in the same screening, but they must be considered within the context of one of the five landscape mosaics. Because this project will work in five distinct landscape mosaics with very different stakeholders and different risks and social contexts, it is necessary to screen the landscapes individually, even though the Outputs are applicable to the entire scope of project activities.

Part 1 of this form comprises basic information regarding the activity/ies; Part 2 contains basic “pre-screening” questions. If the response to any of the questions in these two parts is “Yes”,

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<sup>21</sup> Note that not all forms of child work may be prohibited. In many cultural contexts, children work alongside their parents part time to learn skills they will need as adults. According to the UN, child labor is a form of exploitation that is a violation of a human right and it is recognized and defined by international instruments, specifically ILO Convention 138 (Minimum Age Convention) and 182 (Worst Form of Child Labor Convention).

the activity/ies will be deemed ineligible for funding under HECO. The executing partners will thus be required to change the nature or location of the proposed activity/ies so that it complies with all safeguards requirements and all responses at the *Safeguards Eligibility and Impacts Screening* form are negative.

If the activity/ies is deemed eligible according to Part 2, an environmental and social screening procedure will be carried out in accordance with Part 3 of *Safeguard Eligibility and Impacts Screening* format, which is based on the WWF's SIPP and applicable Government of Colombia laws and regulations. The executing partners shall respond to the specific questions in Part 3 of the form. The ESS Specialist shall provide general conclusions regarding the main environmental and social impacts of each proposed activity, outline the required permits or clearances, and specify whether any additional assessments or safeguard documents (e.g., ESMP) should be prepared.

The screening of each landscape-specific Output should be undertaken by the Technical Lead, with the support of the ESS Specialist. If the screening reveals adverse environmental or social impacts that may arise from the planned activity, there are two possible next steps. In the first case, the risks are deemed to pose too great a risk based on consultations with national and local government, communities, security partners, the Technical lead, the ESS Specialist and/or executing partners. In this case, the output will be delayed until such a time as the risk is deemed manageable by the same body who assessed it in the first place. This will be re-assessed every six months until the risk is deemed manageable or the project term ends.

In the event the risks have clear mitigation measures that are well-understood, manageable agreed upon by the ESS Specialist, Technical Lead, Executing partners, and the Security Advisor, the next step is the preparation of an ESMP (or other safeguards management plan). The ESMP (or other safeguards management plan) should be prepared by the ESS Specialist, in collaboration with the TL and technical committees. The ESMP (or other safeguards management plan) should be completed by the executing partners prior to the start of activities.

Following the creation of the ESMP or other relevant safeguards management plan, the plan(s) must be reviewed and cleared by the ESS Specialist within the WWF GCF AE. No funding will be disbursed for project activities prior to the clearance of such activities by the ESS Specialist and the WWF GCF AE. Once this clearance has been given, the relevant safeguard management plan(s) must be disclosed for a 30-day period in both English and Spanish on the WWF US GCF and EEs websites. In the cases of those landscapes where indigenous peoples are located, the documents must also be disclosed for 45 days locally, in a language and manner suitable to those communities.

Once approval has been given by the WWF GCF AE and documents have been disclosed for the appropriate times and in the appropriate ways, ESMP or other Safeguards Plan(s) implementation should begin, with any necessary changes or additions to project activities reflected in the AWPB. Monitoring of the implementation of these ESS plans will be conducted in the same manner as outlined in Section 12. Monitoring of this ESMF.

## 8. Guidelines for ESMP Development

In case that the Environmental and Social screening process identifies any adverse environmental or social impacts as a result of specific project activities, the ESS Specialist in collaboration with the TLs and executing partners should develop a site- and activity-specific ESMP. As detailed above, project outputs will be screened for each landscape mosaic, and there will therefore be several potential activities to address within each of the landscape ESMPs. The ESMP should be prepared before the initiation of the project activity and closely follow the guidance provided in this ESMF.

The ESMP should describe adverse environmental and social impacts that are expected to occur as a result of the specific project activity, outline concrete measures that should be undertaken to avoid or mitigate these impacts, and specify the implementation arrangements for administering these measures (including institutional structures, roles, communication, consultations, and reporting procedures).

The structure of the ESMP should be as follows:

**(i) A concise introduction:** explaining the context and objectives of the ESMP, the connection of the proposed activity to the project, and the findings of the screening process.

**(ii) Project description:** Objective and description of activities, nature and scope of the project.

**(iii) Baseline environmental and social data:** Key environmental information or measurements such as topography, land use and water uses, soil types, flow of water, and water quality/pollution; and data on socioeconomic conditions of the local population. Photos showing the existing conditions of the project sites should also be included.

**(iv) Expected impacts and mitigation measures:** Description of specific environmental and social impacts of the activity and corresponding mitigation measures. In cases of SEAH risks, this section should also integrate guidance from the GBV and SEAH Guidance Note. In case of restrictions of access to livelihoods, this section should also integrate measures that are prescribed by the Process Framework and as applicable, the Indigenous Peoples Planning Framework .

**(v) ESMP implementation arrangements:** Responsibilities for design, bidding and contracts where relevant, monitoring, reporting, recording and auditing.

**(vi) Capacity Need and Budget:** Capacity needed for the implementation of the ESMP and cost estimates for implementation of the ESMP.

**(vii) Consultation and Disclosure Mechanisms:** Timeline and format of disclosure.

**(viii) Monitoring:** Environmental and social compliance monitoring with responsibilities.

**(ix) Grievance Mechanism:** Provide information about the grievance mechanism, including information on how it addresses SEAH-specific complaints, how PAPs can access it, and the grievance redress process.

**(x) A site-specific community and stakeholder engagement plan:** In order to ensure that local communities and other relevant stakeholders are fully involved in the implementation of the ESMP, a stakeholder engagement plan should be included in the ESMP.

## 9. Guidance for SEAH Risk Mitigation

According to the results of the screening provided in Annex 2 of this ESMF, a detailed plan to address SEAH risks will be developed within the first six months of project start-up, using both information already included in the GAP and updated procedures for SEAH-specific grievances outlined in Section 14 below. This will include:

- Inclusion of any identified SEAH-related risk mitigation measures into the project's annual workplan and budget and annual reporting requirements.
  - a. This will require the participation of the entire PMU in reviewing any identified risks and mitigation measures to ensure that all staff understand their responsibilities and the responsibilities of EEs, project partners, contractors, and any other entities who will receive GCF funding for this project.
- Development of a communication mechanism between the local project partners and the PMU's Gender and SEAH Specialist in order to address in a timely manner any SEAH situation that may arise at the territorial level. This early warning system will be included in the project's security protocol, and will require:
  - a. Reporting any such grievances or challenges within a defined time period of no less than 5 business days. This shall hold true even if grievances are informally submitted (i.e. not through an official GRM)
  - b. The confidentiality of anyone who has received a complaint or become aware of a SEAH-related situation, including protecting the personal identifiable information of all parties- both the potential victim(s) and potential perpetrators(s).
- Strengthen the capacities of the project's implementing partners on prevention of GBV and SEAH as well as WWF policies and codes of conduct to address SEAH risk. These trainings will be done in partnership by the project's Gender & SEAH and ESS Specialists and should include:
  - a. Training within the first 3 months of project implementation that have been prepared with oversight and final approval from the WWF GCF AE Safeguards and Gender Leads.
  - b. Be mandatory for all implementing partner staff who will be involved in the GCF-financed activities.
- Strengthen the landscape technical committees so that they can establish rapid response mechanisms to address issues associated with threats to environmental leaders and gender-based violence. This includes, but is not limited to:
  - a. In cases of such threats, provide them with additional resources to ensure a timely response that is focused on the well-being of anyone who is threatened.
  - b. Provide the same GBV and SEAH training to these committees that the implementing partners will receive.
- Strengthen the capacities of the entities that participate in the multi-stakeholder bodies that will be strengthened by the project, especially in the SIRAPS and NRCC, so that specific prevention and rapid response measures are included to address GBV and SEAH-specific threats, including to social and environmental leaders they may work with.

- a. Provide the same GBV and SEAH training to these multi-stakeholder bodies that the implementing partners will receive.

## 10. Indigenous Peoples Planning Framework

### **Introduction**

The Indigenous and Afro-descendant project beneficiary populations total 23,879, which is equivalent to approximately 7.75% of the total beneficiary population of the Project and located mainly in the Caribbean region, an area inhabited by 4 indigenous communities and 2 Black community councils (refer to Annex 7 for more details). The participation and engagement strategy with indigenous peoples and black communities will be developed in accordance with national and international standards regarding free, prior and informed consent (FPIC) and prior consultation, as will the application of social and environmental safeguards. For a complete list of relevant Colombian government and WWF laws and policies, please refer to Section 4. Environmental and Social Policies, Regulations, and Guidelines of this ESMF.

If FPIC is found to be necessary during the activity-level ESS Screening, the Prior Consultation process established in national legislation described in Annex 7 of the Funding Proposal will be carried out. In addition to executing the process established by the government to comply with the national FPIC requirements, the Project will also need to obtain the consent of indigenous peoples and afro-descendant communities for activities that could potentially affect them in order to adhere to WWF's requirements in the Standard on Indigenous Peoples. In the event that the Project requires the consent of an indigenous community, the project team will review the statutes of said community to ensure that the FPIC process as detailed in the Indigenous Peoples Plan that will be created with the community is aligned with the decision-making processes of each community, according to its particular context.

### **Description of Indigenous Peoples and Afro-Descendant Communities in Project Areas**

Indigenous and Afro-descendant populations who will benefit from the project are located in the Caribbean landscape and in the San Lucas mosaic. In what follows, the groups in the Caribbean landscape are described. However, as mentioned in Section 3. Project Area Profile for the San Lucas mosaic, though it is possible to find indigenous Senú and Embara peoples and the Afro-Colombian Community Councils of Guamoco, Palmachica - La Ahuyama and Caribona in the San Lucas mosaic, these have only been recently recognized in the joint work with National Parks and little is known about their demographics and livelihoods. More information about these communities will be gathered during project implementation as part of the Project's stakeholder engagement and activity-level ESS Screening (Appendix 2).

Table 8 : Description of Indigenous Peoples and Afro-Descendant Communities in Project Areas

Ethnic group	Geographic Location	Sociodemographic Characteristics	Vulnerability aspects
<b>Indigenous peoples</b>			
<b>Indigenous peoples from Sierra Nevada de Santa Marta – New area declaratory</b>	<p>The Kogui, Malayo and Arhuaco indigenous reserve is a collective territorial management area, represented by its traditional authorities in the territory. Its political representation is the Tayrona indigenous confederation (CIT) and the Territorial Council of Indigenous leaders of the Sierra Nevada de Santa Marta (CTC).</p> <p>The indigenous peoples who inhabit La Sierra Nevada de Santa Marta (Caribbean landscape) are Arhuacos (ijaka), Kogui (Kaggaba), Wiwa (Arzario), Kankuamo.</p>	<p>These indigenous groups inhabit mainly in Guajira, Magdalena, and César departments. In the end of XIX century, the colonization and religious missions with regards to their social and cultural dynamics.</p> <p>In relation to their social and cultural structures, each indigenous group have their own indigenous traditional authorities, generally called “Mamos” who are maximum authorities because they are experts in their culture and transmitters of the “Origin Law” (Spanish “Ley de Origen”) or their own customary law.</p> <p>Colombian authorities fall on: Cabildos, governors, commissioners.</p> <p>The main economic activities of these indigenous peoples are sowing plantain, potato, arracacha, taro, coffee and fruits like pineapple. Likewise, the raising of corral animals, small livestock and pigs plays an important role in the economy of indigenous peoples. Coffee is used as a cash crop. The sale of domestic animals, livestock and handicrafts as well as wage jobs occupy an important line of the economy. The exchange is also essential for the local economy.</p> <p>Their settlement pattern is characterized by dispersed productive units known as farms. Each farm is operated by a domestic unit formed by a</p>	<p>Recently, these indigenous peoples have been affected by the increase of illegal crops (Marijuana). As a corollary, there has been a large degree of social decay and violence in the region by the settlement of settler hacienda (non-indigenous) and illegal armed groups (guerrillas).</p> <p>Indigenous peoples from La Sierra Nevada de Santa Marta in recent years have promoted the integral management of the territory of La Sierra Nevada based on the cultural conception of indigenous peoples. This process has resulted in the issuance of Decree 1500 of 2018, which redefines the ancestral territory of the Kogui, Arhuaco, Wiwa and Kankuamo peoples. It has expressed in the system of sacred spaces of “the Black Line” of protection, spiritual, cultural, environmental value in accordance with the principles of the law of origin.</p>

		family.	
<b>Kankuamo resguardo in Río Seco corregimiento, Valledupar rural area.</b>	Kankuamo <i>resguardo</i> is an indigenous collective reserve which is located in the corregimiento Río Seco in the corridor Sierra Nevada-Besotes Perijá. The Kankuamo indigenous people are part of the indigenous peoples located in La Sierra Nevada de Santa Marta. Kankuamo inhabits the lower part of La Sierra Nevada de Santa Marta on the foothills or valley of rivers Guatapurí and Badillo.	The socioeconomic conditions of the Kankuamo population are similar to the average indigenous peoples in La Sierra Nevada. The Kankuamo population has undergone a process of miscegenation and acculturation. However, they preserve their traditional authorities of a cultural character through the figure of “Mamos” and politically they are represented by Kankuamo Indigenous organization-OIK.	The Kankuamo indigenous people have been impacted in previous years by the violence caused from the armed guerrilla and paramilitary groups, which led to the inter-American court of human rights in 2004 ruling the need for precautionary measures for violation of individual and collective rights of the Kankuamo people.
<b>Peoples and the Community Councils of Black communities.</b>	Black communities of Guacoche and Guacochito administrative districts and community councils of Arcilla, Tunez and Cardona are located in the rural area of Valledupar, Cesar, and the community council of Obatalá, Fundación, and Magdalena.	<p>According to the historicization exercises carried out with the Arcilla, Cardón and Tuna community council, the Afro-Colombian ancestral occupation of the territory has their origins in black settlements which took place between the Sierra Nevada de Santa Marta and the Serranía del Perijá between 1850-1860 (CC Arcilla, Cardón and Tuna and OTEC, 2017).</p> <p>It is important to mention that the narratives agree that this was a territory inhabited by indigenous communities which subsequently settled in the upper part of the mountain. This led the Afro-Colombian</p>	<p>The communities of Guacoche and Guacochito belonging to the community councils Arcilla, Cardón and Tuna in the 90s until 2004 suffered a severe crisis due to violence by armed groups in the region (guerrillas and paramilitaries).</p> <p>As a consequence, selective forced displacement, physical and psychological abuse, generating instability in all its aspects and leading to the displacement of at least 10% of</p>

	<p>These communities still do not have collective property titles over their territories, but they are recognized as Councils of Black Communities under national legislation. These communities are in the collective title application process at the National Land Agency.</p>	<p>population to occupy the savannas and beaches. This is how three hamlets were formed in the Savannah plains of the Cesar river basin, which, according to older people, would be referenced in the history of the black settlement. These places were: Paredones, Palmarito and Guacochito (CC Arcilla, Cardón and Tuna and OTEC, 2017).</p> <p>Traditionally, the economy of these community councils have been based on the grazing in the communal savannas of minor species such as cattle, goats, goats and pigs (it was not initially an activity motivated by profit) and the agriculture of cassava, corn and beans. Fishing and wild hunting were activities carried out in a lower percentage and their activity has decreased over time.</p> <p>A great part of the community council area is suitable for agricultural and extractive activities. Meanwhile, for extractive activities, the National Hydrocarbons Agency has mentioned that the council area is suitable for developing hydrocarbon projects. The community council has a close relationship with the Sierra Nevada de Santa Marta Biosphere Reserve, since they share their territories.</p>	<p>their population. This led to the national government issuing precautionary measures for this population in 2017. As part of the special measures for these communities, the CorpoCesar Environmental Authority was asked to initiate a process for the recovery of the ecosystems and water resources where this population lives to guarantee the restoration of their rights.</p>
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## **Summary of Consultations during Proposal Development Phase**

During the year of 2021, the project has been socialized with and gotten feedback from Indigenous and Afro-descendant communities in the Caribbean landscape. These communities have indicated their interest to participate in different activities related to project implementation. They also recommended to include specific activities which will have positive effects in their organizational processes. It is important to highlight:

- The project will promote and strengthen traditional knowledge and use and management of nature from local communities as a tool to solve the climate problem identified in each landscape.
- Governance structures and territorial planning instruments of indigenous people will be improved and strengthened to incorporate climate variables and nature-based solutions based on nature.
- The Project will promote meetings to agree on the use and management of water between indigenous people and other key actors, such as environmental authorities, private sector, non-governmental organizations and peasant communities.
- Technical capacity of indigenous people will be strengthened regarding climate solutions and landscape management
- The project will promote indigenous people traditional strategies related to land use and natural resources planning.
- The activities carried out during the consultation process with the four indigenous peoples of the Sierra Nevada de Santa Marta followed the specific regulations and governance scheme as defined for national protected areas that overlap with indigenous reserves, including the recent National Court decision 121/22, and will continue during implementation.

During initial meetings with indigenous people, they did not identify possible adverse effects of logic framework's planned activities. Some recommendations were given for the implementation activities:

- Conservation agreements should not limit subsistence activities, cultural use of indigenous people's territories and sacred places
- Indigenous people expressed interest in becoming executing partners
- For the specific case of Sierra Nevada de Santa Marta, it was agreed that everything should be framed under the cultural and territorial vision established in the national legal framework (decree 1500 of 2018 which redefines the ancestral territory of Arhuaco, Kogui, Wiwa y Kankuamo Indigenous Peoples from Sierra Nevada de Santa Marta)
- Yukpa Indigenous Peoples of the Serranía del Perijá: although they don't have reserves within the project area, they *make wide use of* and have *traditional knowledge* of the area. For that reason, in the framework of the project formulation it was necessary to hold a meeting with representative organizations in November 2021. They were informed about general aspects of the project, their recommendations were collected and it was agreed

that once the project began, a consultation route and free prior and informed consent process would be agreed upon for the specific activities that will be carried out in their ancestral territories.

Please note that no direct informative processes were carried out during the formulation phase with national indigenous organizations as priority was given to the territorial (regional) organizations where the project will have a direct intervention. As indicated in Annex 7, although this practice conforms with Colombian legislation and jurisprudence, the project will keep national organizations informed of the development of the project through the instances and mechanisms established by Departamento Nacional de Planeación as the GCF focal point in Colombia.

### **Seeking Free, Prior and Informed Consent**

WWF's Standard on Indigenous People requires that, regardless of whether Project affected IPs are affected adversely or positively, an IPP needs to be prepared with care and with the full and effective participation of affected communities.

The requirements include screening to confirm and identify affected IP groups in the project areas, social analysis to improve the understanding of the local context and affected communities; a process of free, prior, and informed consent with the affected IPs' communities in order to fully identify their views and to obtain their broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

Minimum requirements for projects working in areas with IPs are:

- Identification of IP groups through screening;
- Assessment of project impacts;
- Consultations with affected IP communities following FPIC principles and obtain their broad community support;
- Development of sites specific IPs plan (IPP) to avoid adverse impacts and provide culturally appropriate benefits; and
- In activities with no impacts, the requirements could be limited to consultations during implementation to keep local communities informed about project activities and documentation of all consultations held.

The participation and engagement strategy with indigenous peoples and black communities will be developed in accordance with national and international standards and WWF GCF Agency requirements regarding free, prior and informed consent (FPIC) and prior consultation, as will the application of social and environmental safeguards. A facilitator should support this process, a person who will be available throughout the Project, who speaks the necessary languages and is aware of the project context. This person may or may not be part of the PMU, but should be agreeable to all parties involved.

Box 1 below outlines some general steps to be followed for FPIC with the affected IPs in order to seek their broad community consent.

### **Box 1. Steps for Seeking FPIC from Project Affected Indigenous Peoples**

1. Identify communities, sub-groups within communities, and other stakeholders with potential interests/rights (both customary and legal) on the land or other natural resources that are proposed to be developed, managed, utilized, or impacted by the proposed project activity.
2. Identify any rights (customary and legal) or claims of these communities to land or resources (e.g., water rights, water access points, or rights to hunt or extract forest products) that overlap or are adjacent to the site(s) or area(s) of the proposed project activity;
3. Identify whether the proposed project activity may diminish the rights, claims, or interests identified in Step 2 above and also identify natural resources that may be impacted by this project and the legal and customary laws that govern these resources;
4. Provide the details of proposed project activities to be implemented along with their likely impacts on IPs either positively or negatively, as well as the corresponding proposed mitigation measures in a language or means of communication understandable by the affected IPs;
5. All project information provided to IPs should be in a form appropriate to local needs. Local languages should usually be used and efforts should be made to include all community members, including women and members of different generations and social groups (e.g. clans and socioeconomic background);
6. Selection of facilitator, who will be available throughout the Project, who speaks the necessary languages and is aware of the project context, and is culturally and gender-sensitive. The facilitator should be trustworthy to affected IPs. It will also be helpful to involve any actors which are likely to be involved in implementing the FPIC process, such as local or national authorities
7. If the IP communities are organized in community associations or umbrella organizations, these should usually be consulted.
8. Provide sufficient time for IPs' decision-making processes (it means allocate sufficient time for internal decision-making processes to reach conclusions that are considered legitimate by the majority of the concerned participants)
9. Support a process to create a mutually respected decision-making structure in cases where two or more communities claim rights over a project site.
10. If FPIC is not familiar to the community, engage in a dialogue to identify existing decision-making structures that support the principles underlying FPIC.
11. Identify the community-selected representative(s) or "focal people" for decision making purpose-- identification of the decisionmakers and parties to the negotiation.
12. Agree on the decisionmakers or signatory parties and/or customary binding practice that will be used to conclude the agreement, introducing the chosen representatives, their role in the community, how they were chosen, their responsibility and role as representatives;
13. If consent is reached, document agreed upon outcomes/activities that are to be included into the project, and agree on a feedback and a project grievance redress mechanism. Agreements reached must be mutual and recognized by all parties, taking into consideration customary modes of decision-making and consensus-seeking. These may include votes, a show of hands, the signing of a document witnessed by a third party, performing a ritual ceremony that makes the agreement binding, and so forth;

14. When seeking “broad community consent/support” for the project, it should be ensured that all relevant social groups of the community have been adequately consulted. This may mean the project staff have to seek out marginalized members, or those who don’t have decision-making power, such as women. When this is the case and the “broad” majority is overall positive about the project, it would be appropriate to conclude that broad community support/consent has been achieved. Consensus building approaches are often the norm, but “broad community consent/support” does not mean that everyone has to agree to a given project;
15. When the community agrees on the project, document the agreement process and outcomes including benefits, compensation, or mitigation to the community, commensurate with the loss of use of land or resources in forms and languages accessible and made publicly available to all members of the community, providing for stakeholder review and authentication;
16. The agreements or special design features providing the basis for broad community support should be described in the IPs Plan; any disagreements should also be documented; and
17. Agree on jointly defined modes of monitoring and verifying agreements as well as their related procedures: how these tasks will be carried out during project implementation, and the commission of independent periodic reviews (if considered) at intervals satisfactory to all interest groups.

Colombia has incorporated the international standards on the rights of prior consultation for Indigenous Peoples in its national legislation through ratifying the International Labor Organization (ILO) Convention 169 of 1989 on indigenous and tribal peoples (Art. 6 and 7) and the United Nations Declaration on the Rights of Indigenous Peoples of 2006 (Art. 19 and 20). As part of its national implementation, Colombia issued Decree 1320 in 1995, which regulates prior consultation with Indigenous and Black communities for the use of natural resources within their territories. The decree has been strongly disputed by the indigenous people’s movement and although it has not been formally repealed, the Courts have taken various decisions to declare it inadmissible. Indigenous peoples argued that this decree is inadmissible and therefore, they do not recognize it, because the government did not consult with indigenous organizations. Related to this, in recent years the Constitutional Court has issued two decrees, T002 in 2017 and SU 123 in 2018, which establish the principles and standards for the implementation of prior consultation in Colombia, highlighting the following:

- *"It is necessary to establish effective communication relationships based on the principle of good faith ...".*
- *"It is mandatory not to set a single term to carry out the consultation and consent process, but rather that a strategy of differential approach according to the particularities and customs of each ethnic group. Specifically, it should be carried out in the feasibility or planning stage of the project and not in the moment prior to its execution".*
- *"It is mandatory to define the procedure to be followed in each prior consultation process, specifically, through a pre-consultative and / or post-consultative process. This should be carried out in agreement with the affected community and other participating groups. This means that participation must be understood not only at the preliminary stage of the process, but also, in further revisions in the short, medium and long term".*

- *“The search for free, prior and informed consent is mandatory. Communities may determine the least harmful alternative in those cases in which the intervention: (a) involves the transfer or displacement of the communities due to the process, work or activity; (b) is related to the storage or dumping of toxic waste on ethnic lands; and / or (c) represents a high social, cultural and environmental impact on an ethnic community, which may put its existence at risk.*

In 2020, the national government issued the Presidential Directive 08 of 2020: "Guide for carrying out Prior Consultation" which set out five stages for the prior consultation process with ethnic groups: 1. Determination of the origin of the prior consultation, 2. Coordination and preparation, 3. Pre-consultation, 4. Prior consultation, 5. Follow-up on agreements. This procedure will be carried out under the Directorate of the National Authority for Prior Consultation Directorate in the Ministry of the Interior (DANCP).

### **Implementation policy of FPIC**

Each output will be considered and screened for each of the landscape mosaics this project entails. As stated in Section 7. *Procedures for the Identification and Management of Environmental and Social Impacts* above, “because this project will work in five distinct landscape mosaics with very different stakeholders and different risks and social contexts, it is necessary to screen the landscapes individually.

Regardless of whether the project activity refers to the expansion of a PA (such as in the case of Sierra Nevada de Santa Marta) or pertains to the prioritized corridors (in the Caribbean), the same IPP creation and FPIC process will take place *if* IPs or Afro-descendant people are identified to be present in the landscape (see Figure 8 below). This process is regulated by the Colombian national legislation and its Ministry of Interior guidelines as well as by WWF’s Standard on Indigenous People, both of which were noted above (see also Box 1) and will be carried out during project implementation following GCF approval.

Each Activity-level Safeguard Eligibility and Impacts Screening (see Appendix 2) will determine whether there are Indigenous or Afro-descendant peoples present in the landscapes and, if that is the case, the process of developing an Indigenous Peoples Plan (IPP) that includes the design of a consultation and free, prior informed consent (FPIC) process will be carried out. The specifics of each IPP and FPIC process will look different for each community because of their unique governance structures, world vision and cultural practices, but at a minimum will follow the guidance laid out in the following section on the development of IPPs.

In the case of other local communities impacted by the project, continuous engagement will be carried out to permit full and effective stakeholder participation (see Annex 7).

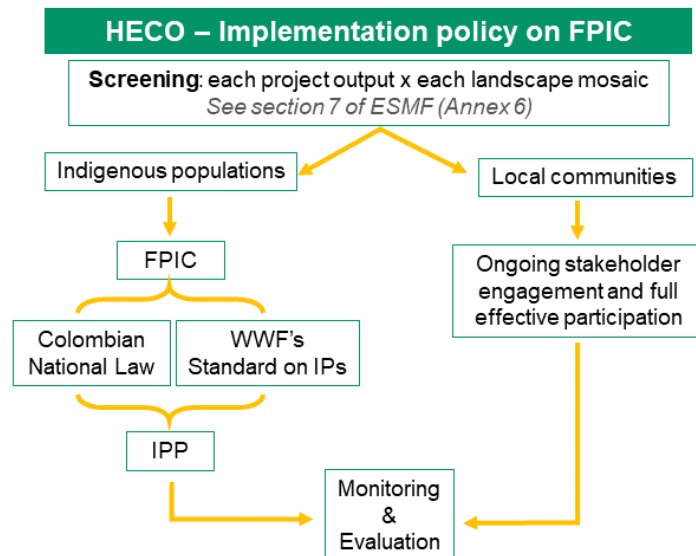


Figure 8: HECO Implementation Policy on FPIC

### Development of IP Plans (IPP)

When Indigenous Peoples are present and FPIC is therefore considered necessary, the Prior Consultation process established in national legislation described in Annex 7 of the Funding Proposal will be carried out, and an IPP created. The contents of the IPP will depend on the specific project activities identified and the impacts these activities may have on IPs in the project area as well as the specific governance structures and cosmovision of the Indigenous community. As a minimum, the IPP will include the following information:

- Description of the IPs affected by the proposed activity;
- Summary of the proposed activity/activities;
- Detailed description of IPs' participation and consultation process during implementation;
- Description of how the project will ensure culturally appropriate benefits and avoid or mitigate adverse impacts (gender participation will be defined according to their own governance and internal decisions structures, and international best practice as laid out in the Gender Action Plan);
- Budget;
- Mechanism for complaints and conflict resolution; and
- Monitoring and evaluation system that includes monitoring of particular issues and measures concerning indigenous communities.

For project activities that may result in changes in IPs' access to livelihoods , the provisions of the Process Framework (Section 11) should also be followed.

Although this Project will execute the process established by the government to comply with the national FPIC requirements, the Project will have an additional requirement to seek the consent of Indigenous Peoples and Afro-descendant communities for activities that could potentially negatively affect them in order to adhere to WWF's requirements in the Standard on Indigenous

Peoples. In the event that the Project requires the consent of an indigenous community, the project team will review the statutes of said community to ensure that the FPIC process is aligned with the decision-making processes of each community, according to its particular context.

### **Institutional Arrangements**

Project activities were socialized with indigenous people and afro-descendant communities during the proposal development process in the year of 2021. Therefore, the risk they may have for local communities is minimal since project activities that will take place in their territories were the result of a participatory process and will have a free prior informed consent process, as well.

During the socialization of the project, local communities expressed their intention to participate in the implementation of the project through institutional arrangements that allow them to implement their own activities. It was agreed to include “subgrantees” agreements that can be executed directly by their representative organizations within the project implementation arrangements. This recommendation was incorporated into Section B.4 of the Funding Proposal where the general project implementation arrangements are agreed.

In relation to executing safeguards responsibilities related to potential impacts on indigenous peoples and afro-descendant communities, the Safeguards Specialists in the PMU have overall responsibility. The Safeguards Specialists should work closely with the Stakeholder Engagement Specialist and the Technical Leads in each landscape where IPs are present to screen project-supported activities and evaluate their effects on IPs. If there are potential negative effects on IPs, the Lead Safeguards Specialist will oversee the development of the IPP by the Stakeholder Engagement Specialist and Technical Lead. The Lead Safeguards Specialist will also issue approval of the IPP prior the start of activities that could potentially negatively affect IPs.

### **Monitoring and reporting arrangements**

To track and monitor implemented actions in the territories of ethnic groups, it is planned at least two meetings per year in “own spaces” as defined by Indigenous communities. In these meetings, the IPs and the PMU (Project Management Unit) will work together to evaluate developed actions, analyze possible negative impacts, as well as adverse effects that the project could cause.

The Project Management Unit will have two Safeguards Specialists, along with a Stakeholder Engagement Specialist, who will be in charge of continuous monitoring of the implemented actions in indigenous territories, as well as maintaining ongoing communication with community leaders and addressing any complaints or recommendations regarding the actions to be implemented in their territories.

The Safeguards Specialists in the PMU should work with the Indigenous peoples and black communities during the first months of the implementation to determine the format of the reports of the implemented actions in indigenous territories.

## **Disclosure Arrangements**

As part of stakeholder engagement there is a robust, two-pronged communication strategy, which is linked and coordinated with the overall project communication strategy.

The strategy should make it easier for all stakeholders at various levels of intervention and geographies to be informed, and to keep the other stakeholders informed, about the progress, difficulties, results, and learning that the project generates.

It is also essential that each of the geographies/mosaics, that stakeholders participating directly in the project have communication tools to allow them to interact with other actors in the territories. For example, to clarify project scope and interventions, manage potential conflicts arising from implementation, manage expectations, connect with and inspire other similar initiatives.

Great care will be taken to ensure that the strategy starting point is the identification of communication needs in terms of the audiences and their characteristics, the calls to action, key messages and strategy (materials and channels).

This communications strategy will include:

- **Inclusion:** the strategy will take into account the voices and perceptions of all involved stakeholders, ensuring the incorporation of gender, generation and ethnic diversity.
- **Diversity:** the strategy will ensure that messages, media and channels used are gender-responsive and culturally, socially and politically appropriate to the various actors and contexts.
- **Safeguards:** Communications play a fundamental role in the development of projects and processes; special attention will be taken to include the protection of the rights and integrity of the participating stakeholders so that communication does not increase or generate risk.
- **Timeliness,** relevance and clarity: the implementation of the strategy will be flexible , respond in a timely manner to requirements and needs and have clear and precise messages.
- **Operational and sustainable:** The use of low-cost materials and channels will be prioritized, will be appropriate to local and regional contexts and their capacities, and be based, as far as possible, on existing communication equipment and structures.

Any IPPs developed for the project will be disclosed and available for comments and feedback for a period of at least 45 days. After that, the IPP will be disclosed and socialized with Project-Affected Peoples.

## **11. Process Framework**

### **Introduction**

The Project triggers WWF's Standard on Restriction of Access and Resettlement because there will be a new NPA created in Serranía de San Lucas and one NPA expanded (Sierra Nevada de Santa Marta National Natural Park) under the GCF HECO project. The project includes activities to ensure effective management of NPAs and corridors; to implement conservation, use and management agreements; and to establish community water associations. These activities may restrict or prohibit the extraction of resources in certain areas of the NPAs and corridors, thereby restricting access to resources required for the subsistence and cultural maintenance of the affected populations. The activities that may involve access restrictions on the use of natural resources in the project area are:

- Outcome 1, Output 1.1, Activity 1.1.3 Facilitate incorporation of climate considerations into regional and territorial land use.
- Outcome 1, Output 1.2, Activity 1.2.1 Facilitate the adoption and implementation of participatory governance schemes for the 4 targeted landscapes with active engagement of local communities, public institutions, and sectors including a gender and inter-generational focus to define targets for reduced deforestation and vulnerability to climate change
- Outcome 3, Output 3.1, Activity 3.1.1 Carry out a socially responsible process towards designation and gazettement of 2 new protected areas (Expansion of the Sierra Nevada de Santa Marta National Natural Park and Declaration of the new Area – Patia Dry Ecosystems) to improve ecosystem integrity and reduce deforestation and carbon emissions.
- Outcome 3, Output 3.1, Activity 3.1.2. Carry out a socially responsible process towards expansion of the Sierra Nevada Santa Marta protected areas to improve ecosystem integrity and improve climate resiliency.
- Outcome 3, Output 3.2, Activity 3.2.2. Support rehabilitation of degraded lands to increase ecological integrity of targeted landscapes and reduce protected areas encroachment.

### **Participation Mechanisms for IPLCs and Project Affected Peoples**

Mechanisms of ethnic groups to monitor project implementation are the annual or biannual community meetings (called assemblies, congresses, cabildos) carried out by Indigenous Peoples and Afro-descendants. Community leaders are convened to inform about the project activities, future actions to be planned and corrective actions to be developed for proper project implementation, i.e. without negative or adverse affectation to the social and cultural integrity of the communities.

These community meetings are convened by representative authorities of the communities and assisted by PMU, led by the Safeguards Specialist, who at the same time should report to the decision-making bodies of the project measures and decisions adopted by the communities.

The project's direct beneficiaries, which are mostly community organizations of *campesinos*, Indigenous Peoples, Afro-descendants and civil society, will be directly and continuously involved throughout the implementation of the Project. The key planned activities and methodologies are:

- The project will facilitate participation of the direct beneficiary population throughout the project cycle, through institutions and processes designated by communities, such as local committees or community meetings (Assemblies, Boards). These regular meetings will function to monitor project execution at least twice a year and to generate recommendations for improved implementation.
- As has been done throughout the project design process, further stakeholders that have already been identified will be invited to an annual regional workshop and / or thematic workshops.
- The project will promote exchanges on thematic experiences among beneficiary communities in each of the prioritized landscapes.
- Regular project progress reports will be generated according to the social and cultural contexts of each area. These reports will take into consideration gender and generation equity issues.
- A generational and gender approach will be applied to broaden the base of local involvement and ensure it endures over time. This activity will be carried out as part of the implementation of the Gender Action Plan detailed in Annex 8.
- Existing community participation processes will be strengthened to improve local governance and guarantee the ownership and sustainability of future actions.
- The Project will aim to include indigenous, Afro-descendant, peasants, and civil society organizations as direct implementers of resources from the project. This will ensure permanent, full and effective participation. This will be developed and shared in the implementation plan for the proposal.

### **Potential Negative Impacts and Mitigation Measures**

As the project intends to reduce deforestation, forest degradation, land use changes and other threats to the paramos, montane, lowland, and gallery forests in the targeted landscapes, these activities may restrict or prohibit the extraction of resources in certain areas of the NPAs and corridors required for the subsistence and cultural maintenance of the affected populations. However, these risks will be mitigated because an agreement will be reached with the communities in relation to these restrictions without affecting the minimum vital and ecological integrity and functionality. In some multipurpose areas the Project will work with communities to propose joint solutions regarding, for example, how to maintain or improve the quality of water resources.

The intent of the Process Framework (PF) is to ensure transparency and equity in the planning and implementation of activities promoted by the Project. Therefore, this PF details the principles and processes for assisting communities to identify and manage any potential negative impact of the activities proposed by the Project. Nevertheless, since the exact social impacts will only be known during project implementation, the PF will ensure the mitigation of any negative impact from the project activities through a participatory process involving the affected stakeholders. Likewise, it also ensures that any changes desired by the communities (in the ways in which local populations exercise customary tenure rights) in the project sites would not be imposed, but it should emerge from a consultative process, as aforementioned above.

As part of the agreements reached with communities during the consultation phase, it was defined that all Project activities will be agreed jointly with the communities so that none of them generate negative cultural or environmental impacts.

However, should access restriction occur as part of this Project, full and timely compensation shall be provided to all affected individuals, irrespective of their formal land title. All affected communities and households around the project-supported areas will be provided with opportunities to restore their livelihoods to at least pre-project levels.

Livelihoods-related support during project implementation will be provided to the households (HH) of all communities impacted by project-induced restrictions of access to natural and community resources within the targeted areas. This process will be organized in the following manner:

- *Screening*

The Technical Leads, with technical inputs from the Safeguards Specialist at the PMU, will undertake screening of all planned activities for likely access restrictions to local communities (see Chapter 6 on Procedures for the Identification and Management of Environmental and Social Impacts). This will include all communities that reside in project-affected areas, regardless of formal or customary land title or lack thereof.

- *Social assessment*

If the screening confirms and identifies HHs affected due to access restriction to natural resources, a social assessment (SA) process based on participatory consultations with affected peoples will be carried out. The SA will generate the necessary baseline information on demographics, social, cultural, and economic characteristics of affected communities, as well as the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend. The SA will assess potential impacts and the extent of restriction of access to resources along with suitable mitigation and enhancement measures including options for alternative access to similar resources.

- *Livelihood Restoration Plans*

Based on the findings of the screening and social assessment, an action plan usually known as Livelihood Restoration Plans (LRP) will be prepared after holding further meaningful consultations with affected peoples and stakeholders which will provide tailored livelihood support and benefit sharing for affected persons, groups and communities.

The LRPs will be site-specific and include the following issues: (1) identifying and ranking of site-specific impacts; (2) setting out criteria and eligibility for livelihood assistance; (3) outlining the rights of persons who have been either customarily or legally/illegally using forest, water, or land resources for subsistence to be respected; (4) describing and identifying available mitigation measures alternatives, taking into account the provisions of applicable local legislation, and the available measures for mitigation promoted via project activities and considering any additional sound alternatives, if proposed by the affected persons; (5) outlining specific procedures on how compensation can be obtained.

- *Mitigation measures as part of the LRPs*

Participatory and inclusive consultations should be carried out with affected communities, individuals, and stakeholders to agree on the allocation of alternative livelihood.

Alternative livelihood schemes should be discussed, agreed upon and provided for affected persons/ groups. The livelihood options to be built on and be based upon the traditional skills, knowledge, practices and the culture/world view of the affected peoples/groups and persons.

Affected persons should be provided project-related livelihood support and other opportunities as part of the planned project activities. In particular, those affected will be prioritized for interventions for climate-resilient farm management practices (Output 3.2) to restore or improve their livelihoods

An accessible and efficient grievance redress mechanism should be established and made functional (see Chapter 12 of this ESMF/IPPF/PF).

Special attention should be made to tailoring these mitigation measures to the needs of pastoralists and agro-pastoralists. While some of them may be interested in the mitigation measures outlined above, others may necessitate an alternative approach (e.g., allocation of alternative grazing areas). Any proposed measures should be closely coordinated with PAPs to ensure that they fully reflect their needs and priorities.

- *Compensation*

In case that compensation is awarded, it shall be calculated based on the replacement value of these livelihoods (economic market value plus any replacement costs) by Technical Leads or executing partner organizations. In cases where compensation will consist of the allocation of alternative resources (e.g., alternative harvesting areas), measures will include identification of these resources with the active involvement of the affected persons/ communities and assistance to access these resources. Detailed procedures on how compensation should be calculated and awarded should be provided in each site-specific LRP based on local conditions.

### **Conflict Resolution Mechanism**

The following process will be used as mechanism to solve possible conflicts *resulting from Project implementation*:

1. First, affected communities and PMU will be convened to present possible conflicts and to generate joint agreements for dispute resolution.
2. If no agreement is reached, it will be presented to the Technical Committee at Landscape level, to try to produce agreements and recommendations.
3. If no agreement is reached, the PMU will expose the situation to the Project Steering Committee, which will take a final decision to modify or retire the activity of the Project based on the social and environmental standards.

Indigenous and Afro-descendant project implementing communities are encouraged to invite to community meetings (annual and biannual) those neighboring communities that could be negatively or positively affected by the project. These community meetings will reach agreements that allow anticipating potential conflicts. The Safeguards Specialist of the project must constantly monitor and report to PMU possible affectation of neighboring communities, so corrective measures can be planned.

The Landscape Technical Committee may invite neighboring communities from prioritized areas located near the Project to improve coordination and relationship between communities and institutions and enhance project activities.

In addition to the aforementioned process, the project-level Grievance Mechanism or several third-party grievance mechanisms are available at any time to Project Affected Peoples.

## 12. Monitoring

The compliance of HECO activities with the ESMF (including IPPF and PF) will be thoroughly monitored by various entities at different stages of preparation and implementation.

### ***Monitoring at the project level***

The overall responsibility for implementing the ESMF and for monitoring compliance with the Project's environmental safeguard activities lies with the PMU. The Environment and Social Safeguards (ESS) Specialists procured by the PMU shall oversee the implementation of all field activities and ensure their compliance with the ESMF. The ESS Specialists shall also provide the Executing Entities and executing partners with technical support in carrying out environmental and social screenings and preparing ESMPs and any other necessary safeguards documents and documentation.

The ESS Specialists shall also monitor the project's grievance redress mechanism (GRM) and assess its effectiveness (i.e., to what extent grievances are resolved in an expeditious and satisfactory manner). This includes any SEAH-specific complaints that have been submitted to the GRM. Any such SEAH-related complaints will be disaggregated from the others in the annual progress reports sent to the AE, who then reports to the GCF. Because these complaints are often of a very sensitive nature, the disclosure of any personal identifiable information will be withheld in all reporting unless written consent from the grievant has been given.

The ESS Specialist will also be responsible for reporting on overall safeguards compliance to the Project Manager, the Project Steering Committee, and the WWF GCF AE. The ESS Specialists will meet monthly on safeguards implementation to the Lead Safeguards Specialist in the WWF GCF AE. These meetings will include discussions on any and all grievances that have been submitted to the project level GRM (SEAH-related or otherwise), as well as any SEAH-related challenges the project is facing in implementation. As necessary, the Stakeholder Engagement Specialist will also join these calls, as they may have the most up-to-date information on challenges and successes at the community level. These monthly check-ins will allow for continuous monitoring of ESS and SEAH risks and the ability to proactively manage risks and improve mitigation measures as new challenges arise.

### ***Monitoring at the field activity level***

Technical Leads shall closely monitor all field activities and ensure that they fully comply with the ESMF and with the terms and conditions included in the environment clearances issued by the Government of Colombia's national authorities. The EEs are also fully responsible for the

compliance of all external contractors and service providers employed as part of the project with the safeguards requirements outlined in the ESMF/IPPF/PF and any ESMPs (as applicable). It is highly recommended that the TLs provide the ESS Specialist with monthly monitoring reports. ***Disbursement of project funds to executing partners will be contingent upon their full compliance with the safeguards requirements of this ESMF.***

### ***Monitoring at the GCF implementing and implementing agency level***

WWF US, as the GCF Accredited Entity, and Patrimonio and WWF Colombia as the Executing Entities, are responsible to oversee compliance with the ESMF.

In order to facilitate compliance monitoring, the PMU will include information on the status of ESMF implementation, including specific information on SEAH-related challenges or grievances, in the mid-year technical reports and the Annual Performance Reports (APR).

## **13. Capacity Building**

Capacity building is important to:

1. Ensure that duty bearers (Executing Entities, PMU, executing partners, and associated personnel) are aware of their responsibilities in regard to identifying and mitigating any negative environmental and social impacts as well as enhancing positive impacts, and
2. Ensure that the rightsholders (stakeholders and project affected peoples) are aware of their rights and the processes for involvement and avenues for recourse available to them.

To ensure that duty bearers are aware of their roles and responsibilities regarding safeguards, capacity building and trainings regarding safeguards should be built throughout all project Executing Entities and executing partner organizations. Once the Safeguards Specialists are hired in the PMU, the Lead Safeguards Specialist in the AE will ensure that the PMU Safeguards Specialist is familiar with WWF's ESS Standards, the ESMF, and any other relevant information such as the GCF's SEAH Policy and WWF's Guidance Note on GBV and SEAH. It is then the responsibility of the PMU Safeguards Specialist to provide trainings and capacity building to the rest of the PMU, the EEs, and the executing partners. In particular, the PMU Safeguards Specialists will ensure that the Stakeholder Engagement Specialist, the Gender & SEAH Specialist and the Technical Leads are well aware of safeguards requirements and understand how to implement them, given that these roles will work closely with the Safeguards Specialists.

As the Safeguards Specialists are located in the PMU, it is the responsibility of the Technical Leads to ensure that the executing partners are training and building awareness and capacity of the rightsholders to understand environmental and social safeguards. Project affected peoples should be made aware of their rights as detailed in this ESMF and under national law and trained in how to advocate for them as early as possible in project implementation, and at the latest prior to the commencement of any activities which could negatively impact them.

## 14. Grievance Mechanisms

The project will have a direct and tangible effect on a large number of communities and individuals residing within the Project mosaics. There is thus a need for an efficient and effective project-level Grievance Redress Mechanism (GRM) that collects and responds to stakeholders' inquiries, suggestions, concerns, and complaints. The GRM shall constitute an integral part of HECO and assist the PMU and executing partners in identifying and addressing the needs of local communities. The GRM should be constituted as a permanent and accessible institutional arrangement for addressing any grievances arising from the implementation of project activities. The GRM will be made public in the first six months of the year in which implementation begins, and thereafter shared during any stakeholder engagement activity. Prior to that, information on the WWF Colombia and WWF US AE grievance mechanisms will be shared in all interactions with stakeholders.

### Project-Level Grievance Mechanism

It is in the interest of the HECO project to ensure that all grievances or conflicts that are related to HECO activities are appropriately resolved at the lowest appropriate level, without escalation to higher authorities or the initiation of court procedures unless the nature of the grievance otherwise dictates. Project affected communities will therefore be encouraged to approach the project's GRM, and all efforts will be made to ensure that it is as easy to use and access as possible.

The project-level grievance mechanism will be developed in the first six months of the Project, based on institutional arrangements and discussions with partners to define the responsibilities of each entity according to their competencies and roles in the project.

The GRM will operate based on the following principles:

1. **Fairness:** Grievances are assessed impartially and handled transparently.
2. **Objectiveness and independence:** The GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case.
3. **Simplicity and accessibility:** Procedures to file grievances and seek action are simple enough that project beneficiaries can easily understand them.
4. **Responsiveness and efficiency:** The GRM is designed to be responsive to the needs of all complainants. Accordingly, personnel handling grievances must be trained to take effective action upon, and respond quickly to, grievances and suggestions. This is especially true of SEAH-related grievances, which require specific responses and training.
5. **Speed and proportionality:** All grievances, simple or complex, are addressed and resolved as quickly as possible. The action taken on the grievance or suggestion is swift, decisive, and constructive.
6. **Participation and inclusiveness:** A wide range of affected people—communities and vulnerable groups—are encouraged to bring grievances and comments to the attention of

the project implementers. Special attention is given to ensure that poor people, women and marginalized groups, including those with special needs, are able to access the GRM.

**7. Accountability and closing the feedback loop:** All grievances are recorded and monitored, and no grievance remains unresolved. Complainants are always notified and get explanations regarding the results of their complaint. An appeal option shall always be available.

Complaints may include, but are not limited to, the following issues:

- I. Allegations of fraud, malpractices or corruption by staff or other stakeholders as part of any project or activity financed or implemented by HECO, including allegations gender-based violence or sexual exploitation, abuse or harassment;
- II. Environmental and/or social damages/harms caused by projects financed or implemented (including those in progress) by HECO;
- III. Complaints and grievances by permanent or temporary workers engaged in project activities.

Complaints could relate to pollution prevention and resource efficiency; negative impacts on public health, environment or culture; destruction of natural habitats; disproportionate impact on marginalized and vulnerable groups; discrimination or physical or sexual harassment; violation of applicable laws and regulations; destruction of physical and cultural heritage; or any other issues which adversely impact communities or individuals in project areas. The grievance redress mechanism will be implemented in a culturally sensitive manner and facilitate access to vulnerable populations. Special training will be provided to the ESS Specialists within the first 6 months of project implementation, or before the GRM is finalized, whichever is sooner. This will help to ensure they have the capacity to address SEAH-related grievances in a culturally sensitive and victim-centered way.

HECO's GRM will be administered by the PMU in coordination with the TLs. The ESS Specialists will be in charge of the operation of the GRM at the PMU, and each executing partner will assign an individual that will be responsible for collecting and processing grievances that address activities they are responsible for implementing. The GRM will operate according to the following guidelines.

**(1) Submitting complaints:** Project affected people, workers, or interested stakeholders can submit grievances, complaints, questions, or suggestions either to one of the executing partners or directly to the national PMU through a variety of communication channels, including phone, regular mail, email, text messaging/SMS, or in-person, by visiting the local offices. It is important to enable separate channels for complaint submissions (one through relevant executing partners and the other directly to the PMU) in order to ensure that project affected people have sufficient opportunities to lodge their complaints to impartial and neutral authorities of their choice. The name of the person who will review the submitted complaint at each executing partner and within the PMU will be clearly stated so there is no ambiguity on who will see the complaint once submitted. This is especially important in SEAH or other human rights-related complaints, to maintain the level of privacy needed for people to feel confident in using the GRM.

**(2) Processing complaints:** All grievances submitted to executing partners and to the PMU shall be registered and considered. A tracking registration number should be provided to all complainants. To facilitate investigation, complaints will be categorized into four types: (a) comments, suggestions, or queries; (b) complaints relating to nonperformance of HECO obligations and safeguards-related complaints; (c) SEAH or GBV-specific complaints (d) complaints referring to violations of law and/or corruption while implementing project activities; (e ) complaints against authorities, officials or community members involved in the HECO project management; and (f ) any complaints/issues not falling in the above categories. Any SEAH or GBV complaints will be handled directly by the ESS Specialists within the PMU, and not at the local executing partner level, due to the sensitivity of the complaint and the additional training required to handle such grievances in a sensitive and victim-centric manner.

**(3) Acknowledging the receipt of complaints:** Once a grievance is submitted, the designated personnel at the executing partner organization or the ESS Specialist at the PMU shall acknowledge its receipt, brief the complainant on the grievance resolution process, provide the contact details of the person in charge of handling the grievance, and provide a registration number that would enable the complainant to track the status of the complaint.

**(4) Investigating complaints:** Executing partners and/or the ESS Specialist at the PMU will gather all relevant information, conduct field visits as necessary, and communicate with all relevant stakeholders as part of the complaint investigation process. The executing partner/PMU personnel dealing with the investigation should ensure that the investigators are neutral and do not have any stake in the outcome of the investigation. As mentioned previously, the ESS Specialists at the PMU will receive additional training to ensure they have the capacity to investigate SEAH or GBV grievances, which require additional protections for the grievant. A written response to all grievances will be provided to the complainant within 10 working days. If further investigation is required, the complainant will be informed accordingly and a final response will be provided after an additional period of 10 working days. Grievances that cannot be resolved by grievance receiving authorities/office at their level should be referred to a higher level for verification and further investigation.

**(5) Appeal:** In the event that the parties are unsatisfied with the response provided by the GRM, he/she will be able to submit an appeal to the co-EE (see below) or the WWF GCF AE (see below) within 10 business days of receipt of decision. In the event that the parties are unsatisfied with the decision of the appeal committee, the parties can submit their grievances to the Court of Law for further adjudication.

**(6) Monitoring and evaluation:** Executing partners shall submit a quarterly report with full information on the grievances they received to the TL, who will share this information with the ESS specialist at the PMU. The report shall contain a description of the grievances and their investigation status. A similar report should be prepared by the ESS Specialist with regards to grievances that were submitted directly to the PMU, and should specify if any of the grievances were SEAH or GBV-related. Summarized GRM

reports shall constitute part of the regular biannual HECO progress reporting and shall be submitted to the PSC and WWF GCF AE.

Information about channels available for grievance redress shall be widely communicated in all project affected communities and to all relevant stakeholders. The contact details (name, phone number, mail and email address, etc.) of the executing partners and the HECO PMU shall be disseminated as part of all public hearings and consultations, in executing partner offices, in the local media, in all public areas in affected communities, and on large billboards in the vicinity of project activity sites and workers' camps.

The GRM seeks to complement, rather than substitute, the judicial system and other dispute resolution mechanisms. All complainants may therefore file their grievance in local courts or approach mediators or arbitrators, in accordance with the legislation of the Government of Colombia. In addition to the project-specific GRM, a complainant can submit a grievance to WWF Colombia or the WWF GCF AE.

### **WWF Colombia (Executing Entity) Grievance Mechanism**

WWF Colombia has a complaints mechanism that aims to prevent any negative impact of its actions on the environment and biodiversity, and on the social environment in which it operates. There is an established procedure to receive and respond attentively to complaints (MQ&R) raised by stakeholders, or people who consider that their rights are being affected or damaged by conservation efforts and actions carried out by, or in which WWF Colombia has direct participation. WWF Colombia aims to uphold and apply Social Policies and Safeguards in a comprehensive way, and to contribute to social wellbeing. This complaints and claims mechanism will be used during the implementation of the Project:

[https://www.wwf.org.co/mecanismo\\_de\\_atencion\\_de\\_reclamos/](https://www.wwf.org.co/mecanismo_de_atencion_de_reclamos/)

### **WWF US (Accredited Entity) Grievance Mechanism**

A grievance can also be filed with the Project Complaints Officer (PCO), a WWF staff member fully independent from the Project Team, who is responsible for the WWF Accountability and Grievance Mechanism and who can be reached at:

Email: [SafeguardsComplaint@wwfus.org](mailto:SafeguardsComplaint@wwfus.org)

Mailing address:  
Project Complaints Officer  
Safeguards Complaints,  
World Wildlife Fund  
1250 24th Street NW  
Washington, DC 20037

The PCO will respond within 10 business days of receipt, and claims will be filed and included in project monitoring.

Additionally, a grievance may be submitted to Whistle B: <https://report.whistleb.com/en/wwf> , a third-party vendor with no ties to WWF or the project staff.

## 15. Disclosure

All affected communities and relevant stakeholders shall be informed about the ESMF requirements and commitments. WWF requires that safeguards documentation be available to the public for review and comments for a period of at least 30 days, and at least 45 days if the project may affect indigenous peoples, as is the case with this Project. The ESMF will be translated into Spanish and made available along with the SEP and Gender Action Plan (GAP) on the websites of the Executing Entities, as well as the websites of the WWF GCF AE. Hard copies of the ESMF will be placed in appropriate public locations in all four mosaics. The Technical Leads will be responsible to raise community awareness regarding the requirements of the ESMF, and will also ensure that all executing partners, external contractors and service providers are fully familiar and comply with the ESMF and other safeguards documents.

During the implementation of HECO, activity-specific ESMPs shall be prepared in consultation with affected communities and disclosed to all stakeholders prior to the implementation of those activities. All draft ESMPs shall be reviewed and approved by the ESS Specialist and provided to the WWF GCF AE for a no-objection in advance of their public disclosure. The PMU must also disclose to all affected parties any action plans prepared during project implementation, including gender mainstreaming.

Disclosure should be carried out in a manner that is meaningful and understandable to the affected people. For this purpose, the executive summary of ESMPs or the terms and conditions in environment clearances should be disclosed on the EEs' and AE's websites.

The disclosure requirements are summarized in Table 7 below.

*Table 9 : Reporting framework for ESMF related documents*

<b>Documents to be disclosed/reported</b>	<b>Frequency</b>	<b>Where (disclosure)/To Whom (reporting)</b>
Environment and Social Management Framework	Once in the entire project cycle. Must remain on the website and other public locations throughout the project period.	On the website of the EEs and AE. Copies in executing partner offices and at the PMU Office(disclosure)
Environmental and Social Management Plan/s	Once in the entire project cycle for every activity that requires ESMP. Must remain on the website and other disclosure locations throughout the project period.	On the website of the EEs and AE. Copies in executing partner offices and at the PMU Office(disclosure)

Minutes of Formal Public Consultation Meetings	Within two weeks of meeting	PMU and EEs (reporting required, disclosure recommended)
Grievance redress mechanism	Continuously throughout project implementation (disclosure) Quarterly, throughout the project cycle (reporting)	Executing partner offices and at the PMU Office (PCU) (disclosure) PMU and WWF GCF AE (reporting)

## 16. Budget

The EMSF implementation costs, including all costs related to compensation to project affected people, will be fully covered from the HECO budget. It will be the responsibility of the PSC and the PMU to ensure that sufficient budget is available for all activity-specific mitigation measures that may be required in compliance with the EMSF.

Budget will be earmarked for two environmental and social safeguards specialists (staff) to work with the PMU and the Technical Leads for the full duration of the project period.

Table 10: Budget for ESMF Implementation

Budget Note	Description of cost items	Cost USD
3J	Starting year 1, 1 safeguards senior expert full-time and 1 safeguards junior staff full-time Base unit cost senior expert: 43,667 USD Base unit cost junior staff: 19,366 USD (full-time)	<b>726,656</b>
3K	In year 1, 2 and 3, 1 part-time senior consultant to support safeguards capacity building in EEs Base unit cost: 31,152 USD (full-time)  Starting year 1, 1 Private security agency to support safeguards and security protocol capacity in EEs Base unit cost: 42,857 USD Shared with CoF83 (27,5% in Year 5, 100% covered by CoF83 thereafter)	<b>305,925</b>
3L	5 large workshops per year starting in year 1 Base unit cost: 5,714 USD include rent for location, accommodation and tickets for facilitators, local transport, 2 days  10 small workshops per year starting in year 1 Base costs: 7,428 USD for landscapes with easy accessibility 12,112 USD for landscapes with difficult accessibility include rent for location, accommodation and tickets for facilitators, local transport, 1 day	<b>851,559</b>
3M	In year 1, 5, and 9, 1 citizen service line as grievance's mechanism Base unit cost: 580 USD	<b>2,228,752</b>

	<p>Starting in year 1, 1 citizen service line plan Base unit cost: 70 USD</p> <p>Starting in year 1, 1 Interpreter indigenous languages Base unit cost: 8,156 USD</p> <p>Starting in year 1, 2 security advisors for EE Base unit cost: 53,350 USD</p> <p>In year 1, 3 and 4, 2 community workshop per landscape each year about selfcare and protection Base unit cost: 857 USD for landscapes with easy accessibility 1,153 USD for landscapes with difficult accessibility for 10 to 15 people, includes support for transport, food, rent of equipment and location, 1 day Per diem, 2 security advisors per landscape per workshop Base costs: 74 USD for landscapes with easy accessibility 122 USD for landscapes with difficult accessibility Regional transport for 2 security advisors to community trainings per landscape Base unit cost: 74 USD for landscapes with easy access 122 USD for landscapes with difficult access</p> <p>Starting in year 1, 6 annual workshops per landscape with PA`S, staff and local communities about safety and public order. Base unit cost: 857 USD for landscapes with easy accessibility 1,153 USD for landscapes with difficult accessibility for 10 to 15 people, includes support for transport, food, rent of equipment and location, 1 day Starting in year 1, annual workshops per landscape with PA`S, staff and local communities to to biorisk. Base unit cost: 2,857 USD for landscapes with easy accessibility 4,658 USD for landscapes with difficult accessibility for 10 to 15 people, includes support for transport, food, rent of equipment and location, 3 days Per diem, 2 security advisors per landscape per workshop Base costs: 74 USD for landscapes with easy accessibility 122 USD for landscapes with difficult accessibility Local transport for 2 security advisors to community trainings per landscape Base unit cost: 35 USD for landscapes with easy access 47 USD for landscapes with difficult access Regional transport for 2 security advisors to community trainings per landscape Base unit cost: 74 USD for landscapes with easy access 122 USD for landscapes with difficult access</p>	
CoF82	<p>In year 1,2,5,6,9 and 10 purchase 7 security tracking devices for staff field trips Base unit cost: 660 USD Starting in year 2, security monitoring services per device and maintenance service Base unit cost: 271 USD per device</p>	<b>71,514</b>
CoF83	<p>Starting year 1, 2 consultants with travel budget to support data collection and development of safeguards plans during project implementation Base unit cost: 19,020 USD</p>	<b>802,517</b>

	<p>In year 1, 8 consultants with travel budget to implement socio-economic and land tenure baseline studies (2 per landscape) Base unit cost: 19,020 USD</p> <p>Starting year 5, 1 Private security Agency to support safeguards capacity building in EEs Base unit cost: 42,857 USD Shared with 3K (72.55% in Year 5)</p>	
CoF84	<p>8 trips per year that include national and local transport and per diems Base unit cost: 452 USD</p>	<b>48,239</b>
3R	<p>In year 1,2,5,6,9 and 10 purchase 7 satellite phones devices for staff field trips Base unit cost: 660 USD Starting in year 1, security monitoring services per device and maintenance service Base unit cost: 271 USD per device</p>	<b>75,308</b>
<b>TOTAL</b>		<b>5,110,470</b>

## Appendix 1. WWF HECO Environmental and Social Safeguards Categorization Memo

### WWF Environmental and Social Safeguards - Risk Categorization Memorandum

<b>Project Name:</b> Heritage Colombia (HECO): Maximizing the contributions of Sustainably Managed Landscapes in Colombia for achievement of Climate Goals		<b>Date:</b> 04/14/2021																					
<b>Executing Agency/ies:</b> Fondo Patrimonio Nacional, Parques Nacionales Naturales, WWF Colombia																							
<b>Landscape Categorization on E&amp;S Risks:</b>  High Risk - (A) ___ and/or (Special Consideration) ___ /Medium Risk (B) <u>X</u> / Low Risk (C)___																							
<table border="1"> <thead> <tr> <th>Substantive Safeguard Standards Triggered:</th> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>Natural Habitats</td> <td>X</td> <td></td> </tr> <tr> <td>Pest Management</td> <td></td> <td>X</td> </tr> <tr> <td>Indigenous Peoples</td> <td>X</td> <td></td> </tr> <tr> <td>Restriction of Access &amp; Resettlement</td> <td>X</td> <td></td> </tr> <tr> <td>Community Health, Safety and Security</td> <td>X</td> <td></td> </tr> <tr> <td>Physical and Cultural Resources</td> <td></td> <td>X</td> </tr> </tbody> </table>			Substantive Safeguard Standards Triggered:	Yes	No	Natural Habitats	X		Pest Management		X	Indigenous Peoples	X		Restriction of Access & Resettlement	X		Community Health, Safety and Security	X		Physical and Cultural Resources		X
Substantive Safeguard Standards Triggered:	Yes	No																					
Natural Habitats	X																						
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Indigenous Peoples	X																						
Restriction of Access & Resettlement	X																						
Community Health, Safety and Security	X																						
Physical and Cultural Resources		X																					
<b>In addition to the Substantive Safeguards above, the four Process Standards apply to all projects:</b> <ul style="list-style-type: none"> <li>• Environmental and Social Risk Management</li> <li>• Consultation and Disclosure</li> <li>• Community Stakeholder Engagement</li> <li>• Grievance Mechanism</li> </ul>																							

## WWF Environmental and Social Safeguards - Risk Categorization Memorandum

### Summary of Key Safeguard Issues

**Heritage Colombia (HECO)** will generate significant mitigation and adaptation benefits through a paradigm shifting landscape approach in Colombia associated with a proven model for securing long-term financing to support increase of the effective management of the nation's protected areas network (SINAP, after its Spanish name). Carbon emission reductions will primarily be achieved by reducing drivers of deforestation, while adaptation benefits will be derived from the protection and restoration of healthy ecosystems through improved management of existing protected areas and adjacent lands and expansion of the protected areas network. This approach is fully consistent with national climate policy and NDC priorities, with the GCF investment embedded in a country-wide commitment to long-term management of protected areas, with HECO as its centerpiece.

By implementing its proposed activities, the Project will contribute to achieving the two primary fund-level impacts targeted: (i) Reduced emissions from land use, reforestation, reduced deforestation, and through sustainable forest management and conservation and enhancement of forest carbon stocks; (ii) Improved resilience of ecosystems and ecosystem services. The project components that will lead to the achievement of the proposed impacts are:

**Component 1: Effective management of sustainable resilient landscapes.** This component will declare two new protected areas, improve the effectiveness of protected area management and its contributions to climate mitigation and adaptation, and strengthen protected areas land use control and surveillance programs.

**Component 2: Local governance and territorial planning of sustainable and climate-resilient landscapes.** This component will increase functional and structural activity at the landscape scale, promote sustainable and climate-friendly livelihoods to enhance socioecological resilience to climate change, provide technical assistance and implement capacity building programs to local communities and production sectors for climate-smart landscape management, improve land use planning to address deforestation and land degradation, improve water management resources to reduce human vulnerability to climate change, and mobilize financial resources to increase protected area effectiveness and landscape management.

**Component 3: Generation of climate and ecosystem services and its corresponding monitoring systems to support decision making.** This component will strengthen and increase information management capacities to monitor deforestation, climate change, and water regulation at local and regional levels as well as strengthen national initiatives for monitoring forests, carbon storage and deforestation and the national hydro-meteorological information network.

The proposed project has been screened according to the Standard on Environmental and Social Risk Management and has been categorized as a Category "B" project, given that it is essentially a climate mitigation, adaption, and conservation initiative expected to generate significant positive and durable social, economic and environmental benefits. Any adverse environmental and social impacts are site specific and can be mitigated. Since the exact location and/or nature of potential investments have not yet been determined, an Environmental and Social Management Framework (including an Indigenous Peoples Planning Framework and a Process Framework) will be prepared to conform to WWF's Environment and Social Safeguards Framework.

**Standard on Natural Habitat:** Overall, activities of the Project will produce significant conservation and climate mitigation and adaptation benefits and any potential adverse environmental impacts on human populations or important natural habitats are expected to be very limited. While there shall be no conversion or degradation of natural habitats, this Standard has been triggered as a precaution to encourage the Executing Entity to be more cautious with the environmental assessment process when carrying out activities inside sensitive ecosystems (e.g. construction work).

## WWF Environmental and Social Safeguards - Risk Categorization Memorandum

**Standard on Restriction of Access and Resettlement:** There will be no land acquisition or involuntary resettlement of individuals and/or families under the proposed project. This standard is triggered because there will be two new NPAs created (in Patía and in Serranía de San Lucas) and one NPA expanded (Sierra Nevada de Santa Marta National Natural Park) under the GCF HECO project. The project includes activities to ensure effective management of NPAs and corridors; to implement conservation, use and management agreements; and to establish community water associations. These activities may restrict or prohibit the extraction of resources in certain areas of the NPAs and corridors, thereby restricting access to resources required for the subsistence and cultural maintenance of the affected populations. A Process Framework will be prepared as part of the ESMF to conform to WWF's Environment and Social Safeguards Framework.

**Standard on Indigenous People:** This standard is triggered because there are indigenous and afro-descendant communities living in the Caribbean mosaic. The indigenous people in the Caribbean mosaic are the Kogui, Kankuamo, and the Arhuacos. Afrocolombian communities include those in Guacoeche and Guacochito administrative districts and in the community councils of Arcilia, Tunez and Cardona located in the rural area surrounding the city of Valledupar in the department of Cesar; and the community council of Obatalá located in the municipality of Fundación within the department of Magdalena. These communities still do not have collective property titles over their territories, but they are recognized as Councils of Black Communities under national legislation. As the specific activities and locations of the project's activities are not yet defined, an Indigenous Peoples Planning Framework will be prepared as part of the ESMF to conform to WWF's Environment and Social Safeguards Framework.

**Standard on Pest Management:** The activities are not expected to trigger the Standard on Pest Management. The Project will not support the procurement or use of pesticides or other agricultural chemicals, or lead to the increased use of such chemicals. The ESMF will include guidance to this effect.

**Standard on Cultural Resources:** This standard is not triggered as the project is highly unlikely to have an impact on cultural resources.

**Standard on Community Health, Safety and Security:** While the project is in general expected to have positive, neutral or minimal impacts on community health, safety and security, this Standard is triggered due to activities involving small-scale construction works and patrolling. The ESMF will include guidance labor and working conditions and proper ranger conduct, respectively, to address these minor risks.

**WWF Environmental and Social Safeguards -  
Risk Categorization Memorandum**

**Summary of Cross Cutting Issues;** (Human Rights, Gender Equality and Women's Rights, Children's Rights, Conflict Sensitivity and Climate Change).

Conflict Sensitivity: Because of the post-conflict context where this project will work, an analysis of how these conflicts overlay with the HECO project activities is necessary to understand impact of project on these conflicts and vice versa. This analysis and any resulting mitigation measures will be included in the ESMF.

**Required Actions for Impact Assessment (ESIA) and Mitigation Framework (ESMF):**

Environmental and Social Assessment (ESA)

Environmental and Social Management Framework (ESMF), including an Indigenous Peoples Planning Framework (IPPF) and a Process Framework (PF)

Stakeholder Engagement Plan (SEP)

<p>DocuSigned by:  47E028025BCC424...</p> <p><b>Signature:</b> _____</p> <p>Name: <u>Erika Drazen</u></p> <p>Position: <u>Lead Safeguards Specialist</u></p>	<p style="text-align: right;">4/15/2021</p> <p style="text-align: right;"><b>Date:</b> _____</p>
<p>DocuSigned by:  DD6030B6C7E2448</p> <p><b>Signature:</b> _____</p> <p>Name: <u>Brent Nordstrom</u></p> <p>Position: <u>Senior Director, Integration and Performance</u></p>	<p style="text-align: right;">4/17/2021</p> <p style="text-align: right;"><b>Date:</b> _____</p>

## Appendix 2. Activity-level Safeguard Eligibility and Impacts Screening

This screening tool needs to be filled out for each activity or category of activities included in the annual work plan and budget. In the case of the HECO project, “project activity” will mean that each project Output should be screened for every landscape mosaic. This means that all activities under a given output will be considered together in the same screening, but they must be considered within the context of each of the five landscape mosaics. Because this project will work in five distinct landscape mosaics with very different stakeholders, it is necessary to screen the landscapes individually, even though the Outputs are applicable to the entire scope of project activities.

In addition, the screening tool needs to be completed whenever management measures or management plans are developed and/or when new project intervention areas are determined.

The tool will be filled out by the Technical Leads and reviewed by the Safeguards Specialists. The decision on whether a Site-Specific Environmental and Social Management Plan (ESMP) and/or Indigenous Peoples Plan (IPP) are required shall be made by the Safeguards Specialists in consultation with the WWF GCF AE Safeguards Specialists and Technical Leads, based on the information provided in this screening form, as well as interviews with PMU staff, local communities, and any other relevant stakeholders.

### **Part 1: Basic Information**

1	Output Name	
	Description of Activity (“sub-activities”)	
2	Type of Activity:	New activity <input type="checkbox"/> Continuation of activity <input type="checkbox"/>
3	Activity location:	
4	Total size of site area	
5	Activity implementation dates	
6	Total cost	

(Move to Part 2 after filling in all information in the table above)

### **Part 2: Eligibility Screening**

No .	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/ Explanation
1	Lead to land management practices that cause degradation (biological or physical) of the soil and water? Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.			
2	Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species?			
3	Significantly increase GHG emissions?			
4	Use genetically modified organisms or modern biotechnologies or their products?			
5	Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization?			
6	Develop forest plantations?			
7	Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species?			
8	Involve the procurement or use of weapons and munitions or fund military activities?			
9	Lead to private land acquisition and/or the physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people?			
10	Contribute to exacerbating any inequality or gender gap that may exist?			
11	Involve illegal child labor <sup>22</sup> , forced labor, sexual exploitation or other forms of exploitation? <sup>23</sup>			
12	Adversely affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area?			
13	Negatively impact areas with cultural, historical or transcendent values for individuals and communities?			

<sup>22</sup> Note that not all forms of child labor may be prohibited. In many cultural contexts, children work alongside their parents part time to learn skills they will need as adults. According to the UN, child labor is a form of exploitation that is a violation of a human right and it is recognized and defined by international instruments, specifically ILO Convention 138 (Minimum Age Convention) and 182 (Worst Forms of Child Labor Convention).

<sup>23</sup> Note that according to Colombian Law and the ILO Convention 138, of which Colombia is a signatory, children under 15 may not work with few exceptions.

No .	Screening Questions: <i>Would the project activity</i>	Yes s	No	Comments/ Explanation
Please provide any further information that can be relevant:				

- If all answers are “No”, project activity is eligible and move to Part 3
- If at least one question answered as “yes”, the project activity is ineligible and the proponent can reselect the site of project activity and do screening again.

### **Part 3: Impacts screening**

Answer the questions below and follow the guidance to provide basic information regarding the suggested activity and describe its potential impacts.

No	Would the project activity:	Yes/No	Provide explanation and supporting documents if needed
<b><i>Environmental Impacts</i></b>			
1	Result in permanent or temporary change in land use, land cover or topography.		
2	Involve clearance of existing land vegetation		If yes, number of trees to be cut down: Species of trees: Are the trees protected: Total land area of vegetation cover removed: Estimated economic value of the trees, crops and vegetation to be cut down / removed and any replacement costs (e.g., fees, registration, taxes): <i>Provide additional details:</i>
3	<i>Does the activity involve reforestation or modification of natural habitat? If yes, will it involve use or introduction of non-native species into the project area?</i>		
4	<i>Will pesticides be used? If so, are they on the list of those excluded by the Stockholm Convention?</i>		
5	Result in environmental pollution? This may include air pollution, liquid waste, solid waste, or waste as the result of earth moving or excavation for example		
6	Trigger land disturbance, erosion, subsidence and instability?		

7	Result in significant use of water, such as for construction?		
8	Produce dust during construction and operation?		
9	Generate significant ambient noise?		
10	Increase the sediment load in the local water bodies?		
11	Change on-site or downstream water flows?		
12	Negatively affect water dynamics, river connectivity or the hydrological cycle in ways other than direct changes of water flows (e.g. water filtration and aquifer recharge, sedimentation)?		
13	Result in negative impacts to any endemic, rare or threatened species; species that have been identified as significant through global, regional, national, or local laws?		
14	Could the activity potentially increase the vulnerability of local communities to climate variability and changes (e.g., through risks and events such as landslides, erosion, flooding or droughts)?		
<b>Socio-Economic Impacts</b>			
15	Negatively impact existing tenure rights (formal and informal) of individuals, communities or others to land, fishery and forest resources?		
16	Operate where there are indigenous peoples and their lands/territories/waters are located?  OR  Operate where any indigenous communities have close cultural/spiritual or land use relationships? If yes to either, answer questions		
	a. Has an FPIC process been started? b. Will any restrictions on their use of land/territories/water/natural resources be restricted?		
17	Restrict access to natural resources (e.g., watersheds or rivers, grazing areas, forestry, non-timber forest products) or restrict the way natural resources are used, in ways that will impact livelihoods?		
18	Restrict access to sacred sites of local communities (including ethnic minorities) and/or places relevant for women's or men's religious or cultural practices?		

19	Operate where there are any cultural heritage or religious or sacred sites that may be impacted by the project?		
20	Undermine the customary rights of local communities to participate in consultations in a free, prior, and informed manner to address interventions directly affecting their lands, territories or resources?		
<b>Labor and Working Conditions</b>			
21	Involve hiring of workers or contracting with labor agencies to provide labor? If yes, answer questions a-b below.		
	a. Are labor management issues prevalent in the landscape? b. Are illegal child labor issues prevalent in the landscape?		
22	Involve working in hazardous environments such as steep, rocky slopes, areas infested with poisonous animals and/or disease vectors?		
<b>Minorities and Vulnerable Groups</b>			
23	Negatively affect vulnerable groups (such as ethnic minorities, women, poorer households, migrants, and assistant herders) in terms of impact on their economic or social life conditions or contribute to their discrimination or marginalization?		
24	Stir or exacerbate conflicts among communities, groups or individuals? Also considering dynamics of recent or expected migration including displaced people, as well as those who are most vulnerable to threats of sexual exploitation, abuse or harrassment.		
<b>Occupational and Community Health and Safety</b>			
25	Involve any risks related to the usage of construction materials, working high above the ground or in canals where slopes are unstable?		
26	Expose local community to risks related to construction works or use of machinery (e.g., loading and unloading of construction materials, excavated areas, fuel storage and usage, electrical use, machinery operations)		
27	Generate societal conflicts, increased risk of sexual exploitation, abuse or harrassment or pressure on local resources between temporary workers and local communities?		
28	Work in areas where forest fires are a threat? If yes, how recently was the last one?		

29	Work in areas where there the presence or history of vector-borne diseases (some examples include malaria, yellow fever, encephalitis)		
<b>GBV/SEAH Risks</b>			
30	Is there a risk that the project could pose a greater burden on women by restricting the use, development, and protection of natural resources by women compared with that of men?		
31	Is there a risk that persons employed by or engaged directly in the project might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)? The response must consider risks not only at the beneficiary level, but also to workers within all the organizations receiving GCF funding.		
32	Does the project increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices or singling out women and girls for training without complimentary training/education for men? The response must consider all workers within the organizations receiving GCF funding.		
33	Does any mandated training for any individuals associated with the project (including project staff, government officials, park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)?		
<b>Conflict Sensitivity and Risks</b>			
34	Are there any major underlying tensions or open conflicts in the landscape/seascape or in the country where the landscape/seascape is situated? If yes, answer a-d below		
	<ul style="list-style-type: none"> <li>a. Is there a risk that the activities interact with or exacerbate existing tensions and conflicts in the landscape/seascape?</li> <li>b. Do stakeholders (e.g. implementing partners, rights holders, other stakeholder groups) take a specific position in relation to the conflicts or tensions in the landscape/seascape or are they perceived as taking a position?</li> <li>c. How do stakeholders perceive WWF Colombia and Patrimonio Natural and its partners in relation to existing conflicts or tensions?</li> <li>d. Could the conflicts or tensions in the landscape/seascape have a negative impact on the activities?</li> </ul>		
35	Could the activities create conflicts among communities, groups or individuals?		
36	Are some groups (stakeholders, rights holders) benefiting more than others from the activities? And if so, how is that affecting power dynamics and mutual dependencies?		

37	Do the activities provide opportunities to bring different groups with diverging interests positively together?		
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List of documents to be attached with Screening form:

1	Layout plan of the activity and photos
2	Summary of the activity proposal
3	No objection certificate from various departments and others relevant stakeholders

**Screening Tool Completed by:**

Signed:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

**Screening Conclusions [TO BE COMPLETED BY Safeguards Specialist]**

i. Main environmental issues are:

ii. Permits/ clearance needed are:

iii. Main social issues are:

iv. Further assessment/ investigation needed and next step.

a. Need for any special study:.....

b. Preparation of ESMP (main issue to be addressed by the ESMP):.....

c. Any other requirements/ need/ issue etc:

	<b>Screening Tool Reviewed by:</b>  Signed: Name: _____ Title: _____ Date: _____
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# Appendix 3. Security Risk Analysis for the HECO project

## National Context

### Armed conflict and organized violence

The dynamics of the armed conflict and organized violence in Colombia in the post-agreement period have been marked by disputes between different illegal armed actors and their intention to take over and expand their control in various areas of the country.

According to the Ombudsman's Office, territories where the former FARC-EP maintain their hegemony, sustained by illicit economies that allowed them to control the territory and national and international trafficking routes, there is a risk of increase in confrontations involving dissidents who did not abide by the terms of the peace agreement and other illegal armed groups.<sup>24</sup>

According to an analysis by Fundación Ideas para la Paz (FIP), it is evident that in some regions of the country, active disputes and clashes between armed factions continue, while in others there are fragile balances and unstable territorial divisions. At the same time, there are areas in the country where illegal armed groups have already consolidated their influence, while in others they are just beginning their incursion.<sup>25</sup>

The armed conflict and disputes between illegal armed groups are directly impacting territories of peasant and ethnic communities in different areas of the country that are affected by control actions, confinements, kidnappings, forced displacements, stigmatization, threats and homicides of environmental social leaders and signatories of the peace agreement, among others.

In its 2022 Humanitarian Challenges Report, the ICRC alerted the Colombian government to the reconfiguration of non-state armed actors and the increase of armed confrontations and social control, which increased pressure on the civilian population throughout 2021.

Specifically, it identified six Non-International Armed Conflicts in Colombia:

1. Colombian Government – ELN (Ejército de Liberación Nacional or National Liberation Army)
2. Colombian Government – AGC (Auto Defensa Gaitanistas)
3. Colombian Government – Former FARC-EP that did not adopt the Agreement
4. ELN – AGC (Auto Defensas Gaitanistas)
5. Former FARC that did not adopt the Agreement – Segunda Marquetalia
6. Former FARC that did not adopt the Agreement – Comandos de Frontera

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<sup>24</sup> Defensoría del Pueblo. Informe especial: economías ilegales, actores armados y nuevos escenarios de riesgo en el posacuerdo 2018.

<sup>25</sup> Fundación Ideas para la Paz–FIP. El conflicto armado y su impacto humanitario y ambiental: tendencias durante la pandemia, 2020

## Illegal crops

Illegal armed groups, who are not acting in accordance with the 2016 Peace Agreement, continue to exist in conflict with both the government and other illegal armed actors. These groups are further tied to narcotrafficking and have increasingly based operations and coca production in protected areas and other areas of conservation significance. It should be noted, however, that while the presence of illegal armed groups continues to consolidate in the territories affected by coca, there are also warnings about the reorganization of criminal groups in areas without coca crops.

According to data published by UNODC, the government policy “Ruta Futuro” (which sets strategies according to the conditions of each territory and has now been operative for three years), classifies the territories where coca is produced in the country into one of three categories:

1. *Special Management Zones*: which include second law<sup>26</sup> zones, national natural parks, indigenous reserves, and the lands of the black communities.
2. *Strategic Interest Zones*: which include productive integration zones<sup>27</sup>, regional natural parks, buffer zones<sup>28</sup> and border zones<sup>29</sup>.
3. *Free Intervention Zones*: which in turn include those areas isolated from population centers, permanently affected territories, high coca density zones and other areas that are not included in any of the above.

About half of the coca is in areas of conservation interest, in what “Ruta Futuro” classifies as Special Management Zones: by 2020, 48% of the country's coca was located in special management zones, 34% in zones of strategic interest and 18% in zones of free intervention. Within the special management zones, 42% of coca was in forest reserve zones, the highest percentage in the last 17 years, only surpassed in 2002 and 2001, with 51% and 56%, respectively.

Thus, According to UNODC,<sup>30</sup> coca has increased in National Natural Parks and continues to be concentrated in territories with special management regulations, such as indigenous reserves, lands of black communities and reserve zones. Only four protected areas, Catatumbo Barí, Paramillo, Nukak and Sierra de la Macarena, account for 71% of the area planted with coca in National Parks; in 2019, these same areas accounted for 67% of the national total. Of the four, three show an increase except Sierra de la Macarena, which reduced its area by 9%, which contributed to moving from second place in 2019 to fourth place in 2020. It is important to note that of these four protected areas, the HECO Project will only be operating within Sierra de la Macarena.

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<sup>26</sup> Las Zonas de Reserva Forestal de la Ley 2ª de 1959 y el Decreto 111 del mismo año, fueron declaradas para el desarrollo de la economía forestal, la conservación de las aguas, los suelos y la fauna silvestre. Por su naturaleza, son de utilidad pública e interés social, y se constituyen como principal elemento integrador del patrimonio ecológico y ambiental de la Nación; su propósito es la conservación y el desarrollo de una economía forestal; sin embargo, no constituyen áreas destinadas a la preservación absoluta

<sup>27</sup> Zonas afectadas por cultivos de coca que se encuentran a menos de 15 km de una cabecera municipal

<sup>28</sup> Zonas próximas (15 km) a los Parques Nacionales Naturales

<sup>29</sup> Zonas próximas (10 km) a las fronteras terrestres del país

<sup>30</sup> UNODC. Colombia Monitoreo de territorios afectados por cultivos ilícitos 2020. Publicado junio 2021. PDF

In the north of the country, the highest concentrations are consolidated in the Bajo Cauca and Bolívar regions, particularly in the Cauca river canyon, as well as in the foothills of the Serranía de San Lucas.<sup>31</sup>

It should be noted that one of the most salient threats to biodiversity and cultural conservation is the growth of coca crops within "Special Management Areas" (Áreas de Manejo Especial, AME); that is, in areas that have been designated for protection because they encompass ecosystems that are key to the regulation of ecosystem services, protection of species, historical or cultural manifestations, as well as territories that seek collective, autonomous protection of ancestral territories. For example, National Natural Parks, Indigenous Reserves and Lands of Black Communities are part of this AME. This particular coca production, which amounted to 29% of all the nationally produced coca in 2020, is not only a risk to biodiversity, as stated, but works to catalyze other activities that further impact AMEs.<sup>32</sup>

## **Prioritized Project Areas**

The 5 regions prioritized for the project have areas impacted by armed conflict scenarios, organized violence, coca leaf crops, and criminal exploitation of natural resources. This, however, does not mean that the regions will be affected indiscriminately or in the same manner, which is why the specific conditions of each area must be taken into account.

### **1. *New San Lucas protected area***

The Serranía de San Lucas is located between the departments of Antioquia and Bolívar, between the Andean mountainous region and the Caribbean plains.

It is a mountain massif separated from the Andes mountain range, located in the Department of Bolívar (municipalities of San Pablo, Cantagallo, Simití, Santa Rosa del Sur, Montecristo, Arenal, Río Viejo, Morales, Tiquisio and Norosí) and the Department of Antioquia (municipalities of El Bagre, Remedios and Segovia).<sup>33</sup>

These two areas of the country are of historical interest to illegal armed groups because of their distance from the departmental capitals; their weak state presence and fragile governance; their location and geography, which have allowed them to be used as mobility corridors both by land and river; for coca leaf cultivation and the criminal exploitation of natural resources such as gold. Southern Bolívar is a zone of armed conflict and organized violence linked to drug trafficking, where the AGC (Auto Defensas Gaitanistas or Clan del Golfo), the ELN (Ejército de Liberación Nacional or National Liberation Army) and FARC dissidents (as the authorities have called the fronts that did not sign the Peace Accord) are present. In Sur de Bolívar, the ELN has increasingly used violence to exert control over the population.<sup>34</sup>

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<sup>31</sup> UNODC. Colombia Monitoreo de territorios afectados por cultivos ilícitos 2020. PDF

<sup>32</sup> Ibid, p. 36.

<sup>33</sup> <https://www.parquesnacionales.gov.co/portal/es/sistema-nacional-de-areas-protegidas-sinap/portafolio-de-nuevas-areas-protegidas-del-sistema-de-parques-nacionales/>

<sup>34</sup> <https://razonpublica.com/los-desafios-la-politica-seguridad-2022/>

Similarly, the part of the Serranía de San Lucas located in the department of Antioquia in the municipalities of El Bagre, Remedios and Segovia, are part of the sub-region of Bajo Cauca and Northeastern Antioquia. This sub-region connects the interior of the country with the Colombian Caribbean coast and is characterized by its richness in minerals and water sources.

These characteristics have been exploited by criminal groups that have turned the sub-region into a belt of illegality that connects this part of Antioquia with Catatumbo and Urabá for drug trafficking, illegal mining and other illicit activities.

Thus, the sub-region has experienced multiple disputes between illegal groups, with high rates of threats, attacks and homicides of the population as a whole and of social leaders. This situation is compounded by limited access to public goods, lack of roads and waterways, and social inequality.

At the same time, since the signing of the Peace Agreement, coca crops increased from 8,512 hectares in 2016 to 13,147 hectares in 2017. In 2018, the trend changed with a reduction to 12,869 hectares and to 9,060 hectares in 2019.<sup>35</sup>

ELN, FARC dissidences, AGC and Caparros are present in this area, presenting disputes between them for the control of this territory.

## **2. *Heart of the Amazon***

This Mosaic of landscapes is located between the departments of Meta and Guaviare and includes:

- Macarena National Park
- Chiribiquete National Park
- Capricho & Mirolindo Forest Reserve
- Caño Dorado River
- Nucleus 2 Picalojo
- Nucleus 1 Puerto Nuevo
- La Lindosa National Forest Reserve

Meta department:

According to information published by the CINEP, armed violence in La Macarena is not currently perceived as a new conflict but as a continuation of the previously existing one. Although the period of peace dialogues and the operation of the ETCR have reduced their intensity, the current actors, strategies and dynamics of the confrontation have more continuities than discontinuities with the stage prior to the demobilization of the FARC-EP. Thus, while the actors are not

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<sup>35</sup><https://www.procuraduria.gov.co/portal/media/file/MSI%20%20RESUMEN%20EJECUTIVO%20BAJO%20CAUCA%20Y%20NORDESTE%20ANTIOQUEÑO.pdf>

completely new in this region, there is an unfolding reconstitution of forces and a reorganization of their hierarchies in order to maintain a constant presence in the daily life of the population.<sup>36</sup>

The armed conflict in the department of Meta has had a differentiated impact on women. According to information from the Truth Commission, the municipality of Vista Hermosa has the highest rate of forced disappearance of women in the country and sexual violence, according to information received from social leaders in the area,<sup>37</sup> and continues to be a scenario of control and subjugation.

Guaviare department:

This is a department located in what has been called the deep Colombia, a region far from the country's capital, with an exuberant natural wealth and with an ongoing dynamic of armed conflict and historical presence of the FARC and paramilitary groups.

The trails opened by the former guerrillas of the Revolutionary Armed Forces of Colombia (FARC) have expanded and now threaten the Amazon. In the south of Colombia, in the departments of Caquetá and Guaviare, the illegal groups did not allow anyone to enter these lands due to military strategy, but now the thick jungle that for years was forgotten and forbidden to most people has progressively become more open to different actors.<sup>38</sup>

With the signing of the Peace Accord in 2016, control passed into the hands of FARC dissidents, who have not been interested in controlling logging and road construction. Today, roads cut through the middle of the jungle and seek to open up these territories to connect them to the rest of the country.

Through Global Forest Watch, Mongabay Latam found that logging was accelerating inside the protected areas, as around 12,801 deforestation alerts have been registered in these spaces as between 2020 and 2021, almost 50% more than in 2019.<sup>39</sup>

### **3. *Central Andes***

This mosaic of landscapes and rivers is located in the departments of Tolima, Caldas, Risaralda and Quindío, and it includes:

- Los Nevados National Park
- Las Hermosas National Park
- Chinchiná River Basin
- Amaime/Cerritos River Basin

Of these four departments, it is in Tolima and its Cañón de las Hermosas where armed conflict scenarios and the presence of illegal armed groups have the greatest impact.

In November 2021, the Ombudsman pointed out that three early warnings were still in force, warning of the violation of the rights of the inhabitants of Flandes, Girardot, Ricaurte, Río Blanco, Planadas, Espinal, Santa Isabel, Murillo, Ataco and Chaparral. He warned that the inhabitants of

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<sup>36</sup> <https://www.revistaciendascinep.com/home/reconfiguracion-del-conflicto-en-la-macarena-meta/>

<sup>37</sup> Información recibida en Taller de WWF Colombia con Líderes y Lideresas Sociales en diciembre de 2021 en Bogotá

<sup>38</sup> <https://es.mongabay.com/2021/07/vias-ilegales-resguardo-indigena-yaguara-chiribiquete-colombia/>

<sup>39</sup> Ibid

this region faced the actions of FARC dissidents, the Clan del Golfo and residual groups of the AUC.

This territory has been continually harmed by organized armed and criminal groups, as it is a strategic corridor between Urabá and Antioquia with the south of the country and between the Pacific and the center of the country.

In this important strategic corridor, where the FARC guerrilla originated, the residual groups that remained after the Final Peace Agreement have sought to regain their hegemonic control, especially in the south and north of the department, through the so-called “Western Coordinated Command,” the “Ismael Ruiz” front, the “Dagoberto Ramos” column, the “Adán Izquierdo” company and the “Segunda Marquetalia” with the “Alfonso Cano” front.

Likewise, the Clan del Golfo, known as the country's criminal and drug trafficking group, together with some residual structures from the demobilization of the paramilitaries have sought territorial control of this strategic region. There is information suggesting that these illegal armed groups are trying to establish control over the population, the territory and the illicit activities of drug trafficking and extortion. In this criminal path, the rights of the populations have been affected and it is urgent that the presence of the State be reinforced, not only with its prevention and attention agencies, but also with all its social offerings.”<sup>40</sup>

#### **4. Orinoco Transition**

This mosaic of landscapes and rivers is located in the departments of Cundinamarca and Meta, and includes:

- Chingaza National Park
- Gachalá – Junio
- Upper Guacavia River Basin
- Upper Guatiquia River Basin

Chingaza National Natural Park, which supplies water to Bogotá and other municipalities, is working to expand into a conservation nucleus of high Andean and Andean forests in the municipalities of Junín and Gachalá to the north of the park's central zone.<sup>41</sup>

According to the Ombudsman's Office, armed groups trying to control illegal economies in the Bogotá-Cundinamarca region have set up a four-node scenario that articulates two mobility corridors:

- On one side is the eastern corridor that runs from the town of Usme to Usaqué and connects with the municipalities of Chipaque, Ubaque, Choachí, La Calera, Guasca and Sopó. The eastern hills seem to be the reference point in this corridor.
- On the other hand, there is the western corridor, formed by the localities of Ciudad Bolívar, Bosa, Kennedy, Fontibón, Engativá and Suba, and connected to the Bogotá savannah from the municipality of Sibaté to the municipalities of Chía and Soacha.

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<sup>40</sup> <https://www.infobae.com/america/colombia/2021/11/20/defensoria-atiende-a-las-comunidades-del-tolima-que-estarian-en-riesgo-por-los-grupos-armados-ilegales/>

<sup>41</sup> <https://www.parquesnacionales.gov.co/portal/es/sistema-nacional-de-areas-protegidas-sinap/portafolio-de-nuevas-areas-protegidas-del-sistemas-de-parques-nacionales/>

These corridors are characterized by high rates of hired killings, illegal land purchase and sale, usurious loans, illegal taxes in exchange for 'security', and the production, distribution and commercialization of narcotics. In addition, there are armed groups illegally appropriating land to sell it to the poorest people living in the identified corridors. These practices are recurrent in the municipalities of Cundinamarca, especially in Soacha.<sup>42</sup>

## **5. Caribbean**

This mosaic of landscapes and rivers is located in the departments of Magdalena, La Guajira and Cesar, and it includes:

- Sierra Nevada de Santa Marta National Park
- Ciénaga Grande F&F Sanctuary
- Perijá Regional Park
- Río Seco River Basin
- Fundación River Basin
- Los Besotes Regional Park
- Sierra Nevada National Park expansion

In the Sierra Nevada de Santa Marta, where one of the purest waters on the planet is produced, the lack of sewage and proper garbage disposal has contaminated the rivers, causing serious problems for the health of the surrounding inhabitants in the area, but also for the environment. The most important problem is basic sanitation, as there is no sewage system or treatment plant for drinking water, nor is there adequate garbage disposal.

The Sierra Nevada, due to its geographic characteristics and strategic location, is an important scenario for territorial disputes between illegal armed actors. Its proximity to the sea facilitates smuggling, the supply of arms and ammunition, and drug trafficking. It is also a strategic corridor that extends from the Venezuelan border to the Urabá region and includes the regions of Cesar and the Ciénaga Grande de Santa Marta, on the way to the Córdoba region.<sup>43</sup>

By the end of April 2022: "767 people were displaced from their lands by the clashes between Los Pachenca and the Gulf Clan in the village of La Secreta, a rural area of the municipality of Ciénaga Magdalena. The outbreak of war over control of drug trafficking routes had been predicted for many weeks and, according to the community, no one had done anything to prevent it. The army, despite the worrying warnings from social leaders and early warnings from the Ombudsman's Office, was absent. However, the hired killers from both sides kept their word of death and met up to shoot each other and let the blood flow. Although, in reality, according to information from the community, the confrontations had already been going on for some days."<sup>44</sup>

The Pachenca have bases in the mountainous part of the villages of Palmor, Siberia, San Pedro and San Javier, as documented by the Ombudsman's Office, which through an early warning (044) of 2019 had already warned about the massive displacement of the village, as well as about the uninterrupted and consolidated presence of paramilitary groups in the Sierra.

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<sup>42</sup> <https://razonpublica.com/seguridad-bogota-cundinamarca-poder-cultura-ciudadana/>

<sup>43</sup> <https://www.elheraldo.co/magdalena/miedo-en-la-sierra-nevada-cronica-de-una-guerra-anunciada-903655>

<sup>44</sup> Ibid

For his part, the Governor of the Cabildo Arhuaco Magdalena, Guajira, Sierra Nevada warns that there is a recolonization in this area, especially due to "recent invasions in the Arhuaco territory and damages due to the practice of "slash and burn" who has previously denounced to the Attorney General's Office the looting of archaeological sites, invasion in the Arhuaco territory, logging and road construction in this territory.

On the morning of May 28, 2022 in Kankawarwa, a town in the Sierra Nevada de Santa Marta, a fire was registered that caused the total burning of 12 houses and affected others, 259 people from 29 families lived in these houses, and although the burning was controlled and there were no injuries. The cause of the burning is still under investigation.<sup>45</sup>

According to news published on June 22, 2022, an intra-community conflict is being experienced in Pueblo Bello- Cesar, one of the municipalities of the Sierra Nevada and has to do with the evangelization process by evangelical churches and has generated clashes between followers and non-followers of this gospel that they think changes the worldview of their territory and affects their identity.

"The vertiginous advance of evangelical churches in the villages of the Sierra Nevada de Santa Marta is for observers one of the most serious problems that today compromise the survival and future of the Arhuacos.<sup>46</sup>

In the sector of Dibulla in La Guajira, on 1 Feb 2022, indigenous people of the Kogui Wiwa ethnic group, of the Sierra Nevada, announced that unidentified persons burned their huts, sacred sites for their community, children were at risk, a woman disappeared, and they fear for their lives. There is gold in this territory and the indigenous people have opposed illegal mining in an area where paramilitary groups are also reportedly present.

Activities other than conservation, recovery and control, research, and education are prohibited in the Ciénaga Grande de Santa Marta Flora and Fauna Sanctuary.

It is formed by progressive accumulations of sediment from the Magdalena River and is made up of mangrove ecosystems, marshes, rivers, canals, and swampy areas; it is part of a water complex of more than 100 marshes that have different levels of sedimentation and salinity. The protected area is a micro-region framed in the southeastern, southern and southwestern part of the Ciénaga Grande de Santa Marta, in the Department of Magdalena, in the jurisdiction of the municipalities of Pueblo Viejo, Sitio Nuevo, Remolino, Pivijay and El Retén.

Communities: There are currently no human settlements within the protected area. There are Palafitic populations in the Sanctuary's zone of influence: Bocas de Aracataca (Pueblo Viejo), Buenavista and Nueva Venecia (Sitio Nuevo).<sup>47</sup>

Los Besotes Regional Ecopark is located 10 kilometers north of Valledupar, where the construction of a dam is planned in the Besotes region, in indigenous territory.

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<sup>45</sup> <https://www.elespectador.com/colombia/video-incendio-en-kankawarwa-pueblo-de-la-sierra-nevada-de-santa-marta/>

<sup>46</sup> <https://www.youtube.com/watch?v=gf2YakPWuAE>

<sup>47</sup> <https://www.parquesnacionales.gov.co/portal/es/parques-nacionales/santuario-de-flora-y-fauna-cienaga-grande-de-santa-marta/>

Serranía del Perijá: “This mountainous massif with a great variety of flora and fauna covers 17 municipalities in the department of Cesar, from Pailitas to Manaure, and includes wet and dry forests and paramos.

The Serranía del Perijá is a mountainous region with a diversity of cultures and customs. It offers a climatic variety between 28 and 30° in the lower part. There are viewpoints for mining areas in the municipalities of La Jagua de Ibirico and Becerril.

With the demobilization and disarmament of illegal groups that operated in the area for years, many farmers have returned to their territory and young people have rediscovered the beauties of the Serranía del Perijá, and have started ecotourism projects and enterprises that are now advancing with great success.<sup>48</sup>

### **Conflict Management Framework (CMF)**

The actions of illegal armed actors in Colombia are particular to some of the landscapes where HECO will be implemented. The CMF will provide a structure for mitigation of risks to project staff and communities associated with this context as it relates to HECO and its activities. While HECO cannot directly mitigate the threat that the aforementioned groups pose, the risks that pertain specifically to the project can be mitigated through a four-point strategy:

- 1) *Preparedness*: As activities are implemented through project personnel and executing entities, proper preparation, sharing of information, and other measures will be implemented to reduce both the probability of chance encounters and the risks associated with these encounters should they occur.
- 2) *Reduce Probability of Retaliation*: One of the most persistent risks is that illegal armed actors misinterpret project goals and objectives as a direct threat to their modes of operation and thus might retaliate against communities either physically or morally, as the threat of such a retaliation erodes community confidence. Mitigation efforts are outlined in detail in Section 6 of the ESMF related to this risk.
- 3) *Maintaining Community Rapport*: The threats arising from this conflict are as much about perception as they are about the assumption of risk, both of which, if improperly managed, pose a twin risk to both communities and the success of the project. This underscores the importance of clear, honest communication with all stakeholders and project partners and thorough engagement with communities including free, prior, and informed consultation, respect for FPIC, and the establishment of a GRM.
- 4) *Early Warning*: Given the dynamic nature of these risks, the unequal distribution of these locations, and differentiated potential impacts based on different activities, it is essential to establish baseline information that can inform decision-making in the work planning process. This will be facilitated by a multi-stakeholder forum that has existed for many years before the HECO project, comprised of international NGOs, international aid organizations, government partners and security specialists.

Given the sometimes-fluid nature of these risks and the existence of a process to address and mitigate them by the government through the Peace Process, it is anticipated that information

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<sup>48</sup> <https://www.radionacional.co/noticias-colombia/turismo-ecologico-y-senderismo-en-la-serrania-del-perija-cesar>

gathered through the application of this framework will need to be regularly updated to reflect that progress.

### ***Security Situation and Risk Analysis***

The persistence of the conflict in some areas of Colombia poses two differentiated sets of risks: one to project personnel and another to the communities. Risks to project personnel are driven by the potential for encounters and interactions with illegal armed actors while carrying out activities such as patrolling and monitoring, though they may also face threats due to retaliation based on perceived project aims. Risks to communities and their security are largely driven by a risk of retaliation, which, as mentioned above, is largely driven by the potential for misinterpretation of project aims and perception of potential impacts on their modes of operation.

Illegal armed actors who operate in these areas can potentially employ a large variety of actions that can be deemed a threat to staff and communities alike when they interact with them. The types of actions include:

1. Kidnapping
2. Threat of armed attack
3. Utilization of landmines and/or explosives
4. Establishment of roadblocks
5. Theft/robbery
6. Coercion

To better understand these risks, they will be assessed using a probabilistic risk assessment matrix. The table works by analyzing the two aspects of that characterize risk: scale of impact and probability.

*Table 1: Risk Assessment Matrix*

	Negligible (1)	Minor (2)	Moderate (3)	Significant (4)	Severe (5)
Very Likely (5)	Medium	Medium	High	High	High
Likely (4)	Low	Medium	Medium	High	High
Possible (3)	Low	Medium	Medium	Medium	High
Unlikely (2)	Low	Low	Medium	Medium	Medium
Remote (1)	Low	Low	Medium	Medium	Medium

### ***Using this analysis***

Although these conflict and security risks have been assessed at the landscape level to establish a baseline for understanding their nature, it should be noted these risks do not exist in every part of the landscape or even in all parts of an individual project area. Also, please note that the below table contains the assessment of risk, whereas the mitigation measures for these risks are explained in great detail in the ESMF, Section 6.

*Table 2: Risk Categorization differentiated by Landscapes*

	Cause	Risk	Landscape	Probability	Impact	Rating
Risks for Communities	Misinterpretations of the scope of the project by illegal groups who believe that the project addresses sensitive interests in the territory, such as conducting criminal investigations.	Exposure of the physical safety of social and environmental leaders.	Caribbean	2	5	Medium
			Orinoco	1	5	Medium
			Amazon	2	5	Medium
			Andes	1	5	Medium
			San Lucas	2	5	Medium
	Management in areas of illicit crops where illegal groups perceive that there is interference with their illicit activities.	Violence redirected towards the communities impacted by the project (consider the risks prevalent in a conflict or post-conflict context and the dynamics of recent or anticipated migration)	Caribbean	2	5	Medium
			Orinoco	1	1	Low
			Amazon	2	5	Medium
			Andes	1	1	Low
			San Lucas	1	1	Low
Risk for Project Personnel	<ul style="list-style-type: none"> <li>• Safety and protection risks to professionals who implement the activities in the project areas.</li> <li>• Security risks in case of interacting with perpetrators of illegal activities</li> </ul>	Decrease in safety for those who implement the activities in the project areas.	Caribbean	2	5	Medium
			Orinoco	1	5	Medium
			Amazon	2	5	Medium
			Andes	1	5	Medium
			San Lucas	2	5	Medium

As demonstrated in the table above, all the risks that derive from the context have the potential for severe impacts due to their nature and can directly lead to violence, including the potential for loss of human life, in many instances. However, it is also noted that, in general, these risks are considered to be unlikely or even remote.

## **Methodology**

The values reflected in Table 2 have been obtained through the systematic application of an internally established methodology that underpins all of the work that WWF Colombia undertakes. As is well known, both WWF Colombia and Fondo Patrimonio Natural have a robust track record in the country: the former began working as an independent WWF office in 1993 and has since consolidated an extensive presence, while the latter has been executing on-the-ground financial programs and projects since 2005. As a result of their sustained work over the years, both organizations have acquired a deep understanding of the dynamics and dimensions that characterize the various sociopolitical conflicts in the region as they directly intersect with conservation endeavors. This has enabled them to develop successful actions without security effects linked to armed conflict and violence, despite the complexities.

Although the value that the specific knowledge and experience that both entities bring to the project cannot be overstated, WWF Colombia and Patrimonio consistently cross-reference their

data with their external security advisors and other partners, such as local and public authorities, as well as other NGOs and humanitarian organizations working in the different regions. This triangulation work is done through a series of regular meetings, such as monthly convenings with a security advisory group with humanitarian and development organizations, frequent consultations with entities such as USAID and occasional roundtables with European embassies to cross reference the most recent information on security conditions and measures. Crucially, this analysis also relies on the input from local communities (rural, farmers, indigenous and Afro-descendant), whose direct knowledge works as a detailed guide to navigate the targeted territories.

## **General Mitigation Protocols for Project Execution**

Given the reality of the country and the different types of social conflicts, WWF Colombia has developed a series of policies, protocols, security and self-care procedures that have been adapted to fit the needs of the HECO project. These policies and protocols have allowed WWF Colombia to develop their mandate, prevent and reduce public risk scenarios and will be used to aid the HECO Project in being equally successful.

WWF Colombia's security strategy includes seven guidelines:

- Information analysis
- Communications
- Personal preparedness/incident management
- Crisis committee
- Liaison with civil and law enforcement authorities
- Relationship with communities
- Include and cost the security component in each project

Additionally, WWF Colombia has a set of social policies and environmental and social safeguards developed and implemented in all its actions, which are described below:<sup>49</sup>

- I. WWF Statement of Principles on Indigenous Peoples and Conservation
- II. WWF's policy on poverty and conservation
- III. Conservation and human rights framework
- IV. WWF's gender policy
- V. WWF guidelines: Prevention of restriction of rights and relocation and resettlement of indigenous peoples, tribal and local communities.
- VI. WWF's Environmental and Social Safeguards Framework (ESSF)

The project will also have a grievance redress mechanism that allows stakeholders to notify the project team of any negative impact of actions not only on the environment and biodiversity, but also on the social environment in which it operates.

## **Overview of Safety and Security Mitigation Measures**

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<sup>49</sup> [https://wwf.panda.org/our\\_work/people/people\\_and\\_conservation/wwf\\_social\\_policies/](https://wwf.panda.org/our_work/people/people_and_conservation/wwf_social_policies/)

### 1) Measures related to Preparedness and Planning

A key component for establishing proper preparedness and planning is the establishment and following of designated security protocols. WWF Colombia and Patrimonio have jointly prepared Security protocols as discussed below, and the full details of the Project's Safety and Security Protocols are attached as Appendix 4 to this ESMF. The mitigation measures outlined below are also reflected in the ESMF in Section 6.

Risk	Mitigation Measures
<p>Safety risks to those undertaking control and surveillance:</p> <ul style="list-style-type: none"> <li>• Working conditions, safety and security risks for professional rangers.</li> <li>• Labor, working conditions, safety and security risks for voluntary (community) rangers</li> <li>• Security risks in case of encounters with perpetrators of illegal activities (e.g., coca, gold, wood, poachers)</li> </ul> <p>Safety risks to the IPLCs from control and surveillance activities:</p> <ul style="list-style-type: none"> <li>• Risk of culturally or gender inappropriate conduct by rangers (towards local population) or among rangers.</li> </ul>	<p>ESMP for surveillance and patrolling, addressing at least all the impacts and risks listed.</p> <ul style="list-style-type: none"> <li>• Participation mechanism for communities (as discussed in 3.1.3.b)</li> <li>• Contingency/security plans</li> <li>• Compliance of control and vigilance/surveillance protocols with WWF ESSF</li> <li>• Ensure control and surveillance protocols and trainings follow guidance from the Universal Ranger Support Alliance (URSA)</li> <li>• Ensure items on excluded list are not procured by project</li> <li>• Do background checks prior to contracting personnel</li> </ul>
<p>Significant threats to project teams, communities and/or allies caused by common and organized crime groups and/or presence and control of illegal armed groups in the areas.</p>	<p>*Prior to accessing project areas, analyze context and security situation with different sources of information: civil and law enforcement authorities, local organizations and think tanks, communities, and social and environmental leaders.</p> <p>*Activate the security protocol for field trips (Appendix 4: Security &amp; Safety Protocols).</p> <p>*Follow up and monitor teams in the field.</p> <p>*Policies and insurance for teams (staff and consultants) for WWF Colombia.</p>

<p>Unlawful coercion, extortion due to weak governance and fragile institutional framework in the territories, and also to the presence and control of illegal armed groups in project areas</p>	<ul style="list-style-type: none"> <li>*There is a security plan and protocol for dealing with extortion (Appendix 4: Security &amp; Safety Protocols).</li> <li>*Procedures guide and procedures manual for the value chain (Appendix 4: Security &amp; Safety Protocols).</li> <li>*Prior to entering the areas, analyze the context and security situation with different sources of information: civil and law enforcement authorities, organizations and think tanks, communities, and social and environmental leaders.</li> <li>*Cash handling protocol (minimize cash that project team carries in field).</li> <li>*Supplier banking and line-item management through local partners.</li> <li>*Dissemination of Security and Safety Protocols to different stakeholders and allies.</li> <li>*Training and capacity building for teams</li> </ul>
<p>Kidnappings, illegal roadblocks and actions to control territory by illegal armed groups</p>	<ul style="list-style-type: none"> <li>*Prior to entering project areas, analyze the context and security situation with different sources of information: Civilian and law enforcement authorities, foundations and think tanks, communities and social and environmental leaders.</li> <li>* Periodic territorial risk analysis.</li> <li>*Training of teams in prevention and management of kidnappings, illegal roadblocks, extortion.</li> <li>*Guidance on what to do in the event of illegal roadblocks or kidnappings (Appendix 4: Safety &amp; Security Protocols).</li> <li>*Coordination with the authorities in the area.</li> <li>*Coordination with community leaders and members of the community.</li> <li>*Tracking and monitoring in real time with satellite tracking equipment.</li> </ul>

	<p>*Maintaining awareness of all staff and consultant travel and the location of project teams on field visits to areas with high risk of kidnapping.</p>
<p>Antipersonnel mines, crossfire due to the presence and control of illegal armed groups in the zones and installation of antipersonnel mines and explosive devices as a control strategy in the territories and with the objective of keeping the public forces and communities away from the drug trafficking zones.</p>	<p>*Prior to accessing project areas, monitor the situation of incidents with antipersonnel mines and explosive traps in the work areas.</p> <p>*Training in MRE (mine risk education) with the Office of the High Commissioner for Peace.</p> <p>*Training in public risk incident management.</p> <p>*Communication with the authority in the area on security and safety issues, including anti-personnel mines.</p> <p>*Communication with community leaders and members, on security and safety issues, including anti-personnel mines.</p> <p>*Identification of medical and emergency centers (ARL).</p> <p>*WWF Colombia has the support of aerial emergency evacuation. - GEOS.</p>

## 2) Reducing Risk of Retaliation

Risk	Mitigation Measures
<p>Increasing capacity and participation of IPLCs, in particular women, youth and other vulnerable groups may lead to the risk of attacks on environmental defenders (particularly women and youth) from men inside community or from outsiders.</p>	<p>Work with human rights organizations and communities to determine how best to protect environmental defenders.</p>
<p>Exposure of social and environmental leaders to threat of violence through misinterpretation of the scope of the project by Illegal Armed Actors.</p>	<ul style="list-style-type: none"> <li>• High dissemination of the scope and purpose of the project through a communication strategy that actively involves the media.</li> <li>• Analysis and understanding of the security context considering different sources of information: civil and law enforcement authorities, international organizations, think tanks,</li> </ul>

	<p>communities, social and environmental leaders.</p> <ul style="list-style-type: none"> <li>• Preparation and Implementation of Protocols for the prevention and management of security incidents and public risk.</li> <li>• Training of the different interest groups in Human Rights, Security and Public Risk. (Staff and consultants, communities, allies and community organizations, public officials).</li> <li>• Support contacts with civil authorities and the public force.</li> <li>• Support contacts with leaders and communities in the territory.</li> <li>• A private security company that meets Human Rights standards will be hired.</li> <li>• There will be technological security tools (satellite device - real-time information.)</li> </ul>
Violence redirected towards the communities impacted by the project brought on by management in areas of illicit crop production where illegal groups perceive that there is interference with their illicit activities	<ul style="list-style-type: none"> <li>• The activities that the project will develop in the Sierra Nevada-Besotes-Perijá corridor will also be coordinated with the civil and environmental authorities of the area to guarantee their articulation with the development of the PDET and guarantee minimizing the security risk in the area.</li> <li>• Close dialogue and communication with the institutions and leaders that intervene in the territory to have "early warnings" and thus follow the guidelines issued by the regional and national government, in the event of a public order situation unrelated to the project</li> </ul>

### 3) *Maintaining Community Confidence*

Risk	Mitigation Measures
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Community safety and confidence in the project is undermined by lack of awareness of project activities, project risks, and proposed mitigation measures	Adherence to the stakeholder engagement and disclosure requirements for the project.
Threat context is magnified by lack of community ownership and engagement	<ul style="list-style-type: none"> <li>• Project activities implement stakeholder engagement requirements in a manner that is free, prior, and informed.</li> <li>• Project adheres to FPIC for Indigenous Peoples and Afro-Colombian populations.</li> </ul>
Project implementers are unaware of new developments related to the security context and gaps in proposed security measures	<ul style="list-style-type: none"> <li>• Adherence to project stakeholder engagement requirements</li> <li>• Adherence to project disclosure requirements</li> <li>• Implementation of effective Grievance Redress Mechanism(s) for project</li> </ul>

#### 4) *Early Warning*

In all project areas where there is known activity by illegal armed actors, a situational analysis will be conducted for use in work planning and project activity screening. In particular, the situational analysis will identify:

1. Areas where illegal armed actors operate and where there is a heightened risk due to their presence.
2. A risk rating for those areas indicating both scale and probability of risk.
3. Further information based on implementation, stakeholder engagement, and analysis of any relevant grievances about effectiveness of mitigation measures.
4. Any other information about significant changes in the presence of illegal armed actors and the threat they pose (e.g., new developments related to Peace Process, changes in their operations).

No activities will be able to proceed if the activity is directly linked to consequential risk that is deemed high. This will be determined by a three-step process:

- 1) Use of the ESS activity-level screening (Appendix 2) process as outlined in Section 7 of the ESMF to determine if the proposed activities can lead to a high-level risk.
- 2) If an activity is determined to have such a potential, it will be assessed if that risk is associated with implementation broadly across the conservation area or narrowly in places where illegal armed actors operate. If it is found to be only specific to areas of operation by illegal armed actors, the activity can proceed outside of these areas.

- 3) If an activity cannot proceed either in the whole or part of the conservation area, then the activity will be re-evaluated when the risk rating changes as a result of new developments (external events altering conflict dynamics or demonstration of effectiveness of mitigation measures) or during the next work planning process.

### **Monitoring and Adaptive Management**

As previously stated, it is important to recognize that the nature of threats addressed through this Appendix, namely those that the aforementioned conflict and illicit activities pose to the project, is dynamic and can change significantly, particularly given the timeframe for implementation of HECO. To that end, these risks will be continuously monitored as they manifest in the project and this framework and any constituent plans developed based upon it will be subject to adaptive management and updates as needed given project circumstances.

# Appendix 4. Security & Safety Protocols

## **GENERAL OBJECTIVE**

To have a roadmap that allows the adequate management and administration (prevention and mitigation) of security incidents and public risk in the development and implementation of the Heritage Colombia (HECO) project (“the project” hereafter). This Protocol will be adopted as part of the standard operating procedure of the project and will be reviewed every three years to ensure it continues to meet the needs of the project and reflect the realities of the local context.

## **1. SPECIFIC OBJECTIVES**

- Provide guidelines for safety and public risk management.
- Identify threats and public risk incidents that could affect the different stakeholders.
- Provide protocols and procedures to be implemented to prevent and reduce public risk scenarios in the development of projects.
- Identify the legal and performance framework for security management and handling of public risk incidents.

## **2. INTRODUCTION**

The HECO project is committed to creating an environment where the team (staff, consultants, communities, contractors) can conduct their work activities in the safest possible way. The creation of a safer work environment requires individual commitment from personnel (staff and consultants) and joint actions from Patrimonio Natural, WWF Colombia and all other partners involved in the project to manage and administrate safety risks under the following guidelines.

The guidelines in this Appendix are in line with Colombian legislation, specifically decree no. 1072 of 2015, the implementation of the “Occupational Health and Safety System” (SG-SST in Spanish) for every foundation and private enterprise. According to this, Patrimonio Natural developed these guidelines to guarantee that every person hired, is covered and the potential risks related to their job can be properly assess and managed.

The project will promote the strengthening of a security culture based on appropriate behaviors and self-care actions aimed at reducing the probability of public risk incidents. This includes:

- Identifying threats and public risk incidents that could affect personnel and stakeholders.
- Identifying the legal and performance framework for security management and handling of public risk incidents
- Providing protocols and procedures to be implemented to prevent and reduce public risk scenarios in the development of projects.

## **3. WWF SOCIAL AND ENVIRONMENTAL SAFEGUARD POLICIES**

WWF Colombia has a set of social policies and environmental and social safeguards developed and implemented in all its actions, which are listed below:

- I. WWF statement of principles on indigenous peoples and conservation
- II. WWF policy on poverty and conservation
- III. WWF Conservation and Human Rights Framework
- IV. WWF Gender Policy
- V. Statement of Principles on Indigenous Peoples and Conservation
- VI. WWF Guidelines on the Prevention of the Restriction of Rights and Involuntary Resettlement of Indigenous Peoples, Tribal and Local Communities
- VII. WWF's Environmental and Social Safeguards Framework (ESSF)

WWF Colombia also has a complaints and grievance mechanism that ensures that stakeholders, staff and partners have the ability to file any grievance related to negative impact of its actions, not only on the environment and biodiversity but also on the social environment in which it operates.

These instruments are based on the following general vision and principles:

### **3.1 GENERAL VISION**

- *Conservation and Human Rights*: WWF recognizes human rights as a central element in achieving conservation and development effectively.
- *Gender*: WWF believes that gender equality is central to achieving sustainable and inclusive conservation and human well-being. This policy promotes an enabling environment for individuals and groups to feel safe, respected, engaged, motivated and valued for who they are and their contributions.
- *Indigenous Peoples and Local Communities*: WWF is committed to collaborating with indigenous peoples, organizations and local communities to conserve and sustainably use natural resources and promote issues of common interest.
- *Conservation and Poverty*: This policy reaffirms WWF's commitment to adopt a "pro-poor" approach where conservation processes strive to find equitable solutions for people and the environment, making a special effort to include people and local and regional organizations so that they effectively play a key role in the elaboration of solutions for sustainable development.

### **3.2 PRINCIPLES FOR PROJECT ACTIONS**

- Promote Equity
- Respect the Rights of People
- Promote good governance
- Do no harm to vulnerable people
- Promote the natural assets of local communities
- Promote the equitable distribution of environmental costs and benefits.
- Co-responsibility: we are all obliged to comply with and implement the WWF Colombia Safety guidelines.
- If any member of the personnel (staff and consultants) prefers not to go to the field because of security concerns, they will inform the project leader of this decision and this will be respected. The situation will be evaluated in order to give continuity to any activities suspended by this decision.
- All staff members (staff and consultants) who receive privileged security and public risk information in the regions must share it with the security focal point, the human resources officer and/or the security advisor.

## **4. SECURITY POLICY**

In all activities and interactions with partners and stakeholders, the Project regards security as a core responsibility, based on three pillars:

- Protection of Personnel (staff, consultants, third parties).
- Coordination with Communities
- Brand Protection

The project's commitment to the respect and promotion of Human Rights in all situations and contexts establishes its framework for action. The security guidelines are in accordance with the Colombian legal framework and WWF US GEF AE safeguards.

The Security protocol outlined here helps the project team identify environmental conditions and activate prevention and self-care strategies with personnel (staff and consultants) and authorities (national, regional, local) to jointly prevent or mitigate risk situations that may affect people and the continuity of activities.

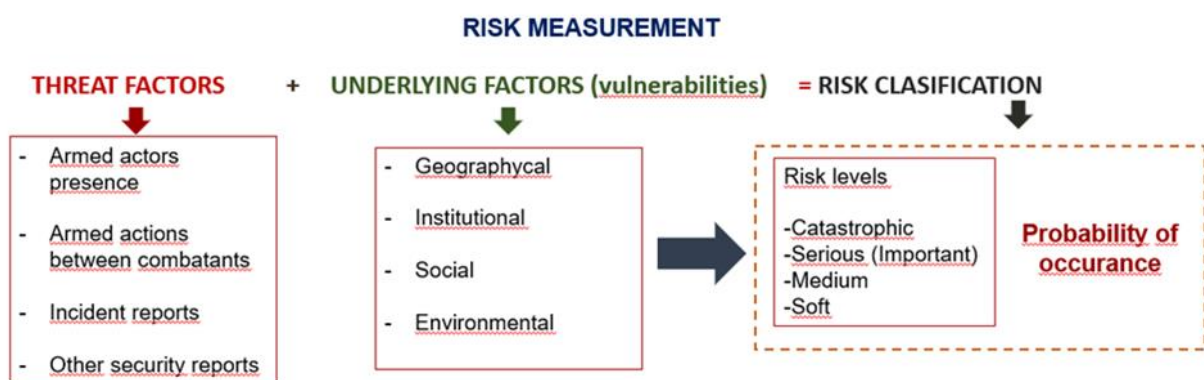
## 5. SECURITY STRATEGY

The security strategy is based on six guidelines:

- Information Analysis.
- Communications.
- Personal preparation.
- Crisis Committee.
- Relationship with Civil Authorities and Public Forces.
- Relationship with Communities.
- Include and cost security component in each project.

### 5.1 INFORMATION ANALYSIS

- Continuous assessment of risks and hazard behaviors in the Project's work areas.
- For this assessment, both entities will use an endogen and exogen analysis of the risks involved in the project. The main criteria are divided in two groups: threat grade factors and underlying factors (see Figure 1 below).
- Completion of Risk Matrix
- Information gathering and triangulation from different sources (public and private).
- Sources of verification for the risk measurement (see Table 1 below)



**Figure 1.** Risk measurement chart detailing the two main criteria groups

**Table 1.** List of verification sources for risk measurement

Document	Source
Victimization risk index	Unit for Comprehensive Attention and Reparation of Victims <sup>50</sup>

50 Unidad para la Atención y Reparación Integral a las Víctimas, <https://www.unidadvictimas.gov.co/>

Illegal crops annual report	United Nations Office on Drug and Crimes (UNODC) <sup>51</sup>
National program for integral substitution annual report	Integrated National Program for the Substitution of Illicitly Used Crops (PNIS) <sup>52</sup>
Annual Report for PDET's	Presidential Council for Stabilization and Consolidation <sup>53</sup>
Exploitation and exploration data	National Hydrocarbons Agency (ANH) <sup>54</sup>
"Heat Points reports Deforestation reports"	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM) <sup>55</sup> Amazonic Institute of Scientific Research (SINCHI) <sup>56</sup> Foundation for Conservation and Sustainable Development (FDCS) <sup>57</sup>

## 5.2 COMMUNICATIONS:

- Fluid and direct communication between the people in charge of health and safety, and occupational safety roles with the Project coordinator and Security Focal Point.
- Internal and continuous exchange of information obtained from different sources with the teams that travel to the sites.
- Availability of different communication channels between those responsible for security and biosecurity with the teams in the field: cell phone, email, text messages, GPS device (which has the function of sending messages).
- Communication strategy for field trips.
- Triangulation of information between the Project and territorial law enforcement authorities.

## 5.3 PERSONNEL PREPARATION:

The Project promotes a culture of security based on the assertive decision-making of the personnel, both individually and collectively where common sense and personal self-care prevail. The personnel (staff and consultants) must know the security reality in the field and participate in strengthening their skills for the management of different public risk incidents.

The preparation of staff and consultants includes, among others:

- Periodic Security Training in:
  - o Crisis Management
  - o First Aid
  - o Travel planification and execution
  - o Prevention and mitigation of public risk incidents.
  - o Land Mine Risk Education (MRE).
  - o Biological Risk Prevention (snakes and insects).
  - o Human Rights
  - o Codes of conduct and Relationship with Communities

51 See <https://www.unodc.org/unodc/en/alternative-development/colombia.html>

52 Programa Nacional Integral de Sustitución de Cultivos de Uso Ilícito, [https://portal.renovacionterritoio.gov.co/Publicaciones/Direcciones/direccin\\_de\\_sustitucin\\_de\\_cultivos\\_ilcitos](https://portal.renovacionterritoio.gov.co/Publicaciones/Direcciones/direccin_de_sustitucin_de_cultivos_ilcitos)

53 See <https://www.portalparalapaz.gov.co/>

54 Agencia Nacional de Hidrocarburos. See: <https://www.anh.gov.co/en/>

55 Instituto de Hidrología, Meteorología y Estudios Ambientales, <http://www.ideam.gov.co/>

56 Instituto Amazónico de Investigaciones Científicas, <https://www.sinchi.org.co/>

57 Fundación para la Conservación y el Desarrollo Sostenible, <https://fcds.org.co/>

- Preparation of the roadmap with the institutions in case of threat to Social Leaders and Human Rights Defenders
- Field personnel with cellular or GPS communication devices.
- Activation of communication strategy for emergency exits.
- Confirmation of background information on the areas with official sources (police, prosecutor's office, comptroller's office).

The development of the project also considers the relationship with public officials at the national, regional, and local levels that are part of the institutions described in annex 7. Training officials of public institutions has positive impacts on the person and the institution to which they belong and contributes to the fulfillment of the Project's objectives. Therefore, training for this target group will be given in coordination with the security offices of the entities and efforts will be made, jointly, to strengthen capacities in:

- Human Rights.
- Codes of conduct and Relationship with Communities

Lastly, it is important to note that personal attitudes, behaviors, habits and lack of resources might negatively contribute to a security incident or public risk. Therefore, identifying vulnerabilities allows personnel to:

- Recognize limitations.
- Change insecure attitudes.
- Strengthen awareness of self-care.
- Work on capacity building.

#### 5.4 RELATIONSHIP WITH CIVIL AUTHORITIES AND PUBLIC FORCES

The project identifies the relationship with civil and law enforcement authorities as the main support and an ideal response to the prevention and management of public risk incidents.

In each regional department where projects are developed, a communication channel is established between the project and the respective authority required (civilian, police, army, or navy according to their jurisdiction).

All security and protection activities in the development of projects activities must be carried out within a framework of respect and observance of human rights and project safeguards.

In the event that the project requires security or private security services, this company must be authorized by a collegiate body (composed of the project coordinator and the executive directors of the executing entities) and have no previous history of human rights violations.

#### 5.5 COMMUNITY RELATIONSHIPS

During the development of the project, risks and impacts on the health and safety of the communities will be evaluated, with special consideration of the people who, due to their circumstances and status within society, may be more vulnerable. Risks and potential impacts will be identified, and measures will be taken to prevent and/or mitigate them. The principles outlining the project's engagement with communities include:

- WWF US AE Safeguards provide the framework for action and respect for the decisions, culture and customs of communities.
- The relationship with community members and leaders is well-defined and inclusive of all project related activities and issues.

- The commitments and results derived from the management and execution of the projects, plans, reports and resources must be agreed with the social and community actors in the project areas.
- No activity will be imposed or defined unilaterally.
- Analyzing entities that have been vetoed by the communities, such as illegal armed actors or those for which there are accusations or mistrust that have not been sufficiently clarified. Ensure any engagement with those actors meets government laws or policies and community desires.

## **5.6 INCLUDE BUDGET FOR SECURITY COMPONENTS IN EACH PROJECT**

During the creation of each project, the personnel (staff and consultants) must take into account the safety component in order to provide sustainability and viability to mitigation measures. This includes identifying and budgeting for:

- A project's Security Advisor in each of the executing entities.
- Means of communication while in the field (cellular or satellite device - GPS).
- Means of transportation (air, land, river, sea).
- Accompaniment of guides or community leaders.
- Personal protection equipment, such as life jackets.
- Hiring additional private security services that, at a minimum, guarantee:
  - Security Trainings as outlined in 5.3.
  - Security staff in each landscape defined on the program
  - Security reports and previous analysis of the locations defined to travel.

## **6. PUBLIC RISK AND MITIGATION MEASURES**

Public risk is associated with factors derived from social circumstances and violence, and intentional aggression against people and/or communities. It generally manifests in criminal acts that affect interests and in which workers are directly or indirectly involved, generating temporary or permanent injuries and even death in many cases. To avoid and mitigate the risks, it is important to first define the scope of public risk incidents within Colombia, then describe the project and staff's obligations and finally to outline specific measures the project will take to mitigate these risks.

### **6.1 DEFINITIONS OF PUBLIC RISK INCIDENTS**

#### ***6.1.1 Threats to communities and/or allies***

- Threats are identified as acts, gestures, expressions or actions that generate fear and/or indicate the intention to harm for the purpose of causing alarm, anxiety or terror in the event the threatened person does not comply with certain demands.
- The threat itself may constitute a crime: when someone indicates their intent to physically harm or otherwise commit an illicit act against another person with the purpose of provoking fear in that person, they participate in a criminal action.

#### ***6.1.2 Unlawful coercion or extortion***

- Coercion is the act of attempting to bend the will of another or force them to do something against their will by threatening them. Extortions are acts of demand, threat, intimidation, and undue use of power to obtain illicit benefits from another person. There are specific provisions within Colombian law regarding both coercion and extortion:

- o "Whoever, outside the cases specially provided for as a crime, constrains another to do, tolerate or omit to do something, shall incur imprisonment of sixteen (16) to thirty-six (36) months". Penal Code. Art 182.
- o "To do, tolerate or omit to do something with the purpose of obtaining some illicit advantage for oneself or for a third party". Penal Code. Art. 244.

#### 6.1.3 Kidnappings

- Kidnapping refers to a serious violation of human rights that threatens liberty and life, and it is considered a terrorist act. Whether it has a low or medium probability of occurrence, it is always of high impact. It is framed as a work accident if it occurs within the context of work activities.
- "Kidnapping is anyone who snatches, abducts or holds a person with the intention of asking for something in exchange". Definition of the penal code (CP) Art 169.

#### 6.1.4 Illegal checkpoints, unauthorized checkpoints and requisitions

- "Armed actors have used these points to requisition, extort and sometimes kidnap." Definition by OCHA - United Nations Office for Humanitarian Affairs.

#### 6.1.5 Riot

- Violent actions demanding authorities to perform their duties.
- "Those who in a tumultuous manner violently demand from the authority the execution or omission of some act proper to their functions". Definition of the penal code. Art. 469.

#### 6.1.6 Antipersonnel mines and crossfire

- Antipersonnel mines are explosive devices that are activated by the proximity of a person and are used by illegal armed groups as a mechanism for territorial control. Designed to kill or incapacitate their victims, they are used to seriously injure or mutilate and their most common injuries include amputations, genital mutilations, muscular injuries, injuries to internal organs and burns.
- Unexploded Ordnance and Improvised Explosive Devices are not industrial and use unregulated materials.
- "MAP or MUSE accidents are understood as "an undesired event caused by antipersonnel mines, which generates physical and/or psychological damage to one or more persons". Law 759 of 2002.
- Crossfire applies when there is a confrontation or indiscriminate attack between armed actors where people and communities who are not the direct target of the confrontation are put at risk.

#### 6.1.7 Gender-Based Violence (GBV) and Sexual Violence

- Gender-Based Violence (GBV) refers to harmful acts directed against a person or a group of people because of their gender. It is rooted in gender inequality, abuse of power and the existence of harmful norms (Definition UN Women).
- Sexual harm or suffering: Consequences that come from the action of forcing a person to maintain sexualized physical or verbal contact, or to participate in other sexual interactions through the use of force, intimidation, coercion, blackmail, bribery, manipulation, threat or any other mechanism that overrides or limits personal will. Likewise, it will be considered sexual harm or suffering the fact that the aggressor forces the assaulted to perform any of these acts with third parties. Law 1257 OF 2008. Art 3.

#### 6.1.8. *Thefts, robberies, swindling (on-site or virtual modalities)*

- "Whoever takes possession of another's movable property, with the purpose of obtaining profit for himself or for another". Penal Code (PC) Art. 239

#### 6.1.9. *Road risks, land, river and air travel accidents*

- It refers to the risks generated by the person behind the wheel, the environment (road conditions or weather, for example) or the functioning of the machine and the risk to those accompanying them in a means of transportation on the road, river, sea or air.

### 6.2 OBLIGATIONS

#### 6.2.1 *Individual safety responsibilities*

- All personnel (staff and consultants) are responsible for their individual safety and for adequately managing the risks inherent in their work with the support of their colleagues and the guidance and support of Patrimonio Natural and WWF Colombia.

#### 6.2.2 *Neutral representation*

- No partner in the project can participate in political campaign activities anywhere in the world nor can they take sides in conflicts that affect our different areas of work.
- Staff and Consultant's personal conduct should not affect neutrality or compromise the mission or mandate of the project.
- Personnel (staff and consultants) must not engage in conduct that endangers the integrity or lives of co-workers, allies, or communities nor interfere with the mission, discredit or affect the reputation and integrity of Patrimonio Natural or any of its partners.

#### 6.2.3 *Weapons are not allowed*

- Under no circumstances may Project personnel (staff and consultants) carry, transport or use weapons in the development of work activities.
- Project personnel must not travel with uniformed and armed personnel nor use public force vehicles for their transportation in the field.
- Following security and human rights guidelines and where the security situation warrants it, private security companies may be hired excluding those with armed personnel.

#### 6.2.4 *Kidnapping and extortion NO PAY policy*

- Under no circumstances and in compliance with Colombian law is the project authorized to pay ransom or comply with other means of extortion to violent or illegal armed groups in case of hostage-taking, kidnapping or extortion of personnel (staff & consultants).

#### 6.2.5 *Respect for local customs and practices*

- Project staff must know and understand the social and cultural dynamics of the project areas and adhere to local customs and practices.
- Analyze the context of local partners and allies and incorporate their recommendations on safety and required behavior.

Consider the project's safeguards on stakeholder engagement, indigenous peoples, gender, poverty and conservation and others established for this purpose.

### 6.3 MANAGEMENT OF PUBLIC RISK INCIDENTS

The GCF project team and implementing partners must know the guidelines for the management of the different Public Risk Incidents in the territories.

#### *6.3.1 Threats to the project derived from threats to Communities and/or allies*

- The threat is a specific incident, different from generalized risk scenarios inherent to the work carried out, which are present in the environments and territories where the project will take place.
- WWF Team: Staff and Consultants:
  - o When affected by a Threat, immediately inform the Landscape Security Supervisor (security company hired for this purpose) and the project Coordinator.
  - o Remember that the most important thing is to preserve integrity and life.
  - o If the threat affects your stay in the territory, your life is in danger or you require immediate evacuation contact immediately the Landscape Security Supervisor (security company contracted for this purpose). If you have a GPS device send a message through the device.
  - o If the threat does not affect your presence in the territories, however, evaluate the relevance of suspending the activity and resuming it at another time, with agreement from the project Coordinator.
  - o The Security focal point will communicate with the project coordinator, the Human Management Officer and the project's Security Advisor and inform them of the threat, evaluate the situation, the context, the scope of the threat, those affected and the actions to be taken.
  - o The project Coordinator will contact the Health and Safety Advisors of WWF Colombia and Fondo Patrimonio Natural to analyze the situation, the scope of the threat, and the actions to be taken.
  - o If required, the project's Crisis Committee, formed by WWF Colombia and Fondo Patrimonio Natural, will be activated to initiate due diligence (see 15).
  - o The respective actions will be evaluated with the authorities and the incident will be formally reported.

#### *6.3.2 Illegal coercion and extortion*

- Keep in mind that criminals use many different channels of contact in extortion: personal, telephone, e-mail, handwritten message.
- It is recommended to maintain discretion in handling the threat of coercion or extortion and inform only the persons indicated in this protocol. When affected by Illegal Coercion or Extortion:
  - o Bring it to the immediate attention of the security focal point and (if able) the project coordinator.
  - o If the threat arrives in writing or by e-mail, give it to the Security focal point and the project coordinator; if by telephone, try to record it.
  - o The project Security focal point or the project coordinator will communicate with the Human Resources Officer and the project's Security Advisor, report the incident (coercion or extortion) and evaluate the situation, the context, the scope of the threat, and those affected.
  - o Given that this incident is of high impact, the Human Management Officer and/or the project's Security Advisor completes the information with the data available by the security focal point and make the respective analysis and initial recommendations to present to the project coordinator.

- o Evaluate the relevance of activating the project's Crisis Committee formed by WWF Colombia and Fondo Patrimonio Natural.
  - o Actions and procedures with the authorities are activated (formal complaint).
- If the threat of Extortion or Illegal Coercion is via telephone:
  - o Remember, you cannot commit yourself nor accept any type of demand or payment in money, in kind or any other form.
  - o When you answer the call and receive the threat, Do Not Hang Up.
  - o Remain Calm (Breathe and Listen).
  - o Allow the person to say everything they want to say without interrupting and record the call if you know how.
  - o At the end of the call, say something like: "You will have to call back another time. I am busy" and immediately hang up the call, without giving them a chance to respond.
  - o Contact the project coordinator, who in turn will contact the Human Resources Officer and the project's Security Advisor.
  - o Suspend answering calls from unknown numbers until receiving specific instructions from the Landscape Safety Supervisor.
  - o The project Coordinator communicates with the Health and Safety Advisors of WWF Colombia and Fondo Patrimonio Natural and informs them of the incident (extortion or extortion) and evaluates the situation, the context, the scope of the threat, the people affected, and the actions to be taken.
  - o Evaluate the relevance of activating the project's Crisis Committee formed by WWF Colombia and Fondo Patrimonio Natural.

### 6.3.3 Kidnapping, illegal roadblocks and territorial control actions by illegal armed groups

- Illegal roadblocks:
  - o Remember: if you are instructed to stop on any road or roadblock, do so. The risk of harm increases when trying to flee from an Illegal Checkpoint.
  - o Remain Calm (Breathe and Listen).
  - o When being interviewed, allow the driver of the vehicle in which you are traveling and the person from the community accompanying you to respond first.
  - o When answering, remember "the Script" (what the project is, what it does in the territory, who the community support person is).
- Abduction:
  - o According to Law 40 of 1993. art 25, the project cannot pay for the kidnapping of employees, nor consultants.
  - o The project team, advised by the Colombian authorities, will perform Due Diligence with the objective of contributing to the return of the kidnapped person or persons.
  - o The family of the kidnapped will have the advice of GAULA, the authorities as required and the permanent accompaniment of Patrimonio Natural or WWF Colombia staff.
- Immediate response to a kidnapping:
  - o The first person from the project who knows of the incident will have the transitory function of making the first 2 phone calls that activate the kidnapping management protocol:

- The first call, due to the urgency of a kidnapping, will be the Urgent report to the GAULA of the area through telephone numbers 147 and 165, with the objective of formally notifying the authorities of the incident and activating an urgent search process. This call is not the formal complaint, this will be raised later and is part of the actions led by the Crisis Committee.
  - The Second and third calls are to the Landscape Security Supervisor who, in turn, will communicate with the GAULA in the area and with the project Leader, inform him of the incident and share the name and position of the GAULA person with whom the first contact was made.
- The project Coordinator contacts the Health and Safety Advisors of WWF Colombia and Fondo Patrimonio Natural to inform them of the kidnapping incident, evaluate the situation, the context, the scope of the threat, those affected, and the actions to be taken.
- Given that it is a high impact incident, the Kidnapping Crisis Committee, formed by WWF and Fondo Patrimonio Natural (see 15), is activated to initiate the Due Diligence of Crisis Management and Kidnapping Relationship (family of the kidnapped, ARL, civil authorities, law enforcement, media, support media, etc.).
- In the event you are kidnapped:
  - Remember, there will be many parties working to secure your release.
  - Kidnapping is a transitory situation in Colombia.
  - Your main objective is to stay alive.
  - Establish cordial relationships with your captors, do not elevate your level of risk.
  - Keep your mind active and stay positive, regardless of the situation.
  - Establish a daily physical exercise routine.
  - In the event of a rescue operation by the authorities, shout if possible, making it clear that you are the kidnapped person.
- Control actions by illegal armed groups:
  - Keep Calm (Breathe and Listen).
  - Follow instructions and, if possible, be accompanied by members of the community.
  - Do not volunteer to mediate, accompany or resolve any situation or incident that arises between the community and illegal actors.
  - If the control actions by illegal armed groups affect your stay in the territory, immediately contact the Landscape Security Supervisor (security company contracted for this purpose). If you have a GPS device, send a message through the device.
  - However, if the control actions by the illegal armed actor do not affect your presence in the territories, evaluate the relevance of suspending the activity and resume it at another time, with prior agreement with the project coordinator.

#### 6.3.4 Riot

- Remember that updated information on the social context in the territories and good working relationships with the communities often allows staff access to information and the ability to identify incidents such as riots in advance.
- Incident Response:

- o Bring the incident to the attention of the Landscape Safety Supervisor and the project Coordinator.
- o Remain calm (breathe and listen).
- o Don't shout, don't run, don't walk in a hurry.
- o Identify which response is safer depending on the situation: whether to take shelter in the place where you are or leave the site for a different place than where the incident is occurring.
- o If the riot affects your presence in the territory, your life is in danger or you require immediate evacuation and you have a GPS device, activate the panic button or contact the Human Resources Officer who will coordinate the evacuation.
- o However, if the threat does not affect your presence in the territories, evaluate the relevance of suspending the activity and resume it at another time with the agreement of the project Leader.

#### 6.3.5 Antipersonnel mines and crossfire

- Antipersonnel Mines: in case of an accident caused by antipersonnel mines, IEDs, or booby traps, the priority is for the victim to receive first aid, emergency medical attention and to be evacuated.
  - o According to Colombian Law:
    - A person has the right to receive first aid and has the right to be evacuated (Law 1448 of 2011).
    - The victim has the right to access emergency care immediately, without requiring prior condition for admission to public and private IPS. (Law 1448 of 2011, Art. 47 Paragraph 2 Art.53).
    - The person has the right to access medical, surgical and hospital care services. (Law 1448 of 2011 Art. 54 Decree 4800 of 2011 Art. 89.)
    - A person victim of MAP, MUSE and AEI has the right to:
      - Receive pre-hospital care.
      - Receive immediate and free emergency medical, hospital, surgical and rehabilitation assistance.
      - Free access to medicines, diagnostic aids, prostheses, orthotics.
      - Access to social inclusion processes.
  - o Immediate Response:
    - Keep Calm (breathe and listen)
    - The first person from WWF Colombia who knows about the Landmine Accident will have the transitory function of making the first 3 emergency calls:
      - First call to the police at #123 to report the accident and request URGENT help to transfer the victim to the nearest Medical Center. The Law assigns responsibilities in these authorities in case of accident with mines. If you have a GPS device, activate the Panic Button.
      - Second call is to the WWF Colombia Human Resources Officer, who will be in charge of coordinating ARL support and evacuation.
    - The project Coordinator contacts the Health and Safety Advisors WWF Colombia and Fondo Patrimonio Natural to inform them of the incident,

evaluate the situation, the context, the scope of the threat, those affected, and the actions to be taken.

- Given that it is a high impact incident, the Crisis Committee is activated for an incident with antipersonnel mines, formed by WWF and Fondo Patrimonio Natural, to start the Due Diligence for Crisis Management and relations with the kidnapped (family of the kidnapped, ARL, civil authorities, public forces, media, support media, etc.).

- Crossfire

- o This is a situation to which the team (staff and consultants) and partners or stakeholders may be exposed in areas of active armed conflict or armed violence.
- o Immediate response:
  - If crossfire occurs and you are inside a vehicle, crouch down and do not look out of the windows; wait until you hear no more gunshots to proceed with any action.
  - Lie on the ground where you are, follow instructions from community leaders.
  - If this Crossfire Incident affects your stay in the territory, immediately contact the Landscape Security Supervisor (security company hired for this purpose). If you have a GPS device, send a message through the device.
  - However, if the Crossfire Incident does not affect your presence in the territories, evaluate the relevance of suspending the activity and resuming it at another time with the agreement of the project Leader.
  - The project Coordinator, in contact with the Health and Safety Advisors WWF Colombia and Fondo Patrimonio Natural, will inform about the incident, evaluate the situation, the context, the scope of the threat, the affected people, and the actions to be taken.
  - If required, the project's Crisis Committee formed by WWF Colombia and Fondo Patrimonio Natural will be activated to initiate due diligence.
  - The respective actions will be evaluated with the authorities and the incident will be formally reported.

#### 6.3.6 Gender-Based violence (GBV) and sexual violence

- Immediate Response:
  - o Bring the incident to the attention of the Landscape Safety Supervisor and the project Coordinator.
  - o The project Coordinator contacts the Health and Safety Advisors WWF Colombia and Fondo Patrimonio Natural to inform them of the incident, evaluate the situation, the context, the scope of the threat, and the actions to be taken.
  - o If required, the project's Crisis Committee formed by WWF Colombia and Fondo Patrimonio Natural will be activated to initiate due diligence.
  - o The respective actions will be evaluated with the authorities and the incident will be formally reported.

#### 6.3.7. Thefts, robberies, scams (face-to-face or virtual modalities)

- Immediate Response:
  - o Bring to the attention of the project coordinator.
  - o Identify if the stolen material or item affect the development of the project at that moment.

- o The project Coordinator contacts the Health and Safety Advisors WWF Colombia and Fondo Patrimonio Natural to report the incident.
- o The respective actions will be evaluated with the authorities and the incident will be formally reported.

#### *6.3.8 Road risk, or accidents due to land, river and air travel*

- Stay Calm (breathe and listen).
- Identify which response is safest depending on the situation whether to call road, police or medical authorities first. Call the Police at 123.
- Second call bring to the attention of the Landscape Safety Supervisor and the project Coordinator.
- The project Coordinator contacts the Health and Safety Advisors WWF Colombia and Fondo Patrimonio Natural to report the incident.
- Report the incident to the ARL.
- The respective actions will be evaluated with the authorities and the incident will be formally reported.

### **7. SAFETY INCIDENT REPORT PUBLIC RISK / OCCUPATIONAL ACCIDENTS**

All personnel (staff and consultants) shall report security incidents, or any information received that may affect their or their colleagues' safety, through the "Report of Unsafe Conditions and Incidents" to the Human Management Officer.

- Incident Reports: In the event of a work-related incident, they must immediately notify the project coordinator, Human Management Officer, of the occurrence of such events.
- Workplace Accident Reporting: In the event of a workplace accident, immediate notice must be given to the Human Resources Officer, who will coordinate actions with the ARL, and then to the project coordinator.

In the event of an occupational accident that results in physical harm, go immediately to the nearest medical or health center to receive first aid.

### **8. SAFETY AND PUBLIC RISK TRAINING**

All personnel (staff and consultants) who enter the projects must attend periodic safety trainings, which aim to strengthen personnel capacities to face the risks in the field and to promote assertive decision-making in risky situations that may affect individual and collective safety.

At a minimum, these trainings include workshops that strengthen staff skills in the following topics:

- Prevention of public risk incidents (robberies, threats, kidnapping, extortion, illegal roadblocks, assault), encounter with illegal armed actors, Mine Risk Education (ERM),
- Biological risks (snake bites, poisonous insects).
- Basic First Aid

### **9. COORDINATION BETWEEN EXECUTING ENTITIES**

The project's security advisors will be in permanent contact with each other, the private security agency and the project coordinator in order to keep the security project's strategy as well as the detailed information of the security situations regarding the project updated. This will lead to a single security strategy implemented and coordinated with both executing entities.

## **10. COMMUNICATIONS MANAGEMENT DURING TRIPS**

Considering that communication is fundamental to prevent, avoid and react to adverse security situations, personnel will have a clear understanding of the project's communications strategy, identifying the:

- Project coordinator
- Security Focal Point
- Human Management Officer
- Project's security advisor for each executing entity

Before each outing, the means of communication to be used (cell phone or GPS satellite device) will be established and the WhatsApp chat will be activated for temporary support with staff participating in the site visit, including consultants, the project coordinator, the Human Management Officer and the project's Security Advisor, where they must report their location and movements in the field.

## **11. PROCEDURES FOR FIELD TRIPS**

The project establishes procedures to manage risk in an adequate and effective manner, and lists mandatory activities to be carried out by the staff before, during and after the trips to the territories.

### **11.1. BEFORE DEPARTURE**

Location and schedule:

- A schedule of activities indicating the date of departure and return, people traveling, means of transportation to be used, objectives, place(s) to be visited and stakeholders who will be engaged must be drawn up.
- The schedule must be sent to the Human Resources Officer at least 8 days in advance.
- The technical team must send the information to the security focal point at least 8 days before departure for approval.
- In case of changes in the schedule, the immediate superior, corresponding focal point and community partner must be informed in a timely manner.
- Before sending the schedule of activities to the Human Management Officer, the Departure to the field must have the approval of the supervisor.

Preparation of staff:

- The project promotes a culture of safety based on an informed decision-making process.
- The staff and consultants must know the security reality of the territories and participate in the spaces for strengthening skills for management in prevention and handling of the different public risk incidents.

Communication with the Community:

- The staff visiting must communicate with the community in advance and confirm both the relevance of the visit and that the liaison in the municipality or in the field is aware of the visit and the activities to be carried out.
- Before the visit, check whether any type of permit is required to enter the area and, when required, make sure that you will be accompanied by the appropriate people.
- It is important to ensure staff and consultants are accompanied by a member of the community to complex sites due to public order issues. This will also generate trust in the community as stakeholders will be less likely to perceive the WWF personnel on the ground as strangers.

Knowledge of the territory:

- Specific identification of the place, municipality, territory, pathways. This includes characteristics of the state of the roads and alternate routes to reach the final destination.
- Travel time and weather conditions.
- Transportation, lodging and food.
- Contact information recorded on cell phone or other means.
- General information about the area: access, climate, availability or absence of electricity.
- Risks to which personnel are likely to be exposed to according to the activities and the environment where they will take place.

Safety meeting:

- Before departures, personnel (staff and consultants) will attend a safety meeting with the Human Resources Officer and the project Safety Advisor, where they will receive information and specific safety recommendations for the departure to the field location.

### 11.2 DURING FIELD TRIPS

WWF Colombia identification:

- In complex environments affected by violence and armed conflict, it is essential that WWF Colombia staff and consultants wear a shirt, t-shirt or vest with the WWF Colombia logo throughout their stay in the territories.

Communication Chat:

- At the start of the field trip, the communication chat via WhatsApp between the personnel (staff and consultants), the security focal point and the project's security advisor must be activated. Report location and movements.
- For areas without phone signal, there is the option of sending messages through a GPS device, which will also send the location signal in real time.

Taking photographs and recordings:

- Always consider the risk (illegal armed actors, contamination by landmines and explosive devices) before making any recordings.
- Avoid taking photographs or videos without the consent of the community.
- Abstain from taking shots of open sites, or with presence of Public Forces.

Mobilization with key actors:

- In places where there is any risk due to public order conditions, the tour should be done in the company of a known person or Community Leader. For mobilization, have the consent of existing local stakeholders and cancel the visit where optimal security conditions do not exist.

### 11.3 AFTER THE FIELD TRIP

Inform the project coordinator or the project's security advisor if any security situation that could affect the development of the project, the integrity or life of the personnel (staff and consultants) or partners or the community is encountered during the trip

## **12. ROAD SAFETY: LAND, RIVER, AIR**

Patrimonio Natural and WWF Colombia identify that there are risks in the movement of equipment via terrestrial, maritime, or fluvial means and therefore perform prevention management. This includes reviewing the mechanical and regulatory standards of the different means of

transportation (vehicles, motorcycles, boats and other informal means of transportation) and that the drivers of all vehicles and river transportation comply with legal regulations and requirements, including that they are in possession of the necessary documentation.

Moreover, the Program Manager will ensure:

- That vehicles are regularly inspected or tested, and that drivers have the appropriate licenses or government certifications and receive adequate training.
- Compliance with speed limits and the use of seat belts (and helmets in the case of motorcycle drivers).
- Driver fitness evaluations, in-vehicle global positioning systems (GPS), and monitoring of violation fines received may also be part of monitoring programs.

### **13. COMPLIANCE WITH SAFETY AND PUBLIC RISK PROTOCOLS**

project personnel (staff and consultants) are obliged to respect and implement the safety and public risk policies, protocols and procedures established by Patrimonio Natural and WWF Colombia.

### **14. RELATIONS WITH STAKEHOLDERS IN THE TERRITORIES ACCORDING TO WWF US GCF AGENCY WWF SAFEGUARDS**

#### **14.1 NATIONAL AND REGIONAL CIVIL AUTHORITIES**

The Executing Entities are the first liaison with national and international level civil authorities and project coordinators are the first liaison with regional and local authorities.

#### **14.2 LAW ENFORCEMENT AUTHORITIES**

Management of this relationship is carried out by the project's Security Advisory and/or the Human Resources Officer.

#### **14.3 LOCAL COMMUNITIES**

The relationship with social and environmental leaders and communities is the responsibility of the project coordinators, ESS Specialists, project's security advisor, Technical Leads, staff and consultants, taking into account the project's guidelines and safeguards.

#### **14.4 ILLEGAL ARMED ACTORS**

The following rules and guidance apply to interactions with illegal armed actors:

- Do not consciously or voluntarily establish any type of social, political, operational, logistical or collaborative relationship with illegal armed groups.
- Refrain from voluntarily participating in meetings or events promoted and convened by illegal armed actors, and avoid frequenting or meeting in places of passage usually used by any illegal armed actor.
- Casual, circumstantial relationships and encounters that may occur in the work areas with any illegal armed actor shall be limited to the performance of the mission and work functions.
- Do not voluntarily allow the use of facilities and equipment by any illegal armed actor, whether for meetings, rest, food, storage of weapons, supplies or materials and explosive devices.
- If conditions permit, when an illegal armed actor takes over a facility or equipment, the facility and meeting place(s) must be evacuated as soon as possible.
- Do not voluntarily transport persons, equipment, weapons, ammunition or supplies belonging to illegal armed groups.

- Exercise discretion and caution when expressing personal opinions about illegal armed actors or their political preferences and affiliations.

## **15. CRISIS COMMITTEE**

The Crisis Committee is the team responsible for determining the course of action in response to any emergency or crisis due to security incidents and public risk of high organizational impact.

The Crisis Committee is activated in case of emergency or crisis that may affect:

- The integrity and life of the team (staff, consultants).
- The continuity and normal development of the projects or social purpose of the Organization.
- The reputation and integrity of the brand

The Crisis Committee is composed of 5 members:

- The HR leaders of the Executive entities (2)
- The project coordinator (1)
- The environmental and social safeguards specialist of the project (1)
- The leader of the safety consultant firm of the program (1).

It will also be supported by the project's Security Advisors. During active emergencies or crises, external support and advisors will be identified who can be consulted with on appropriate courses of action.