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This Annex must be used for a complex characterization and as a complement to the requirements established in the terms of reference of the Environmental Authority for each project.

This characterization applies to projects that have a defined area of influence, with the clarity that this may change after field work.

1.1 CRITERIA FOR IDENTIFYING ETHNIC GROUPS


The diversity of ethnic groups in Colombia does not allow for a generalization of their conditions that could generate a general characterization. However, ethnic groups in general tend to comply with the following premises:

- *They have a common identity.* That is, they identify themselves as belonging to the same ethnic group or indigenous people in relation to others. They have a common name known by their inhabitants and neighbors.
- In general, they *speak a native language*, although often in combination with the official national language.
- They have a *spatial and territorial reference location*. They generally inhabit territories that they occupy ancestrally, have community management of the territory and legally recognized common property rights.
- They have their own *forms of community social organization and practices* that allow them to reproduce themselves culturally and as a society, and that distinguish them from other social groups, even in the same region, because these forms of organization are structured according to their uses, traditions and/or statutory provisions (a practice more recently adopted from Western culture).
- They have their own forms of organization and representation, in some cases more developed and with regional and supranational links (binational indigenous border peoples).

1.2 AREA OF IFLUENCE

Since indigenous communities and ethnic groups in general, except for the Rom or Gipsy group, are strongly and culturally associated with the territorial spaces they occupy and use, there are generally two situations that make it possible to delimit the scope of reference of the analysis:


- **Area of operations or delimited execution**, such is the case of operation and extraction; construction of petrochemical complexes, pumping stations, refineries, processing plants, etc. In this case the complexity is lower since they will be in the territory of a specific ethnic group.
- **Area of operations or extended execution**, such is the case of pipeline construction (gas pipelines, oil pipelines, access roads, seismic exploration), etc. In these cases, the possibility of being in areas of territory and/or presence of several ethnic groups or indigenous peoples is high and the level of complexity to define the scope of analysis is intensified in response to this fact.

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Therefore, the extent of the characterization will depend on being in one or the other situation. It is vitally important to define the area of direct and indirect influence of the project or of the specific business activity, as this will define the scope of the analysis.

1.3 ELEMENTS TO CONSIDER IN THE IDENTIFICATION PROCESS

- **Spatiality:** the process of occupation of space and the use and management that populations and stakeholders make of natural resources and their territory, as well as the territorial scope of the analysis.
- **Temporality:** key aspects related to: the duration of the project, the processes of socioeconomic and environmental transformation of the area, and changes in the forms of access and use of space by the communities studied.
It is important to consider seasonality: winter, summer, climate change patterns, vertical economy practices, etc., which mark differences in the use of space and the dynamics of ethnic groups over time, generally related to annuities.
- **Identity and self-identification:** According to ILO Convention 169, awareness of their indigenous or tribal identity must be considered a fundamental criterion for determining how people identify themselves in relation to a group or culture and to which class or category of recognized minority the group belongs (identify whether they belong to an indigenous people or community, an Afro-Colombian community or a population belonging to the Rom people).
- **Language:** the one they speak but also the one they learned during their childhood (bilingualism is becoming more and more frequent within these groups), also considering that in many cases populations tend to "hide" their original or native language.
- **Place of habitual residence or geographical belonging:** In Colombia and other countries where the State has recognized the territorial rights of indigenous peoples; this recognition includes juridical-administrative forms. In the case of Colombia, the existence of indigenous reservations and collective titles awarded to black communities (Colombian Pacific and other regions) must be considered, as well as spaces where the populations of recognized ethnic groups share a territory with other ethnic groups that are not recognized as minorities.
- **Legal status:** Political recognition, status of the indigenous and black land titling process.
 - The first refers to the Indigenous Councils, which is defined in Law 89 of 1890 and in Article 2 of Decree 2164 of 1995, and to the Community Council, which as a legal entity exercises the highest authority of internal administration within the lands of the Black Communities, regulated by Decree 1745 of 1995, as described in the Glossary of this document.
 - The second is the concept of "Indigenous Reservation" which is also defined in Article 2 of Decree 2164 of 1995 and that of "Collective lands of Black communities, also defined according to Law 70 of 1993 and Decree 1745 of 1995, Art. 17.
- It is also important to recognize the communities' membership in local, regional, or national Indigenous Associations or Organizations, since in some cases they have a legal status as indigenous authorities (as in the case of Regional Indigenous Council of Cauca, National Organization of the Indigenous Peoples of the Colombian Amazon and National Indigenous Organization of Colombia) and a high level of decision-making within the communities and before the Colombian Government.
- Regarding the black communities, the existence of Community Councils and Associations is differentiated. These in turn, according to current legislation, are not subject to prior consultation.

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- The Rom people are organized in Kumpanias, which are communities that generally inhabit cities and have as authorities the older men or Shero Rom. These can be attached to National Organizations.

1.4 INITIAL ESTABLISHMENT OF RESEARCHER-ETHNIC COMMUNITY BONDS

The establishment of a bond based on trust between those in charge of the characterization and the leaders of the communities to be characterized is definitive and a guarantee of success. At this moment, it can also be used to identify community members who can serve as researchers, guides, or informants, as well as other actors within the communities whose opinion and decision are of high importance for the legal authorities. This activity must be led by Ecopetrol officials, who are responsible for relations with ethnic groups, with the understanding that relations are an activity that cannot be delegated according to the Social Settings Management.

Prior to any field activity, the main engagement guidelines to be applied must be identified. A booklet on the project and its scope must be available and a single communication channel must be established to resolve doubts or conflicts.


1.5 ETHNIC COMMUNITY PARTICIPATION IN CHARACTERIZATION

The participation of community members in the collection of information is of vital importance, since it is the only way to validate its use when establishing appropriate management measures for each project. It must be developed in three moments, within the framework of the prior consultation processes:

1. Activity Planning Assembly: The field professionals who will be in the community, their names and professions, the elements they will use, and the objectives of their work must be presented in this space. The community must be asked to delegate the members who are most familiar with the territory, history, and traditions of the community, as well as those who are experts on plants and animals. A freehand map of the community's territory must be made, where their activities are carried out and the most relevant sites are identified: social and community infrastructure, hunting and gathering sites, crops, water supply sites, and places of cultural and religious importance. Once this information is available, it must overlap with the project activities and field visits are prioritized.
2. Field walk-throughs: These walk-throughs may be done by each professional separately with the community delegates. It is prohibited to collect plant material, capture wildlife or cultural elements such as handicrafts or utensils for any purpose.
3. Information validation assembly: Once the information has been collected, a closing meeting must be carried out to validate that the objective of the activity was achieved and to establish what was missing. Once the information is processed, it must be presented to the community prior to the impact analysis. When the final version is available, a physical and magnetic copy, including the printed cartography, must be provided to the community.

1.6 SOCIOECONOMIC AND CULTURAL CHARACTERIZATION

There are some key issues in characterizing the ethnic groups recognized by Colombia and their cultural, political, and socioeconomic conditions. A list of topics for a complex characterization, as well as the main variables and corresponding sources of information, is presented at the end of the


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document and is merely a guide. Secondary information must also be reviewed and other environmental studies that have been developed in the area must be included.


As part of the planning of the field visits programmed for the application of this Annex, strategies for the collection of information must be formulated and approved by the social environmental professionals delegated to the project. Surveys must be structured to allow the systematization of information with the most relevant questions according to the characteristics and location of the projects. However, other collection of information techniques includes participatory observation of community activities, structured and unstructured interviews, videotaping, information that could be obtained from government entities or other actors in the area, as well as from the peasant or settler community that inhabits the area.

1.7 PRIORITY TOPICS AND VARIABLES FOR A DEPTH CHARACTERIZATION

Topics	Variables	Secondary sources of information
Identification	Second languages and bilingualism rates	Census 2005 of the National Administrative Department of Statistics (DANE). Census of Ethnic Groups. Life Plans and Safeguard Plans.
Organization	Organizational type and level, categorized according to: <ul style="list-style-type: none"> Form of government: Own authority, indigenous or Community Council. Territorial scope of government (Department, municipality, township, villages). State recognition (recognized by the state, in the process of recognition, not recognized). 	Registers and lists of organizations (indigenous reserves, indigenous councils, community councils, etc.). For the ROM people: PRORROM
Demography	Percentage of the ethnic group of the total population in the area of influence.	DANE 2005 Census. Census of Ethnic Groups. Databases of international organizations (IDB, CAN, UN, etc.). United Nations Human Development Report.
	Percentage that the particular group in the area of influence represents of the total population of the ethnic group.	
	Number of children per woman (General fertility rate)	
Education	Attendance and by age rate	Studies of the Ministry of National Education. Reports from specialized agencies.
	Failure rate	
	Dropout rate	
	Number of teachers	
Health	Low birth weight rate	Studies of the Superintendency of Health. Reports from the Ministry of Health, departmental and municipal
	Mortality rate by sex and age	
	Evaluation of other forms of access to Health	

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Topics	Variables	Secondary sources of information
	(Traditional Medicine)	health secretariats, and specialized agencies.
	Number of health professionals according to specialty	
Occupation and income	Economically Active Population - EAP and Non-Economically Active Population - NEAP by sector.	DANE 2005 Census. Specific studies on the populations of the area.
	Total time and working hours by activity and gender	
	Subsistence activities	
Economic activities	Agricultural activity <ol style="list-style-type: none"> 1. Calendar of agricultural activities 2. Main crops by activity. 3. Estimated crop prices. 4. Cultivation methods 5. Destination of production 	Sectoral reports. Specific studies on the area's populations.
	Livestock Activity <ol style="list-style-type: none"> 1. Main breeding species 2. Estimated prices. 3. Methods of care and reproduction 4. Destination of production 	
	Hunting Activity <ol style="list-style-type: none"> 1. Hunting sites and modes of access to these areas 2. Frequency and effort of hunting 3. Most caught species 4. Species most captured 5. Hunting methods 6. Destination of capture 	
	Fishing Activity <ol style="list-style-type: none"> 1. Fishing locations and distances 2. Frequency and effort of hunting 3. Species most caught 4. Fishing methods 5. Fishing destination 	
	Collection activity <ol style="list-style-type: none"> 1. Frequency and duration of harvesting activities 2. Most harvested species 	
Housing	Form of occupancy (Owned: Fully paid, not fully paid; or Not owned: borrowed, rented)	Specific research on the population of the area of influence.
	Number of rooms	
	Predominant roof material	
		Life and Safeguard Plans.


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Topics	Variables	Secondary sources of information
	Predominant wall material	
	Predominant soil material	
	Fuel used for cooking	
Transport	Land: Destinations, travel time and prices according to destinations and departure frequency.	Specific research on the population of the area of influence. Reports from the Ministry of Transportation and non-state specialized agencies.
	Air: Travel time according to destinations and departure frequency.	
	Fluvial or maritime: Travel time according to destination.	
Communication	Internet access	Specific research on the population of the area of influence. Statistics from the Ministry of Information and Communication Technologies (MINTIC)
	Written (newspapers, magazines), spoken (community radio stations), television and electronic (web, alternative media) media.	
	Main local journalists	
Religion and culture	Number of religious centers	Specific research on the population of the area of influence.
	Analysis of shamanic activity	
	Most common rituals	
	Symbology	
	Clothing	
Supra-community relations	Relations with the municipal, departmental or district government	Specific research on the population of the area of influence.
	Relations with the national government	
	Relations with companies in the oil industry	
	Relations with organizations of other ethnic groups	
	Relations with other projects, past and present	
	Relations with other communities in the Project area	

1.8 BIOTIC AND ABIOTIC CHARACTERIZATION

When environmental studies are carried out, the characterization of ethnic groups must include the biotic and abiotic components, in order to comply with the terms of reference of the Environmental Authority and allow for a more accurate analysis of the possible impacts and the formulation of the appropriate management measures.

For this purpose, an interdisciplinary team must be available to collect the information, always under the coordination of the social professional in order to avoid possible conflicts. At least the following

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information must be guaranteed and the names in native language, if apply, and the uses and meaning they have for the community, the photograph, and the coordinate in case of sighting must also be included:

1. **Fauna and flora inventories.** Photographs may be used for their identification. When forest use is required, the community must be informed during the prior consultation process and the specific case must be analyzed in order to establish the necessary measures in a concerted manner.
2. **Identification of Sites of Cultural Importance or "Sacred Sites".** These may lack social infrastructure and may be places in the forest, water sources or outcrops of some material.
3. **Inventory of roads.** This in case of requiring the use of private roads of the communities.
4. **Characterization of possible occupations of watercourses and water intake and/or discharges.** When these activities are required for the execution of a project, the community must be informed during the prior consultation process and the specific case must be analyzed in order to establish the necessary measures in a concerted manner.
5. **Property characterization.** This must be done when the communities do not have a legally constituted reservation.

The result of the baseline must be included in the environmental document and must be accompanied by the cartography showing the georeferenced points and the management zoning defined by the characterization of the indigenous territory.


LIST OF VERSIONS

Previous Document			
Version	Date dd/mm/yyyy	Document Code and Title	Changes
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