

Process Documentation

Process name: Health and Safety at Work Procedure Related to LMS

Code: TH-SSO-001

Version: 1.0

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Responsible department: Human Resources and Administration

1. Objective

To establish the procedure that the Fondo del Amazon Biocorridor (BCA Fund) must apply to identify, evaluate and manage occupational health and safety risks associated with its activities, ensuring safe working conditions for employees, consultants and external workers, and in compliance with applicable legal regulations.

This procedure complements and implements the Labor Management System (LMS) of the BCA Fund and seeks to ensure that occupational risks are managed in a preventive, proportionate and adapted manner according to the nature of the BCA Fund's activities.

2. Scope of Application

This procedure applies to BCA Fund employees and BCA Fund suppliers.

3. Responsibilities:

Executive Management

- Approve the budget and guidelines in accordance with the BCA Fund's Occupational Health and Safety Policy.
- Authorize security resources.
- Appoint the persons responsible for occupational health and safety management.

Administration / Human Resources

- Coordinate the implementation of the procedure
- Manage updates
- Organize training sessions
- Keep incident records

OHS Technician

- Provide advice on occupational health and safety
- Identify hazards and assess occupational risks on an initial and periodic basis.
- Investigate and analyze occupational accidents, incidents and occupational diseases to identify their causes.
- Support the implementation of preventive measures, taking into account the hierarchy of occupational risk control.

- Educate and train employees on occupational health and safety matters.
- Keep records of accidents and statistically evaluate the results.

Emergency Response Team Members

- Support emergency response.
- Remain trained in their roles as first responders.
- Provide support for the maintenance and immediate replenishment of emergency response supplies and equipment.

Employees

- Comply with safety measures and occupational health requirements.
- Use and maintain personal protective equipment (PPE) in good condition.
- Report any work situation that, for reasonable grounds, poses a risk to their physical or mental health and/or their life.

4. Risk Identification and Management Procedure

This procedure is based on a dynamic approach, recognizing that the roles and tasks of personnel may change over time. Accordingly, risk identification and assessment are carried out on an ongoing basis, allowing for the periodic update of the occupational risk identification matrix included in this document.

The BCA Fund will apply the following process:

1. Risk identification
2. Risk assessment
3. Application of prevention and protection measures
4. Monitoring and review

4.1 Risk Identification

All activities carried out by personnel in their usual work environment will be taken into account, including travel and work in remote areas.

Occupational risks are classified as:

- Physical
- Safety risks, mainly those related to the workplace
- Chemical
- Biological
- Ergonomic or biomechanical
- Psychosocial

4.2 Risk Assessment

They will be assessed based on:

- Probability
- Impact

This allows controls to be prioritized.

4.3 Mitigation Measures

The implementation of prevention and/or protection measures will follow the hierarchy indicated by the technician:

1. Elimination
2. Substitution
3. Engineering control
4. Administrative control, and
5. Worker control

The BCA Fund, in accordance with the nature of its activities and its specific circumstances, will place emphasis on:

- Standard operating procedures (SOP)
- Training and instruction
- Personal protective equipment
- Field planning
- Safety protocols
- Occupational health monitoring
- Supply and replenishment of first aid kit supplies

4.4 Monitoring and Review

The BCA Fund will periodically monitor identified risks and the effectiveness of implemented measures.

The occupational risk identification matrix will be updated when activities change, new risks are identified, or incidents occur.

This ensures an adaptive approach and continuous improvement.

As required by law, the occupational risk identification matrix will be registered with the competent national authority (Ministry of Labor of Ecuador) and submitted at the intervals specified by that authority.

5. Safe Field Work Operating Procedure

Compliance with the following points is mandatory and forms part of the BCA Fund's operational security control, and must be verified by the person in charge of each mission.

1. Planning of field missions
2. Preventive measures for working in the Amazon
3. Community relations and interaction and social safeguards

5.1 Field Mission Planning: Checklist

Environmental assessment	<input type="checkbox"/> Weather conditions and expected risks were reviewed (https://www.inamhi.gob.ec) <input type="checkbox"/> Access conditions were evaluated (roads, rivers, routes) <input type="checkbox"/> Possible security risks were identified (social/territorial context) <input type="checkbox"/> The need to carry organizational uniforms, logos or insignia was evaluated. <input type="checkbox"/> Other risks in the area were identified
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Logistics and transport	<input type="checkbox"/> Travel route was defined <input type="checkbox"/> Mode of transport was verified (land / water) <input type="checkbox"/> Driver was verified to hold a license (where applicable) <input type="checkbox"/> Nighttime travel will be avoided (unless justified)
Safety and health	<input type="checkbox"/> The nearest health center has been identified <input type="checkbox"/> Emergency contacts are available <input type="checkbox"/> The team has a first aid kit <input type="checkbox"/> Vaccination record has been checked for entry into tropical areas <input type="checkbox"/> Availability of communications has been verified (satellite internet)
Institutional coordination	<input type="checkbox"/> The mission was reported to Administration / Management <input type="checkbox"/> Mission itinerary has been registered <input type="checkbox"/> An office contact point was designated
Work team	<input type="checkbox"/> Solo activities in high-risk areas will be avoided <input type="checkbox"/> The team is aware of the risks and basic measures

5.2.- Preventive measures for working in the Amazon – Checklist

Weather conditions and health	<input type="checkbox"/> Stay constantly hydrated <input type="checkbox"/> Rest breaks are taken during long journeys <input type="checkbox"/> Prolonged sun exposure is avoided
Clothing and personal protection	<input type="checkbox"/> Wear appropriate clothing and a hat for tropical weather <input type="checkbox"/> Wear rubber boots <input type="checkbox"/> Wear sunscreen <input type="checkbox"/> Wear insect repellent <input type="checkbox"/> Use appropriate protective equipment for the activity
Biological and environmental risks	<input type="checkbox"/> Avoid contact with unknown wildlife <input type="checkbox"/> Preventive measures against bites are maintained <input type="checkbox"/> Basic hygiene measures are followed
Safety during travel	<input type="checkbox"/> Life jackets are worn during river transport <input type="checkbox"/> Vehicle capacity is not exceeded <input type="checkbox"/> Route planning is followed
Communication and location	<input type="checkbox"/> Regular communication with the team is maintained <input type="checkbox"/> Current location and return route are known <input type="checkbox"/> GPS or geographic reference is available

5.3 Community Interaction and Social Safeguards – Checklist

Prior coordination	<input type="checkbox"/> The visit was coordinated with local authorities or leaders <input type="checkbox"/> The purpose of the visit was clearly defined <input type="checkbox"/> The agenda and participants were confirmed
Conduct in the area	<input type="checkbox"/> Cultural and social norms are respected

	<input type="checkbox"/> Respectful and appropriate behavior is maintained <input type="checkbox"/> No unplanned actions are carried out
Expectation management	<input type="checkbox"/> No expectations are generated regarding funding or benefits <input type="checkbox"/> The BCA Fund's role is clearly communicated <input type="checkbox"/> Unconfirmed outcomes are not promised
Social risk management	<input type="checkbox"/> No solo visits are made in sensitive contexts <input type="checkbox"/> The environment is assessed before meetings <input type="checkbox"/> Activities are suspended if risk conditions exist
Protection measures	<input type="checkbox"/> Principles of prior consultation are respected (where applicable) <input type="checkbox"/> The integrity of the team and community is protected <input type="checkbox"/> Any incident or sensitive situation is reported

6. Emergency Measures

6.1 Emergency Plans

The BCA Fund will maintain emergency plans that establish the identification and analysis of risks associated with the geographic location of each site and the characteristics of its facilities. The purpose of these emergency plans is to prevent and/or minimize potential impacts arising from risks related to natural or anthropogenic hazards.

Emergency plans are developed in accordance with applicable laws and regulations and include the following components:

- General site information (workplace)
- Emergency plan objectives
- Identification and assessment of site-specific (workplace) risks, including the methodology used for the assessment
- Risk prevention and control measures: identification of safe zones, evacuation routes, inventories of fire detection and extinguishing equipment, alarms and other applicable systems
- Inspection and maintenance of equipment
- Definition of actions and measures to be implemented before, during and after an emergency (depending on the types of emergencies identified)
- Emergency communication protocols
- Emergency response organizational structure: roles and responsibilities (Emergency Operations Center – EOC; brigades; floor chiefs)
- Inter-institutional coordination
- Evacuation procedures
- Implementation of the emergency plan (including scheduling of drills)
- Conclusions and recommendations

The following are the basic response guidelines for office emergencies, including fires, earthquakes, medical emergencies and security threats.

Fire

- Activate the alarm, if not already activated
- Evacuate immediately using designated routes (do not use elevators)

- Proceed to the designated assembly point
- Do not re-enter until authorized

Earthquake

- Duck, cover and hold on
- Stay away from windows and objects that may fall
- Once the earthquake has stopped, evacuate carefully
- Follow building instructions

Medical emergency

- Contact emergency services
- Notify the point of contact (POC)
- Administer first aid if trained
- Stay with the affected person until help arrives

Security Threat / Attack (e.g., *bomb threat, active shooter, civil unrest*)

- Stay calm and assess the situation
- Follow instructions from authorities or building management
- Notify the POC, if safe to do so
- Avoid exposure to risk and prioritize personal safety
- Do not touch suspicious objects
- Evacuate only when directed by authorities
- Stay away from windows and high-risk areas

Activity	Identified Risk	Probability	Impact	Level	Preventive Measures
					conditions are unfavorable
Exposure to tropical climate, solar radiation and rain	Dehydration, heat stroke, mild hypothermia, sunburn	Probable	Moderate	Substantial	Hydration; sunscreen; hat; appropriate and waterproof clothing; rest breaks; schedule adjustments; suspension due to storms or signs of exhaustion
Exposure to vectors, bites, stings and zoonoses	Allergic reactions, vector-borne diseases, injuries	Probable	Moderate	Substantial	Repellent; long-sleeved clothing; closed boots; vaccines or prophylaxis according to destination; first aid kit (with antidote); basic training on wildlife and first aid; early medical attention
Traveling and staying in cities, terminals and hotels	Theft, assault, harassment, loss of documents or equipment	Possible	Moderate	Moderate	Safe itineraries; prior accommodation authorization; avoid high-risk areas and times; do not carry unnecessary cash; protect documents and equipment; emergency contacts; do not carry logos or identifying items
Travel or visits to routes or areas with security alerts, illegal economies, criminal violence, road blockades or public unrest	Armed robbery, extortion, threats, unlawful detention, exposure to clashes, crossfire or inability to leave safely	Possible	Extensive	Substantial	Context assessment 24 to 48 hours before departure; route and destination validation; no unauthorized route changes permitted; avoid nighttime travel; cancellation or suspension criteria; immediate departure if context changes; prohibition on interacting with armed actors; Security

Activity	Identified Risk	Probability	Impact	Level	Preventive Measures
					Protocol; Incident Notification
Community meetings, interviews and beneficiary visits, including sensitive contexts	Tensions, misunderstandings, verbal conflicts, intimidation, escalation of situation, psychosocial impact	Possible	Broad	Substantial	Prior coordination with partners and legitimate authorities; confirmed agenda and participants; unannounced entry; safe location; do not improvise meetings; do not make solo visits in sensitive contexts; SOP; Code of Conduct; preventive departure if the situation deteriorates; Incident Notification
Travel, overnight stays and field work with exposure to harassment, intimidation or gender-based violence	Sexual harassment, harassment, intimidation, psychosocial impact, personal security risk	Possible	Broad	Substantial	SOP; Code of Conduct; safe transportation and accommodation; accommodation assignment based on security criteria; itinerary shared with supervision; confidential reporting channels; immediate response and protection against retaliation; guidance on harassment prevention and respectful treatment
Overnight accommodation, food and sanitation during the mission	Gastrointestinal illnesses, food poisoning, unsanitary conditions	Possible	Moderate	Moderate	Pre-verified accommodation and meals; potable water; hand hygiene; first aid kit; personal medications; defined access to medical care; incident notification

7.2 Incident Notification and Recording

All incidents must be reported using the corresponding form:

The following will be recorded:

- Date and time
- Location
- Type of activity
- Person filing the report
- Full names of all persons involved (if any)
- Type of incident
- Description of the incident
- Consequence or level of impact
- Contributing factors
- Actions: immediate measures taken
- Proposed corrective actions.

Mandatory use of the form:

https://docs.google.com/forms/d/e/1FAIpQLScUTzaFnyOzQ8x55d_eYDJ1WaRYf3HjgzGDfidvRWpsRBQByw/viewform

Reported incidents will be analyzed by the Internal Representative, together with the OHS Technician and the Occupational Physician, in the event that medical follow-up or notification to national authorities is required.

8. Occupational Health and Safety Training

Based on identified needs, occupational health and safety (OHS) training sessions will be held as necessary and as indicated by risk assessments, and at least once a year.

Training will be adapted to the nature of the Fund's activities and the specific risks identified. Topics may include, but are not limited to:

- Field safety
- First aid
- Response to natural disasters and man-made hazards
- Risk identification, assessment and prevention
- How to use fire extinguishers?
- Safe driving of light vehicles
- Preventive medicine
- Prevention of alcoholic beverages and other drug use
- Healthy lifestyle habits
- Ergonomics
- Harassment and discrimination
- Gender equality
- Mental health
- Regulatory issues in occupational health and safety

9. Contractor Management

The BCA Fund will require all external personnel to comply with the occupational health and safety guidelines established in this procedure, including the use of protective equipment, compliance with protocols and regulatory compliance.

It is essential that all persons are enrolled in Social Security (IESS is the name of the institution) or have accident insurance coverage.

CERTIFICATE

I, hereby certify that this is a faithful translation from the original in SPANISH into ENGLISH

Quito, April 1, 2026



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