









5. Environmental and Social Action Plan


The Action Plan has been prepared considering the initial ESAP agreed with the Concessionaire and the Lenders for the Financial Close, findings from the site visit, and information submitted by the Concessionaire up to September 20th, 2023. The Concessionaire should fulfill each action within the established deadlines in concordance with international standards and local legislation. The status of each action will be evaluated according to the next color code:

-  **Solved:** Indicates actions that have been addressed by the Concessionaire and Arup has confirmed that the criterion/indicators that monitor the action have been fulfilled.
-  **Pending or delayed:** Indicates actions that have remained opened for several consecutive periods. The significance of the pending deadline is assessed based on the risk that the action poses on the Project.
-  **On track:** Indicates open actions that have been updated periodically by the Concessionaire and are currently monitored by Arup.
-  **New action:** Indicates new actions that have been opened during the current monitoring period.

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
1	<p>Environmental Liabilities:</p> <p>In 2018, Via 40 received 2 environmental licenses with outstanding environmental and social liabilities from the previous operator of the road. In accordance with Appendix 6/Chapter VII of the CA, the Concessionaire must comply with the pending obligations of the environmental licenses and perform an official closure with ANLA.</p> <p>As of November 2022,, the Concessionaire has 12 environmental liabilities pending closure in the LAM 1838 process and 7 liabilities in the LAM2370 process. Activities for 3 out of 12 liabilities of LAM1838 have finished, but V40 is waiting for the official closure act from ANLA. 4 out of 7</p>	<p>Evidence of Compliance: Summary of pending environmental liabilities and tentative dates of closure.</p> <p>Status (September 2023): The Project continues with the closure of environmental liabilities. The Concessionaire and the EPC completed activities of 8 of 15 actions to be validated by ANLA. These are subject to approval during the next follow-up meetings, scheduled for October 2023 (UF4- Fusagasuga Bypass) and February 2024 (Bogotá-Girardot main corridor). Arup observes an adequate management of the pending actions and considers positive that the Project is close to closing these files.</p>	Summary of the first post-financial closure monitoring and periodic updates until official closure from the ANLA.	


Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
	<p>liabilities of LAM2370 are already finished, but V40 is waiting for the official closure act from ANLA. The Concessionaire commented that the Project team is prioritizing the closure of files to avoid ANLA incurring additional requirements retroactively, since at least 4 new items have arrived in 2022. V40 has accelerated the closure of these items by prioritizing the completion of the oldest actions and assigning specific responsible parties per UF and for the entire corridor. Responsibility is also clearly distributed between EPC and the Concessionaire for each of the liabilities.</p> <p>Arup recognizes that, while this could not be concluded before financial close, it is important to include this aspect in the ESAP as part of the periodic follow-up activities.</p> <p>UF: All PS/EP: PS1, PS3, PS4, PS5, PS6.</p>	<p>This action is marked "on track" until the Concessionaire can confirm the closure of the 2 environmental license files with the ANLA.</p>	<p>First E&S monitoring report after the financial close.</p>	
2	<p>Environmental Permits:</p> <p>Sections that require PAGAs must process all required permits with the environmental authorities. As of November 2022, Arup has identified at least 92 permits pending approval compared to 189 permits pending as of January 2022. To date, 10 permits have not been requested to the environmental authorities yet, but Arup does not identify a major risk for the Project's expected progress.</p> <p>The Concessionaire has already approved PAGAs for All UFs and permits for 8 ZODMEs. The UF2 environmental license modification is still pending. Because of this, a new Schedule (B9), was created, which has not been approved by the Owner's Supervisor or the Lenders. Arup recommends accelerating the processing of required approvals to avoid incurring new changes.</p> <p>Arup recognizes that, while this activity could not be concluded before financial close, it is important to include it in the ESAP as part of the periodic follow-up activities.</p> <p>UF: All PS/EP: PS1</p>	<p>Evidence of compliance: Periodic summary of the progress on environmental permits by UF.</p> <p>Status (September 2023): The Concessionaire moved forward with obtaining 13 new permits in the July-September 2023 quarter. On the other hand, the Project has 16 permits in process up to September 2023. For the time being, Arup does not observe significant risks in the management of environmental permits.</p> <p>This action will continue to be permanently monitored until the end of the construction stage, which is why it will remain "on track."</p>	<p>First E&S monitoring report after the financial close.</p> <p>Periodic follow up for each E&S monitoring report until all permits are secured.</p>	

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
3	<p>ZODMEs:</p> <p>The Concessionaire received approval for 8 ZODMEs that are already in operations. There are also 4 other ZODMEs under study or assessment. Through the updated mass balance, it seems that the Project has the adequate ZODME capacity approved so far. Temporary disposals are no longer required, and the staff is already evaluating more potential zones to have as backups. This action must be monitored until the Concessionaire secures all the ZODMEs required for the Project.</p> <p>UF: All PS/EP: 3</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> • Approvals of the ZODMEs under study or assessment. • Updated mass balance for ZODMEs. <p>Status (September 2023): To date, the Concessionaire has 11 approved ZODMEs and approximately 4,725,000 m³ of estimated capacity. Currently, the Project would require 4,047,000 m³ of material to be disposed of, although this number may be lower as there is reuse of materials for construction uses, especially in UF6 and UF7. Arup considers that progress in these efforts is adequate and the risk of environmental impacts from handling excavated material has been reduced.</p> <p>This action is classified as "on track" given that the Concessionaire has 4 additional zones in the pipeline.</p>	<p>Periodic updates until all ZODMEs required for the Project are approved and closed.</p> <p>First E&S monitoring report after the financial close.</p>	
4	<p>Environmental offset plans and 1% Investment Plan:</p> <p>The Concessionaire should submit offset plan for each UF with information including size, type, and location of offsets including the 1% Investment Plan, associated activities, and the status of each one.</p> <p>As of December 2022, the Concessionaire reports a total of 523 Ha, equivalent to at least 553,500 individuals to be compensated between the requirements of the 7 UFs and the UF0. Progress is 3.8% of individuals planted, with higher advances in UFs 3, 6, 7 and 8. The 1% Investment Plan and the offsets associated with the UF2 license are on hold as the water concessions are not active yet. The 1% Investment Plan is a requirement to invest 1% of the Project's CAPEX in additional environmental programs that arises when a water concession is required under an environmental license. This could impact the original amounts to be offset, so Arup highlights this action as part of PS6 Compliance to monitor from financial close onwards.</p> <p>UF: All PS/EP: PS6</p>	<p>Evidence of compliance: Updated summary of the status of each environmental offset plan for the Project including location, type of offset, and advance percentage including the 1% Investment Plan, associated activities, and the status of each one.</p> <p>Status (September 2023): The 1% plan does not apply to the Project at this time as UF2 is on hold.</p> <p>The project reports 13% progress in terms of environmental offsets planted and under maintenance, which is adequate progress considering the current stage of construction. Arup recommends faster management of land acquisition for planting and approval of offset plans.</p> <p>Although the execution of these plans does not pose a risk to the Project at this time, this action remains "on track" as updates are expected for each monitoring report until all offsets are completed.</p>	<p>First E&S monitoring report after the financial close</p> <p>Updates for each monitoring period until all offsets are completed.</p>	

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
5	<p>Cultural assets identification and management: The Concessionaire has identified cultural assets with information given by Fusagasugá and Melgar authorities. Flandes to Girardot cultural authorities' response is pending. Since cultural assets are not always documented or legally protected, the Concessionaire should consult other sources such as the community, cultural institutes, and groups of interests about the presence and significance of these assets. In addition, the Concessionaire stated management of Cultural Heritage assets in UF 3 and 4 is not required. It is important to clarify the Project's impact on them to conclude if management strategies are needed.</p> <p>UF: All PS/EP: 8</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> • Advances in the management of cultural assets aligned with PS8. • Documents related to the Project's impact on Cultural Heritage assets in UFs 3 and 4. • Consultation process with the community, cultural institutes, and groups of interests to identify the presence and significance of cultural assets. <p>Status (September 2023): The Concessionaire defines assets impacted by the Project as those which are within the buffer of affectation. Thus, Orquídea, Cristo, Indio Sutagao, Mohán and Helicopter monuments were classified as impacted by the Project. The Concessionaire has adopted appropriate measure for their protection. For the following report, the Concessionaire must share evidence on:</p> <ul style="list-style-type: none"> • Strategy or actions the Concessionaire is taking to protect Hacienda La Puerta y Hacienda Novillero sites and prevent damage caused by the Project, given their location next to construction works. • Actions taken to protect Orquídea, Cristo and Mohán monuments. <p>This action is marked "on track".</p>	<p>First E&S monitoring report after the financial close.</p> <p>Updates for each monitoring period until all cultural heritage-related activities are finished.</p>	


Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
6	<p>National Authority (ICANH) Requirements: During the mid 2022 ICANH visited the Project and gave different suggestions and improvements related to team capacity, technical procedures, and administrative answers for archaeology matters. During the last semester the Concessionaire changed the previous archeological contractors, including an increase in their staff from 7 to 13 archeologists. Nonetheless, night-time monitoring is being performed against the procedure established, and requests for including additional areas in the Archeological Management Programs were not approved. There is pending information on the specialized qualifications of current staff, considering that ICANH noted the importance of having adequate professional profiles for managing rock art contexts in “Hacienda Tequendama”.</p> <p>UF: All PS/EP: 8</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> CVs of the staff hired during the reporting period. Records/minutes for all survey, monitoring, excavation, chance finds and find processing activities carried out during the reporting period. Progress reports on all Preventive Archeology Programs and ICANH’s responses that took place during the reporting period. Public archeology records for the activities developed during the reporting period. Records/ minutes on the procedures related to the final tenancy of archeological finds. Records on ICANH’s visits performed during the reporting period and responses given by the Concessionaire during the same period. <p>Status (September 2023): The Concessionaire shared the CVs of the archaeologists that are doing the activities to protect non-critical archeological heritage. It also shared a report regarding the activities carried out from June 21 to July 20, 2023. It was shared evidence regarding the final tenancy of findings from UF 1; night activities in UF 3; and the closure of activities in UF 1. It also informed about a visit from ICANH on October 13, 2023, public archeology activities. For upcoming periods, it is expected that the Concessionaire shares all evidence required in this action, including that from the activities informed.</p> <p>This action is marked “on track”.</p>	<p>First E&S monitoring report after the financial close.</p>	<p>Yellow circle</p>

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
7	<p>Internal grievance mechanism: Arup identifies compliance in topics related to labor and working conditions. However, there is a pending submittal regarding the internal grievance mechanisms. Arup suggests that the Concessionaire sends documentation supporting these aspects before financial close. Statistics related to the response times for internal grievances are expected. Evidence is also expected for follow-up on the labor conditions of workers hired by third parties.</p> <p>UF: All PS/EP: PS2</p>	<p>Evidence of compliance: Internal grievance mechanism and monitoring reports.</p> <p>Status (September 2023): During this period, the Concessionaire submitted the procedure for internal grievances and a report where the COPASST committee values and analyzes the grievances received. Arup considers this action to be aligned with PS2 provisions, therefore, this action is marked as “solved”. Nevertheless, the Concessionaire is invited to continue updating its statistics and records on internal grievances.</p>	First E&S monitoring report after the financial close.	
8	<p>Working conditions by third parties</p>	<p>Status: Solved during the April-March 2023 period.</p>	First E&S monitoring report after the financial close.	
9	<p>Retrenchment Plan: The Concessionaire has provided a Retrenchment Plan. However, some gaps were identified about:</p> <ul style="list-style-type: none"> - Record of statistics. - Implementation of other alternatives prior to decide on the retrenchment execution. - Traceability of the plan. - Partnerships with stakeholders to ease personnel transition to other jobs. - Follow-up reports. <p>Therefore, Arup recommends complementing the Retrenchment Plan following the provisions stated in Annex E of the PS2 Guidance Note "Contents of a Retrenchment Plan" . The plan must demonstrate that retrenchment is the only viable alternative and Arup recommends that the Concessionaire consider partnerships with regional and local entities that support the transition of staff to other jobs.</p> <p>UF: All PS/EP: PS2</p>	<p>Evidence of compliance: Retrenchment Plan including this condition.</p> <p>Status (June 2023): The Concessionaire delivered a Retrenchment Plan including the provisions of IFC PS2 and the gaps mentioned in this action. Arup evidences good practices in terms of alternatives for dismissals and mitigation measures after such dismissals. This aspect will be monitored by Arup for each UF, considering retrenchment actions already started after UF1 completion, hence, the Concessionaire is invited to keep reporting retrenchment actions and statistics.</p> <p>This action is marked as “solved”.</p>	Second E&S monitoring report after the financial close.	


Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
10	<p>Noise pollution monitoring and mitigation measures: Arup identifies that the noise monitoring results in the baseline conducted in 2017 for the Project already have values that exceed the limits of the national and international standards. Considering this, the Concessionaire should ensure that these values are not further exceeded. Arup considers it appropriate that the Concessionaire and the EPC conduct at least an intermediate monitoring campaign for the construction stage and a monitoring campaign when the construction stage concludes. This action will allow to validate that the work activities do not contribute to these values and improve or at least maintain the baseline conditions. Arup is expecting the Concessionaire to submit evidence of the noise monitoring and comparisons with the baseline data. If the increase is not clearly attributable to the Project, the justifications, and the prevention and/or corrective actions taken should be also submitted.</p> <p>UF: All PS/EP: PS3</p>	<p>Evidence of compliance: Follow-up monitoring plan for noise considering the baseline stations measured previously in each UF of the Project.</p> <p>Status (September 2023): The project completed acoustic barriers at UF4 and baseline monitoring up to UF4. Monitoring from UF5 to UF7 is scheduled for the next period. Arup evidences that there's significant progress and both the Concessionaire and EPC follow good practices for this aspect.</p>	<p>First E&S monitoring report after the financial close.</p> <p>Updates for each monitoring period until the construction phase is completed.</p>	
11	Water and energy consumption data	Status (September 2023): Action solved in the April-June 2023 period.	First E&S monitoring report after the financial close.	
12	<p>H&S Management System - Review and implementation of the action plan</p> <p>Arup highlights that the Concessionaire implemented improvement actions from the root cause report of the fatality occurred in August 2022. However, Arup considers the Concessionaire should take the opportunity to make a similar review, in a preventive manner, in other technical areas of the Project. This has already been initiated, but it is important that</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> • Report of the action plan for H&S Management System updates after the implementation of lessons learned. • Follow-up H&S reports and continuous adjustments from lessons learned <p>Status (September 2023): The Concessionaire confirmed that it has implemented all the improvement actions that arose from the fatality of August 2022. Arup was able to check during the site visit some of the improvements in hoisting procedures, including the use of</p>	Follow-up H&S reports and continuous adjustments from lessons learned for each monitoring report after the financial close until the implementation is completed.	



Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
	<p>the IESC receives more detailed documentary evidence on the subject and follow-ups for the monitoring periods.</p> <p>UF: All PS/EP: PS2</p>	<p>remote-control equipment and the guidance of a hoisting supervisor. For this reason, this action is marked as “Solved”.</p>	<p>Follow-up for the First E&S monitoring report after the financial close.</p>	
13	<p>Archaeological Management Plan “Hacienda Tequendama”: Arup required the Archaeology Preventive Management Plan for Hacienda Tequendama as well as the ICANH’s approvals from the Concessionaire.</p> <p>UF: 7 PS/EP: PS8</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> Monthly progress reports on the HT Conservation Plan and ICANH’s responses that took place during the reporting period. ICANH’s final approval for the final report of HT Conservation Plan and all Preventive Archeology Programs. CVs of the staff hired during the reporting period for HT activities. Records on ICANH’s visits performed during the reporting period and responses given by the Concessionaire during the same period. <p>Status (September 2023):</p> <p>The Concessionaire shared evidence on the CV’s of the staff. During this reporting period, the Concessionaire reported that they performed four (4) cuts in UF7 next to HT where ceramics and lithics were found. In one of them, human dental pieces were found as well as features related to graves. In such cut, the activities expanded to inquiring and rescuing the potential findings. The Concessionaire shared the monthly reports to the ICANH regarding the Preservation Plan, whose elaboration has not yet started. During the site visit, the Concessionaire informed that they were visited by the ICANH on October 13th, 2023, but did not share this record.</p> <p>For the upcoming quarters the Concessionaire should share evidence of all the activities they report on and that took place during the period of reporting.</p> <ul style="list-style-type: none"> The action is marked “on track.” 	<p>First E&S monitoring report after the financial close.</p> <p>Updates for each monitoring period until all cultural heritage-related activities are finished.</p>	●

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
14	<p>Resettlement Plan: The project should deliver a Resettlement Plan that integrates: the Land Acquisition Plan, the Socioeconomic Compensation Plan, social programs like the Grievance Mechanism., and the supporting social management plan to the land acquisition program. The Concessionaire could consider an independent third-party consultant to support the RAP development and monitoring.</p> <p>UF: All PS/EP: PS5</p>	<p>Evidence of compliance: Resettlement Plan</p> <p>Status (September 2023): As requested by Arup, the Concessionaire set up and delivered a Resettlement Action Plan (RAP). The Concessionaire also followed Arup’s recommendation to consider an independent third-party consultant to support the RAP development and hired Global Link Solutions Services to this purpose. The RAP consolidates the Land Acquisition Plan, Socioeconomic Compensation Plan, and Social Plan for Supporting Property. For this reason, the action is marked as “solved.”</p>	Review of progress in framework, methodologies, schedules, functions, and responsible parties for the first E&S monitoring report after the financial close.	
			Review of the Resettlement Plan for the second E&S monitoring report after the financial close	
15	<p>Resettlement Plan: Include in the Resettlement Plan the number of visits or time over which these are carried out in order to guarantee the effectiveness of the accompaniment strategy that allows validation that the restoration of the livelihoods of each US has been completed and is sustainable over time.</p> <p>According to the concession contract, technical appendix 8, a minimum of 3 visits must be made for a period of one (1) year, in order to carry out the process of adaptation to the new habitat. However, these visits are not limited to three (3), but the monitoring and accompaniment will continue until the initial conditions are re-established or improved.</p> <p>UF: All PS/EP: PS5</p>	<p>Evidence of compliance: Resettlement Plan</p> <p>Status (September 2023): In Chapter 19 of the RAP, it is stated that the Concessionaire will perform at least 3 follow-up visits, if it is not evidenced that the monitored social units reestablish their living conditions. For this reason, the action is marked as “solved.”</p>	Review of progress in framework, methodologies, schedules, functions, and responsible parties for the first E&S monitoring report after the financial close.	
			Review of the Resettlement Plan for the second E&S monitoring report after the financial close	
16	<p>Resettlement Plan: Include in the Resettlement Plan the identification of the vulnerable people that will require specific monitoring by the Project team trained for this purpose, to guarantee the reestablishment of their livelihood housing conditions and/or means of subsistence in equal or better conditions than the original ones.</p> <p>UF: All</p>	<p>Evidence of compliance: Resettlement Plan. Including this condition.</p> <p>Status (September 2023): The Concessionaire established 7 conditions of vulnerability: adults in charge of households, elderly, elderly without network supports, minors, people with disabilities, undocumented immigrants, and educational level of the head of the</p>	Review of progress in framework, methodologies, schedules, functions, and responsible parties for the first E&S monitoring report after the financial close.	

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
	PS/EP: PS5	social unit. In Chapter 7, social units are classified in these categories. It is expected that the Concessionaire indicates within the RAP the benefits for vulnerable people in terms of additional support and monitoring in order to guarantee the reestablishment of their livelihoods, housing conditions and/or means of subsistence in equal or better conditions than the original ones.	Review of the Resettlement Plan for the second E&S monitoring report after the financial close	
17	<p>Resettlement Plan: Compensations to third parties:</p> <ul style="list-style-type: none"> Evaluation of the socioeconomic impacts caused by the project to workers and employees in Economic Units. Propose management strategies to reduce the impacts caused to informal workers without legally recognize/property ownership that could not continue to the previous work. This could include identifying a socio-economic baseline of this population (to the best extent possible) and an estimate of the proposed size of the compensation required to compensate informal workers under PS5, in line with any eligibility and entitlements set out in a IFC PS5-compliant RAP. Include in the Resettlement Plan the strategy, methodology and actions to tackle the RAP objectives of those employees of Economic Units who are unable to maintain their activities, even if the contractual requirements do not consider it, and ensure that they are able to re-establish their access to assets of income sources or other means of livelihood and receive the necessary support. <p>UF: All PS/EP: PS5</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> Results and analysis of socio-economic impacts assessment caused to third parties. Definition of the methodology required to guarantee the registration and traceability of the actions implemented during the development of the Resettlement Plan that will make it possible to demonstrate that the objective of guaranteeing that each Social Unit affected by the project is able to reestablish its livelihood and/or is adequately compensated has been achieved. <p>Status (September 2023): The Concessionaire elaborated a legal concept to argue that third parties are not eligible for compensations established by the national law, according with the normativity and the CA. The Concessionaire stated it is going to do more iterations to the RAP. As such, for the next quarter, the RAP should contain the programs, strategies and actions form the Contractual Social Management Plan, the Social Responsibility Plan and other initiatives taken by the Project to support the reestablishment of individual's livelihoods and income levels.</p> <p>For this reason, the action is marked as "on track."</p>	<p>Review of progress in framework, methodologies, schedules, functions, and responsible parties for the first E&S monitoring report after the financial close.</p> <p>Review of the Resettlement Plan for the second E&S monitoring report after the financial close.</p>	
18	<p>Resettlement Plan: Depreciation costs.</p> <p>The Concessionaire must estimate the depreciation costs for the affected buildings/houses and how this could be practically remedied, linked to the monitoring process to ensure that all parties have been able to re-establish their livelihood standards. If the analysis shows that this item does</p>	<p>Evidence of compliance: Resettlement Plan. Including this condition.</p> <p>Status (September 2023): The Concessionaire included a legal concept to argue that the Project is already complying with the requirements regarding this matter, according with the national normativity and the CA. The Concessionaire stated will do more iterations/adjustments to the RAP. As such, for the next quarter, the</p>	Review of progress in framework, methodologies, schedules, functions, and responsible parties for the first E&S monitoring report after the financial close.	

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
	<p>affect any of the SU, the Concessionaire must propose a remediation plan with actions to correct the situation.</p> <p>UF: All</p> <p>PS/EP: PS5</p>	<p>RAP should include a comparison between the money received by the impacted social unit for their housing according with the methodology established by the national normativity vs without the depreciation cost. The Concessionaire should also demonstrate if the compensation given as a result of the methodology used is enough for the social unit to find a similar and/or better asset in the market that complies with the objectives of PS5. If the Concessionaire demonstrates that it is not possible, it should create and include in the RAP, actions/strategies/programs for the reestablishment of the social units.</p> <p>For this reason, the action is marked as “on track.”</p>	Review of the Resettlement Plan for the second E&S monitoring report after the financial close.	●
19	<p>Resettlement Plan: The Concessionaire must consider an independent third-party consultant to support the RAP completion audit to certify PS5 compliance. The completion audit report should contain recommendation from the PS5 Guidance Note "Annex B Completion Audit Table of Contents".</p> <p>UF: All</p> <p>PS/EP: PS5</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> Resettlement Plan. Definition of the methodology required to guarantee the registration and traceability of the actions implemented (application of the different compensation factors) during the development of the Resettlement Plan. The completion audit will evaluate the effectiveness in achieving the objective of guaranteeing that each US affected by the project manages to re-establish their housing conditions and/or means of subsistence in the same or better conditions than the original ones. Definition of the conditions to guarantee that the completion audit is carried out by an independent consultant specialized in the application of ND5 in these types of projects. A Supplementary Resettlement Action Plan in case of not closing the PS5 gaps. <p>Status (September 2023): According to the RAP, the Concessionaire will monitor resettlement activities through two instruments: i) the Socio-economic Compensation Matrix, to evidence the progress in the identification of social units, the compensation factors applied, the compensation agreement, payments, contribution of documents, among others; and ii) the Monitoring and Accompaniment Matrix to Social Units which records the visits made to each SU, and includes the socioeconomic characterization made to them as a baseline as well as data obtained from the formats of the follow-up visits.</p>	<p>Second E&S monitoring report after the financial close.</p> <p>Execution of the final audit: Within 6 months after the completion of the implementation of the Resettlement Plan.</p>	●

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
		<p>Arup recommends that the Concessionaire uses the second matrix to plan the additional actions, strategies and programs tailored to their needs and vulnerabilities; in order to close gaps between the management programs and plans set by the national normativity and the CA with PS5.</p> <p>The Concessionaire should design a methodology required to guarantee the registration and traceability of the actions, programs and strategies that could be created in the future as part of the RAP, therefore, this action is marked "on track."</p>		
20	<p>Climate Change Risk Assessment - CCRA: For the ESDD, V40E sent support for the semi-annual CCRAs that it was developing during the bridge loan monitoring and as part of its compliance with the EP and PS1. However, in this period, there is no evidence of the development of this study for the Project in 2023; therefore, Arup requests the Concessionaire to confirm the reactivation of the periodic CCRAs for the following period and the frequency in which they will be carried out.</p> <p>UF: All PS/EP: PS1, EP2</p>	<p>Evidence of compliance: Climate Change Risk Assessment report.</p> <p>Status (September 2023): The Concessionaire confirmed that they hired a consultant to deliver the 2023 CCRA. They expect to have a draft by December 2023. Arup considers the Project is on time to deliver this action prior the next monitoring period.</p>	<p>Monitoring Period October-December 2023 (VDR deadline: January 10th, 2024)</p>	
21	<p>Emergency Preparedness and Response: Although the Concessionaire has implemented proper Emergency Response through the development of an Emergency and Contingency Plan, it is important that within the actions of divulgation and training for this plan the community within the AI be included as they can become first responders or alert. Arup suggests that for the next monitoring period these divulgations be included, and these spaces of knowledge and participation be developed.</p> <p>UF: All PS/EP: PS1, PS4, EP2</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> Emergency Plan drills and divulgation actions with personnel, users, and residents. <p>Status (September 2023): For this period, the Concessionaire submitted the documentation of the Emergency Response Plan. This plan includes measures for construction and O&M and integrates the project facilities (tolls, CCOs, administrative buildings). Additionally, Arup evidenced outreach campaigns with users and residents and the participation of other stakeholders in the emergency drills anticipated by the Project. There is information on brigade preparedness, information in local media, and drills for events such as fires and landslides. With this, the action is considered as "solved."</p>	<p>Next Monitoring Period: July-September 2023 (VDR deadline: October 10th, 2023)</p>	
22	<p>Evidence of protocols to improve Traffic Management Plans: Arup was able to speak with the concessionaire's director of operations. This conversation validated that the Concessionaire and the EPC have joint work sessions to identify critical safety issues for users and residents of the</p>	<p>Evidence of compliance:</p> <ul style="list-style-type: none"> Protocols and management actions to improve Traffic Management Plans. 	<p>Next Monitoring Period: July-September 2023 (VDR deadline: October 10th, 2023)</p>	

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
	<p>Project related to the TMPs and active construction sites. These sessions also include findings of a prioritization protocol, in which critical and intolerable findings are immediately addressed by summoning EPC personnel to the site to improve conditions. Due to the high number of simultaneous TMPs on the road and the complaints from users, Arup requests that for the next period the Concessionaire provides evidence of these sessions and the analysis carried out jointly with the EPC to identify accident points related to active TMPs.</p> <p>UF: All PS/EP: PS1, PS2, PS4</p>	<p>Status (September 2023): The Concessionaire submitted the requested evidence and Arup considers that it is aligned with the provisions of PS1 and PS4 regarding safety management for users, workers, and residents of the Project. For this reason, the action is considered "solved."</p>		
23	<p>Involuntary resettlement: For the upcoming reports, the Concessionaire should share updated information and evidence on:</p> <ul style="list-style-type: none"> • Number of Social Units (USR and USP) that are impacted by displacement. • Socioeconomic compensations' payment progress. • Number of SU to be relocated and relocated. • Number of properties to be acquired by expropriation processes and number of SU in them as well as the Socioeconomic Compensations that are identified for them. <p>UF: All PS/EP: PS5</p>	<p>Status (September 2023). The Concessionaire has an estimated 1,278 Social Units (SU) that will be physically and/or economically displaced and compensated by land acquisition for the Project. The compensation varies depending on the specific impact and does not necessarily include relocation. In Arup's understanding, the Residential Social Units (RSU) are equivalent to households that are going to be physically displaced by the Project, meaning that there are a total of 476 households that need to be resettled and reestablished. Whilst the Productive Social Units (PSU) are equivalent to productive activities that are being performed by the social units located in the properties required and are going to be either relocated or replaced. Meaning that there are 510 productive activities identified. OSU reflects the people that received an income for renting the land or property. The total progress for the Socioeconomic Compensations is 33%.</p> <p>Of the 257 properties that are being acquired through expropriation, in 58 are SU subject to be resettled. There are 65 RSU and 80 PSU impacted by expropriation. It is important than the Concessionaire include them into the benefits established in the RAP. For the next report the Concessionaire should inform about the actions, strategies and/or programs with the objective to support the SU that inhabit and/or perform productive activities in properties acquired by expropriation or in the process.</p> <p>This action is marked "on track."</p>	Updates for each monitoring period.	
24	<p>Potential impacts to Azafranal community: Vereda Azafranal (Sylvania municipality) members have blocked the road in UF6 on two occasions: November 2022 and April 2023. The community presented claims about cracking in</p>	<p>The Concessionaire agreed to do a study to determine the cause of the cracking, which was originally scheduled for July 2023, with a report about the threats to the community scheduled for August 2023. However, it was not delivered by this date. In September 2023, the community blocked the road again given that studies</p>	Updates for each monitoring period.	

Action ID	Proposed Action:	Status (September 2023)	Original Proposed Deadline	Color Code
	<p>their housing alleging it was caused by Project’s work. Several grievances have been raised on this matter by the community and the Concessionaire has concluded that it is not responsible for the alleged damages using <i>Actas de vecindad</i>. However, it is important to technically assess and determine the causes of the problem.</p> <p>Since August 2022, work on some fronts have been stopped due to an increase in land movements. Land movement in Sylvania could pose risks to the communities.</p> <p>For the upcoming periods the Concessionaire should share:</p> <ul style="list-style-type: none"> • The report about the threads to the community. • The study to determine the cause of cracking issues. • Grievances received on this matter and management made by the Concessionaire. • Evidence on the periodic reports and information given to the community. • Evidence on the working tables with other stakeholders. <p>UF: All PS/EP: PS1, PS4</p>	<p>were not finished nor shared with them. In addition, the community is requesting that the stakeholders responsible for the Project respond to the cracking in the housing, stabilize the ground, and adjust the crossing to Azafranal Alto vereda.</p> <p>The report about the cracking to their housing was delivered to the Project on September 15th, 2023. During the site visit, the Concessionaire informed that it was disclosed to the community. According to the report, there are reports of land flows, landslides, and other phenomena since the 1940s. In this quarter, the Concessionaire has taken part of meetings led by Sylvania municipality, which is the responsible party for finding a solution to the people living in this area.</p> <p>It is recommended that the Concessionaire reinforces the message to the community that the Project is not responsible for land movement and clarifies the purpose of <i>Actas de Vecindad</i> records. For the upcoming periods, the Concessionaire should continue giving information to Arup about activities to the community pertaining to this situation along with the report on the threats to the community.</p> <p>The action is marked “on track.”</p>		