MANUAL FOR ENVIRONMENTAL AND SOCIAL GRIEVANCE REDRESS MECHANISM
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I. INTRODUCTION

With the publication of the Access to Information and Institutional Transparency Policy (PAITI, for its acronym in Spanish), CAF ratifies its commitment to making suitable channels for accessing public information available to citizens and stakeholders who interact with the Bank and using those channels to manage its communications in an accessible and transparent manner for all.

In terms of transparency, PAITI makes it possible for CAF’s institutional policy objectives, corporate management, legal, institutional, and financial regulations, as well as the management of its funds, in an easy-to-understand, pertinent and open manner. In terms of access to information, PAITI ensures that the information that CAF receives, produces, and possesses is made widely available to the public, provided that it does not violate individual rights, the law, contractual obligations, or cause harm to CAF, third parties, or public interest.

Based on PAITI’s principles and statements, CAF decided to establish the ESGRM as one of the critical instruments for the integral management of environmental and social risks associated with its operations.

The ESGRM will address and manage the complaints or concerns of individuals or communities regarding potential negative impacts of CAF’s operations on them or the environment. It will also help ensure the appropriate environmental and social performance of such operations and the development of harmonious and constructive relations with communities and stakeholders. It will serve as an instrument to protect the rights of the people affected by an investment initiative, as well as to prevent and/or mitigate in a timely manner the eventual escalation of social tensions or conflicts generated around the operations.

II. THE ENVIRONMENTAL AND SOCIAL GRIEVANCE REDRESS MECHANISM

II.1. Target

Through the ESGRM, CAF provides citizens and stakeholders tied to or affected by operations financed by CAF with a communication and participation channel to address their concerns regarding the environmental and social management of its operations within the framework of the PAITI.

II.2. Functions

The functions of the ESGRM are:

a. Receive, evaluate, manage, and respond, in accordance with the provisions of this Manual, to complaints related to possible adverse environmental and social impacts on people, communities, or the environment caused—or likely to be caused—during the implementation of an Operation financed by the Institution.

b. Detect, prevent, and mitigate in a timely manner tensions in the social sphere that may be generated or escalate around such complaints, and that may affect the development objectives proposed in the operations or CAF’s reputational image and, in this way, contribute to ensure socially responsible development.
c. Strengthen the environmental, social, and gender risk management process of CAF's operations, transferring the lessons learned from the implementation of the ESGRM to improve the conceptual and regulatory framework and internal processes in this regard, as well as decision-making processes.

II.3. Scope

a. The ESGRM covers complaints submitted to the Institution related to any adverse environmental and social impacts on people, communities or the environment caused—or likely to be caused—during the implementation of an Operation financed by the Institution.

b. CAF will not charge complainant(s) with the ESGRM any fees or other associated costs.

c. Complaints related to gender, inclusion, and diversity issues will be addressed by ESGRM, with the advice and ongoing participation of subject matter experts. These complaints will be treated confidentially in their entirety unless the complainant(s) expressly declare(s) that they waive this right.

d. The filing of a Complaint with the ESGRM does not suspend the processing, execution, and disbursements related to the Operation to which the complaint refers unless, during the grievance evaluation stage, the proposed response or intervention goes in this direction and the measure is accepted and recommended by the person in charge of the Vice-Presidency or Management of the respective business area.

II.4. Definitions

The following terms shall have the meanings ascribed to them herein for the purpose of interpreting and applying the considerations set forth in this Manual.

a. **Assigning responsibility.** Refers to the process of accompaniment, provision of information or guidance and follow-up of complaints related to Gender-Based Violence (GBV) or any type of discrimination.

b. **Complaints and Grievances Mechanism (CGM).** Mechanism for handling complaints and grievances that must be implemented directly by the Borrower(s) in each of the operations financed by CAF, which must be designed in accordance with the magnitude of the Operation and the level of environmental and social risk.

c. **Environmental and Social Grievance Redress Mechanism (ESGRM).** A set of guidelines and procedures designed to receive, channel, evaluate, manage, and respond, in accordance with the provisions of this Manual, to complaints filed directly with CAF by the Complainant(s) regarding the environmental and social aspects of an Operation financed by the Institution.

d. **Petitions, Complaints, Claims, and Suggestions Mechanism (PCCSM).** Set of permanent shortcuts published on the corporate website (www.caf.com) and other appropriate channels for the attention of petitions, complaints, claims and suggestions, in addition to ensuring the availability of general information on projects under implementation and operations approved by the Board of Directors—provided they are not classified as confidential—and other relevant matters of general interest.
e. **Country-specific environmental and social standards.** All regulations (laws, decrees, ordinances, etc.), both national and local or sectoral, in force and applicable to operations in the respective country, covering all environmental and social aspects, including those related to occupational health and industrial safety, gender inclusion and equity, as well as the treatment and approach to GBV situations, labor aspects, human rights and international environmental agreements or treaties signed and ratified by the country.

f. **Operation.** Program, project, work, activity, or investment initiative financed, in whole or in part, by CAF and duly executed.

g. **Borrower.** Any recipient of financing from CAF for the development of an Operation and includes any other entity responsible for the execution of the project, among them, clients, executing or co-executing agencies, etc.

h. **Complaint.** Any statement made by one or more persons, concerning the eventual adverse environmental and social impacts on people, communities, or the environment, caused or likely to be caused during the implementation of an Operation. Questions, requests for information, and suggestions related to any aspect of an Operation other than its environmental or social management do not constitute complaints.

i. **Complainant.** Any group of two (2) or more persons inhabiting the area of influence of an Operation, who may be affected by it and who have an interest in such Operation. In the cases of complaints related to GBV or any type of discrimination, the Complainant may be one (1) person, either the victim, a representative of the victim, a witness, or any person informed about the case.

j. **Environmental and Social Safeguards.** A set of principles, standards, guidelines, and requirements intended to ensure that the most relevant environmental and social risks of a CAF-financed Operation have been identified, assessed, mitigated, or compensated, adequately and in a timely manner.

**II.5. Guiding Principles**

ESGRM will be guided by the following guiding principles:

a. **Transparency.** Complainants will be notified regarding pertinent documentation, the progress of the procedure, and the eventual outcomes of complaints submitted to ESGRM unless they request confidentiality or confidentiality is required while the complaint review process is ongoing to ensure an appropriate outcome.

b. **Legitimacy and independence.** ESGRM will operate within a clear set of rules and standards designed to ensure that its activities are conducted fairly, impartially, and independently from other areas of the Corporation. CAF will ensure that, in addressing a Complaint in relation to an Operation, the ability of ESGRM to gather and verify evidence and to engage with the Complainant will not be undermined or impaired in any way in order to provide a fair and effective response to the Complaint.

c. **Accessibility.** The ESGRM will ensure that stakeholders have access to the mechanism through multiple channels or forms for filing a complaint, all of which will be made known to them, with the required flexibility in terms of language, as well as cultural particularities.
CAF will disseminate information related to access to the ESGRM through the use of different media available to them.

d. *Timeliness.* While the process of reviewing, processing, and responding to a Complaint may require significant time, the ESGRM will focus its efforts on the most timely response possible, to minimize potential risks to the Complainant, the environment, other stakeholders, and CAF. The continuous improvement component of this mechanism will include, in all review and audit cycles, consideration of options to optimize response times.

e. *Fairness.* ESGRM shall ensure that complainants have reasonable access to reliable sources of information and appropriate advice to undertake a complaint process on a sound and technically based basis, with the possibility of assuming the costs derived from such services. ESGRM shall ensure access and care in a manner that avoids any discrimination based on age, sex, gender, sexual orientation, beliefs, disability, and ethnicity, and shall ensure culturally appropriate care, recognizing the specific cultural particularities and differences of the individuals involved in each case.

II.6. General considerations

a. The ESGRM is independent of the operational and service activities of those responsible for the activities challenged by the Complainant. The ESGRM will ensure that each complaint is handled following the highest standards of objectivity and commitment while safeguarding the interests of all CAF’s internal and external stakeholders.

b. In no event shall a Complaint filed with ESGRM involve the determination of the value of any remuneration or damages, or any other similar benefit or compensation.

c. ESGRM cannot investigate or issue opinions on the actions or pronouncements of governments, public entities, local authorities, other co-financing entities, or any other entity or institution outside the Operation.

d. The Complainant may request that his/her Complaint be treated confidentially; additionally, CAF, at its discretion, may treat the Complaint confidentially while the process of evaluating the Complaint is ongoing in order to ensure an appropriate outcome.

II.7. Criteria for filing a Complaint

a. Who may file a Complaint

• The Complainant, two (2) or more persons, who believe that they have been affected or may be affected by any adverse environmental and social impacts allegedly caused, or likely to be caused, to them or the environment by a CAF-financed Operation.
• One (1) organization or one (1) person representing the complainants.
• One (1) or more persons, the victim, a representative, a witness, or any informed person, when the Complaints are related to GBV or any type of discrimination.

b. Channels for filing a Complaint

• Complaints may be submitted in writing, sent via e-mail or postal mail, or submitted in person at any of CAF’s Country Offices (COs). Annex 1. "Channels for Filing a
Environmental and Social Grievance Redress Mechanism

Complaint lists the postal addresses, telephone numbers, e-mail addresses, and other contact information and forms for filing a Complaint.

- If the Complainant has a language or dialect of an indigenous or native community, the Complainant may submit the Complaint in such language or dialect. In such cases, ESGRM will make its best effort to provide a translation or interpretation of the Complaint in order to be able to respond in the same manner.
- ESGRM will ensure that complainants have reasonable access to the channels and information related to the subject matter of the Complaint and appropriate advice to undertake a Complaint process on a sound and technically sound basis, in accordance with the provisions of the PAITI.

**c. Prerequisites for filing a Complaint**

- Prior to submitting a Complaint to the ESGRM, the Complainant must present evidence of having gone before the specific CGM of the Operation and not having found a satisfactory response or having exhausted the possibilities of dialogue and extrajudicial channels with those responsible for the Operation.
- Complaints related to allegations of GBV, or any type of discrimination do not need to be preceded by any filing with the Operation’s CGM.

**d. Minimum content required for a Complaint**

Any Complaint must cover at least, but without limitation, the following aspects:

- The identity of the complainants, their physical addresses, e-mail addresses, and other contact information.
- If an organization or individual submits a Complaint on behalf of those allegedly affected, the representative should clearly indicate the identity and contact details of those on whose behalf the Complaint is made and provide explicit evidence of their authority to do so, as well as the bylaws of their organization, if applicable. ESGRM may verify that the affected parties have granted such authority. It is the responsibility of ESGRM to verify the validity of the delegation or representation.
- The name and precise location of the Operation to which the Complaint refers.
- Evidence of the efforts made by the Complainant to resolve the problem, including the details of the approach and the results obtained before the CGM of the Operation; and the details of the unresolved aspects of the problem.
- Any relevant aspect or fact that the Complainant considers relevant and for which it can present documentary evidence.
- Excepted from the above requirements are complaints related to GBV or any type of discrimination, for which the identification and contact details of the Complainant will suffice, information that will be treated from the moment of receipt in accordance with the confidentiality criteria governing ESGRM; the name and precise location of the Operation to which the Complaint refers; and any other fact or information that the Complainant considers relevant to the analysis process.
- A Complaint does not require following a specific format; however, Annex 2. "Recommended format for filing a Complaint" constitutes a recommendation or model that complainants may use.

### II.8. Exclusions

Complaints that fall into any of the following scenarios will not be eligible for ESGRM:
a. Related to alleged non-compliance with CAF’s Ethical Conduct Guidelines by officials, employees, or service providers of the Organization. Such complaints or allegations should be submitted via email to the Labor Integrity Committee (CIL, for its acronym in Spanish) at cil@caf.com.

b. Related to the alleged commission of Prohibited Practices in the Operations financed by CAF. Such complaints or allegations should be submitted via email to the Committee on Prohibited Practices (CPP) at cpp@caf.com.

c. Addressed anonymously.

d. When the Complaint may have political or economic or ideological purposes, or which are entirely the responsibility of actors other than the Borrower.

e. When the issues or subject matter of the complaint are/is being analyzed in an arbitration, administrative or judicial proceeding in the country of the Operation or any CAF shareholder country.

f. Related to operations that have not yet been approved by CAF’s credit authorities and duly executed; however, if within the documentation sent by the Complainant, there is information or indications of a possible omission or deficiency in the environmental, social and gender management of the Operation, the ESGRM Coordination will inform the internal areas related to the Operation.

g. That are presented after twelve (12) months after the end of the disbursements of the financing granted by CAF to the Operation.

h. That are filed after twelve (12) months from the date on which the complainants became aware of the alleged adverse impacts on which the Complaint is based.

i. On matters already dealt with by ESGRM, unless new evidence or evidence or reports on the Complaint are provided.

j. That it refers only to the suggestion for the adequacy of CAF’s policies and procedures or that it refers to questions, requests for information and suggestions regarding any aspect of an Operation. Such requests must be submitted to CAF's PCCSM.

k. Pertain to programs, projects, works, activities, or initiatives not financed by CAF.

II.9. Complaint management

Complaints filed with ESGRM will be handled in three (3) stages.

a. First stage: Reception and registration

- Complaints will be received through the different channels listed in Annex 1.
- Once received, complaints will be registered by the ESGRM Coordination within ten (10) calendar days of receipt.
Any Organizational Unit (OU) or area of CAF, including country offices, receiving any type of communication related to a Complaint regarding environmental and social issues of a CAF-financed Operation, shall forward such Complaint to ESGRM within five (5) calendar days of receipt.

Complaints that are received by the ESGRM, and that do not fall within its competence, will be forwarded by the ESGRM Coordination to the PCCSM within ten (10) calendar days of receipt.

b. Second stage: Determination of eligibility

The ESGRM Coordination, within twenty (20) calendar days after the registration of the Complaint, will evaluate the eligibility of the Complaint. The eligibility analysis will be limited to verifying that:

- The Complaint complies with the Criteria for filing complaints (section II.7.) particularly, with the Prerequisites for filing a Complaint (item c) and with the Minimum content for filing a Complaint (item d), and
- The Complaint does not fall under any of the Exclusions (section II.8.).

If the Complaint does not contain the Minimum content for filing a Complaint (paragraph d, section III.7. of this Manual), the Coordination will communicate it to the Complainant, who may correct the omission within the following fifteen (15) calendar days.

If the requested information is not received, or if partial or inaccurate information is received, the Coordination will terminate the process, for which purpose it will prepare the notification of closure of the process, which will contain the arguments that motivated the decision and will be notified to the Complainant.

Regardless of the above, if within the partial documentation sent by the Complainant, there is information or indications of a possible omission or failure in the environmental, social, and gender management of the Operation, the Coordination will inform the internal areas related to such Operation.

In case the Complainant submits the requested information, and it complies with the established requirements, the Coordination will notify the Complainant about the eligibility of the Complaint, in order to continue with the evaluation of the same.

- If the Coordination considers that the Complaint is not eligible, because it falls under any of the Exclusions set forth in section II.8. of this Manual, it will reject it outright, stating the reasons for its decision. The Coordination shall notify the Complainant of this decision.
- If the Complaint is eligible, and has the required information, the Coordination will admit the Complaint and will prepare the respective eligibility notification that will be sent to the Complainant.

c. Third stage: Evaluation and solution approaches
Excepted from the considerations set forth in this section are claims related to GBV and discrimination, whose assessment and approaches to resolution are described in section II.10. "Considerations Related to Gender-Based Violence and Discrimination Complaints".

(i) Evaluation

- From the date of notification to the Complainant of the declaration of eligibility of the Complaint, the Coordination will have up to ninety (90) calendar days to conduct a detailed evaluation of the Complaint and define a settlement approach.

- In order to carry out the evaluation, the Coordination shall:
  - Collect and review in detail all the documents of the Operation, including the information provided by the Complainant.
  - Clarify ambiguous aspects of the Complaint, through direct contact with the Complainant, if necessary.
  - To request opinions from the different internal technical bodies relevant to the case; and
  - Directly request information from the Borrower regarding the Operation's environmental and social management. Each time new information is provided, the deadlines originally established for the evaluation will be automatically renewed.

  Likewise, the Coordination may:
  - Consider hiring independent external experts for the analysis of the critical aspects of the Complaint.
  - To carry out consultations with institutions and organizations, public or private, related to the subject; and
  - Conduct a field visit to the Operation's facilities, in particular to the sites where the alleged adverse impacts alleged in the Complaint are manifested; as well as conduct meetings with the Complainant, the local authorities, and/or the Borrower.

- Once the Coordination has carried out its assessment, and as a product of this has understood and contextualized the substantive issues of the Complaint, it should develop an intervention proposal, based on the solution approaches set forth below, for the resolution of the issues referred to in the Complaint.

- As a result of the evaluation, or at any time during the process, a Complaint may be declared ineligible, notifying the Complainant of the closure of the process, with the arguments that motivate such decision.

(ii) Solution approaches

The issues raised in a Complaint can be approached from two perspectives:

- Conflict resolution.
- Verification of compliance.

(iii) First approach: conflict resolution
Objective. To promote a process of rapprochement and voluntary dialogue. This requires, at a minimum, that the Complainant and the Borrower agree to do so, in order to help resolve, to the satisfaction of the parties, the issues raised regarding the environmental and social impacts of the Operation in question.

Appropriateness. This approach is appropriate for complaints where the Coordination identifies that the issues raised are related to the Borrower’s non-compliance with the requirements of CAF’s Environmental and Social Safeguards or the country’s environmental and social standards in the Operation that is the subject of the Complaint; deficiencies in the Borrower’s environmental and social management; noncompliance with agreements with communities, or difficulties in communication between the parties due to differences in understanding of the Operation and its activities, or with the interpretation of environmental and social requirements or the Complainant’s lack of knowledge or accurate information.

Scope. The conflict resolution approach requires the search for agreements and solutions based on various procedures, in consultation with the parties, and may include the following:

- Facilitation and information sharing. ESGRM can assist the complainant in obtaining information or clarification related to their concerns, which may prove to be a solution from their perspective.
- Joint fact-finding. This approach is intended to encourage the parties to determine, by mutual agreement, the issues to be analyzed, as well as the methods, resources and persons to be used for this purpose and the manner in which the information obtained during the process will be used, in order to move towards a consensual resolution of the concerns raised in the Complaint.
- Dialogue and negotiation. In cases where communication between the parties is limited or has broken down, ESGRM can suggest and support communication and consensus-building dynamics to address and resolve the issues raised in the Complaint. It may also offer to provide training or technical expertise to assist the parties in this process.
- Mediation and conciliation. Mediation involves the intervention of a neutral third party in a dispute or negotiation to help the parties voluntarily reach a mutually satisfactory agreement. In conciliation, the neutral third party may make recommendations to the participants in the process.

Expected Outcomes. The primary objective of this dispute resolution approach is to address the issues raised in the Complaint, and any other significant issues that may have been identified during the assessment or during the dispute resolution process that are relevant to the Complaint, in a manner that is acceptable to all parties. Specific agreements are then expected to be reached which may or may not include incentives or disincentives, time-bound or otherwise.

The agreements reached may include specific requirements of CAF for the Borrower to improve or correct its environmental or social management of the Operation, within the framework of the respective contract.
ESGRM will not promote or accept agreements that contravene the country's environmental and social standards, the Borrower's contractual obligations, its internal policies, or CAF's policies.

If, as a result of the agreements reached between the parties, any type of compensation, indemnification, retribution, or similar benefit is agreed upon, CAF will not participate in this determination, nor will it be a guarantor of such compensation, indemnification, retribution or similar benefit.

Once the use of this approach has been defined, the Coordination will prepare a preliminary report, which will contain the background, the information reviewed and the proposed actions and recommendations to be carried out and will notify the complainant and the corresponding internal instances.

Once the evaluation has been completed and the actions foreseen in the preliminary report have been carried out, the Coordination will prepare the final report with the results and conclusions and will notify the Complainant and the corresponding internal instances.

(iv) Second approach: compliance verification

- **Objective.** The objective is to carry out a process of verification of compliance with the requirements established in CAF's Environmental and Social Safeguards, and in the country's environmental and social standards, in the Operation that is the subject of the Complaint, when these generate significant concern or present issues of systemic or strategic importance for CAF or when there is an evident presumption of harm, due to CAF's alleged action or omission regarding its environmental and social management of the Operation.

- **Appropriateness.** This approach is appropriate for claims where the review has identified shortcomings, harmful actions, or omissions in the Operation's environmental and social performance that pose significant risks or involve issues of systemic or strategic importance to CAF.

In assessing the Operation's performance and the manner in which CAF has put in place measures to mitigate the risks identified, it will also be necessary to review the Borrower's performance and verify the results obtained on the ground.

If there is evidence of shortcomings due to CAF's action or inaction, there may also be noncompliance by the Borrower with the country's environmental and social standards and/or CAF's Environmental and Social Safeguards.

- **Scope.** The compliance verification process with respect to a Complaint filed with CAF's ESGRM is not a judicial process and is not designed to attribute fault or responsibility to the various parties involved. In this case, the ESGRM assumes the mandate to investigate allegations of alleged noncompliance with the requirements set forth in CAF's Environmental and Social Safeguards applicable to the Operation in question, by CAF's act or omission.
This evaluation approach will be activated with the express indication of the Head of Risk Management. The assessment will seek to determine:

− Potentially significant adverse environmental or social impacts, whether current or future.
− The reasons or indications as to why CAF has not complied with or has not properly applied its environmental and social standards and policies; or despite the application of such standards and policies, the expected results have not been obtained; and
− The decisions and procedures to be taken to remedy them, both at the level of the Operation and internally at CAF.

• Expected results. Given the scope of this approach, the expected results will focus primarily on defining actions to control, mitigate and/or compensate for the negative impacts on the complainants or the environment and, secondly, on generating recommendations to improve CAF's environmental and social risk management process from the logic of preventive action.

Once the use of this approach has been defined, the Coordination will prepare a preliminary report, which will contain the background, the information reviewed and the proposed recommendations and actions to be taken, and will notify the Complainant and the corresponding internal instances.

Once the evaluation has been completed and the actions foreseen in the preliminary report have been carried out, the Coordination will prepare the final report with the results, conclusions and recommendations, and will notify the Complainant and the corresponding internal instances.

d. Forms of termination of the procedure

The ESGRM procedure may be terminated for any of the following reasons:

• Timely and substantiated response to the complainant.
• Accompanying the complainants and the Borrower for a voluntary rapprochement of the parties, in order to resolve the issues raised by the former in the most pertinent manner.
• Issuance of recommendations or requests for corrective measures to the Borrower's environmental and social management.
• In case of GBV situations, have provided information on specialized national or local response mechanisms or services, and have made a responsible referral to them.
• Issuance of recommendations for the improvement of CAF's internal rules or processes related to the management of environmental and social risks of operations.
• No issues were detected that are the subject of any action by CAF; and/or
• Cessation of the Complaint because it has been resolved during the process of processing the same.

II.10. Considerations related to Gender-Based Violence (GBV) and Discrimination Complaints

a. General considerations
The fundamental principle for dealing with complaints of gender-based violence and any other type of discrimination is the protection of the personal integrity, both physical and psychological, and the reputation of the alleged victim, as well as the prevention of non-repetition and non-revictimization.

Given the nature, characteristics, and sensitivity of allegations related to situations of GBV and discrimination, these will receive special treatment within the ESGRM, which will be led and advised at all times by specialists in the field.

All officials involved in the investigation process shall preserve and protect the confidentiality of the complainant(s), the accused or potential aggressor(s), the witness(es), the institutions, and any other interested parties, as well as of the information accompanying the Complaint, and of the process arising therefrom, unless any of the parties involved expressly waives this privilege.

In no case shall the Borrower involved be informed until the documentation or evidence-gathering process on the Complaint has been completed, except when there are indications that the evidence can only be gathered by involving the Borrower.

All information that is collected or made available to those involved as evidence of the Complaint (e-mails, electronic messages, videos, etc.), should be protected, unaltered, and preserved according to recommended practices, especially that which CAF or the Complainant may qualify and/or classify as confidential information.

b. Evaluation and solution approaches

Once the Coordination has carried out the evaluation process, and as a result of this, has understood and contextualized the issues at the heart of the Complaint, the Coordination shall prepare a Roadmap for the responsible referral and accompaniment of the complainant(s) that considers, among other actions, the guidelines for them to be assisted by the relevant agencies or institutions in terms of:

- Attention to medical emergencies.
- Psychological or psychosocial assistance; and
- Legal assistance or sponsorship to file complaints if the complainant(s) so decides.

If a case of violation of the rights of women and children to a life free of violence and non-discrimination by the Borrower is found, the ESGRM shall establish the appropriate measures to be taken.
III. PROTECTION AND PROCESSING OF PERSONAL DATA

Privacy in CAF refers to the appropriate management of the processing of personal data of the Institution's stakeholders, which must comply with the provisions of CAF’s internal regulations in force, in particular the "Guidelines for the Protection and Processing of Personal Data", as well as the regulations applicable to CAF’s Shareholder Countries and the General Data Protection Regulation of the European Union (GDPR).

The receipt, storage, and any processing of complaints containing basic or sensitive personal data will be under consideration of "processing of personal data managed by CAF," and therefore must be carried out under the principles established in the internal regulations in force, which are: Lawfulness, Fairness and Transparency, Purpose Limitation, Data Minimization, Data Accuracy, Retention Limitation, Integrity, and Confidentiality.

The Data Protection Officer (DPO) will support data controllers, within the complaints process, in establishing the appropriate personal data protection and processing measures.

Likewise, the DPO at CAF has an e-mail box privacidad@caf.com where complainants can exercise their rights, and should they require further information, they may consult the Privacy Policy published on the corporate website (www.caf.com).

IV. GLOSSARY OF TERMS

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<td>Andean Development Corporation</td>
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<td>Complaints and Grievances Mechanism</td>
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<td>CIL</td>
<td>Labor Integrity Committee, for its acronym in Spanish</td>
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<td>CO</td>
<td>Country Offices</td>
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<td>Coordination of the Environmental and Social Grievance Redress Mechanism</td>
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<td>Data Protection Officer</td>
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<td>ESGRM</td>
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<td>GDPR</td>
<td>General Data Protection Regulation of the European Union</td>
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<td>Term</td>
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<td>Labor Integrity Committee</td>
<td>CAF collegiate body (Resolutions P.E. No 0356/2022 and No 0637/2023).</td>
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V. ANNEXES

V.1. Annex 1. Channels for filing a complaint

Complainants can file a Complaint with CAF using any of the ESGRM channels listed below; however, if the Complainant does not have the means or is unable for any reason to file the content solicited below, due to language, disability, or GBV restrictions, ESGRM will make its best effort to address the respective complaint with the required flexibility.

- Through electronic media:
  - By sending an email to: MRAS@caf.com
  - By filling out the ESGRM Online Form found on the corporate website: www.caf.com.

- CAF Headquarters or any of the CAF country offices in person or by mail:

<table>
<thead>
<tr>
<th>Country</th>
<th>Address</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Venezuela (HQ)</td>
<td>Luis Roche Avenue, CAF Tower, Altamira Caracas</td>
<td>+58 212 209 21 11</td>
</tr>
<tr>
<td>Argentina</td>
<td>Avenida Eduardo Madero No. 900. Catalinas Plaza Building, 15th floor. Autonomous City of Buenos Aires</td>
<td>+54 11 4318 6400</td>
</tr>
<tr>
<td>Bolivia</td>
<td>Avenida Arce No. 2915, Zona San Jorge La Paz</td>
<td>+591 2 264 81 11</td>
</tr>
<tr>
<td>Brazil</td>
<td>SAF/SUL Quadra 2, Lote 4, Bloco D, Building Via Esplanada, Room 404 Brasilia DF</td>
<td>+55 61 2191 8600</td>
</tr>
<tr>
<td>Colombia</td>
<td>Carrera 9 No. 76-49, ING Building, Floor 7 Bogotá D.C.</td>
<td>+57 1 744 9444</td>
</tr>
<tr>
<td>Ecuador</td>
<td>Avenida Simón Bolívar S/N and Vía Nayón, Ekopark Corporate Complex. Tower 5, 8th floor Quito</td>
<td>+593 239 79 400</td>
</tr>
<tr>
<td>Spain</td>
<td>Plaza Pablo Ruiz Picasso No. 1, Torre Picasso, 24th Floor Madrid</td>
<td>+34 91 597 3894</td>
</tr>
<tr>
<td>Mexico</td>
<td>Avenida Paseo de la Reforma No. 342, 23rd floor, Edificio New York Life Seguros Monterrey, Colonia Juárez, Delegación Cuauhtémoc. Mexico City.</td>
<td>+52 55 1102 6911</td>
</tr>
<tr>
<td>Panama</td>
<td>Boulevard Pacífica, P.H Oceania Business Plaza. Torre 2000, 27th floor Punta Pacifica Panama</td>
<td>+507 297 5311</td>
</tr>
<tr>
<td>Paraguay</td>
<td>Santa Teresa Avenue No. 1827, Paseo La Galería, Tower 2, 25th Floor Asunción</td>
<td>+595 21 919 9211</td>
</tr>
<tr>
<td>Country</td>
<td>Address</td>
<td>Phone</td>
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</tr>
<tr>
<td>Peru</td>
<td>Avenida Enrique Canaval y Moreyra No. 380, Edificio Torre Siglo XXI, 13th Floor, San Isidro Lima</td>
<td>+51 1 710 8511</td>
</tr>
<tr>
<td>Trinidad and Tobago</td>
<td>Albion Energy Plaza, 8th Floor, 22-24 Victoria Street Port of Spain</td>
<td>+1 868 222-1540/1541</td>
</tr>
<tr>
<td>Uruguay</td>
<td>Citadel 1235, Montevideo</td>
<td>+598 2917 3211</td>
</tr>
</tbody>
</table>
V.2. Annex 2. Recommended format for filing a complaint

<table>
<thead>
<tr>
<th>Environmental and Social Grievance Redress Mechanism (ESGRM)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing a complaint</td>
</tr>
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</table>

1. Complainant identification

<table>
<thead>
<tr>
<th>Is a representative filing this complaint on behalf of the complainant?</th>
<th>Yes</th>
<th>No</th>
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</thead>
<tbody>
<tr>
<td>The complainant has the right to confidentiality? Do you want to waive this right?</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

Please indicate the name(s) of the person(s), whether representative(s) or direct complainant(s), submitting the complaint.

<table>
<thead>
<tr>
<th>Name</th>
<th>Mailing address</th>
<th>Phone</th>
<th>E-mail address</th>
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2. Identification of the Operation

Please indicate the name of the CAF-financed Operation for which you wish to file a claim.

Please indicate, as precisely as possible, the location of the Operation (address, city, country).

If known, please indicate the name of the Executing Agency and/or the construction company.

3. Subject of the complaint

Please describe how you, those you represent, or the environment have been, or are likely to be, adversely affected by the environmental and social impacts of the Operation.

What are the results you expect to obtain as an outcome of CAF’s ESGRM process?

4. Operation’s Complaint and Grievance Mechanism (CGM)

Please describe the efforts and results obtained before the Operation’s Complaints and Grievance Mechanism (CGM) and the unresolved aspects of the problem.

Please mention any other relevant aspect or fact that you consider relevant and for which documentary evidence can be provided.

5. Support documentation

Please list below the documentation attached to this complaint in support of your request.

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Name of document</th>
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<tr>
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