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**CN**

**01 407 020269**

**Audit Report as per**

**AWS Water Stewardship Standard  
Version 1.0**

**for**

**ECOLAB(TAICANG) TECHNOLOGY CO.,  
LTD.**

**No. 7, Middle Xiexin Road, Taicang Port  
Development Zone, Taicang, Jiangsu, P. R.  
China**

Client	Standard(s)	Certification Number(s)	Audit Type
ECOLAB(TAICANG) TECHNOLOGY CO., LTD	AWS Water Stewardship Standard Version 1.0	01 407 020269	Initial Audit

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**Audit Leader** : Vito C. C. Lin

**Audit Team** : Vito C. C. Lin

**Management System Representative** : Mr. Jiang Zhu

**Audit Date** : 2015-08-12, 2015-08-13

## 1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

<input checked="" type="checkbox"/>	The current audit revealed the following nonconformities: <b>Standard(s):</b> AWS Water Stewardship Standard Version 1.0	<b>No. of nonconformity</b> 5
<input checked="" type="checkbox"/>	The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard(s).	

The audit team therefore recommends (provided the effectiveness of corrections and/or corrective actions addressing the identified nonconformities has been verified) :

<input checked="" type="checkbox"/>	Confer a new certification <input checked="" type="checkbox"/> Core AWS level <input type="checkbox"/> AWS Gold <input type="checkbox"/> AWS Platinum
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## 2 Scope

### 2.1 Description of the organization

A trusted partner at more than one million customer locations, Ecolab (ECL) is the global leader in water, hygiene and energy technologies and services that protect people and vital resources. With 2014 sales of \$14 billion and 47,000 associates, Ecolab delivers comprehensive solutions and on-site service to promote safe food, maintain clean environments, optimize water and energy use and improve operational efficiencies for customers in the food, healthcare, energy, hospitality and industrial markets in more than 170 countries around the world.

Ecolab is one of nearly 30 leading organizations from across sectors to advance the efforts of AWS to protect the world's limited freshwater resources. Ecolab is a founding partner of AWS and was one of the first companies to pilot the AWS Standard. Ecolab partnered with World Wildlife Fund (WWF) to field test and implement the framework at its Taicang manufacturing plant, which is located in a water-sensitive area in the Taihu basin of the Yangtze region.

Ecolab(Taicang) Technology Co., Ltd. opened in August 2012 and is the company's largest site in the Asia Pacific region. The facility produces a complete portfolio of cleaning, sanitizing, food safety and infection prevention solutions for customers in a wide range of growing industries, including: food and beverage production, food retail, hospitality, healthcare and dairy, meat and poultry processing.

This work resulted in a systematic approach to water stewardship that included implementation of water reduction projects within the facility as well as initial collective action with other water users and stakeholders, including local authorities, operating within the same catchment.

### 2.2 Scope of certification

Scope of certification :	Manufacture and Sales of detergent.
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This is a single site certification. The following sites and their scopes are included in the scope of certification :

Site No. (CN ext.)	Sites included in cert. Name/address of site	Scope and processes	Standard(s)	Audited
01	Ecolab(Taicang) Technology Co., Ltd. No. 7, Middle Xiexin Road, Taicang Port Development Zone, Taicang, Jiangsu, P. R. China	Manufacture and Sales of detergent.	AWS Water Stewardship Standard Version 1.0	<input checked="" type="checkbox"/>

## 3 Changes in the management system / Contract review

The management system and the management system documentation has been adjusted to confirm AWS Water Stewardship Standard Version 1.0.

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## 4 Audit findings

The audit findings related to the audited standards are listed below.

All information gained during the audit will be treated with strict confidentiality by the audit team and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

Standard element	1.1	1.2	1.3	1.4	1.5	1.6	2.1	2.2	2.3
Rating*)	3	2	5	5	5	5	3	3	2
No. of nonconformity	1	0	0	0	0	0	2	1	0
Standard element	2.4	2.5	2.6	2.7	2.8	2.9	2.10	2.11	2.12
Rating*)	1	2	1	2	5	5	5	5	5
No. of nonconformity	0	0	0	0	0	0	0	0	0
Standard element	2.13	3.1	3.2	3.3	3.4	3.5	3.6	4.1	4.2
Rating*)	5	1	1	1	1	5	5	1	1
No. of nonconformity	0	0	0	0	0	0	0	0	0
Standard element	4.3	4.4	4.5	4.6	4.7	4.8	4.9	4.10	4.11
Rating*)	1	1	2	2	1	1	5	5	5
No. of nonconformity	0	0	0	0	0	0	0	0	0
Standard element	4.12	4.13	4.14	4.15	4.16	4.17	4.18	5.1	5.2
Rating*)	5	5	5	5	5	5	5	1	1
No. of nonconformity	0	0	0	0	0	0	0	0	0
Standard element	5.3	5.4	5.5	5.6	6.1	6.2	6.3	6.4	6.5
Rating*)	2	1	5	5	1	2	2	1	3
No. of nonconformity	0	0	0	0	0	0	0	0	1
Standard element	6.6	6.7	6.8						
Rating*)	5	5	5						
No. of nonconformity	0	0	0						

- \*Rating:**
- 1 = conforming
  - 2 = conforming but opportunities for improvement
  - 3 = failed/nonconformity
  - 4 = not applicable
  - 5 = not audited in this audit

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Clause	Examination result	
<p>1.1 Establish a leadership commitment on water stewardship:</p> <p>1.1.1 Signed and publicly disclosed statement that explicitly covers all requirements</p>	<input type="checkbox"/> Complied <input checked="" type="checkbox"/> Non-conformance	<p>please describe:</p> <p>Water innovation policy is not clear disclosure to the staff.</p>
<p>1.2 Develop a water stewardship policy:</p> <p>1.2.1 Publicly available policy that meets all requirements</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	<p>please describe: N/A</p>
<p>2.1 Define the physical scope:</p> <p>2.1.1 Documentation or map of the site's boundaries</p> <p>2.1.2 Names and location of water sources, including both water service provider (if applicable) and ultimate source water</p> <p>2.1.3 Names and location of effluent discharge points, including both water service provider (if applicable) and ultimate receiving water body</p> <p>2.1.4 Geographical description or map of the catchment(s)</p>	<input type="checkbox"/> Complied <input checked="" type="checkbox"/> Non-conformance	<p>please describe:</p> <p>Do not explicitly defined the river basin which are impacted by Ecolab Taicang manufacturing plant.</p>
<p>2.2 Identify stakeholders, their water-related challenges and the site's sphere of Influence:</p> <p>2.2.1 List of stakeholders, descriptions of prior engagements and summaries of their water-related challenges</p> <p>2.2.2 Description of the site's sphere of influence</p>	<input type="checkbox"/> Complied <input checked="" type="checkbox"/> Non-conformance	<p>please describe:</p> <p>Some stakeholders were not identify.</p>
<p>2.3 Gather water-related data for the catchment:</p> <p>2.3.1 List of relevant aspects of catchment plan(s), significant publicly led initiatives and/or relevant water-related public policy goals for the site</p> <p>2.3.2 List, and description of relevance, of all applicable water-related legal and regulatory requirements, including legally defined and customary water rights and water-use rights</p> <p>2.3.3 Catchment water balance by temporally relevant time unit and commentary on future supply and demand trends</p> <p>2.3.4 Appropriate and credibly measured data to represent the physical, chemical and biological status of the site's water source(s) by temporally relevant time unit, and commentary on any anticipated future changes in water quality</p> <p>2.3.5 Documentation identifying Important Water-Related Areas, including a description of their current status and commentary on future trends</p> <p>2.3.6 Existing, publicly available reports or plans that assess water-related infrastructure, preferably with content exploring current and projected sufficiency to meet the needs of water uses in the catchment, and exposure to extreme events</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	<p>please describe: N/A</p>

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<p>2.4 Gather water-related data for the site:</p> <p>2.4.1 Copies of existing water stewardship and incident response plans</p> <p>2.4.2 Site water balance (in Mm<sup>3</sup> or m<sup>3</sup>) by temporally relevant time unit and water-use intensity metric (Mm<sup>3</sup> or m<sup>3</sup> per unit of production or service)</p> <p>2.4.3 Appropriate and credibly measured data to represent the physical, chemical and biological status of the site's direct and outsourced water effluent by temporally relevant time unit, and possible pollution sources (if noted)</p> <p>2.4.4 Inventory of all material water-related chemicals used or stored on-site that are possible causes of water pollution</p> <p>2.4.5 Documentation identifying existing, or historic, onsite Important Water-Related Areas, including a description of their status</p> <p>2.4.6 List of annual water-related costs, revenues and description/quantification of social, environmental or economic value generated by the site to the catchment</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>2.5 Improve the site's understanding of its indirect water use:</p> <p>2.5.1 List of primary inputs with their associated embedded annual (or better) water use and (where known) their country/region/or catchment of origin with its level of water stress</p> <p>2.5.2 List of outsourced services that consume water or affect water quality and both (A) estimated annual (or better) water withdrawals listed by outsourced services (Mm<sup>3</sup> or m<sup>3</sup>) and (B) appropriate and credibly measured data to represent the physical, chemical and biological status of the outsourced annual (or better) water effluent</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>2.6 Understand shared water-related challenges in the catchment:</p> <p>2.6.1 Prioritized and justified list of shared water challenges that also considers drivers and notes related to public-sector agency efforts</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>2.7 Understand and prioritize the site's water risks and opportunities:</p> <p>2.7.1 Prioritized list of water risks facing the site, noting severity of impact and likelihood within a given time frame</p> <p>2.7.2 Prioritized list of water-related opportunities for the site</p> <p>2.7.3 Estimate of potential savings/value creation</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>3.1 Develop a system that promotes and evaluates water-related legal compliance:</p> <p>3.1.1 Documented description of system, including the processes to evaluate compliance and the names of those responsible and accountable for legal compliance</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A

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<p>3.2 Create a site water stewardship strategy and plan:</p> <p>3.2.1 Available water stewardship strategy</p> <p>3.2.2 Available plan that meets all component requirements and addresses site risks, opportunities and stakeholder shared water challenges</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>3.3 Demonstrate responsiveness and resilience to water-related risks into the site's incident response plan:</p> <p>3.3.1 A description of the site's efforts to be responsive and resilient to water-related issues and/or risks in an appropriate plan</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>3.4 Notify the relevant (catchment) authority of the site's water stewardship plans:</p> <p>3.4.1 Documented evidence of communicating the site's plan to the relevant catchment authority/agency</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>4.1 Comply with water-related legal and regulatory requirements:</p> <p>4.1.1 Documentation demonstrating compliance</p> <p>4.1.2 (Catchments with stakeholders who have an unmet human right to safe drinking water and sanitation) Documentation of efforts to work with relevant public sector agencies to fulfil human right to safe drinking water and sanitation.</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>4.2 Maintain or improve site water balance:</p> <p>4.2.1 Measurement-based evidence showing that targets have been met</p> <p>4.2.2 (Water scarce catchments only) Evidence of continual decrease or best practice</p> <p>4.2.3 (Sites wishing to increase withdrawals in water scarce catchments only) Evidence of no net increase in water scarcity</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>4.3 Maintain or improve site water quality:</p> <p>4.3.1 Measurement-based evidence showing that targets have been met</p> <p>4.3.2 (Water quality-stressed catchments only) Evidence of continual improvement or best practice</p> <p>4.3.3 (Sites wishing to increase effluent levels of water quality parameters of concern in water quality-stressed catchments only) Evidence of no net degradation in water quality in the catchment</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>4.4 Maintain or improve the status of the site's Important Water-Related Areas:</p> <p>4.4.1 Documented evidence showing that targets have been met</p> <p>4.4.2 (Degraded Important Water-Related Area catchments only) Evidence of continual improvement or best practice</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
<p>4.5 Participate positively in catchment governance:</p> <p>4.5.1 Documented evidence of the site's ongoing efforts to contribute to good catchment governance</p> <p>4.5.2 (Weak water governance catchments only) Evidence of continual improvement or best practice</p>	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A



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4.6 Maintain or improve indirect water use within the catchment: 4.6.1 List of suppliers and service providers, along with the actions they have taken as a result of the site's engagement relating to indirect water use	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
4.7 Provide access to safe drinking water, adequate sanitation and hygiene awareness (WASH) for workers on-site: 4.7.1 List of actions taken to provide workers access to safe water, effective sanitation and protective hygiene (WASH) on-site	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
4.8 Notify the owners of shared water-related infrastructure of any concerns: 4.8.1 List of individuals contacted and key messages relayed	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
5.1 Evaluate the site's water stewardship performance, risks and benefits in the catchment context: 5.1.1 Post-implementation data and narrative discussion of performance and context (including water risk) 5.1.2 Total amount of water-related costs, cost savings and value creation for the site based upon the actions outlined in 3.2 (drawn from data gathered in 2.4.6) 5.1.3 Updated data for indicator 2.4.7 on catchment shared value creation based upon the actions outlined in 3.2	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
5.2 Evaluate water-related emergency incidents and extreme events: 5.2.1 Documented evidence (e.g., annual review and proposed measures)	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
5.3 Consult stakeholders on water-related performance: 5.3.1 Commentary by the identified stakeholders	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
5.4 Update water stewardship and incident response plans: 5.4.1 Modifications to water stewardship and incident response plans incorporating relevant information	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
6.1 Disclose water-related internal governance: 6.1.1 Disclosed and publicly available summary of governance at the site, including those accountable for compliance with water-related laws and regulations	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
6.2 Disclose annual site water stewardship performance: 6.2.1 Disclosed summary of site's water stewardship results	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
6.3 Disclose efforts to address shared water challenges: 6.3.1 Disclosed and publicly available description of shared challenges and summary of actions taken to engage stakeholders (including public-sector agencies)	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A
6.4 Drive transparency in water-related compliance: 6.4.1 Available list of water-related compliance violations with corresponding corrective actions	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Non-conformance	please describe: N/A

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6.5 Increase awareness of water issues within the site: 6.5.1 Record of awareness efforts (dates and communication) and, if possible, level of awareness	<input type="checkbox"/> Complied <input checked="" type="checkbox"/> Non-conformance	please describe: Do not clearly declared water management information to the staff.
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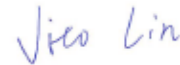
## 5 Dates 日期

This report is valid from **2015/09/28** until **2018/09/27**

2015-09-25

Date

Vito C. C. Lin



Audit Leader / Auditor(s)