



Alliance for Water Stewardship Assessment Report

Prepared for Nestle Waters

Prepared by: SGS

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REPORT DETAILS

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Table of content

REPORT DETAILS	2
1 EXECUTIVE SUMMARY	4
2 SCOPE OF ASSESSMENT	5
3 DESCRIPTION OF CATCHMENT	9
4 SUMMARY OF SHARED WATER CHALLENGES.....	11
5 INDICATORS CHECKLIST	14
6 AUDIT FINDINGS	23
6.1 MAJOR NON CONFORMANCES.....	23
6.2 MINOR NON CONFORMANCES	23
6.3 OBSERVATIONS	25
7 SUMMARY	26
8 OPPORTUNITIES FOR IMPROVEMENT.....	27
9 CONCLUSIONS AND RECOMMANDATIONS	28
10 REFERENCES.....	29

1 EXECUTIVE SUMMARY

The scope of services covers the conformity assessment of water use in compliance with the AWS International Water Stewardship Standard Version 1 for Nestle Waters Ethiopia, in the Oromia region. The assessment has been completed in compliance with the AWS Certification requirements, Version 1 dated July 2015.

Nestlé Waters and the owners of the Abyssinia Springs Business, one of the leading water players in Ethiopia, entered into a joint venture (JV) to carry out bottled water activities in Ethiopia in the first half of 2016. The factory is located in Sululta, 60km outside of Addis Ababa.

Nestle Waters responded the findings raised with root cause analysis and action plans and submitted corrected documentation as evidence to successfully clear all findings raised in the audit.

Given the review of evidence produced and site visit inspections performed at the Sululta Factory, SGS recommends that Nestle Waters is awarded AWS Core Certified status with a surveillance audit interval of annual frequency.

2 SCOPE OF ASSESSMENT

The scope of services covers the conformity assessment of water use in compliance with the AWS International Water Stewardship Standard Version 1 for Nestle Waters Ethiopia, in the Oromia region. The assessment has been completed in compliance with the AWS Certification requirements, Version 1 dated July 2015.

Nestlé Waters and the owners of the Abyssinia Springs Business, one of the leading water players in Ethiopia, entered into a joint venture (JV) to carry out bottled water activities in Ethiopia in the first half of 2016. The factory is located in Sululta, 60km outside of Addis Ababa.

SGS visited Sululta, Ethiopia, from 24th- 28th September 2018 to perform the site visit and assess the facilities and activities of Nestle Waters with regard to certification to the AWS Standard. The audit took place both at the offices of Nestle Waters in Addis Ababa and at their Factory in Sululta, Oromia Region. The factory is located 25 km north of Addis Ababa, the capital of Ethiopia, 3 km south of the Sululta village in Oromia. The facility is located in the Sululta plain, which is a wide, shallow valley with an elevation of 2500 meters above sea level, almost completely surrounded by mountains with numerous small rivers which drain into the Sibilu river which is a tributary to the Muger River that eventually discharges into the Abbay river.

The audit interviews were held at the offices in Addis Ababa over one day and a second day inspecting the installations and activities factory in Sululta. Nestle Waters provided all of the requested supporting documentation as evidence whilst on site. Outstanding documentation was forwarded on via email during the course of the following month. SGS provided initial feedback on observations and findings likely to be raised during the closing meeting of the audit on the 27 September 2018.

Table 2.1 photos from Nestle Waters Bottling Factory



Secured Well Room



Well Pump Point



Pipeline from Well into Chlorine Treatment



Chlorine Plant into Factory



Pipeline to Factory



First Filtration: Sand Filter



Activated Charcoal Filter



Teflon Filters



Reverse Osmosis



Ozone



Hand wash Station



Hand Sanitiser and Disposal



Staff Drinking Water



Water Testing Lab



Septic Tank



Trash Trap



Discharge Canal 1 to Brick Factory



Discharge Canal 2



Discharge from Factory



Start of Canal to Stream



New Ablution Block



Canteen Hand wash Station



Interview with Community Leaders



Community Water Station

3 DESCRIPTION OF CATCHMENT

Ethiopia has a complex topography, diversified climate and immense water resources. The country is divided into 8 major river basins as presented in Figure 2. Most of the river courses become full and flood their surrounding during the three main rainy months. West flowing rivers (Abbay, Baro-Akobo, Omo-Gibe and Tekeze) receive much rainfall unlike the northeast (Awash) and east flowing rivers (Wabishe-bele and Genale-Dawa) which receive normal to low rainfall. Ethiopian surface water potential was estimated at 124.4 billion cubic meters (A.M. Melesse et al., 2014). The factory is situated in the Abbay river basin, very close to the water divide line (Entoto mountains) between the rift valley (Awash river valley) and the Blue Nile basin (Abbay river valley).

Figure 1 - General project location

Site	Location	GPS Coordinates	
		Latitude	Longitude
Sululta factory	The operating Nestlé Sululta factory is located approximately 25 km North of Addis. The plant is located on the eastern edge of Road 3 which runs North-South between Addis Ababa and Sululta.	9°8'50"N	38°45'17"E



Figure 2 presents the main characteristics of the Ethiopian river basins.

NuoO	Basin name	Type	Source	Altitude at source (masl)	Terminal	Altitude at terminal/border (masl)	Flow direction	Area (km ²)	Water Resource	
									Billion m ³	Lt/sec/km ²
1	Abbay	R	Sekela, West Gojam	2,000	Sudan border	500	West (Nile)	199,912	54.40	8.63
2	Awash	R	Ginchi	3,000	Terminal lakes	250	Northeast	110,000	4.90	1.41
3	Aysha	D	—	—	Djibouti border	400	No flow	2,223	0.00	0.00
4	Baro-Akobo	R	Illubabor	3,000	Sudan border	395	West (Nile)	75,912	23.23	9.70
5	Dinakle	D	—	—	Kobar sink	160	No flow	64,380	0.86	0.42
6	Genale-Dawa	R	Bale Mountains	4,300	Somali border	180	East	172,259	6.00	1.10
7	Mereb	R	Zalanbessa	2,500	Eritrean border	900	West (Nile)	77,120	0.72	3.87
8	Ogaden	D	—	—	Somali border	400	No Flow	79,000	0.00	0.00
9	Omo-Gibe	R	Ambo	2,800	Rudolph lake	350	South (Nile)	52,000	16.6	6.66
10	Rift valley lakes	L	Arsi Mountain	4,193	Sudanese border	550	South	5,900	5.64	3.44
11	Tekeze	R	Lasta/Gidan	3,500	Chew Bahir	300	West (Nile)	82,350	8.20	3.16
12	Wabisheble	R	Bale Mountains	4,000	Somali border	200	East	202,220	3.40	0.53

D Dry, R River, L Lake, NF No flow

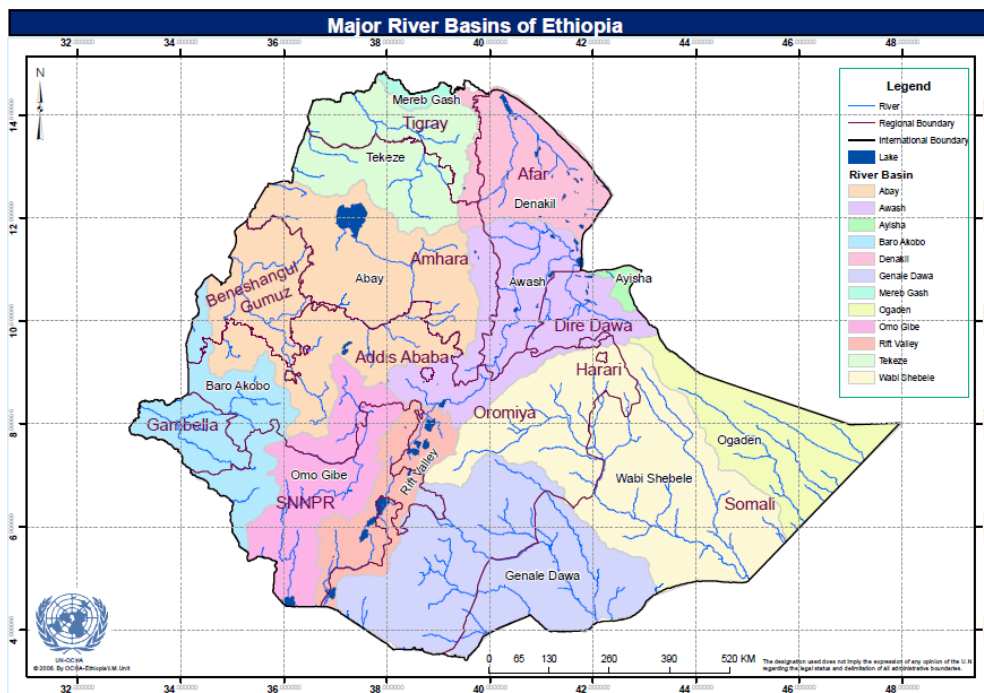


Figure 3 - Major river basin of Ethiopia (UN-OCHA, 2006)

The facility is located in the Sululta plain, which is a wide, shallow valley with an elevation of 2500 meters above sea level, almost completely surrounded by mountains with numerous small rivers which drain into the Sibilu river which is a tributary to the Muger River that eventually discharges into the Abbay river.

4 SUMMARY OF SHARED WATER CHALLENGES

Nestle Waters has identified general shared challenges which have been detailed below and were extracted from reference REF046 Nestle Waters Challenges, Risks and Opportunities Action Plan. More specific shared water challenges have been provided in Table 4.1 below.

The Sululta water catchment faces a complex mixture of challenges and opportunities and naturally, aligned with the recently launched global Sustainable Development Goals (SDGs), priorities amongst these are, for the authorities and most of the stakeholders, the need for improved WASH provision and maintenance; water resource development which is sustainable and coordinated; improved land and resource management to control degradation and pollution of the adjacent wetlands. In particular for the Sululta region there is a need to plan, manage, monitor and coordinate increasing demands on water use in order to avoid problems as the area is expected to continue its current rapid development rate. Underpinning and contingent to this is the need to rapidly increase the levels of participation, capacity and accountability around water resource management within local government and other businesses in the area. In order to specify these risks from on a local context, the major problems facing the Sululta can be summarised as follows:

- a. Insufficient water supply and sanitation both rural and urban and inequity in urban – rural provision;
- b. Catchment degradation due to poor land management, wetland loss and pollution;
- c. Low levels of awareness (in particular around sanitation and solid waste management);
- d. Limited legal implementation and enforcement and low accountability;
- e. Shortage of manpower and skills;
- f. Low coordination between sectors and stakeholders;
- g. Sustainable new development of water resources for new industries; and

A more detailed presentation of shared water challenges identified by Nestle Waters has been presented in Table 4.1 below. Information in the table below has been extracted from reference REF046.

Table 4.1.Detailed Shared Water Challenges for Nestle Waters Ethiopia

Shared water challenge	Main related AWS outcome (↓)	Associated public-sector agency initiative	Relevance/ rationale for stakeholders
Potential water quantity issues in the future, Due to unregulated population growth and current planning system. Available groundwater is limited.	Quantity	No program to handle this at authorities level. Master plan does not consider environmental aspects.	Most of the stakeholders understand there is an intense pressure on water resource
Potential water contamination due to industrial activities. Some industries located on the porous area	Quality	No program to handle this at authorities level. Master plan does not consider environmental aspects.	Most of the stakeholders understand there is a strong pressure on water resource
Waste disposal and sewage system	Quality	No program to handle this at authorities level. Master plan does not consider environmental aspects.	CRP shows that population is aware and concerned
Expansion of the town on the wetlands	Quality	No program to handle this at authorities level. Master plan does not consider environmental aspects.	Most of the stakeholders understand there is a strong pressure on water resource
Agriculture and chemicals (pesticides, fertilizers) + cattle	Quality	No program to handle this at authorities level. Government actually promotes use of chemicals to increase yields	No awareness on that.
Capacity and institutional stability	Governance		All basic government services are affected, due to high turnover, lack of strong institutional capacity
No monitoring/follow up on businesses (industries, resorts, commercial centers...) + lack of control	Governance		All basic government services are affected, due to high turnover, lack of strong institutional capacity

Issues in terms of access to drinking water (quantity and quality)	Governance	Water bureau lacks capacity. Municipality expects industries to play a role.	Key topic for Sululta population
Hygiene and sanitation issues (awareness + hardware)	Governance	Water bureau lacks capacity. Municipality expects industries to play a role.	Lack of awareness
Wetlands degradation because of urbanization	IWRA	No program to handle this at authorities level. Master plan does not consider environmental aspects.	elders worry but have no influence, no power
Springs and Streams are not protected	IWRA	No program to handle this at authorities level. Master plan does not consider environmental aspects.	elders worry but have no influence, no power
Upper catchment (recharge area) is not protected nor monitored	IWRA	No program to handle this at authorities level. Master plan does not consider environmental aspects.	Lack of awareness

5 INDICATORS CHECKLIST

As per the requirement set out in the AWS certification requirements Section 2.11.3.1 below is a checklist of all the CORE AWS indicators with the relevant reviewed evidence provided by Nestle Waters and the indicator with which it is associated.

Table 5.1 Evidence reviewed by SGS against each CORE AWS indicator

Indicator	Details	Evidence Reviewed/Document Reference
1	Leadership (core)	
1.1	Leadership commitment on water stewardship	
1.1.1	Has the organisation signed and published a statement related to his water stewardship commitment that includes all of the elements listed in core criteria 1.1?	REF001: Nestle Stewardship Commitment REF004: Sululta Factory Commitment to AWS
1.2.1	Has the organisation elaborated, agreed upon and discloses a water stewardship policy?	REF002: Water Stewardship Guidelines
2	Water challenges (core)	
2.1.1	Site boundaries (map)	REF005: Site Boundary Map REF007: Factory Plan REF006: Satellite Photo REF003: Nestle Presentation from Audit
2.1.2	Name and location of sources of water (immediate and ultimate)	REF005: Site Boundary Map REF008: River Flow Information Document REF009: Helicopter View of Sululta Catchment REF011: Catchment Information Document
2.1.3	Name and location of effluent discharges	REF010: Location of Effluent Discharge Points REF012: Effluent from Factory to Catchment
2.1.4	Description or map of catchment (s)	REF008: River Flow Information Document

Indicator	Details	Evidence Reviewed/Document Reference
		REF011: Catchment Information Document REF013: A Map of Watershed 2 REF014: A Map of Watershed 1
2.2.1	Identification of stakeholders and their water challenges (list of stakeholders, prior engagement and their water challenges)	REF015: AWS Stakeholder Mapping REF016: NWE Stakeholder List May 2018
2.2.2	Site sphere of influence (how the stakeholders are within the sphere of influence).	REF015: AWS Stakeholder Mapping REF016: NWE Stakeholder List May 2018
2.3.1	Catchment data (catchment plan, public initiatives and/or public goals for the site)	REF017: Request For Collaboration on Sululta Masterplan REF018: Sululta Masterplan REF019: Ethiopia Urban Strategy by WSUP REF020: Watershed Trends REF021: Notes on Existing Water System
2.3.2	Water governance for the catchment: Water legal and regulatory requirements, including water and water use rights	REF022: Licenses Applicable to Sululta Factory
2.3.3	Water balance for the catchment (surface water, ground water, other)	REF023: Narrative on Water Balance REF024: Groundwater Potential Study REF025: Critical Review of Hydrological Study
2.3.4	Water quality for the catchment: sewerage discharge, run-off, other)	REF026: Water Quality -NW Wells REF027: Well Tests PTC Micro Results REF028: Sululta Biophysical Baseline Report
2.3.5	Water related areas for the catchment: identification of the areas and description of current status and trends	REF028: Sululta Biophysical Baseline Report REF029: Analysis Bosaka Spring REF030: Imported WR Areas Map

Indicator	Details	Evidence Reviewed/Document Reference
2.3.6	Infrastructure for the catchment: available information on current and projected sufficiency of water to meet the needs of the catchment	REF028: Sululta Biophysical Baseline Report REF031: Catchment Hydrogeology, water use and plans REF032: Rehabilitation of Goro-Arba REF033: Rehabilitation work of Walle in Sululta
2.4.1	Water data for the site: water stewardship and incident response plan	REF034: Emergency Preparedness and Response Manual
2.4.2	Water data for the site: water balance (volumetric balance of water input and output)	REF035: Simplified Water Mapping for the Site REF036: SGS checks on Full Water Mapping Calculation
2.4.3	Water data for the site: water quality (direct and outsourced water effluent and also possible pollution sources)	REF037: Wastewater Analysis
2.4.4	Water data for the site: water quality (inventory of chemicals stored on site that are possible causes of water pollution)	REF038: List of Chemicals on Site
2.4.5	Water data for the site: On-site identified water related. Documentation identifying existing, or historic, onsite Important Water-Related Areas, including a description of their status	REF039: Public Fountains Register NWE REF040: Water Station Picture REF041: Brochure on Water Station Opening
2.4.6	Water data for the site: water related costs, revenues and quantification of social, environmental and economic value generated by the site to the catchment	REF042: Cost Breakdown Document
2.5.1	Indirect water use: list primary inputs with their associated (annual) water use and, if possible, the origin of the water	REF043: PET Water Footprint
2.5.2	Indirect water use: list of outsourced services that consume or affect water quality. List estimated annual withdrawals and quality data.	REF044: Outsourced Services on Site REF045: Canteen Picture
2.6.1	List of shared water challenges that affect the catchment	REF046: Sululta Challenges, Risks and Opportunities Action Plan

Indicator	Details	Evidence Reviewed/Document Reference
2.7.1	Site risks and opportunities: list of site water related risks and actions to address the challenges	REF046: Sululta Challenges, Risks and Opportunities Action Plan
2.7.2	Site risks and opportunities: list water related opportunities	REF046: Sululta Challenges, Risks and Opportunities Action Plan
2.7.3	Site risks and opportunities: analysis of potential savings/value creation that could result from actions to address the challenges. Look at the actions in the context of water quality, water related areas, water governance, etc.	REF046: Sululta Challenges, Risks and Opportunities Action Plan
3	Stewardship strategy and plan (core)	
3.1.1	Evidence of a system that periodically evaluates compliance with legal and regulatory requirements in criteria 2.3, together with names of those responsible.	REF047: NWE Operational Plan REF048: AWS Governance Presentation REF114: Quality Manager Job Description
3.2.1	Stewardship strategy that contains water challenges within the catchment and risks for the site together with the site responses	REF049: Updated Emergency Response Plan REF050: NWE Water Stewardship Strategy
3.2.2	Stewardship plan that contains:	
a)	List of targets (as per criteria 2.7) and how continuous improvement and best practice are achieved. The targets need to be SMART	REF051: Water Stewardship Plan -NWE Sululta
b)	Proposed actions to achieve the targets and names of individuals responsible for each	REF051: Water Stewardship Plan -NWE Sululta
c)	A budget for the proposed actions with a cost benefit analysis	REF051: Water Stewardship Plan -NWE Sululta
d)	Links to the desired results in terms of risks/opportunities, water stewardship outcome and shared water challenges	REF051: Water Stewardship Plan -NWE Sululta
3.3.1	Evidence of responsiveness and resilience to water related risks embedded in the site's incident response plan	REF034: Emergency Preparedness and Response Manual REF052: List of the members of the Incident Response Teams REF053: Example of a Safety Plan or Risk Assessment

Indicator	Details	Evidence Reviewed/Document Reference
		REF054: Crisis Preparedness Manual REF055: Crisis Management Manual REF056: EE for Floods & Dust Storms REF057:BCP Earthquake REF058: Fire Evacuation REF049: Updated Emergency Response Plan
3.4.1	Evidence of notification to relevant catchment authority of the intention of the site to contribute to the objectives of the catchment plan	REF059: Notify Relevant Authorities REF060: Meeting Minutes Sep 2018 REF061: Meeting Minutes Water Bureau
4	Implementation of the water stewardship plan	
4.1.1	Evidence of compliance legal and regulatory requirements with regards to water balance, water management and Important Water related areas	REF022: Licenses Applicable to Sululta Factory REF027: Well Tests PTC Micro Results REF062: Ethiopian Conformity Assessment Enterprise Licence REF063:Business Licence REF064:NW Ethiopia WWD 'Red Cross
4.1.2	Evidence of efforts to provide safe drinking water and sanitation where stakeholders have an unmet human right	REF032: Rehabilitation of Goro-Arba REF033: Rehabilitation work of Walle in Sululta REF064:NW Ethiopia WWD 'Red Cross REF065: IFRC Sululta WSUP Advisory REF066: WASH Snapshot Report REF067: Water Story NW Ethiopia REF068: WASH Stakeholder Engagement

Indicator	Details	Evidence Reviewed/Document Reference
		REF069: WASH Strategy Briefing Document REF070: Gant Chart for Work REF071: Contract to Repair Wells
4.2.1 and 4.2.2	Evidence that the site water balance targets are met. If in a water scarcity situation, also evidence that there is a continuous decrease in water withdrawals	REF072: Water Ration Controls REF073: Plant Production Planning
4.2.3	Only in scarcity situations, evidence of no net increase in water scarcity	No net water scarcity
4.3.1	Evidence that shows that water quality targets are met	REF037: Wastewater Analysis REF074: Vittel Analysis Results REF075: Maintain or improve water quality REF076: AWS WW Discharge Points Document
4.3.2.	For water quality stressed catchments only: evidence of continual improvement or best practice	N/A
4.3.3	For water quality stressed catchments only and where the site wishes to increase effluent levels of water quality parameters: evidence of no net degradation in water quality in the catchment	N/A
4.4.1	Evidence that targets for the Important Water related Areas have been met	REF039: Public Fountains Register NWE REF040: Water Station Picture REF077: Memorandum of Understanding for Water Station REF078: Aug CSV Updates
4.4.2	Where Important Water Related Areas is a shared water challenge, evidence that best practice are met.	REF077: Memorandum of Understanding for Water Station REF078: Aug CSV Updates

Indicator	Details	Evidence Reviewed/Document Reference
4.5.1	Evidence of the site's on-going efforts to contribute to good catchment governance (evidence of coordination and cooperation with catchment management authorities)	REF059: Notify Relevant Authorities REF060: Meeting Minutes Sep 2018 REF061: Meeting Minutes Water Bureau
4.5.2	Only for weak water governance catchments: evidence of continual improvement/best practice	REF077: Memorandum of Understanding for Water Station REF079: Positive Participation
4.6.1	Evidence that site product suppliers and water related service providers have been contacted and are taking actions to contribute to the water stewardship outcomes	REF080: Canteen Staff Training REF:081 AWS Training
4.7.1	List of actions to ensure WASH on site	REF064:NW Ethiopia WWD 'Red Cross REF082: List of Actions REF083: Training Attendance REF084: Handwash Station REF085: Hand Sanitiser
4.8.1	Evidence and list of key owners of the water infrastructure and content of message that has been conveyed related to the site risks and shared water challenges	REF086: PSC Meeting Minutes REF087: Catchment Authority Meeting Minutes REF088: NWE News REF089: NWE Stakeholder Meeting
5	Evaluation (core) "against the actions taken in the implementation of the plan". Expectation of such an evaluation at least annually. For the first implementation, look for evidence that these indicators are included in the plan.	REF090: WS Plan and Performance Evaluation
5.1.1	Post implementation data and discussion on performance (water risk)	REF090: WS Plan and Performance Evaluation REF093: Summary of WS Performance

Indicator	Details	Evidence Reviewed/Document Reference
5.1.2	Total amount of water related costs, cost saving and value creation with regards to the actions of criteria 3.2	REF090: WS Plan and Performance Evaluation REF091: AWS Cost Breakdown REF092: Aws Cost Breakdown 2019
5.1.3	Updated data for indicator 2.4.7 on catchment shared value creation	REF090: WS Plan and Performance Evaluation
5.2.1	Evidence of evaluation of water related emergencies and extreme events (effectiveness of preventive and corrective measures) and inclusion of lessons learnt in the updated action plan	None experienced to date.
5.3.1	Feedback and commentaries from stakeholders on the site water stewardship performance and factor input in the updated action plan	REF094: Community Leaders REF095: Canal to Stream REF096: New Wall REF106: Email to Head of Water Bureau REF097: Job Description Community Liaison REF098: Nestle Video
5.4.1	Update of the plan with the inputs from indicators 5.1.1, 5.1.2, 5.2.1, 5.3.1. Update does not apply for the first implementation/audit	N/A
6	Disclosure and communication of performance (core)	
6.1.1	Disclosure and public availability of summary related to the general governance structure of the site's management with names of those accountable for compliance with water related laws and regulations	REF099: Step 6 Disclose – Nestle Website REF113: WS Strategy and Achievements REF114: Quality Manager Job Description
6.2.1	Disclosure of summary of site's water stewardship results against the targets	REF090: WS Plan and Performance Evaluation REF093: Summary of WS Performance

Indicator	Details	Evidence Reviewed/Document Reference
		REF100: CSV Journey Presentation REF113: WS Strategy and Achievements
6.3.1	Disclosure and public availability of efforts to address shared challenges and report on actions taken to help address these challenges and engage stakeholders, including public sector agencies	REF086: PSC Meeting Minutes REF089: NWE Stakeholder Meeting REF090: WS Plan and Performance Evaluation REF101: 2030 WRG Ethiopia Consultation Minutes REF102: Agenda Sululta REF103: 2030 WRG deep dive email REF104: Ethiopia HEA Watershed Management email
6.4.1	Document and make available a list any site water compliance violation together with the corrective action implemented to prevent further occurrence.	REF105: Statement by Factory Manager
6.5.1	Evidence of awareness related initiatives at site level with dates of communications and, if possible, level of awareness	REF:081 AWS Training REF107 AWS Awareness Training REF108: AWS Training Record factory employees REF109: Noticeboard picture REF110: Noticeboard picture 2 REF111: AWS communication REF112: AWS Communication 2

6 AUDIT FINDINGS

A findings log was issued to Nestle Waters which detailed the findings raised during the audit. As there were a large number of documents supplied to SGS as evidence and each one had to be reviewed, the findings log acted as a live document and was updated periodically until all indicators and documents had been reviewed for compliance. Nestle Waters was then afforded time to respond to the findings and supply additional information for SGS to the review and to either accept and close the finding or request further information or action. Once all findings were closed by the Lead Auditor all documentation and audit trail were then reviewed by a third-party, AWS-trained, Technical Reviewer.

6.1 MAJOR NON CONFORMANCES

During the course of the audit zero major non-conformances were raised. There were no issues that were considered to be a systemic problems of substantial consequence nor did they fundamentally undermine the intent of the AWS Standard or its credibility.

6.2 MINOR NON CONFORMANCES

Two minor non-conformances were raised during the audit process. In both cases of non-conformances it was considered that Nestle Waters had partially met the AWS Core criterion requirement but were requested to make some small adjustments to the documentation in order to be considered fully compliant. The Incident Response Plan was considered to be under-developed in terms of the requirements of the Alliance for Water Stewardship Standard and although the issue of management for the AWS process was detailed there was information missing on the process of legal compliance and the appointed person responsible.

Table 6.2.1. Minor Non-Conformances raised during the AWS audit process

No.	Type & Ref	AWS Criteria	Details	Response by Nestle Waters	Relevant References
1	001MINCAR	Clause 3.3.1 Evidence of responsiveness and resilience to water related risks embedded in the site's incident response plan	The Emergency Response Plan does include for the scenarios of flooding in terms of responsiveness but not necessarily in terms of resilience and excludes certain scenarios of potential risk. Please update the documentation to reflect adequate consideration of the above.	The Site Incident Response Plan has been reviewed as proposed and updated to include specific section to cover responsiveness and resilience to water related risks. Emergency planning covers the risk of no water and strategic plans to manufacture accordingly. Attached is the amended IRPlan. See section IIX	REF034: Emergency Preparedness and Response Manual REF052: List of the members of the Incident Response Teams REF053: Example of a Safety Plan REF054: Crisis Preparedness Manual REF055: Crisis Management Manual REF056: EE for Floods & Dust Storms REF057:BCP Earthquake REF058: Fire Evacuation REF049: Updated Emergency Response Plan
2	002MINCAR	Clause 3.1.1 Documented description of system, including the processes to evaluate compliance and the names of those responsible for legal compliance. Criterion 6.1 Disclose water-related internal governance.	The requirement of Criterion 3.1 is that Nestle Waters is required to have a system which promotes and periodically evaluates compliance with legal and regulatory requirements which have been set out in Criterion 2.3 (Catchment Water-Related data). While the governance and management system of Nestle Waters is clearly evident in the two documents provided, what is not clear is their relationship to the evaluation of legal compliance to Municipality and National laws. The guidance in the standard (pg111) requires the identification of a specific person and proof that the person has the knowledge and capacity to manage a system to comply to water legislation and also that system must track submissions for compliance. Please amend the documentation to more accurately address the requirements of the standard for 3.1. Criterion 6.1 requires NW to disclose water-related internal governance, specifically the name of the person responsible for legal and regulatory compliance.	QA Manager roles and responsibilities for the function elaborated in the document, which includes legal compliance for both internal as well as external for regulatory.	REF047: NWE Operational Plan REF048: AWS Governance Presentation REF114: Quality Manager Job Description

6.3 OBSERVATIONS

One observation was raised during the audit which is affectively a recommendation for future improvement. No action is necessary during this audit period but these issues would most likely come under scrutiny during a surveillance audit scenario.

Table 6.3.1. Observation raised during the AWS audit process

No.	Type & Ref	AWS Criteria.	Details	Relevant References
3	003OBS	Clause 3.1.1 Documented description of system, including the processes to evaluate compliance and the names of those responsible for legal compliance. Criterion 6.1 Disclose water-related internal governance.	It is mentioned twice in the standard that the person responsible for legal and regulatory compliance should be named, and shown to have the capacity and credentials for the job. Although NW has provided the name and the job description of the relevant Manager responsible it is recommended that this is more clearly indicated in the governance and management documentation.	REF047: NWE Operational Plan REF048: AWS Governance Presentation REF114: Quality Manager Job Description

7 SUMMARY

In reviewing the body of evidence presented by Nestle Waters it is apparent that a considerable quantity of effort and work has been put into the preparation for the audit for Alliance for Water Stewardship Certification.

The minor non-conformances were all situations where Nestle Waters was considered to have partially met the AWS Core criterion requirement but were requested to make some small adjustments to the documentation or process in order to be considered fully compliant.

One observation was made within the findings log, this should be considered as an area for improvement which will likely be reviewed in future surveillance audits, no action is required on behalf of Nestle Waters during this audit cycle.

All evidence submitted to SGS in response to the findings was reviewed and evaluated for compliance to the AWS standard. All actions were accepted as sufficient to demonstrate compliance and the findings were cleared and closed.

8 OPPORTUNITIES FOR IMPROVEMENT

The certification audit for Nestle Waters against the AWS Standard is for the initial assessment for conformity and as such allows for improvement going forward.

As this was an initial assessment focus of the review has been centred on the documented plan and implementation of to date. Less focus was placed on the evaluation of performance against the indicators as this was the first year of operation under the intention of conformity to the AWS Standard.

Future audits will additionally review the evaluation of performance against the Standard indicators and how this is monitored and presented as compliance. Careful scrutiny of the water balance and its accuracy and improved performance will also feature prominently. SGS recommends that Nestle Waters develops robust ways of monitoring performance against the indicators, collecting, storing and presenting this data in anticipation of future audits.

9 CONCLUSIONS AND RECOMMANDATIONS

Given the review of evidence produced and site visit inspections performed at the Nestle Waters Factory, SGS recommends that Nestle Waters is awarded AWS Core Certified status with a surveillance audit interval of annual frequency.

10 REFERENCES

REF001: Nestle Stewardship Commitment

REF002: Water Stewardship Guidelines

REF003: Nestle Presentation from Audit

REF004: Sululta Factory Commitment to AWS

REF005: Site Boundary Map

REF006: Satellite Photo

REF007: Factory Plan

REF008: River Flow Information Document

REF009: Helicopter View of Sululta Catchment

REF010: Location of Effluent Discharge Points

REF011: Catchment Information Document

REF012: Effluent from Factory to Catchment

REF013: A Map of Watershed 2

REF014: A Map of Watershed 1

REF015: AWS Stakeholder Mapping

REF016: NWE Stakeholder List May 2018

REF017: Request For Collaboration on Sululta Masterplan

REF018: Sululta Masterplan

REF019: Ethiopia Urban Strategy by WSUP

REF020: Watershed Trends

REF021: Notes on Existing Water System

REF022: Licenses Applicable to Sululta Factory

REF023: Narrative on Water Balance

REF024: Groundwater Potential Study

REF025: Critical Review of Hydrological Study

REF026: Water Quality -NW Wells

REF027: Well Tests PTC Micro Results

REF028: Sululta Biophysical Baseline Report

REF028: Sululta Biophysical Baseline Report

REF029: Analysis Bosaka Spring

REF030: Imported WR Areas Map

REF031: Catchment Hydrogeology, water use and plans

REF032: Rehabilitation of Goro-Arba

REF033: Rehabilitation work of Walle in Sululta

REF034: Emergency Preparedness and Response Manual

REF035: Simplified Water Mapping for the Site

REF036: SGS checks on Full Water Mapping Calculation

REF037: Wastewater Analysis

REF038: List of Chemicals on Site

REF039: Public Fountains Register NWE

REF040: Water Station Picture

REF041: Brochure on Water Station Opening

REF042: Cost Breakdown Document

REF043: PET Water Footprint

REF044: Outsourced Services on Site

REF045: Canteen Picture

REF046: Sululta Challenges, Risks and Opportunities Action Plan

REF047: NWE Operational Plan

REF048: AWS Governance Presentation

REF049: Updated Emergency Response Plan

REF050: NWE Water Stewardship Strategy

REF051: Water Stewardship Plan -NWE Sululta

REF052: List of the members of the Incident Response Teams

REF053: Example of a Safety Plan or Risk Assessment

REF054: Crisis Preparedness Manual

REF055: Crisis Management Manual

REF056: EE for Floods & Dust Storms

REF057:BCP Earthquake

REF058: Fire Evacuation

REF059: Notify Relevant Authorities

REF060: Meeting Minutes Sep 2018

REF061: Meeting Minutes Water Bureau

REF062: Ethiopian Conformity Assessment Enterprise Licence

REF063:Business Licence

REF064:NW Ethiopia WWD 'Red Cross

REF065: IFRC Sululta WSUP Advisory

REF066: WASH Snapshot Report

REF067: Water Story NW Ethiopia

REF068: WASH Stakeholder Engagement

REF069: WASH Strategy Briefing Document

REF070: Gant Chart for Work

REF071: Contract to Repair Wells

REF072: Water Ration Controls

REF073: Plant Production Planning

REF074: Vittel Analysis Results

REF075: Maintain or improve water quality

REF076: AWS WW Discharge Points Document

REF077: Memorandum of Understanding for Water Station

REF078: Aug CSV Updates

REF079: Positive Participation

REF080: Canteen Staff Training

REF:081 AWS Training

REF082: List of Actions

REF083: Training Attendance

REF084: Handwash Station

REF085: Hand Sanitiser

REF086: PSC Meeting Minutes

REF087: Catchment Authority Meeting Minutes

REF088: NWE News

REF089: NWE Stakeholder Meeting

REF090: WS Plan and Performance Evaluation

REF090: WS Plan and Performance Evaluation

REF091: AWS Cost Breakdown

REF092: Aws Cost Breakdown 2019

REF093: Summary of WS Performance

REF094: Community Leaders

REF095: Canal to Stream

REF096: New Wall

REF097: Job Description Community Liasion

REF098: Nestle Video

REF099: Step 6 Disclose – Nestle Website

REF100: CSV Journey Presentation

REF101: 2030 WRG Ethiopia Consultation Minutes

REF102: Agenda Sululta

REF103: 2030 WRG deep dive email

REF104: Ethiopia HEA Watershed Management email

REF105: Statement by Factory Manager

REF106: Email to Head of Water Bureau

REF107 AWS Awareness Training

REF108: AWS Training Record factory employees

REF109: Noticeboard picture

REF110: Noticeboard picture 2

REF111: AWS communication

REF112: AWS Communication 2

REF114: Quality Manager Job Description

APPENDIX 1

SGS AUDIT CHECKLIST

Guidance to auditor(s):

This document is intended to provide structured assistance to conduct the audit. To fit that purpose it contains key questions related to each standard clause. It shall not be part of the audit report.

Clause	Details	Yes	No	Comments/Evidence
1	Leadership (core)			
1.1	Leadership commitment on water stewardship			
1.1.1	Has the organisation signed and published a statement related to his water stewardship commitment that includes all of the elements listed in core criteria 1.1?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF001.Nestle has developed a corporate level document which is compliant to the requirements of the AWS and is appended to The Nestle Policy on Environmental Sustainability Document. Local Commitment and policy has been posted in factory on notice boards, with further outreach through interaction with communities. REF004 Factory scale document which details the commitment of Nestle Ethiopia to responsible water usage and is signed by the Factory Manager.
1.2.1	Has the organisation elaborated, agreed upon and discloses a water stewardship policy?	Yes		Guidelines Water Stewardship. REF002
2	Water challenges (core)			Comments/Evidence
2.1.1	Site boundaries (map)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The scope of the project is Sululta Factory. See site map REF005, Plan of factory REF007 and satellite photo REF006. REF003
2.1.2	Name and location of sources of water (immediate and ultimate)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sululta water catchment. Water is drawn up through 4 boreholes 80 -120m located either on the property or neighbouring property. The water is discharged through two points from the property. Canals have been built to redirect the water away from the factory and a two-kilometre canal was built by Nestle to contain the discharge water where it is discharged to a stream which connect to tributaries of and ultimately the Muger river. Discharge stream is seen in REF005.REF008, REF009 and REF011.
2.1.3	Name and location of effluent discharges	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sewage is pumped off-site daily via contractor who empties the septic tanks. There are plans in the pipeline for building an on-site waste water treatment plant

Clause	Details	Yes	No	Comments/Evidence
				to eliminate the contamination risk which the septic tanks currently pose. Waste water from the factory is discharged via canal (built by Nestle) into the stream which then joins up to the Sibilu River to the Muger River. The water is mostly clean water with a small amount of grey water from the canteen. REF010 and REF012.
2.1.4	Description or map of catchment (s)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF008, REF011, REF013 and REF014
2.2.1	Identification of stakeholders and their water challenges (list of stakeholders, prior engagement and their water challenges)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	A stakeholder mapping process was undertaken by the internal AWS team from Nestle Ethiopia. Through a series of workshops and internal processes stakeholders were identified REF015 and documented REF016.
2.2.2	Site sphere of influence (how the stakeholders are within the sphere of influence).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Stakeholders have been rated within the mapping tool. CRP 2.0 and an action plan for improving the interaction with the community has been developed even before the AWS process. Rolled out at all Nestle factories world-wide. Wider stakeholder's interaction has been documented in workshops and meetings. REF015 and REF016.
2.3.1	Catchment data (catchment plan, public initiatives and/or public goals for the site)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Sululta is based within Oromia province and is subject to the Oromia Water Bureau, but Sululta Municipality has a land use plan, but all wetlands are completely unprotected. In conjunction with Addis Ababa University Nestle approached the Municipality to include Water Related areas into the resource plan. REF017. The plan was presented to local politicians; however, most were replaced and they are back to the beginning. REF018. There is also a national strategy for sanitation and hygiene however the municipalities have too small budget for implementation. REF019 Nestle has requested to be included in plans to make Sululta an Eco-city which would include the eventual protection of the wetlands which surround the city. REF020, REF021.
2.3.2	Water governance for the catchment: Water legal and regulatory requirements, including water and water use rights	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Nestle has prepared a document with all regulatory requirements have been included along with the relevant legislation. REF022.
2.3.3	Water balance for the catchment (surface water, ground water, other)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	A summary of all the research on the catchment recharge rates and associated water balance has been provided in REF023. In 2013 Nestle commissioned a study on the ground water potential in the area as part of feasibility for the joint venture. REF024. Further to this study, in 2017 Nestle contracted Anteagroup consultants to perform a study on the sustainability of the water supply within the catchment. REF025.

Clause	Details	Yes	No	Comments/Evidence
2.3.4	Water quality for the catchment: sewerage discharge, run-off, other)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Nestle Waters (NW) has provided a summary of the actions taken to test and understand the water quality of water entering the plant. REF026. The auditor has saved a copy of the some of the well tests as REF027. Well is for site level analysis, tested once a year in outside lab. Tested weekly internally. The Biophysical baseline report developed by Addis University further supplies information on the biophysical status of the greater catchment area. REF028.
2.3.5	Water related areas for the catchment: identification of the areas and description of current status and trends	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF028 also further shows the identification of important-water-related areas within the catchment, the most significant being the wetlands in the immediate area surrounding the plant. As Sululta expands and grows the wetlands not only become further contaminated but also are being lost to development. Nestle has tested the quality of the waters in the Bosaka Spring which demonstrates the poor status of this important water related area. REF029. NW has mapped the IMWR areas in REF030. This is of concern to NW because at least part of the recharge area identified is located in the polluted and degraded areas.
2.3.6	Infrastructure for the catchment: available information on current and projected sufficiency of water to meet the needs of the catchment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>There is no publicly available report or plan that assess water related infrastructure in the catchment. The study from WLRC would be the most advanced water related study for that catchment. REF028. Generally, there is a lack of infrastructure like dams, or treatment plants, only wells. No publicly available report to assess the water requirement for Sululta City. NW has prepared a short summary on water availability for the general population. REF031. NW were approached by Municipality for money for water-related projects. Instead of providing funds NW undertook to rehabilitate two non-functioning wells within the city. REF032, REF033.</p> <p>A bigger pump has been installed by Municipality since and a new head of Water Bureau appointed and World Bank had a meeting with Nestle to establish interest in providing funding.</p>
2.4.1	Water data for the site: water stewardship and incident response plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Incident Response Plan, REF034. Emergency response team, and overview of how to handle. Safety incidents have been recorded and 2 incidents only. Zero rated for 2018 for safety. Small incidents of internal strike action.
2.4.2	Water data for the site: water balance (volumetric balance of water input and output)			NW has install water meters all over the site, so it is well understood how much water is extracted and or used at every location in the factory. A Simplified map provided as well as the document used to populate the map. REF035 Meters are mechanical and do block and are repaired frequently. A Strap-on meter is being trialled as a replacement to the meter. Ultrasonic meters. Daily manual meter

Clause	Details	Yes	No	Comments/Evidence
				readings are taken Water Specialist using the meter logsheet. Data is manually entered excel. Water Balance is based on May – Aug 2018 taken from the meters. Annual data is extrapolated from the 4 months of data, next audit will have actual data from the year. SGS has undertaken to check the water balance see REF036. All in order with balance.
2.4.3	Water data for the site: water quality (direct and outsourced water effluent and also possible pollution sources)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Waste water is tested once a week, and some parameters are done annually. New WWT planned for 2019. REF037 reflects water test results and quality is acceptable.
2.4.4	Water data for the site: water quality (inventory of chemicals stored on site that are possible causes of water pollution)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	List of chemicals provided. REF038.
2.4.5	Water data for the site: On-site identified water related. Documentation identifying existing, or historic, onsite Important Water-Related Areas, including a description of their status	<input checked="" type="checkbox"/>	<input type="checkbox"/>	In 2017 Nestle built a water fountain for the community just outside the boundary of the factory. The community has access to water during daylight hours and has appointed a Water Liaison Officer to manage the water fountain use. NW also has a Community Liaison who works with the community to ensure smooth relations and access to clean drinking water. REF039, REF040 and REF041.
2.4.6	Water data for the site: water related costs, revenues and quantification of social, environmental and economic value generated by the site to the catchment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has created a water-related costs document in which information has been broken down into cost and revenue to factory and community. REF042.
2.5.1	Indirect water use: list primary inputs with their associated (annual) water use and, if possible, the origin of the water	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has only one external supplier which can be considered for Indirect Water use, and this is the PET bottles supplier which is located outside of Ethiopia as these items are not currently produced in Ethiopia. NW has done an exercise to calculate the water footprint for the PET bottles in which the water is sold. REF043.
2.5.2	Indirect water use: list of outsourced services that consume or affect water quality. List estimated annual withdrawals and quality data.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The Canteen Services is outsourced NW; however, the supplier is provided water free of charge, water is piped in on the same meter as Borehole 4/Shower. Water tested with other parameters and has been included in the water balance. REF044 and REF045. NW has a document with the information on outsourced services and how they impact water withdrawals and quality.
2.6.1	List of shared water challenges that affect the catchment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has documented the catchment shared water challenges in a document called Sululta Challenges, Risks and Opportunities – all in one excel document. REF046. The identification of the challenges has been guided by the driver's in

Clause	Details	Yes	No	Comments/Evidence
				the catchment and the public-sector agency involvement has been noted. All challenges have prioritised from the perspective of the catchment.
2.7.1	Site risks and opportunities: list of site water related risks and actions to address the challenges	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The second sheet on REF046 reviews the potential risks to the factory and looks at the severity of the impact to the business and the likelihood of it occurring. Risks have also been prioritised.
2.7.2	Site risks and opportunities: list water related opportunities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF046 third sheet goes into detail about the opportunities that the challenges and risks can present the company.
2.7.3	Site risks and opportunities: analysis of potential savings/value creation that could result from actions to address the challenges. Look at the actions in the context of water quality, water related areas, water governance, etc.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	On the same sheet with the opportunities on REF046 there is a column dedicated to the value created by the actions taken under the opportunities.
3	Stewardship strategy and plan (core)			Comments/Evidence
3.1.1	Evidence of a system that periodically evaluates compliance with legal and regulatory requirements in criteria 2.3, together with names of those responsible.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	NW has developed an Operational Master Plan – total business strategy, as well as a factory-related OMP, which includes the AWS requirements. NW has an appointed AWS team who are a committee of people identified as being responsible for the implementation of the AWS in document. REF047 and REF048. Does this plan address legal and regulatory compliance? 002MINCAR
3.2.1	Stewardship strategy that contains water challenges within the catchment and risks for the site together with the site responses	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has submitted a paragraph on a water stewardship strategy (REF050) that on its own would not meet the requirements of the standard criteria, however, the document submitted as Water Stewardship Guidelines – REF002 more than adequately covers the requirements of strategy and had been reviewed as such by SGS.
3.2.2	Stewardship plan that contains:	<input type="checkbox"/>	<input type="checkbox"/>	
a)	List of targets (as per criteria 2.7) and how continuous improvement and best practice are achieved. The targets need to be SMART	<input checked="" type="checkbox"/>	<input type="checkbox"/>	WS Plan was reviewed and complies with AWS Standard Requirements. REF051.
b)	Proposed actions to achieve the targets and names of individuals responsible for each	<input checked="" type="checkbox"/>	<input type="checkbox"/>	WS Plan was reviewed and complies with AWS Standard Requirements. REF051.

Clause	Details	Yes	No	Comments/Evidence
c)	A budget for the proposed actions with a cost benefit analysis	<input checked="" type="checkbox"/>	<input type="checkbox"/>	WS Plan was reviewed and complies with AWS Standard Requirements. REF051.
d)	Links to the desired results in terms of risks/opportunities, water stewardship outcome and shared water challenges	<input checked="" type="checkbox"/>	<input type="checkbox"/>	WS Plan was reviewed and complies with AWS Standard Requirements. REF051.
3.3.1	Evidence of responsiveness and resilience to water related risks embedded in the site's incident response plan	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The Emergency Response documentation provided (REF034, REF052, REF053, REF054, REF055, REF056, REF057 and REF058) does include for the scenarios of flooding in terms of responsiveness but not necessarily in terms of resilience and excludes certain scenarios of potential risk. 001MINCAR REF049.
3.4.1	Evidence of notification to relevant catchment authority of the intention of the site to contribute to the objectives of the catchment plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has documented their interactions with relevant authorities in document REF059. Meeting with Ato Tesfaye, Head of Water Bureau on 17 September 2018. Photograph from the meeting and the minutes are available REF060. Several other relevant meetings throughout 2018 which indicate that Nestle has been engaging with the catchment authorities in Oromia, the Sululta Water Bureau. REF061.
4	Implementation of the water stewardship plan			
4.1.1	Evidence of compliance legal and regulatory requirements with regards to water balance, water management and Important Water related areas	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Factory compliance has been reviewed and ascertained under 2.3.2, 2.3.4. REF022, REF027, REF062, REF063 and REF064.
4.1.2	Evidence of efforts to provide safe drinking water and sanitation where stakeholders have an unmet human right	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has partnered with the Red Cross working and training on WASH issues REF064, they have captured the wider community WASH status by engagement with stakeholders. WASH scoping study, all work done until 2018 to date. REF065. WSUP water and sanitation for urban poor, scoping study and survey. REF066. A water station is provided to the general public which serves about 5000 people, this is a small percentage of the water extracted by NW. REF067. At the water station, there is a community liaison officer who engages with the local community on the water related issues. Their main WR issues are access and quality. REF068, REF069, REF070, REF071. REF032 and REF033.
4.2.1 and 4.2.2	Evidence that the site water balance targets are met. If in a water scarcity situation, also evidence that there is a continuous decrease in water withdrawals	<input checked="" type="checkbox"/>	<input type="checkbox"/>	This will be quantitatively checked during the surveillance audit. Evidence of future plans to monitor water ratio was received. There are long term water ratios targets. REF072, REF073

Clause	Details	Yes	No	Comments/Evidence
4.2.3	Only in scarcity situations, evidence of no net increase in water scarcity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	No net water scarcity.
4.3.1	Evidence that shows that water quality targets are met	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Vittel Water testing is once a year, excel spreadsheet has comparative results for 2016 and 2018. REF074. NW has documented all the efforts made to maintain and improve water quality at the factory site. REF075. Finished products are tests by the Water Bureau. Wells 01, 02, 03 are used predominantly, well 4 used only occasionally, for shower and canteen purposes. Water is being provide water via a discharge point to a local brick factory for use in the factory. REF037 and REF076.
4.3.2.	For water quality stressed catchments only: evidence of continual improvement or best practice	<input type="checkbox"/>	<input type="checkbox"/>	N/a
4.3.3	For water quality stressed catchments only and where the site wishes to increase effluent levels of water quality parameters: evidence of no net degradation in water quality in the catchment	<input type="checkbox"/>	<input type="checkbox"/>	N/a
4.4.1	Evidence that targets for the Important Water related Areas have been met	<input checked="" type="checkbox"/>	<input type="checkbox"/>	August in 2017 meeting with the community to discuss the proposed water fountain, the fountain was completed in December 23 rd 2017. Video which shows the fountain operating and opening. Water story report also. REF039, REF040, REF077 and REF078.
4.4.2	Where Important Water Related Areas is a shared water challenge, evidence that best practice are met.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF077 and REF078
4.5.1	Evidence of the site's on-going efforts to contribute to good catchment governance (evidence of coordination and cooperation with catchment management authorities)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1 st stakeholders meeting in December 2017 in Sululta for local authorities, meeting report is embedded in evidences documents REF059, REF60, REF061. certificate of recognition for policy participation in catchment.
4.5.2	Only for weak water governance catchments: evidence of continual improvement/best practice	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF079 and REF077. Discussion on participation which led to the rehabilitation of the wells.

Clause	Details	Yes	No	Comments/Evidence
4.6.1	Evidence that site product suppliers and water related service providers have been contacted and are taking actions to contribute to the water stewardship outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	REF080 and REF081 on training suppliers on water stewardship outcomes. Training with Canteen management on water stewardship. Most suppliers are from outside the catchment, i.e bottle suppliers, cap suppliers and labelling.
4.7.1	List of actions to ensure WASH on site	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has provided access to newly built showers, toilets and are given 1 litre of drinking water to take home at the end of each shift. Sanitation training takes place in the factory as a part of the operational schedule. REF082, REF064 and REF083. Use of PPE is compulsory and hand washing stations at toilets, canteens and operational areas. REF084 and REF085.
4.8.1	Evidence and list of key owners of the water infrastructure and content of message that has been conveyed related to the site risks and shared water challenges	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW is an active member of the Project Steering Committee for Development and Implementation of Integrated Watershed Management Plan for Upper Sululta Watershed. REF086 The Recharge area are important WR areas for NW and the greater Sululta area. New Water Bureau Manager Ato Tesfaye emails to discuss with him the problems in his area in terms of infrastructure. REF087, REF088 and REF089.
5	Evaluation (core) "against the actions taken in the implementation of the plan". Expectation of such an evaluation at least annually. For the first implementation, look for evidence that these indicators are included in the plan.			5.1.1. evidence document and use the WS plan which included 5.1.1. 5.2.3 REF090
5.1.1	Post implementation data and discussion on performance (water risk)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW has taken the WS Plan (REF051) and added columns in Green which evaluate performance of the actions taken to meet the targets of the plan. REF090. As the plan timeframes extend beyond just one year in several cases, some targets are still a work in progress in terms of be met. REF093 is a WS performance summary.
5.1.2	Total amount of water related costs, cost saving and value creation with regards to the actions of criteria 3.2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Added as a column in REF090. Also received was a further document on the breakdown of costs and budgets. REF091 and REF092.
5.1.3	Updated data for indicator 2.4.7 on catchment shared value creation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Added as a column in REF090.
5.2.1	Evidence of evaluation of water related emergencies and extreme events	<input type="checkbox"/>	<input type="checkbox"/>	N/a. None experienced to date.

Clause	Details	Yes	No	Comments/Evidence
	(effectiveness of preventive and corrective measures) and inclusion of lessons learnt in the updated action plan			
5.3.1	Feedback and commentaries from stakeholders on the site water stewardship performance and factor input in the updated action plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	SGS Staff met with two community leaders during the site visit. Mr Tadesse Aleme leader for the Dire Community and Meaza Atlew, leader of the Dire Lencha Community. During the interviews both leaders expressed positive feedback with regards the relations between the NW factory and local communities. Many of the local people have found employment at the factory and the leaders are pleased that NW fixed the road, built a solid boundary wall as a buffer and provided a water drainage canal adjacent to the road. REF094, REF95 & REF096. In times of heavy rainfall excess run-off is able to drain away to the river instead of flooding the residential area. They expressed very positive feedback with regards the provision of the water fountain and indicated that the clean drinking water has made a significant impact to the people living close the factory. Attempts were made to set up a meeting with the Head of the Water Bureau, Mr Ato Tesfaye, however, he was not available REF106. NW has appointed a Community Liaison Person who engages with the community frequently and runs training and surveys as engagement. REF097 Feedback in the video and the CRP surveys. The surveys will be repeated in 2019. Inputs will be put into next WS Plan. A video of the opening of the water fountain has been included as REF98. Requests from the community for further upgrades in lighting along the road and a second fountain on the other side of the factory.
5.4.1	Update of the plan with the inputs from indicators 5.1.1, 5.1.2, 5.2.1, 5.3.1. Update does not apply for the first implementation/audit	<input type="checkbox"/>	<input type="checkbox"/>	N/a
6	Disclosure and communication of performance			
6.1.1	Disclosure and public availability of summary related to the general governance structure of the site's management with names of those accountable for compliance with water related laws and regulations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW posted on their website the notice of the AWS audit taking place in September 2018. Review of the NW website https://bit.ly/2QdKz63 has shown that under regional news as well as public disclosure of strategy and factory commitment to AWS. REF113. REF099. Although it is not mentioned that the QA Manager is named as being responsible for legal and regulatory compliance it has been written into his job description.
6.2.1	Disclosure of summary of site's water stewardship results against the targets	<input checked="" type="checkbox"/>	<input type="checkbox"/>	A PowerPoint presentation has been provided as evidence of disclosure of water stewardship results. REF100. The presentation does not link back to the Water

Clause	Details	Yes	No	Comments/Evidence
				Stewardship Plan (Criterion 3.2) as the guidance requires, nor does it refer to the commitment (Criterion 1.1) Although not supplied as evidence for this Criterion REF090 and REF0093 does provide the information which a disclosure summary should have as per the standard's requirement. Review of the NW website https://bit.ly/2QdKz63 has shown that under regional news as well as public disclosure of strategy and factory commitment to AWS. REF113.
6.3.1	Disclosure and public availability of efforts to address shared challenges and report on actions taken to help address these challenges and engage stakeholders, including public sector agencies	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NW is a member of 2030 water resources group which is World Bank sponsored, see REF101, REF102, REF103, REF104 which demonstrates NW efforts to address shared water challenges with public sector agencies. iWASp met 5 times in a year to discuss shared challenges within the catchment. REF086, REF089 and REF0909 also refer.
6.4.1	Document and make available a list any site water compliance violation together with the corrective action implemented to prevent further occurrence.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Statement from factory manager to say no legal non-compliance taken place. REF105.
6.5.1	Evidence of awareness related initiatives at site level with dates of communications and, if possible, level of awareness	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Schedule of training taking place in the factory on AWs and water issues for all levels of employees. REF081. NW provided statistics on training records at the factory. REF107 & REF108. At factory, several sessions to training in AWS principles across all shifts and staff members and then at the community levels a session was held in the factory with village elders. Noticeboards in the factory and at the fountain. Printed copies of the documents were made available in Marc's office and flyers were distributed to staff. REF109, RE110, REF111 and REF112.