

Alliance for Water Stewardship

Audit Report for Nestlé Waters Vietnam

La Vie Long An Factory

The AWS International Water Stewardship Standard, Version 1.0, April 8th, 2014

Report Issued on April 29, 2019



2000 Powell Street, Ste. 600, Emeryville, CA 94608 USA
+1.510.452.8000 main | +1.510.452.8001 fax
www.SCSglobalServices.com

Introduction to the Alliance for Water Stewardship

The AWS Standard (“the Standard”) is intended to drive water stewardship, which is defined as the use of water that is socially equitable, environmentally sustainable and economically beneficial, achieved through a stakeholder-inclusive process that involves site- and catchment-based actions. Good water stewards understand their own water use, catchment context and shared concerns in terms of water governance, water balance, water quality and Important Water-Related Areas, and then engage in meaningful individual and collective actions that benefit people and nature. The Standard outlines a series of actions, criteria and indicators for how one should manage water at the site level and how water management should be stewarded beyond the boundaries of a site. In this Standard, the “site” refers to the implementing entity that is responsible for fulfilling the criteria. The site includes the facility and the property over which the implementer that is using or managing water (i.e., withdrawing, consuming, diverting, managing, treating and/or discharging water or effluent into the environment) has control.

Assessment Information:

Client Name	Nestlé Waters Viet Nam (La Vie)
Stakeholder Announcement	March 25, 2019 AWS Website, La Vie Website, Viet Nam News
AWS Reference Number	AWS-010-INT-CAB-00-07-0004-0026
Client AWS Representative/Group Manager (Role/Name/Contact info)	Nguyen Nhu Thien, Long An Plant Manager Thien.Nguyen@laviewater.com
Audit Team (Role/Name)	Lead Auditor: Rae Mindock/SCS
	Local Auditor: Roan Thai Trung/SCS
	Technical Reviewer: Nicole Munoz/SCS
Audit dates (DD-DD Month YYYY)	March 27/28, 2019
Audit Location (main site being audited)	La Vie Long An Factory, National Highway No.1, Khanh Hau, Tan An, Long An
Date(s) of previous audit (if applicable)	
Findings from previous year	<input type="checkbox"/> YES, see tab 9
SCS Certificate number (if applicable)	AWS-010-INT-SCS-00-07-0004-0026
Expiry date of previous certificate (if applicable)	

Scope of Audit (check all applicable boxes)

The AWS International Water Stewardship Standard Version V1.0 April 8th 2014	
Initial audit	<input checked="" type="checkbox"/> YES
Surveillance audit	<input type="checkbox"/> YES
Re-certification audit	<input type="checkbox"/> YES
RE-evaluation audit	<input type="checkbox"/> YES
Single-site audit	<input checked="" type="checkbox"/> YES
Multi-site audit	<input type="checkbox"/> YES, see tab 3
Group audit	<input type="checkbox"/> YES, see tab 3
<i>If yes, please description of the group structure and relationships</i>	

Description of Operations

The Long An Factory is a water bottling facility, producing bottled mineral water products under the brand name of La Vie. The factory produces a variety of different bottle types ranging from 0.35L to 19 L bottles. Water for bottling comes from two on-site wells located within the boundary of the facility. The site also receives municipal water from the district water supplier for domestic and industrial use within the facility.

Description of the catchment in which the client operates:

The La Vie Factory is located within the Mekong Delta which consists of natural rivers and man-made canals. The Site is located in the Van Co River Watershed (10,000 km²). The two primary rivers are the Van Co Dong River and Van Co Tay River. The Site is located 4.2 km south of the Van Co Tay River. Man-made canals are present within the watershed which provide networks for surface water distribution and provide transportation throughout the catchment. Water for bottling is received from two on-site wells and municipal water for domestic and industrial use from the local water agency.

Summary of shared water challenges:

Shared water challenges are catchment water related issues shared by the site and stakeholders. A prioritized list of shared water challenges addressing each of the four outcomes, quality, quantity, IWRA and governance was provided. Shared water challenges identified with the highest priority included water quality and quantity such as vulnerability of the shallow aquifer to surface contaminations and uncontrolled domestic wells of local community in the shallow aquifer requiring information. La Vie is engaged in several shared water challenges including Water Quality (surface water) and Public/Consumer Education and with the assistance and support of Stakeholders.

Audit Attendance

Guidance:

Record in this section the people attending the different parts of the audit. Tick the parts of the audit attended by each person.

Audit Attendance		<i>Mark attendance with an 'x' as appropriate</i>			
Role/Title		Opening meeting	Document review	Facility Inspection	Closing meeting
Plant Manager		x	x	x	x
Water Treatment Manager		x	x	x	x
South Corporate Manager		x	x	x	x
SHE Supervisor		x	x	x	x
Operations Manager		x	x	x	x
Bottle Filling Line Operator				x	

Additional information on audit attendance

The AWS International Water Stewardship Standard, Version 1.0, April 8th, 2014

Surveillance audits shall cover at a minimum those requirements highlighted in light green

Core / Points	Requirement	Indicators	Conforms			Objective Evidence/Findings	Allocated Points
			Yes	No	N/A		
Step 1: COMMIT - Commit to being a responsible water steward							
Step 1 ensures that there is sufficient leadership support to enact the rest of the criteria within the Standard. This step also relates to commitments to legal/regulatory compliance and rights-related issues, which underpin water stewardship.							
Core	<p>1.1 Establish a leadership commitment on water stewardship: Have the senior-most manager at the site, and if necessary a suitable individual within the corporate head office, sign and publicly disclose a commitment to:</p> <ul style="list-style-type: none"> ☑ Uphold the AWS water stewardship outcomes (good water governance, sustainable water balance, good water quality status and healthy status of Important Water- Related Areas); ☑ Engage stakeholders in an open and transparent manner; ☑ Strive to comply with legal and regulatory requirements ☑ Respect water-related rights, including ensuring appropriate access to safe water, sanitation and hygiene for all workers in all premises under the site's control; ☑ Support and coordinate with public sector agencies in the implementation on of plans and policies, including working together towards meeting the human right to water and sanitation. ☑ Continually improve and adapt the site's water stewardship actions and plans; ☑ Maintain the organizational capacity necessary to successfully implement the AWS Standard, including ensuring that staff have the time and resources necessary to undertake the implementation on; ☑ Support water-related national and international treaties; ☑ Disclose material on water-related information to relevant audiences. 	<p>1.1.1 Signed and publicly disclosed statement that explicitly covers all requirements (see details in Criterion 1.1).</p>	Yes			<p>A pledge was reviewed, signed by LaVie General Manager, Vice General Manager, Operations Manager, Long An Factory Manager and Hung Yen Factory Manager, containing all elements described in this criterion.</p>	
Core	<p>1.2 Develop a water stewardship policy: Develop an internally agreed-upon and communicated and publicly available water stewardship policy that references the concept of water stewardship (as informed by the AWS Standard, outcomes and criteria).</p>	<p>1.2.1 Publicly available policy that meets all requirements (see Guidance)</p>	Yes			<p>Nestle's corporate water stewardship policy "Nestle and Water: Sustainability, Protection, and Stewardship" extensively discusses Nestle's commitment to sustainable water use. The policy is publicly available on the Nestle website.</p>	
Step 2: GATHER AND UNDERSTAND – Gather data to understand shared water challenges and water related							
Step 2 ensures that the site gathers data on its water use and its catchment context and that the site employs these data to understand its shared water challenges as well as its contributions (both negative and positive) to these challenges and to water-related risks, impacts							
Core	<p>2.1 Define the physical scope Identify the site's operational boundaries, the sources the site draws its water from, the locations where the site returns its discharge to, and the catchment(s) that the site affect(s) and is reliant upon.</p>	<p>2.1.1 Documentation or map of the site's boundaries</p>	Yes			<p>A map of the site was reviewed. The map included the property boundaries of the factory, discharge points, and municipal water source.</p>	
		<p>2.1.2 Names and location of water sources, including both water service provider (if applicable) and ultimate source water</p>	Yes			<p>A map with the names and locations of water service provider and water sources was reviewed. The Long An facility receives water from the city and two wells, LSKP3 and LSKP4 (also referred to as DW#3 and DW#4). The source of the Site and city water supply is the Lower Pliocene aquifer.</p> <p>OBS-2019-001 was issued. The two on-site wells are labeled on several figures as LSKP3/LSKP4 or DW#3/DW#4. The wells should be labeled consistently or noted.</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>	Yes			<p>A map of Long An Factory and surrounding areas was provided with locations of waste water treatment facility and treated waste water discharge. The Factory uses a portion of the treated water for site irrigation. Discharge is to the Bao Dinh Canal and Vam Co Tay River.</p>	

		2.1.4 Geographical description or map of the catchment(s)	Yes		The Site catchment is located within the Mekong Delta which consists of natural rivers and man-made canals. The Site is located in the Van Co River Watershed (10,000 km ²). The two primary rivers are the Van Co Dong River and Van Co Tay River which originates in Cambodia. The Site is located 4.2 km south of the Van Co Tay River. Man-made canals are present within the watershed which provide networks for surface water distribution and provide transportation throughout the catchment. Several maps of the catchment were provided indicating the boundaries of the watershed, river network and site location.
Core	2.2 Identify stakeholders, their water-related challenges and the site's sphere of influence Identify stakeholders, document their water-related challenges and explain how the stakeholders are within the site's sphere of influence.	2.2.1 List of stakeholders, descriptions of prior engagements and summaries of their water-related challenges	Yes		The stakeholder map created with Nestle Community Relations Process (CRP) was reviewed. Stakeholders identified and interviewed include General Manager, Long An Water Supplying Joint Stock Company (local water municipality), Deputy Manager, Long An Province - Environmental and Natural Resources Department and Chairman, Khanh Hau Ward's People Committee (local authorities), Admin Manager, Long An Educational College (school districts) and La Vie employee (10 years)/local resident. The canteen manager and a production line operator were also interviewed during the audit. Of the stakeholders interviewed, all were aware and participated in La Vie's community activities including seminars/events for students and area industries, and preparation of an action plan to address surface water issues. The two primary surface water actions addressed with stakeholders were the dredging/cleanout of a local canal and identification of non-permitted shallow wells with plan to close.
		2.2.2 Description of the site's sphere of influence	Yes		A sphere of influence was provided and reviewed. Stakeholders are related to the site's catchment and identifies the stakeholders' ability to influence or be influenced.
Core	2.3 Gather water-related data for the catchment Gather credible and temporally relevant data on the site's catchment: <input checked="" type="checkbox"/> Water governance, including catchment plan(s), water-related public policies, major publicly led initiatives under way, relevant goals, and all water-related legal, regulatory requirements; <input checked="" type="checkbox"/> Water balance for all sources while considering future supply and demand trends; <input checked="" type="checkbox"/> Water quality for all sources while considering future physical, chemical and biological quality trends; <input checked="" type="checkbox"/> Important Water-Related Areas, including their identification and current status, while considering future trends; <input checked="" type="checkbox"/> Infrastructure's current status and exposure to extreme events while considering expected future needs	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	Yes		The list of significant initiatives for both the La Vie Factory and local project with the Khanh Hau Ward and Tan An City for site level actions and plans for the catchment including surface water improvements and water supply initiatives.
		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	Yes		A list of water related legal, regulatory and rights issues with sites linkages requirements were reviewed. The Deputy Manager, Long An Province, Environmental and Natural Resources confirmed La Vie fully complied with legal requirements.
		2.3.3 Catchment water balance by temporally relevant time unit and commentary on future supply and demand trends	Yes		A catchment water balance was provided for the Van Co River Watershed. Monthly data including rainfall, temperature, recharges and discharges was provided for 2018 for the same catchment basin (Project WET Foundation).

		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	Yes		The water sources undergo the standard annual quality testing. Physical/chemical data was provided from 2010 - 2018. Microbiological data for City Water and Site Well Water was provided and is tracked monthly. There is no anticipated changes in water quality.
		2.3.5 Documentation identifying Important Water Related Areas, including a description of their current status and commentary on future trends	Yes		The Thu Tuu and Chein Luoc canals are identified as IWRAs. Static water levels vary slightly due to seasonal rainfall and infiltration trends. The Ramsar 2227, Lang Sen area wetlands is also located in the Long An Province.
		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	Yes		Infrastructure programs including traffic, power, water infrastructure systems are implemented by the Long An Providence. There are multiple reports on infrastructure including the Bao Dinh Water Plant and Water Supply project improvements to address growth and extreme events.
Core	2.4 Gather water-related data for the site Gather credible and temporally relevant data on the site's: <input checked="" type="checkbox"/> Governance (including water stewardship and incident response plan); <input checked="" type="checkbox"/> Water balance (volumetric balance of water inputs and outputs); <input checked="" type="checkbox"/> Water quality (physical, chemical and biological quality of influent and effluent) and possible sources of water pollution; <input checked="" type="checkbox"/> Important Water-Related Areas (identification and status); <input checked="" type="checkbox"/> Water-related costs (including capital investment expenditures, water procurement, water treatment, outsourced water- related services, water- related R&D and water- related energy costs), revenues and shared value creation (including economic value distribution, environmental value and social value).	2.4.1 Copies of existing water stewardship and incident response plans	Yes		Plans provided for review included the La Vie Emergency Response Plan, Overcome and Prevent Flooding Plan, Microclimate Control Plan, Business Contingency Plan and Disaster Recovery Plan Crisis Response.
		2.4.2 Site water balance (in Mm3 or m3) by temporally relevant time unit and water-use intensity metric (Mm3 or m3 per unit of production or service)	Yes		Nestle sites create water maps containing inputs and outputs of water at each facility. These water maps include metering at each stage of the bottling process. Data are recorded continuously (daily) and then summed at a monthly level. Data showing monthly water inflows, outflows and losses were reviewed. The Water Withdrawal Ratio (WWR) at the LaVie site is 1.35 liters per liter for 2018. The beverage industry water use standard is between 1.25 and 2.18 benchmarked by the Beverage Industry Roundtable (BEIR 2016).
		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)	Yes		Water quality protocol includes analysis of direct and outsourced water for general water quality parameter, trace minerals, volatile organic parameters and other organics since 2010. The waste water treatment system has been monitored monthly for general parameters since April 2017.
		2.4.4 Inventory of all material water- related chemicals used or stored on- site that are possible causes of water pollution	Yes		A list of all on-site chemicals was provided. Chemical storage was inspected during audit of the facility. The hazardous materials inventory/plan submitted to the Long An Environment and Resource Dept. in March 2018/2019 was reviewed.
		2.4.5 Documentation identifying existing, or historic, onsite Important Water-Related Areas, including a description of their status	Yes		No on-site IWRAs were identified.

		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	No	<p>Annual water-related costs and revenues (single value), and costs for shared value creation projects were provided. Shared value creation was not described or quantified.</p> <p>MINOR-2019-001 was issued. Economic, social and environmental shared value created by the site to the catchment was not described.</p> <p>MINOR-2019-001 was closed. Shared-value creation was described for economic, social and environmental projects.</p> <p>OBS-2019-002 was issued. Quantification of cost benefits of shared-value projects may be evaluated as projects progress.</p>
Core	2.5 Improve the site's understanding of its indirect water use Identify and continually improve the site's understanding of: ☑ Its primary inputs, the water use embedded in the production of those primary inputs and, where their origin can be identified, the status of the waters at the origin of the inputs; ☑ Water used in outsourced water-related services within the catchment.	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	No	<p>Key Suppliers for the Site were listed with associated products, no estimate of water use was provided.</p> <p>MINOR-2019-002 was issued. Estimated water use and the country/catchment of origin for primary inputs was not provided.</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 (Mm3 or m3) and (B) appropriate and credibly measured data to represent the physical, chemical and biological status of the outsourced annual (or better) water effluent	Yes	<p>The sole identified outsourced service that consumed water within the Factory is the Canteen. Additional outsourced services are identified but (see 4.6). Water use is estimated at 30 to 38 m3/month. The Canteen discharges water in the kitchen, which is directed to the waste water treatment system.</p> <p>MINOR-2019-003 was issued. Additional outsourced services within the supply chain were identified (refer to 4.6). The list notes whether water for the outsourced is used in production at the La Vie Factory, but does not estimate water consumed outside of the Factory.</p>
Core	2.6 Understand shared water-related challenges in the catchment Based upon the status of the catchment and stakeholder input, identify and prioritize the shared water-related challenges that affect the site and that affect the social, environmental and/or economic status of the catchment(s). In considering the challenges, the drivers of future trends and how these issues are currently being addressed by public-sector agencies must all be noted.	2.6.1 Prioritized and justified list of shared water challenges that also considers drivers and notes related to public-sector agency efforts	Yes	<p>A prioritized list with rationale of shared water challenges addressing each of the four outcomes, quality, quantity, IWRA and governance, was reviewed. The list was described with respect to public-sector initiatives, relevance to both stakeholders and the sites. Shared water challenges identified with the highest priority included water quality and quantity such as vulnerability of the shallow aquifer to surface contaminations and uncontrolled domestic wells of local community in the shallow aquifer. Drivers and public-sector agency efforts including cooperation with the Dept of Natural Resources/Environment and People's Committee's were identified.</p>
Core	2.7 Understand and prioritize the site's water risks and opportunities Based upon the status of the site, existing risk management plans and/or the issues identified in 2.6, assess and prioritize the water risks and opportunities affecting the site.	2.7.1 Prioritized list of water risks facing the site, noting severity of impact and likelihood within a given time frame	Yes	<p>A prioritized list of water risks was provided and reviewed. Water risks matched water challenges. Water risks prioritized based on site's ability to operate. Priorities ranked as high to low. Surface water quality was prioritized as high.</p>
		2.7.2 Prioritized list of water-related opportunities for the site	Yes	<p>A prioritized list of water-related opportunities for the site and match the water challenges and water risks lists. Opportunities ranked as high to low. Surface water quality improvement through canal improvements was prioritized as high.</p>

		2.7.3 Estimate of potential savings/value creation				A prioritized list of savings and value creation provided. Value creation was quantified as applicable.
Step 3: PLAN – Develop a water stewardship plan						
Step 3 focuses on how a site will improve its performance and the status of its catchment in terms of the AWS water stewardship outcomes. Step 3 needs to explicitly link the information gathered in Step 2 to the performance noted in Step 4 by describing who will be doing what and when. The monitoring methods in Step 5 should also reflect the plan.						
Core	3.1 Develop a system that promotes and evaluates water-related legal compliance: Develop, or refer to, a system that promotes and periodically evaluates compliance with the legal and regulatory requirements identified in Criterion 2.3.	3.1.1 Documented description of system, including the processes to evaluate compliance and the names of those responsible and accountable for legal compliance	Yes			The La Vie Compliance Matrix was reviewed which included various processes, responsibilities and date accomplished or reviewed.
Core	3.2 Create a site water stewardship strategy and plan: Develop an internally available water stewardship strategy and plan for the site that addresses its shared water challenges, risks and opportunities identified in Step 2 and that contains the following components (see Guidance for plan template): A strategy that considers the shared water challenges within the catchment, water risks for the site	3.2.1 Available water stewardship strategy	Yes			A water stewardship strategy provided and reviewed. La Vie's strategy is high level document stating the overall strategy in alignment with the AWS requirements.
		3.2.2 Available plan that meets all component requirements and addresses site risks, opportunities and stakeholder shared water challenges	Yes			A detailed water stewardship plan was created as part of the AWS process. The plan is broken into objectives, targets, and actions. There are different actions corresponding to different targets, each with their own metrics, budget, responsible person, status, and other criteria. Actions to be implemented at Site Level and Beyond the Fence are identified in this plan.
Core	3.3 Demonstrate responsiveness and resilience to water-related risks into the site's incident response plan: Add to or modify the site's incident response plan to be both responsive and resilient to the water-related risks facing the site.	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	Yes			La Vie provided the Business Contingency Plan -Disaster Recovery Plan Crisis Response, which included a description of their required responsiveness and resilience to water related issues and risks.
Core	3.4 Notify the relevant (catchment) authority of the site's water stewardship plans: Contact the appropriate catchment authority/agency (if any) and inform them of the site's plans to contribute to the water stewardship objectives of their catchment plan as identified in Criterion 2.3.	3.4.1 Documented evidence of communicating the site's plan to the relevant catchment authority/agency	Yes			La Vie provided the Meeting Results Document providing communication with catchment authorities about the AWS process. Communication and outreach confirmed through stakeholder interviews.
Step 4: IMPLEMENT – Implement the site's stewardship plan and improve impacts						
Step 4 is intended to ensure that the site is executing the plan outlined in Step 3, mitigating risks and driving actual improvements in performance.						
Core	4.1 Comply with water-related legal and regulatory requirements and respect water rights: Meet all applicable legal and regulatory requirements related to water balance, water management and Important Water-Related Areas as well as water-related rights. As noted in Criteria 1.1 and 3.2, where, through its water use, the site is contributing to an inability to meet the human right to safe drinking water and sanitation, the site must also continually work with relevant public sector agencies until this basic human right to water and sanitation is fulfilled.	4.1.1 Documentation demonstrating compliance	Yes			La Vie compliance and environmental report were provided and met the indicator criteria.
		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.	Yes			No unmet human rights needs identified within this catchment.
Core	4.2 Maintain or improve site water balance: Meet the site's water balance targets. As noted in Criterion 3.2., where water scarcity is a shared water challenge, the site must also continually decrease its water withdrawals until best practices are met and work with relevant public sector agencies to address the imbalance and shared water challenge. Note: if a site wishes to increase its water use in a water scarce context, the site must cause no overall increase in water scarcity in the catchment and depletion of the site's water source(s) and encourage relevant public sector agencies to address the unlawful water use contributing to the imbalance in the catchment.	4.2.1 Measurement-based evidence showing that targets have been met	Yes			The site tracks and monitors water efficiency as targets on an Annual, Monthly, Weekly and Daily schedule in the Operations Room. Information is posted and available for all to review. A summary of Waste Water Ratio (WWR) from 2012 (1.74) to present was provided. The site's WWR was 1.35 liters per liter in 2018 and tracking at an average of 1.33 at the time of the Audit.
		4.2.2 (Water scarce catchments only) Evidence of continual decrease or best practice 4.2.3 (Sites wishing to increase withdrawals in water scarce catchments only) Evidence of no net increase in water scarcity			NA	The site is not within a water scarce catchment.

		4.2.3 (Sites wishing to increase withdrawals in water scarce catchments only) Evidence of no net increase in water scarcity			NA	The site is not within a water scarce catchment.
Core	4.3 Maintain or improve site water quality: Meet the site's water quality targets. As noted in Criterion 3.2., where water quality stress is a shared water challenge, the site must also continually improve its effluent for the parameters of concern until best practices are met and work with relevant public sector agencies to address the imbalance and shared water challenge. Note: if a site wishes to increase its water use in a water stressed context, the site must cause no overall increase in the degradation of water quality in the catchment and degradation of the site's water source(s) and encourage relevant public sector agencies to address the unlawful water use contributing to the degradation in the catchment.	4.3.1 Measurement-based evidence showing that targets have been met	Yes			Measurement system is in place for water quality targets throughout the site, data from previous monitoring reports were reviewed. Annual review of data presented as Min/Max/Average was found to be within required limits.
		4.3.2 (Water quality-stressed catchments only) Evidence of continual improvement or best practice 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	Yes			La Vie continues to decrease effluent discharge through water saving actions in the Factory and reuse efforts. Data is provided to indicate no degradation of water quality at the Site.
		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	Yes			La Vie has provided data to indicate no degradation of water quality at the Site.
Core	4.4 Maintain or improve the status of the site's Important Water-Related Areas: Meet the site's targets for Important Water-Related Areas at the site. As noted in Criterion 3.2., where Important Water-Related Area degradation is a shared water challenge, the site must also continually improve its Important Water-Related efforts until best practices are met, and the site must not knowingly cause any further degradation of such areas on site.	4.4.1 Documented evidence showing that targets have been met	Yes			No IWRAs are present on the site.
		4.4.2 (Degraded Important Water- Related Area catchments only) Evidence of continual improvement or best practice	Yes			Water-related degradation due to surface water runoff is a concern of the Catchment. La Vie has documented leading efforts with improvements (dredging) of the Chein Luoc/Rach Doc canal and mitigating open shallow wells which provide potential for impact.
Core	4.5 Participate positively in catchment governance: Continually coordinate and cooperate with any relevant catchment management authorities' efforts. As noted in Criterion 3.2, where water governance is a shared water challenge, the site must also continually improve its efforts until best practices are met.	4.5.1 Documented evidence of the site's ongoing efforts to contribute to good catchment governance	Yes			La Vie provided documentation of their efforts to support good catchment governance through participation with the Ward People's Committee, Tanan City and The Department of Natural Resources and Environment.
		4.5.2 (Weak water governance catchments only) Evidence of continual improvement or best practice			NA	Water governance is not identified as a shared water challenge.
Core	4.6 Maintain or improve indirect water use within the catchment: Contact the site's primary product suppliers and water-related service providers located in the catchment and request that they take actions to help contribute to the desired water stewardship outcomes.	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			No	A list of suppliers and service providers was prepared. Water usage data have been compiled for some outsourced services. MINOR-2019-004 was issued. Outsourced services within the supply chain were identified. The list notes whether water for the outsourced is used in production at the La Vie Factory, but does not provide information on engagement relating to indirect water use.
Core	4.7 Provide access to safe drinking water, adequate sanitation and hygiene awareness (WASH) for workers on-site: Ensure appropriate access to safe water, effective sanitation and protective hygiene for all workers in all premises under the site's control.	4.7.1 List of actions taken to provide workers access to safe water, effective sanitation and protective hygiene (WASH) on-site	Yes			NWNA uses a self-assessment tool at each site to review access to drinking water, sanitation and hygiene awareness (WASH). The nature of the product made at the facility requires strict adherence to these principals.

Core	4.8 Notify the owners of shared water- related infrastructure of any concerns: Contact the owners of shared water- related infrastructure and actively highlight any concerns the site may have in light of its risks and shared water challenges.	4.8.1 List of individuals contacted and key messages relayed	Yes			Shared water-related infrastructure on this site is limited to infrastructure related to the building itself. Shared infrastructures would be water and wastewater pipelines. La Vie works closely with service providers and would address issues if arise.
Step 5: EVALUATE - Evaluate the site's performance						
<i>Step 5 is intended to review performance against the actions taken in Step 4, learn from the outcomes – both intended and unintended – and inform the next iteration of the site's water stewardship plan. The expectation is that such an evaluation takes place at least annually,</i>						
Core	5.1 Evaluate the site's water stewardship performance, risks and benefits in the catchment context: Periodically review the site's performance in light of its actions and targets from its water stewardship plan to evaluate: <input checked="" type="checkbox"/> General performance in terms of the water stewardship outcomes (considering context and water risks), positive contributions to the catchment, and water-related costs and benefits to the site.	5.1.1 Post-implementation data and narrative discussion of performance and context (including water risk)	Yes			La Vie provided documentation of meetings with Stakeholder on performance and successes in actions taken to improve surface water quality. Continued evaluation including will be conducted during the surveillance and renewal years.
		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)	Yes			See 5.1.1
		5.1.3 Updated data for indicator 2.4.7 on catchment shared value creation based upon the actions outlined in 3.2	Yes			See 5.1.1
Core	5.2 Evaluate water-related emergency incidents and extreme events: Evaluate impacts of water-related emergency incidents (including extreme events), if any occurred, and determine effectiveness of corrective and preventive measures. Factor lessons learned into updated plan.	5.2.1 Documented evidence (e.g., annual review and proposed measures)	Yes			La Vie has and conducted an Environmental Impact Assessment which indicated compliance over several areas including waste water management and hazardous waste management. Water withdrawal is managed through Permits. No water related emergency events were recorded. The annual environmental reviews document these emergency events, if any.
Core	5.3 Consult stakeholders on water- related performance: Request input from the site's stakeholders on the site's water stewardship performance and factor the feedback/lessons learned into the updated plan.	5.3.1 Commentary by the identified stakeholders	Yes			Stakeholder outreach has been conducted at the Site with CRP. Stakeholder interviews included topics of La Vie outreach programs, shared challenge of groundwater quality impacts (surface water) and La Vie Action Plan to dredge Chie Luoc/Rach Doc canal and close unused shallow wells in the catchment with support of local authority. Canal cleanout was completed and highlighted in local television program. No concern from Stakeholders.
Core	5.4 Update water stewardship and incident response plans: Incorporate the information obtained into the next iteration of the site's water stewardship plan. Note: updating does not apply for initial round of Standard implementation.	5.4.1 Modifications to water stewardship and incident response plans incorporating relevant information			NA	This is the initial assessment, therefore this indicator does not apply for this initial round of standard implementation.
Step 6: COMMUNICATE & DISCLOSE – Communicate about water stewardship and disclose the site's stewardship efforts						
<i>Step 6 is intended to encourage transparency and accountability through communication of performance relative to commitments, policies and plans. Disclosure allows others to make informed decisions on a site's operations and tailor their involvement to suit.</i>						
Core	6.1 Disclose water-related internal governance: Publicly disclose the general governance structure of the site's management, including the names of those accountable for legal compliance with water-related laws and regulations.	6.1.1 Disclosed and publicly available summary of governance at the site, including those accountable for compliance with water-related laws and regulations	Yes			LaVie posts the factory organization chart in the common area of the factory where it will be observed the most by staff. It includes the staff and relevant responsible personnel for water-related laws and regulations.
Core	6.2 Disclose annual site water stewardship performance: Disclose the relevant information about the site's annual water stewardship performance, including results against the site's targets.	6.2.1 Disclosed summary of site's water stewardship results	Yes			The presentation "AWS-A Meaningful Program" and two other presentation (both in English and Vietnamese) was reviewed. Presentation includes the site's water stewardship performance results, inclusive of the site's water challenges, stakeholder feedback, targets, and implementation outcomes. La Vie conducted education outreach in the schools, celebrated WWD with local community, provided water quality monitoring instrumentation to Sewerage Joint Stock Company, built two Free Water Stations to serve community; and provided the presentation attendance list.

Core	6.3 Disclose efforts to address shared water challenges: Publicly disclose the site's shared water challenges and report on the site's efforts to help address these challenges, including all efforts to engage stakeholders and coordinate and support public-sector agencies.	6.3.1 Disclosed and publicly available description of shared challenges and summary of actions taken to engage stakeholders (including public-sector agencies)	Yes			The presentation "AWS-A Meaningful Program" and two other presentation (both in English and Vietnamize) was reviewed. Presentation includes the site's water stewardship performance results, inclusive of the site's water challenges, stakeholder feedback, targets, and implementation outcomes. La Vie conducted education outreach in the schools, celebrated WWD with local community, provided water quality monitoring instrumentation to Sewerage Joint Stock Company, built two Free Water Stations to serve community; and provided the presentation attendance list.	
Core	6.4 Drive transparency in water-related compliance: Make any site water-related compliance violations available upon request as well as any corrective actions the site has taken to prevent future occurrences. Note: any site- based violation that can pose an immediate material threat to human or ecosystem health from use of or exposure to site-related water must be reported immediately to relevant public agencies.	6.4.1 Available list of water-related compliance violations with corresponding corrective actions	Yes			There were no water-related compliance violations per discussion with the Deputy Manager, Long An Province, Environmental and Natural Resources.	
Core	6.5 Increase awareness of water issues within the site: Strive to raise the understanding of the importance of water issues at the site through active communications.	6.5.1 Record of awareness efforts (dates and communication) and, if possible, level of awareness	Yes			The Site's AWS Water Stewardship Commitment is posted on the La Vie and Department of Natural Resources website. Training sessions including AWS information was documented with Attendance Sheets (Nov 2018) and held for both shifts at the Factory.	

0

Audit Non-conformities and Observations

Guidance
<p><u>Disclaimer</u>: auditing is based on a sampling process of the available information and therefore nonconformities may exist which have not been identified.</p> <p><u>Observations</u> are defined as an area of concern regarding a process, document, or activity where there is opportunity for improvement.</p> <p><u>Major non-conformity</u> is raised if the issue represents a systematic problem of substantial consequence; the issue is a known and recurring problem that the client has failed to resolve; the issue fundamentally undermines the intent of the AWS Standard; or the nature of the problem may jeopardize the credibility of AWS.</p> <p>Applicants must close* major NCR within Ninety (90) days of the NCR issue date. Failure to meet this deadline will require another conformity assessment.</p> <p>Certificate Holders must close* major NCR within Thirty (30) days of the NCR issue date. If the Major NCR is not addressed within 30 days SCS shall suspend or withdraw the certificate and reinstatement shall not occur before another conformity assessment has been successfully completed.</p> <p><u>Minor non-conformity</u>: Where the audit team has evaluated an audit finding and determines that the seriousness of the issue does not meet the any of the criteria for Major non-compliance the audit team shall grade the finding as a minor non-conformity.</p> <p>Applicants must submit an acceptable corrective action plan^ to address all minor non-conformities to be recommended for certification.</p> <p>Certificate Holders must close minor NCR within Ninety (90) days of the NCR issue date. SCS may agree to an alternative time frame with the client as long as this can be justified and is documented in the NCR report.</p> <p>If corrective actions are inadequate to resolve a minor non-conformity by the time of the next scheduled audit, SCS shall upgrade the audit finding to a major non- conformity.</p> <p>If an unusually large number of minor non-conformities are detected during the course of a single audit, the audit team may at their discretion raise a major non-conformity to reflect a systematic failure of the client’s management system to deliver conformity with the AWS Standard.</p> <p><i>* closed = actioned by the client, corrections & corrective actions verified and closed by the auditor.</i></p> <p><i>^The corrective action plan shall include an analysis of the root cause of the minor non-conformity; the specific corrective action(s) to address the minor non-conformity; and an appropriate time frame to implement corrective action(s).</i></p>

NC #	Criteria / Indicator #	Major – Detail on Non Conformance	Due Date (XX calendar Days)	Root Cause Analysis and Corrective Action Taken

NC #	Section #	Minor – Detail on Non Conformance	Due Date (30 calendar Days)	Root Cause Analysis and Corrective Action Taken
MINOR-2019-001	2.4.6	Economic, social and environmental shared value created by the site to the catchment was not described.	4/16/2019	MINOR-2019-001 was closed. Shared-value creation was described for economic, social and environmental projects.
MINOR-2019-002	2.5.1	Estimated water use and the country/catchment of origin for primary inputs was not provided.	5/15/2019	Root Cause Analysis: Water use data was requested from suppliers but not provided, as suppliers indicated the volume was minimal. Corrective Action Taken: Obtain more information on the estimated water use and the catchment of primary imputes.
MINOR-2019-003	2.5.2	Additional outsourced services within the supply chain were identified (refer to 4.6). The list notes whether water for the outsourced is used in production at the La Vie Factory, but does not estimate water consumed outside of the Factory.	5/15/2019	Root Cause Analysis: Water use data was requested from suppliers but not provided, as suppliers indicated the volume was minimal. Corrective Action Taken: Obtain volume of estimated water use by outsourced services outside of the Factory.

Minor-2019-004	4.6.1	Outsourced services within the supply chain were identified. The list notes whether water for the outsourced is used in production at the La Vie Factory, but does not provide information on engagement relating to indirect water use.	5/15/2019	<p>Root Cause Analysis: Water use data was requested from suppliers but not provided, as suppliers indicated the volume was minimal.</p> <p>Corrective Action Taken: Review the list of outsourced services, estimate water consumed by suppliers. Contact outsourced services for information on estimated indirect water use.</p>
----------------	-------	--	-----------	---

OBS #	Section #	Observation – Detail on Opportunity for Improvement	Due Date	Corrective Action Taken
OBS- 2019-001	2.1.2	The two on-site wells are labeled on several figures as LSKP3/LSKP4 or DW#3/DW#4. The wells should be labeled consistently or noted.	4/30/2019	Revise the name of LKSP3/DW#3 to be LKSP3 and LKSP4/DW#4 to be LKSP4 on all our existing documents.
OBS-2019-002	2.4.6	Quantification of cost benefits of shared-value projects may be evaluated as projects progress.	6/30/2019	Perform evaluation for cost benefits of our projects which have been done to track what how much we contribute.

Certification Decision

Guidance
<p>The recommendation section to be filled out by the auditor with optional comments.</p> <p>The Certification Decision section is to be completed by the SCS's decision-making entity after initial, re-certification and re-evaluation audits.</p> <p>Details of the decision making entity and any observations or further details can be included in the comments field.</p>

Auditor's recommendation for initial, continued or re-certification based on compliance with requirements:	<input checked="" type="checkbox"/>	Initial/Continued Certification Recommended
		Initial/Continued Certification Not Recommended
Level of certification recommended (if applicable):	<input checked="" type="checkbox"/>	AWS Core
		AWS Gold
		AWS Platinum
Comments (e.g. justification for change in certification level, recommendations for sampling):		

To be completed by the SCS Decision-Making Entity	SCS Certification Decision:	<input checked="" type="checkbox"/>	Approved
			Denied
	Certification decision by:	Nicole Muñoz, Managing Director - ECS	
	Technical Review by:	<i>Nicole Muñoz, Managing Director - ECS</i>	
	Date of decision:	29 April 2019	
	Surveillance schedule:	Next audit is scheduled for (include range) : March 28, 2020 to April 28, 2020	