

Client Name: General Mills

AWS Registration Number: AWS-000056

Client Representative: Guilherme Basto, Environmental Engineer/Project Manager

Audit Team: Rae Mindock/Lead Auditor
 Shana Golden/Team Auditor

Audit Dates: July 9, 2021 (Pre-Assmt) & November 11, 2021

Stakeholder Notification: May 18, 2021, SCS and AWS websites, June 3, 2021, The Albuquerque Journal newspaper

Site Location: 3501 Paseo Del Norte Albuquerque, NM 87113

Report Date: February 28, 2021

Standard: AWS International Water Stewardship Standard - Version 2.0, March 22, 2019

Audit Type	<input type="checkbox"/> Gap Analysis	<input checked="" type="checkbox"/> Initial Certification	<input type="checkbox"/> Surveillance
	<input type="checkbox"/> Pre-assessment	<input checked="" type="checkbox"/> Remote Audit	<input type="checkbox"/> Recertification

Level of Certification	<input checked="" type="checkbox"/> Core	<input type="checkbox"/> Gold	<input type="checkbox"/> Platinum
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Site Description

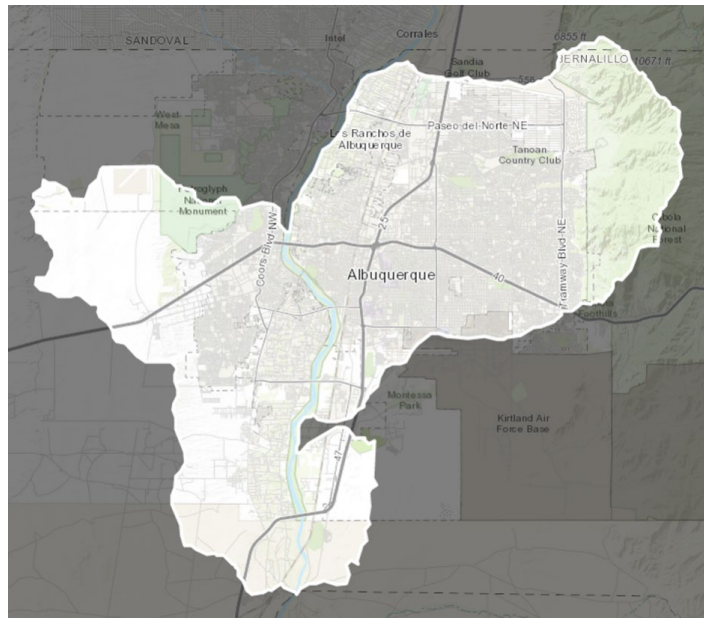
The General Mills Albuquerque site is a dry cereal and granola bar product manufacturing plant. The factory began production in 1992 as a cereal plant and currently has three cereal production lines and two granola bar product lines. The geographic scope of the site is limited to the property boundary of the facility. The facility is located in a suburban industrial setting. Water for the facility comes from the Albuquerque Bernalillo County Water Utility Authority. A well on the property is used for irrigation only. Wastewater services are provided by Albuquerque Bernalillo County Water Utility Authority.

Catchment Description

The site is located in the Upper Rio Grande subbasin. The catchment is approximately 172,480 acres and includes the ABCWUA Surface Water and Wastewater Treatment Plants. The area is defined and mapped. The catchment is located within the City of Albuquerque-Rio Grande watershed, HUC-10 Watershed ID 1302020303.

Shared Water Challenges

Shared water challenges are catchment water-related issues shared by the site and stakeholders. Stakeholder engagement was documented, and auditor interviews confirmed the topics of engagement. The primary shared water challenge is quantity. Other shared water challenges include natural disasters and emergencies. Water quality is addressed on-site through monthly inspections of the stormwater retention ponds.



Audit Attendees

Participant/Title	Opening Meeting	Document Review	Site Inspection	Closing Meeting
General Mills Environmental Engineer/Project Manager	X	X	X	X
<p>Internal Stakeholders: Technical Plant Manager, Associate Manager-Regen Ag Water Packaging, Engineering and Maintenance</p> <p>External Stakeholders: Manager ABCWUA, The Nature Conservancy, Water Resources Division Manager ABCWUA</p>				
<p>Supporting Documentation: The General Mills Albuquerque site provided documentation using OneNote and SharePoint file share to support conformity with the AWS Standard v2.0 including: Stakeholder Outreach Log, AWS Summary Presentation, Catchment Water Balance, and Water Stewardship Plan. The Water Stewardship Plan is a working document which is continually updated with information regarding how shared water challenges are being addressed included progress, performance evaluation and stakeholder feedback. Other supporting documentation were also provided as evidence.</p>				

Summary of Findings

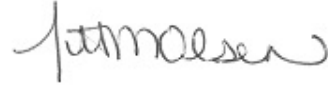

Step	Major	Minor	Observations	Advanced Criteria Total Points
1. Gather & Understand			3	
2. Commit & Plan		1		
3. Implement				
4. Evaluate				
5. Communicate & Disclose		1	2	
TOTAL		2	5	NA

Audit Non-conformities and Observations

Non-Conformity (Major or Minor) or Observation	Citation	Criteria/ Indicator	Due Date	Detail and Corrective Action
Observation	OBS 2021.01	1.2.1	NR	OBS 2021.01 was issued. The site has been engaged with AWS stakeholder engagements since 2015. The stakeholders have varied over time and outreach has been limited during COVID-19. The Site should attempt to re-engage with former stakeholder providing updates on water stewardship advances.
				Root Cause Analysis and Corrective Action Not required for observation.
Observation	OBS 2021.02	1.5.5	NR	OBS 2021.02 was issued. The site should continue to identify potential IWRAs within the Rio Grande HUC 10 watershed as additional stakeholders are engaged.
				Root Cause Analysis and Corrective Action Not required for observation.
Observation	OBS 2021.03	1.6.2	NR	OBS 2021.03 was issued. The site should review, and update initiatives as shared water challenges evolve.
				Root Cause Analysis and Corrective Action Not required for observation.
Minor	Minor 2021.01	2.1.1	90 Days	Minor 2021.01 was issued. A site statement or organizational document including the indication requirements such as improvements based on the site water stewardship program, alignment with catchment plans, stakeholder engagement and allocation of resources should be prepared and disclosed.
				Root Cause Analysis and Corrective Action The site will create a standard organizational document signed by the Plant Manager to publicly disclose progress on the water stewardship plans, improvements and outcomes aligned with the catchment plans, stakeholder engagement and resource allocation. The site

				<p>will re-organize/merge the Stakeholder Info and Extended Water Stewardship Plan spreadsheets to capture and easily disclose the requirements of indicator 2.1.1. The site will publish these updates on the General Mills public website and share with all stakeholders.</p> <p>To be completed within 90 days.</p>
Minor	Minor 2021.01	5.1.1	90 Days	<p>Minor 2021.02 was issued. The internal governance was described but does not appear to have been disclosed.</p>
				<p>Root Cause Analysis and Corrective Action The site will incorporate the requirements of indicator 5.1.1 into the standard organizational document for indicator 2.1.1 as a way of managing and disclosing all the required information related to AWS. The site will add a matrix from CEO to Plant Technician to highlight their accountabilities and contributions to water stewardship.</p> <p>To be completed within 90 days.</p>
Observation	OBS 2021.04	5.2.1	NR	<p>OBS 2021.04 was issued. Planned outcomes such as water reductions are stated, but the more general AWS outcomes (Governance, Water Balance, Water Quality, IWRAs, WASH) should be referenced</p>
				<p>Root Cause Analysis and Corrective Action Not required for observation.</p>
Observation	OBS 2021.05	5.2.1	NR	<p>OBS 2021.05 was issued. The Consulted Stakeholder is indicated for each target/action, a brief summary of what was discussed could be included in the WSP.</p>
				<p>Root Cause Analysis and Corrective Action Not required for observation.</p>

Certification Decision

<i>Auditor's recommendation for initial, continued or re-certification based on compliance with requirements:</i>	X	Recommended
		Not Recommended
<i>Level of Certification recommended</i>	X	AWS Core
		AWS Gold
		AWS Platinum
<i>SCS Certification Decision:</i>	X	Approved
		Denied
<i>Certification Decision by:</i>		 Jillian Olsen
<i>Technical Review by:</i>		 Jillian Olsen
<i>Date of Decision:</i>		March 2, 2022
<i>Surveillance Schedule:</i>		Next audit is scheduled for: January 2023

AWS International Water Stewardship Standard, Version 2.0, March 22, 2019

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

STEP 1: Gather and Understand

Criteria	Indicator	Yes	No	NA	Objective Evidence/Finding	Points
1.1 Gather information to define the site's physical scope for water stewardship purposes, including: its operational boundaries; the water sources from which the site draws; the locations to which the site returns its discharges; and the catchment(s) that the site affect(s) and upon which it is reliant.	1.1.1 The physical scope of the site shall be mapped , considering the regulatory landscape and zone of stakeholder interests, including: <ul style="list-style-type: none"> - Site boundaries; - Water-related infrastructure, including piping network, owned or managed by the site or its parent organization; - Any water sources providing water to the site that are owned or managed by the site or its parent organization; - Water service provider (if applicable) and its ultimate water source; - Discharge points and waste water service provider (if applicable) and ultimate receiving water body or bodies; - Catchment(s) that the site affect(s) and is reliant upon for water. 	Yes			<p>The General Mills Albuquerque site is located in central New Mexico. The factory receives municipal water from the Albuquerque Bernalillo County Water Utility Authority (ABCWUA) and an onsite well used for irrigation only.</p> <p>The water-related infrastructure at the factory was mapped to include: layout of production lines, sanitary lines, municipal water Inlet and sanitary sewer discharge.</p> <p>The factory receives water from the Albuquerque Bernalillo County Water Utility Authority through metered pipeline connections. It is used for utilities, scrubbers, food production, and facility sanitary water supply. There is a well on the property used for landscape irrigation only. Sanitary discharge is sent to the Albuquerque Wastewater Utility.</p> <p>Stormwater received within pervious grassed areas around the perimeter of the site infiltrates directly into the subsurface soils. Runoff from impervious areas including buildings and paved surfaces is directed to a series of storm sewer catch basins that are connected to the facility's storm sewer ultimately discharging in either of two on-site retention basins.</p> <p>The catchment is approximately 172,480 acres and includes the ABCWUA Surface Water and Wastewater Treatment Plants. The area is defined and mapped. The catchment is located within the City of Albuquerque-Rio Grande watershed, HUC-10 Watershed ID 1302020303.</p>	
1.2 Understand relevant stakeholders, their water related challenges, and the site's ability to influence beyond its boundaries.	1.2.1 Stakeholders and their water-related challenges shall be identified . The process used for stakeholder identification shall be identified . This process shall:	Yes			<p>The stakeholder log was reviewed. The log includes identification of authorities (municipalities), businesses (economic neighbors), and NGOs. Stakeholders identified include Albuquerque Bernalillo County Water Utility Authority, The Nature Conservancy, Valle de Oro national Wildlife Refuge, Albuquerque School District, and East central ministries assisting the Navajo Nation during the COVID-19 pandemic.</p>	

	<ul style="list-style-type: none"> - Inclusively cover all relevant stakeholder groups including vulnerable, women, minority, and Indigenous people; - Consider the physical scope identified, including stakeholders, representative of the site's ultimate water source and ultimate receiving water body or bodies; - Provide evidence of stakeholder consultation on water-related interests and challenges; - Note that the ability and/or willingness of stakeholders to participate may vary across the relevant stakeholder groups; - Identify the degree of stakeholder engagement based on their level of interest and influence. 				<p>The outreach log included individuals and organizations consulted with since 2016, including notes on conversations which provided information on water-related interests/challenges. The summary includes actions, follow-up and feedback. The outreach log includes ranking of stakeholder influence and interest with levels of influence and interest defined.</p> <p>OBS 2021.01 was issued. The site has been engaged with AWS stakeholder engagements since 2015. The stakeholders have varied over time and outreach has been limited during COVID-19. The Site should attempt to re-engage with former stakeholder providing updates on water stewardship advances.</p>	
	<p>1.2.2 Current and potential degree of influence between site and stakeholder shall be identified, within the catchment and considering the site's ultimate water source and ultimate receiving water body for wastewater.</p>	Yes			<p>Stakeholders are related to the site's catchment and identifies the stakeholders' ability to influence or be influenced. Influence/Interest is characterized (low to critical) and further describe opinions towards the site.</p>	
<p>1.3 Gather water-related data for the site, including: water balance; water quality, Important Water-Related Areas, water governance, WASH; water-related costs, revenues, and shared value creation.</p>	<p>1.3.1 Existing water-related incident response plans shall be identified.</p>	Yes			<p>The Water Stewardship Plan, Spill Prevention Control Countermeasure Plan (SPCC) and Storm Water Pollution Prevention Plan (SWPPP) were reviewed. Incident response was addressed in the plans.</p>	
	<p>1.3.2 Site water balance, including inflows, losses, storage, and outflows shall be identified and mapped.</p>	Yes			<p>General Mills provided water maps containing inputs and outputs of water at this facility. Data showing annual water inflows, outflows, storage and losses for each production line at the factory were reviewed. The map indicates water sources, water treatment, process units, wastewater treatment and production.</p>	
	<p>1.3.3 Site water balance, inflows, losses, storage, and outflows, including indication of annual variance in water usage rates, shall be quantified. Where there is a water-related challenge that would be a threat to good water balance for people or environment, an indication of annual</p>	Yes			<p>General Mills provided water maps containing inputs and outputs of water at this facility. General Mills water balance measured multiple locations and processes at the facility documented since 2015. Variances were measured over the timeframe.</p>	

	high and low variances shall be quantified .				
	1.3.4 Water quality of the site’s water source(s), provided waters, effluent and receiving water bodies shall be quantified . Where there is a water-related challenge that would be a threat to good water quality status for people or environment, an indication of annual, and where appropriate, seasonal, high and low variances shall be quantified .	Yes			Water quality data for the water sources (on-site and provided), effluent and receiving water through site analytical data and published sources. For some sources data is provided beginning in 2012. Monthly data was provided for several site related analytes.
	1.3.5 Potential sources of pollution shall be identified and if applicable, mapped , including chemicals used or stored on site.	Yes			A list of all chemicals stored at the site was provided. The chemicals located within the Factory were mapped on the Facility Layout.
	1.3.6 On-site Important Water-Related Areas shall be identified and mapped , including a description of their status including Indigenous cultural values.	Yes			General Mills identified two stormwater retention ponds as the site’s IWRAs. The ponds are inspected monthly per SWPPP guidelines and no runoff leaves the site. The quality of the ponds is impacted by debris and requires manual cleaning.
	1.3.7 Annual water-related costs, revenues, and a description or quantification of the social, cultural, environmental, or economic water-related value generated by the site shall be identified and used to inform the evaluation of the plan in 4.1.2.	Yes			Site level costs including costs to implement water stewardship actions and factory-related costs were provided and reviewed.
	1.3.8 Levels of access and adequacy of WASH at the site shall be identified .	Yes			WASH is available on-site with potable water, toilets, locker rooms, and cafeteria for employees and visitors.
1.4 Gather data on the site’s indirect water use, including: its primary inputs; the water use embedded in the production of those primary inputs the status of the waters at the origin of the inputs (where they can be identified); and water	1.4.1 The embedded water use of primary inputs, including quantity, quality and level of water risk within the site’s catchment, shall be identified .	Yes			A list of primary inputs for outsourced services was provided with designation of location. Information on water source with annual water consumption values, and origin for each input was provided by the Factory. Analysis includes water use associated with packaging, transportation, cooling, end of life, and level of water stress.
	1.4.2 The embedded water use of outsourced services shall be identified , and where those services originate within the site’s catchment, quantified .	Yes			The site does not use or purchase ingredients or materials that originate from the same catchment as the site. The only outsourced service used by the site which utilizes water from the same catchment is the uniform laundry service company Aramark who has been unable to provide how much water is used to service the site's account.

used in out-sourced water-related services.					Corporate has provided water footprint data for its entire supply chain (internal and external) which is found in the 2021 GRR	
1.5 Gather water-related data for the catchment, including: water governance, water balance, water quality, Important Water-Related Areas, infrastructure, and WASH	1.5.1 Water governance initiatives shall be identified , including catchment plan(s), water-related public policies, major publicly-led initiatives under way, and relevant goals to help inform site of possible opportunities for water stewardship collective action.	Yes			The site has correctly identified Albuquerque Bernalillo County Water Utility Authority (ABCWUA), New Mexico Environment Department (NMED) and the Office of the State Engineer as the agencies responsible for water governance initiatives. Links were provided for the Agencies and some engagement has been documented. Specific initiatives, plans and goals were not identified.	
	1.5.2 Applicable water-related legal and regulatory requirements shall be identified , including legally-defined and/or stakeholder-verified customary water rights.	Yes			Water-related permits were provided, including permits issued by the Albuquerque Bernalillo County Water Utility Authority (ABCWUA) and the State Engineer’s Office. List of relevant and applicable legal and other requirements were also provided and reviewed.	
	1.5.3 The catchment water-balance, and where applicable, scarcity, shall be quantified , including indication of annual, and where appropriate, seasonal, variance.	Yes			The catchment water balance with precipitation, point source flows, subsurface flow, runoff, and ET data were provided catchment based on Model My Watershed Multi-Year Model. Data is presented as an average from a 30-year period and indicates seasonal fluctuation.	
	1.5.4 Water quality, including physical, chemical, and biological status, of the catchment shall be identified , and where possible, quantified . Where there is a water-related challenge that would be a threat to good water quality status for people or environment, an indication of annual, and where appropriate, seasonal, high and low variances shall be identified .	Yes			Catchment water quality data (physical, chemical and biological data) was provided from multiple public sources including the New Mexico Department of Health, Albuquerque and Bernalillo County Water Authority, Middle Rio Grande Basin (EPA Approved), Water Quality in the Middle Rio Grande (University of New Mexico) and Geology, Climate, Land and Water Quality (USDA Forest Service), and Stroud Water Research Center (Model My Watershed).	
	1.5.5 Important Water-Related Areas shall be identified , and where appropriate, mapped , and their status assessed including any threats to people or the natural environment, using scientific information and through stakeholder engagement.	Yes			IWRAs have been identified and described, along with their water-related issues. Watersheds, State Waterbodies, monitoring locations and permits (if applicable). IWRAs include multiple locations on the Rio Grande river, Conservancy Park Lake, and Isleta Lakes.	

					OBS 2021.02 was issued. The site should continue to identify potential IWRAs within the Rio Grande HUC 10 watershed as additional stakeholders are engaged.	
	1.5.6 Existing and planned water-related infrastructure shall be identified , including condition and potential exposure to extreme events.	Yes			A detailed list of ABCWUA's water-related infrastructure projects for 2021 was provided along with descriptions of the catchment water and sanitary sewer systems, current condition, and opportunities for improvements. Infrastructure includes water lines and sewer collection systems. Extreme events such as pipeline failures due to sinkholes was discussed.	
	1.5.7 The adequacy of available WASH services within the catchment shall be identified .	Yes			The site provided WASH information from the New Mexico Department of Health. Availability of services varies in rural areas. General Mills assists the Navajo Nation with ongoing donations of IBC totes for use as water storage reservoirs.	
1.6 Understand current and future shared water challenges in the catchment, by linking the water challenges identified by stakeholders with the site's water challenges.	1.6.1 Shared water challenges shall be identified and prioritized from the information gathered.	Yes			A prioritized list with rationale of shared water challenges was provided and reviewed. Drivers and public-sector agency efforts are noted as well. Water quantity is prioritized as first, on a scale of 1-4. The site's challenges were prioritized based on stakeholder feedback.	
	1.6.2 Initiatives to address shared water challenges shall be identified .	Yes			A list of existing initiatives to address shared water challenges was provided and reviewed. OBS 2021.03 was issued. The site should review, and update initiatives as shared water challenges evolve.	
1.7 Understand the site's water risks and opportunities: Assess and prioritize the water risks and opportunities affecting the site based upon the status of the site, existing risk management plans and/or the issues and future risk trends identified in 1.6.	1.7.1 Water risks faced by the site shall be identified , and prioritized, including likelihood and severity of impact within a given timeframe, potential costs and business impact.	Yes			A list of water risks was provided for the site summarizing risk, likelihood, costs (high to low), and severity of impact.	
	1.7.2 Water-related opportunities shall be identified , including how the site may participate, assessment and prioritization of potential savings, and business opportunities.	Yes			A list of water-related opportunities was provided for the site. A list of engagement opportunities, savings and value creation was submitted and reviewed. Value creation was included, as applicable.	

1.8 Understand best practice towards achieving AWS outcomes: Determining sectoral best practices having a local/catchment, regional, or national relevance.	1.8.1 Relevant catchment best practice for water governance shall be <i>identified</i> .	Yes			The site identified the General Mills 2021 Global Responsibility Report, siting corporate level programs and recognizing the AWS actions at the Albuquerque site.	
	1.8.2 Relevant sector and/or catchment best practice for water balance (either through water efficiency or less total water use) shall be <i>identified</i> .	Yes			The site identified multiple best practices for water balance based on factory efficiency, irrigation improvements and species selection (supply chain).	
	1.8.3 Relevant sector and/or catchment best practice for water quality shall be <i>identified</i> , including rationale for data source.	Yes			The site identified the site improvement projects impacting water quality including zero down drain initiatives, non-exposure stormwater permit and acknowledgement from ABCWUA for reduction in surcharge loads.	
	1.8.4 Relevant catchment best practice for site maintenance of Important Water-Related Areas shall be <i>identified</i> .	Yes			The site identified financial support through donations to the Rio Grande Water Fund and volunteer work with community cleanup projects (suspended during COVID 19).	
	1.8.5 Relevant sector and/or catchment best practice for site provision of equitable and adequate WASH services shall be <i>identified</i> .	Yes			The site identified on-going WASH services at the at the site including providing water bottles, cooling vests and uniform. From a community perspective, the site donates IBC totes to the Navajo Nation for water storage.	
Advanced Points Step 1						

STEP 2: Commit and Plan						
Criteria	Indicator	Yes	No	NA	Objective Evidence/Findings	Points
2.1 Commit to water stewardship by having the senior-most manager in charge of water at the site, or if necessary, a suitable individual within the organization head office, sign and publicly disclose a commitment to water stewardship, the implementation of the AWS Standard and achieving its five outcomes, and the allocation of required resources.	2.1.1 A signed and publicly disclosed site statement OR organizational document shall be identified . The statement or document shall include the following commitments: <ul style="list-style-type: none"> - That the site will implement and disclose progress on water stewardship program(s) to achieve improvements in AWS water stewardship outcomes - That the site implementation will be aligned to and in support of existing catchment sustainability plans - That the site's stakeholders will be engaged in an open and transparent way - That the site will allocate resources to implement the Standard. 		No		The site has provided multiple public documents disclosing policy on water practices including Public Engagement for the Greater Good, General Mills Water Policy, Planet, 2021 Global Responsibility Report. The Introduction to the Global Responsibility Report provides a letter to stakeholders signed by the CEO. AWS and site participation is mentioned in the Global Responsibility Report, but the indicator criteria is not provided. Minor 2021.01 was issued. A site statement or organizational document including the indication requirements such as improvements based on the site water stewardship program, alignment with catchment plans, stakeholder engagement and allocation of resources should be prepared and disclosed.	
2.2 Develop and document a process to achieve and maintain legal and regulatory compliance.	2.2.1 The system to maintain compliance obligations for water and wastewater management shall be identified , including: <ul style="list-style-type: none"> - Identification of responsible persons/positions within facility organizational structure - Process for submissions to regulatory agencies. 	Yes			The site uses GSTEMS, a centralized database, to stores all safety and environmental data, incidents, near misses, and investigations. A list of water management compliance obligations and responsible position was provided.	
2.3 Create a water stewardship strategy and plan including addressing risks (to and from the site), shared catchment water challenges, and opportunities.	2.3.1 A water stewardship strategy shall be identified that defines the overarching mission, vision, and goals of the organization towards good water stewardship in line with this AWS Standard.	Yes			A water stewardship strategy is included in General Mills' 2021 Global Responsibility Report was provided and reviewed. The GRR strategy is a high-level document stating the overall strategy is in alignment with the AWS Standard.	
	2.3.2 A water stewardship plan shall be identified , including for each target: <ul style="list-style-type: none"> - How it will be measured and monitored 	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	

	<ul style="list-style-type: none"> - Actions to achieve and maintain (or exceed) it - Planned timeframes to achieve it - Financial budgets allocated for actions - Positions of persons responsible for actions and achieving targets - Where available, note the link between each target and the achievement of best practice to help address shared water challenges and the AWS outcomes. 				actions corresponding to different targets, each with their own metrics, budget, responsible person, status, and other criteria.	
2.4 Demonstrate the site's responsiveness and resilience to respond to water risks	2.4.1 A plan to mitigate or adapt to identified water risks developed in coordination with relevant public-sector and infrastructure agencies shall be identified .	Yes			The site provided their current SWPPP/SPCC documents which included a description of their required responses and resilience operations to water-related issues and risks. Modifications to the plans are captured through revision/amendment comments and an annual review is part of standard procedures to evaluate the plan's effectiveness.	
Advanced Points Step 2						
STEP 3: Implement						
Criteria	Indicator	Yes	No	NA	Objective Evidence/Findings	Points
3.1 Implement plan to participate positively in catchment governance.	3.1.1 Evidence that the site has supported good catchment governance shall be identified .	Yes			The site provided documentation of their efforts to support good catchment governance through participation with the local NGO, The Nature Conservancy and received acknowledgment from Albuquerque Bernalillo County Water Utility Authority (ABCWUA) on site achievements.	
	3.1.2 Measures identified to respect the water rights of others including Indigenous peoples, that are not part of 3.2 shall be implemented .	Yes			The site's sole source of water within the facility is the Albuquerque Bernalillo County Water Utility Authority (ABCWUA). The site does not use water that impinges the on the rights of others including indigenous peoples. The onsite well is used for irrigation only and there are no current restrictions or conditions imposed by the State of New Mexico on the water well permit.	
3.2 Implement system to comply with water-related legal and regulatory requirements and respect water rights.	3.2.1 A process to verify full legal and regulatory compliance shall be implemented .	Yes			The site uses GSTEMS, a centralized database, to stores all safety and environmental data, incidents, near misses, and investigations.	
	3.2.2 Where water rights are part of legal and regulatory requirements, measures identified to respect the water rights of	Yes			There are no legal or regulatory requirements for the site surrounding water rights.	

	others including Indigenous peoples, shall be implemented .					
3.3 Implement plan to achieve site water balance targets.	3.3.1 Status of progress towards meeting water balance targets set in the water stewardship plan shall be identified .	Yes			Water reduction goals are tracked by product type and measured by fiscal year. Current targets are water use reduction rates of 1% year over year (gallons of water used to produce one lb of finished product). The site has worked to improve its water efficiency through production efficiencies and water conservations efforts.	
	3.3.2 Where water scarcity is a shared water challenge, annual targets to improve the site’s water use efficiency, or if practical and applicable, reduce volumetric total use shall be implemented .	Yes			The site has a target use reduction rate towards improving efficiency and strives to reduce volumetric total.	
	3.3.3 Legally-binding documentation, if applicable, for the re-allocation of water to social, cultural or environmental needs shall be identified .	Yes			The site is not re-allocating water savings.	
3.4 Implement plan to achieve site water quality targets.	3.4.1 Status of progress towards meeting water quality targets set in the water stewardship plan shall be identified .	Yes			The site participates in General Mills’ “Zero down the drain” initiative which supports improved water quality targets.	
	3.4.2 Where water quality is a shared water challenge, continual improvement to achieve best practice for the site’s effluent shall be identified and where applicable, quantified .	Yes			Water quality is not identified as a shared water challenge.	
3.5 Implement plan to maintain or improve the site’s and/or catchment’s Important Water-Related Areas.	3.5.1 Practices set in the water stewardship plan to maintain and/or enhance the site’s Important Water-Related Areas shall be implemented .	Yes			Site IWRA’s were identified and are inspected monthly per SWPPP guidelines, and no runoff leaves the site. The quality of the ponds is impacted by debris and requires manual cleaning. General Mills supports local water-related projects through donations and volunteering on cleanup projects.	
3.6 Implement plan to provide access to safe drinking water, effective sanitation, and protective hygiene (WASH) for all	3.6.1 Evidence of the site’s provision of adequate access to safe drinking water, effective sanitation, and protective hygiene (WASH) for all workers onsite shall be identified and where applicable, quantified .	Yes			The site provided an evaluation including detail of the number of toilets, urinals, showers, handwash sinks, foot wash stations, drinking water fountains, foot sanitizer stations at various site locations. Ratios of Toilet/Shift for both men and women exceeded to OSHA Guidance.	

workers at all premises under the site's control.	3.6.2 Evidence that the site is not impinging on the human right to safe water and sanitation of communities through their operations, and that traditional access rights for Indigenous and local communities are being respected, and that remedial actions are in place where this is not the case, and that these are effective.	Yes			Site operations are self-contained on private property and operations are not impacting WASH of the community. The site operates under the permits and in accordance with the water stewardship plan, resulting in no negative impacts on community water supplies from pollution or excessive extraction.	
3.7 Implement plan to maintain or improve indirect water use within the catchment.	3.7.1 Evidence that indirect water use targets set in the water stewardship plan, as applicable, have been met shall be quantified .	Yes			The site does not have indirect water use targets. Larger corporate initiatives address stewardship efforts in the supply chain, but are not directly related to the site.	
	3.7.2 Evidence of engagement with suppliers and service providers, as well as, when applicable, actions they have taken in the catchment as a result of the site's engagement related to indirect water use, shall be identified .	Yes			The site has engaged with the sole supplier within the catchment regarding indirect water use.	
3.8 Implement plan to engage with and notify the owners of any shared water-related infrastructure of any concerns the site may have.	3.8.1 Evidence of engagement, and the key messages relayed with confirmation of receipt, shall be identified .	Yes			ABCWUA's water-related infrastructure is owned and maintained by the organization. The site has not identified any concerns. The site continues to engage with ABCWUA.	
3.9 Implement actions to achieve best practice towards AWS outcomes: continually improve towards achieving sectoral best practice having a local/catchment, regional, or national relevance.	3.9.1 Actions towards achieving best practice, related to water governance, as applicable, shall be implemented .	Yes			The site identified the General Mills 2021 Global Responsibility Report, citing corporate level programs and recognizing the AWS actions at the Albuquerque site as best practice. The site has engaged with ABCWUA, promoting and implementing their public lead initiatives. The site has received several awards from ABCWUA for their actions.	
	3.9.2 Actions towards achieving best practice, related to targets in terms of water balance shall be implemented .	Yes			The site identified multiple best practices for water balance based on factory efficiency, irrigation improvements and species selection (supply chain). The site has made progress toward best practice with their WOW project saving approximately 400,000 GPY.	

	3.9.3 Actions towards achieving best practice, related to targets in terms of water quality shall be implemented .	Yes			The site has made improvements in reducing its wastewater loads and reducing wastewater surcharges. The site will continue training its employees on zero down the drain and environmental awareness. The site will also continue to evaluate opportunities to reduce water use in sanitation and other processes and improve its processes to reduce wastewater loads.	
	3.9.4 Actions towards achieving best practice, related to targets in terms of the site's maintenance of Important Water-Related Areas shall be implemented .	Yes			Site IWRAs are inspected monthly and tracked via internal system. Employees have participated in local cleanup projects on the Rio Grande River, and the site donates to a local fund supporting the river.	
	3.9.5 Actions towards achieving best practice related to targets in terms of WASH shall be implemented .	Yes			The site donates IBC totes to the community to provide water access and storage.	
Advanced Points Step 3						
STEP 4: Evaluate						
Criteria	Indicator	Yes	No	NA	Objective Evidence/Findings	Points
4.1 Evaluate the site's performance in light of its actions and targets from its water stewardship plan and demonstrate its contribution to achieving water stewardship outcomes.	4.1.1 Performance against targets in the site's water stewardship plan and the contribution to achieving water stewardship outcomes shall be evaluated .	Yes			The site has evaluated performance of the Water Stewardship Plan which is aligned with realizing the AWS Outcomes. Targets established in the Plan are tracked based on multiple actions with measurable metrics, and engagement feedback. The evaluation also includes a cost/benefits review and shared value benefits for each target. Further evaluation will be conducted during the surveillance and renewal audits.	
	4.1.2 Value creation resulting from the water stewardship plan shall be evaluated .	Yes			The value creation focused on water use reduction was provided for multiple tasks, some completed and others on-going.	
	4.1.3 The shared value benefits in the catchment shall be identified and where applicable, quantified .	Yes			The shared value benefits, focused on water conservation was provided for multiple tasks, both completed and on-going.	
4.2 Evaluate the impacts of water-related emergency incidents (including extreme events), if any occurred, and determine the effectiveness of	4.2.1 A written annual review and (where appropriate) root-cause analysis of the year's emergency incident(s) shall be prepared and the site's response to the incident(s) shall be evaluated and proposed preventative and corrective	Yes			No water-related emergency events occurred that impacted the site operations or that caused the site to impact the catchment. No shutdown occurred that was water related. The facility has a current SWPPP and SPCC.	

corrective and preventative measures.	actions and mitigations against future incidents shall be identified .					
4.3 Evaluate stakeholders' consultation feedback regarding the site's water stewardship performance, including the effectiveness of the site's engagement process.	4.3.1 Consultation efforts with stakeholders on the site's water stewardship performance shall be identified .	Yes			Internal and external stakeholder outreach efforts were conducted and documented in the communications log. <ul style="list-style-type: none"> • The corporation reports annually via the GRR • The site uses the RGWF meetings to learn about what is going on in the catchment and to consult/catch up with other stakeholders The site also communicates directly with other stakeholders via email and phone.	
4.4 Evaluate and update the site's water stewardship plan, incorporating the information obtained from the evaluation process in the context of continual improvement.	4.4.1 The site's water stewardship plan shall be modified and adapted to incorporate any relevant information and lessons learned from the evaluations in this step and these changes shall be identified .	Yes			The Water Stewardship Plan is a working document updated annually to reflect on-going actions and completed projects. The WSP tracks targets, timelines, metrics and actions tied to best practice and AWS outcomes addressed.	
Advanced Points Step 4						
STEP 5: Communicate and Disclose						
Criteria	Indicator	Yes	No	NA	Objective Evidence/Findings	Points
5.1 Disclose water-related internal governance of the site's management, including the positions of those accountable for legal compliance with water-related local laws and regulations.	5.1.1 The site's water-related internal governance, including positions of those accountable for compliance with water-related laws and regulations shall be disclosed .		No		The site provided a detailed list positions and duties of internal corporate governance from CEO to VP Engineering to multiple site level engineers and managers, including supply chain command, was provided during the audit. It is unclear how the water-related governance is disclosed. <p>Minor 2021.02 was issued. The internal governance was described but does not appear to have been disclosed.</p>	
5.2 Communicate the water stewardship plan with relevant stakeholders.	5.2.1 The water stewardship plan, including how the water stewardship plan contributes to AWS Standard outcomes, shall be communicated to relevant stakeholders.	Yes			The targets/actions in the water stewardship plan are listed with planned outcomes and consulted/informed stakeholders. <p>OBS 2021.04 was issued. Planned outcomes such as water reductions are stated, but the more general AWS outcomes (Governance, Water Balance, Water Quality, IWRAs, WASH) should be referenced.</p>	

					OBS 2021.05 was issued. The Consulted Stakeholder is indicated for each target/action, a brief summary of what was discussed could be included in the WSP.	
5.3 Disclose annual site water stewardship summary, including the relevant information about the site's annual water stewardship performance and results against the site's targets.	5.3.1 A summary of the site's water stewardship performance, including quantified performance against targets, shall be disclosed annually at a minimum.		No		The site communicates and reports metrics and targets internally to the site and corporation, specially within semi-annual repots. Although an external target audience and disclosure format have not yet been identified. Water stewardship efforts are published in the annual GRR.	
5.4 Disclose efforts to collectively address shared water challenges, including: associated efforts to address the challenges; engagement with stakeholders; and co-ordination with public-sector agencies.	5.4.1 The site's shared water-related challenges and efforts made to address these challenges shall be disclosed .	Yes			The site discusses and discloses information on shared water challenges to ABCWUA a primary stakeholder in the catchment.	
	5.4.2 Efforts made by the site to engage stakeholders and coordinate and support public-sector agencies shall be identified .	Yes			The stakeholder outreach log documents the site's ongoing communication with external stakeholders. The site communicates regularly with internal stakeholders such as the GSE and the Sustainability Teams about all aspects related to safety and environmental (weekly, monthly and quarterly). The communication to date has been published to stakeholders in the GRR.	
5.5 Communicate 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.	5.5.1 Any site water-related compliance violations and associated corrections shall be disclosed .	Yes			Violations are publicly available through state and federal reporting (ECHO/US EPA). There were no violations reported via ECHO.	
	5.5.2 Necessary corrective actions taken by the site to prevent future occurrences shall be disclosed if applicable.	Yes			See 5.5.1	
	5.5.3 Any site water-related violation that may pose significant risk and threat to human or ecosystem health shall be immediately communicated to relevant public agencies and disclosed .	Yes			Violations are publicly available through state and federal reporting (ECHO/US EPA). There were no violations reported via ECHO. The ECHO reporting system would include violations that pose a significant risk and threat to human or ecosystem health.	
Advanced Points Step 5						